



**GOVERNMENT OF UTTAR PRADESH**  
**Public Works Department**

**Uttar Pradesh Core Road Network Development Program**  
**Part – A: Project Preparation**

**DETAILED PROJECT REPORT**  
**Volume - IX: Resettlement Action Plan**  
**Garautha – Chirgaon Road (SH-42)**



**July 2015**





<b>Document Name</b>	<b>Volume-IX : Resettlement Action Plan</b> (Detailed Project Report)
<b>Document Number</b>	EIRH1UP020/DPR/SH-42/GC/002/IX
<b>Project Name</b>	Uttar Pradesh Core Road Network Development Program Part – A: Project Preparation including Detailed Engineering Design and Contract Documentation
<b>Project Number</b>	EIRH1UP020

**Document Authentication**

	<b>Name</b>	<b>Designation</b>
<b>Prepared by</b>	Dr. Sudesh Kaul	Social Development Specialist
<b>Reviewed by</b>	Rajeev Kumar Gupta	Deputy Team Leader
<b>Approved by</b>	Rajeev Kumar Gupta	Deputy Team Leader

**History of Revisions**

<b>Version</b>	<b>Date</b>	<b>Description of Change(s)</b>
Rev. 0	02/12/2014	First Submission
Rev. 1	12/12/2014	Second Submission
Rev. 2	27/12/2014	Compliances to WB comments
Rev. 3	08/07/2015	Compliances to Review Consultant Comments







## TABLE OF CONTENTS

Chapter	Description	Page
<b>0</b>	<b>EXECUTIVE SUMMARY .....</b>	<b>0-1</b>
0.1	Introduction.....	0-1
0.2	Objective of the Study.....	0-2
0.3	Scope of the Study.....	0-2
0.4	Methodology.....	0-2
0.5	Right of Way and Corridor of Impact.....	0-3
0.6	Rehabilitation Issues .....	0-4
0.7	Land Use along the Project Road .....	0-4
0.8	Social Impact Assessment .....	0-4
0.9	Corridor of Impact .....	0-6
0.10	Cut off Date.....	0-9
0.11	Analysis of Census and Baseline Socio-economic Data .....	0-10
0.12	Literacy Level .....	0-13
0.13	Resource Base of the Affected Families .....	0-13
0.14	Usual Activity .....	0-14
0.15	Occupational Pattern .....	0-14
0.16	Average Annual HH Income and Expenditure .....	0-15
0.17	Project Specific Resettlement & Rehabilitation (R & R) Policy, 2014.....	0-15
0.18	Analysis of Alternatives.....	0-19
0.19	Widening Options.....	0-19
0.20	Timing of Resettlement .....	0-20
0.21	Institutional Arrangement.....	0-21
0.22	Integrated Grievance Redressal Mechanism .....	0-21
0.23	Implementation Arrangements and Schedule .....	0-22
0.24	Budget .....	0-22
<b>1</b>	<b>INTRODUCTION .....</b>	<b>1-1</b>
1.1	Project Background .....	1-1
1.2	Start and End Points .....	1-3
1.3	Salient Features .....	1-4
1.4	Project Description .....	1-5
1.5	Social Impact Assessment .....	1-8
1.6	Structure of Report .....	1-12
<b>2</b>	<b>STUDY METHODOLOGY .....</b>	<b>2-1</b>
2.1	Introduction.....	2-1
2.2	Social Assessment Process.....	2-1
2.3	Consultations .....	2-3



2.4	Local Level Consultation .....	2-3
2.5	Consultation with Government Officials .....	2-3
2.6	Collection of Data from Secondary Sources .....	2-4
<b>3</b>	<b>MINIMISING NEGATIVE SOCIAL IMPACT .....</b>	<b>3-1</b>
3.1	Minimizing the Social Impact .....	3-1
3.2	Right of Way and Corridor of Impact .....	3-1
3.3	Design and R&R Co-ordination .....	3-2
3.4	Timing of Resettlement .....	3-3
3.5	Widening Options .....	3-3
<b>4</b>	<b>RESETTLEMENT POLICIES AND LEGAL FRAMEWORK .....</b>	<b>4-1</b>
4.1	Key Social Laws and Regulations .....	4-1
4.2	World Bank Safeguard Policies .....	4-2
4.3	Comparative Analysis of World Bank OP 4.12 on Involuntary Resettlement and R&R Act, 2013 .....	4-2
4.4	Process of Land Acquisition and Other Immovable Assets .....	4-7
4.5	Project Specific R&R Policy .....	4-8
<b>5</b>	<b>PROFILE OF STATE AND PROJECT AFFECTED PERSONS .....</b>	<b>5-1</b>
5.1	Socio-Demographic Profile of the State .....	5-1
5.2	Census and Socio-economic Survey Analysis .....	5-3
5.3	Objectives of the Census and Socio-economic Surveys .....	5-3
5.4	Categories of Properties Affected within COI .....	5-4
5.5	Analysis of Census and Baseline Socio-economic Data .....	5-5
<b>6</b>	<b>COMMUNITY PARTICIPATION .....</b>	<b>6-1</b>
6.1	Introduction .....	6-1
6.2	Consultation and Participation Mechanisms .....	6-1
6.3	The Process .....	6-2
6.4	Local Level Consultations .....	6-3
6.5	Continuation of Public Consultations .....	6-6
<b>7</b>	<b>GENDER ANALYSIS .....</b>	<b>7-1</b>
7.1	Status of Women .....	7-1
7.2	Gender Issues .....	7-2
7.3	Gender Action Plan .....	7-6
<b>8</b>	<b>INCOME RESTORATION .....</b>	<b>8-1</b>
8.1	Background .....	8-1
8.2	Income Restoration Options Preferred by PAPs .....	8-1
8.3	Resettlement .....	8-1
8.4	Inter-Agency Linkages for Income Restoration .....	8-2
8.5	Steps in Income Restoration (IR) .....	8-3
8.6	Alternative Individual Income Restoration Scheme .....	8-6
8.7	Monitoring of IR Schemes .....	8-6



<b>9</b>	<b>INSTITUTIONAL ARRANGEMENTS .....</b>	<b>9-1</b>
9.1	Background .....	9-1
9.2	The Process .....	9-1
9.3	Need for NGO/CBO .....	9-4
9.4	Role of NGO .....	9-4
9.5	Training and Capacity Building .....	9-6
9.6	Areas of Capacity Building .....	9-6
<b>10</b>	<b>GRIEVANCE REDRESS MECHANISM .....</b>	<b>10-1</b>
10.1	Need for Grievance Redress Mechanism .....	10-1
10.2	Functions of the Committee .....	10-1
10.3	Integrated Grievance redress Mechanism .....	10-2
<b>11</b>	<b>MONITORING AND EVALUATION .....</b>	<b>11-1</b>
11.1	Introduction.....	11-1
11.2	Process and Output Indicators .....	11-1
11.3	Monitoring Project Input and Output .....	11-3
<b>12</b>	<b>IMPLEMENTATION SCHEDULE.....</b>	<b>12-1</b>
12.1	Background .....	12-1
12.2	Implementation Procedure .....	12-1
12.3	Timing of resettlement .....	12-1
12.4	Miscellaneous Activities .....	12-2
12.5	Implementation Responsibility .....	12-2
12.6	Community Participation in the Implementation of RAP .....	12-5
12.7	Tasks for NGO in Implementation and Tentative Methodology .....	12-5
<b>13</b>	<b>COSTS AND BUDGET .....</b>	<b>13-1</b>
13.1	Budget .....	13-1



## LIST OF TABLES

Table 0.1: Availability of Existing RoW .....	0-3
Table 0.2: Impact of the Project .....	0-6
Table 0.3: Distribution of Families by Type of Loss .....	0-6
Table 0.4: High Embankment > 6.0m .....	0-6
Table 0.5: Toe Wall .....	0-7
Table 0.6: Widening Schedule of Garautha-Chirgaon Section (SH-42) .....	0-7
Table 0.7: Distribution of Project Affected Households by Type of Loss .....	0-8
Table 0.8: Cut off Date .....	0-9
Table 0.9: Distributions of Project Affected Households by Status of Ownership .....	0-9
Table 0.10: Distributions of Community Properties by Category .....	0-10
Table 0.11: Distribution of Affected and Displaced Families .....	0-10
Table 0.12: Distributions of PAFs and PDFs by Type of Affect .....	0-10
Table 0.13: Demographic in Corridor of Impact .....	0-11
Table 0.14: Social Characteristics in Corridor of Impact .....	0-11
Table 0.15: Distribution of PAPs by Literacy Level .....	0-12
Table 0.16: Distribution of Families by Type of Loss .....	0-12
Table 0.17: Vulnerability Status of the Household in Corridor of Impact .....	0-12
Table 0.18: Distributions of Project Affected Households by Status of Ownership .....	0-13
Table 0.19: Resource Base .....	0-13
Table 0.20: Construction Typology of Structures .....	0-14
Table 0.21: Usual Activity .....	0-14
Table 0.22: Distribution of HH by Income Level .....	0-15
Table 0.23: Distribution of Households by Primary Source of Income .....	0-15
Table 0.24: Typical Cross-section (TCS) .....	0-19
Table 0.25: Built-up Locations along the Project Road .....	0-20
Table 0.26: Plan for Handing Over the Stretches to Contractor .....	0-20
Table 0.27: Estimated Cost of R&R Budget based on R &R policy .....	0-22
Table 1.1: Road Network in Uttar Pradesh .....	1-1
Table 1.2: Village Level House Hold, Population, Sex Ratio, Literacy Level and Work Participation Rate of the Project Area .....	1-6
Table 1.3: Chainage wise List of Villages, Tehsil and District of the Garautha -Chirganw Project Road ..	1-9
Table 1.4: Impact of the Project (Phase I Route SH-42) .....	1-10
Table 1.5: Widening Schedule of Garautha-Chirgaon Section (SH-42) .....	1-10
Table 1.6: Distribution of Project Affected Households by Type of Loss .....	1-11
Table 3.1: Availability of Existing ROW .....	3-2
Table 3.2: Plan for Handing Over the Stretches to Contractor .....	3-2
Table 3.3: Typical Cross-section (TCS) .....	3-3
Table 3.4: Built-up Locations along the Project Road .....	3-4
Table 4.1: Relevant Social Legislations .....	4-1
Table 4.2: Safeguard Policies of World Bank .....	4-2



Table 4.3: Time Lines for SIA, Land Acquisition and Compensation Payments .....	4-8
Table 5.1: Land Classification in U.P.....	5-2
Table 5.2: Work Participation for Various Industries .....	5-2
Table 5.3: Work Participation for Main and Marginal Workers ('000).....	5-3
Table 5.4: Distribution of Project Affected households by Type of Loss.....	5-4
Table 5.5: Distribution of Community Properties by type .....	5-4
Table: 5.6 Actual Impacts.....	5-5
Table 5.7: Distribution of Affected and Displaced Families .....	5-5
Table 5.8: Distributions of PAFs and PDFs by Type of Affect .....	5-5
Table 5.9: Demographic in Corridor of Impact .....	5-6
Table 5.10: Social Characteristics in Corridor of Impact .....	5-6
Table 5.11: Distribution of PAPs by Literacy Level .....	5-7
Table 5.12: Distribution of Families by Type of Loss .....	5-7
Table 5.13: Vulnerability Status of the Household in Corridor of Impact .....	5-7
Table 5.14: Distribution of Project Affected Households by status of ownership .....	5-7
Table 5.15: Resource Base .....	5-8
Table 5.16: Construction typology of structures .....	5-8
Table 5.17: Usual Activity .....	5-8
Table 5.18: Distribution of H H by Income Level .....	5-9
Table 5.19: Distribution of Households by Primary Source of Income .....	5-9
Table 5.20: Household Asset Structure (Average Unit holding per Family) .....	5-10
Table 5.21: Core Rapid Appraisal Mechanism.....	5-11
Table 6.1: Local Level Consultation Output .....	6-4
Table 6.2: Core Rapid Appraisal : Mechanism for Continued Participation .....	6-7
Table 7.1: Number of Women Headed Households.....	7-2
Table 7.2: Female Work Participation Rate and Gender Gap in Work .....	7-3
Table 7.3: Sex Ratio.....	7-3
Table 7.4: Child Sex Ratio .....	7-3
Table 7.5: Female Literacy and Gender Gap in Literacy .....	7-4
Table 7.6: Usual Activity of Affected Women.....	7-5
Table 7.7: Women – Time Disposition .....	7-5
Table 7.8: Decision Making Power among Women .....	7-6
Table 7.9 : Gender Action under the Project .....	7-10
Table 8.1: Income Restoration Options as Preferred by PAPs.....	8-1
Table 9.1: ESDRC Staff Responsibilities .....	9-3
Table 12.1: Plan for Handing Over the Stretches to Contractor .....	12-2
Table 12.2: Roles and Responsibilities .....	12-2
Table 12.3: Summary of Role and Responsibilities of Other Project Partners in Various Stages of Project .....	12-4
Table 12.4: Tasks of NGO.....	12-5
Table 13.1: Estimated Cost of R&R Budget based on R&R Policy.....	13-1





## LIST OF FIGURES

Figure 1.1: Location Map .....	1-3
Figure 1.2: Start and End Points .....	1-4
Figure 1.3: Built-up Areas.....	1-4
Figure 1.4: Major Intersections .....	1-5
Figure 9.1: Organization Structure of Project Implementation Unit for UPCRNDP .....	9-2
Figure 10.1: Levels of Grievance Redressal .....	10-3



## LIST OF ANNEXURES

- Annexure – 1.1 :** Resettlement & Rehabilitation (R & R) Policy
- Annexure – 1.2 :** Chainagewise List of Affected Villages with Structures
- Annexure – 2.1 :** Census Survey Questionnaires
- Annexure – 2.2 :** Socio-economic Baseline Studies and Preparation of Resettlement & Rehabilitation Plan (RAP)
- Annexure – 5.1 :** Details of Census and Socio-economic Survey
- Annexure – 5.2 :** List of Affected Community Property Resources (CPR) including Schools and Temple/Religious Structures
- Annexure – 5.3 :** List of Affected Hand Pumps
- Annexure – 6.1 :** Public Consultation Questionnaire
- Annexure – 6.2 :** Consultation with there Views and List of Participants
- Annexure – 8.1 :** Village-wise Number of Eligible PAPs for Income Restoration
- Annexure – 9.1 :** The Terms of Reference for Hiring NGO for Implementation of RAP
- Annexure – 11.1 :** The Terms of Reference for Hiring M&E Consultant and End Term Evaluation
- Annexure – 12.1 :** RAP Implementation Schedule



## ABBREVIATIONS

BPL	Below Poverty Line
CBO	Community Base Organisation
COI	Corridor of Impact
CPCB	Central Pollution Control Board
CPR	Common Property Resources
DC	District Collector
EA	Environmental Assessment
ESDRC	Environmental Social Development and Resettlement Committee
EIA	Environmental Impact Assessment
EMP	Environmental Management Plan
EP	Entitled/Eligible Person
ESMF	Environmental and Social Management Framework
GSHAP	Global Seismic Hazard Assessment Programme
GoUP	Government of Uttar Pradesh
Govt.	Government
GOI	Government of India
GRC	Grievance Redressal Cell
HCA	House Construction Allowance
MoEF	Ministry of Forests and Environment
MORST	Ministry of Road and Surface Transport
NEIAA	National Environmental Impact Assessment Authority
NGO	Non Governmental Organisation
PAP	Project Affected Person
PAF	Project Affected Family
PDF	Project Displaced Family
PDP	Project Displaced Person
PIU	Project Implementation Unit
PMC	Project Management Consultants
PWD/UPPWD	Public Works Department/ Uttar Pradesh Public Works Department
R&R	Resettlement and Rehabilitation
RAP	Rehabilitation Action Plan
RFCTLAR&R	Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement act, 2013



ROW/RoW	Right of Way
RRO	Resettlement and Rehabilitation Officer
RTI	Right to Information Act
SC/ST	Schedule Caste and Schedule Tribes
SEIAA	State Environmental Impact Assessment Authority
SES	Socio-Economic Survey
SH	State Highway
SIA	Social Impact Assessment
SLAO	Special Land Acquisition Officer
SMF	Social Management Framework
SOR	Schedule of Rates
u/s	Under Section
UP/U.P.	Uttar Pradesh
UPPCB	Uttar Pradesh Pollution Control Board



## TERMS

<b>Below Poverty Line</b>	: Annual Income from all sources is less than a designated sum as fixed by the Planning Commission, Government of India.
<b>Corridor of Impacts</b>	: Width of the land required for upgradation of the road
<b>Development Block</b>	: A number of villages grouped together with Block Development Officer as its administrative head.
<b>District Collector</b>	: Administrative head of the District

## DEFINITIONS

<b>Cut-off Date</b>	: <ul style="list-style-type: none"><li>i) In case of land acquisition affecting the legal title-holders, the cut-off date would be the date of issuing the publication of preliminary notification u/s (1) of RFCTLAR&amp;R. Act, 2013.</li><li>ii) For the non-title holders cut-off date would be the date of Census Survey;</li></ul>
<b>Project Affected Persons</b>	: Person who is affected in respect of his/her land including homestead land and structure thereon, trade and occupation due to construction of the project
<b>Project Displaced Person</b>	: A person who is compelled to change his /her place of residence and/or workplace of business due to the project
<b>Project Affected Family</b>	: Family includes a person, his or her spouse, minor children, minor brothers and minor sisters dependent on him. Provided that widows, divorcees and women deserted by families shall be considered separate families;  Explanation - An adult of either gender with or without spouse or children or dependents shall be considered as a separate family for the purpose of this Act.
<b>Land Owner</b>	: "land owner" includes any person - <ul style="list-style-type: none"><li>(i) Whose name is recorded as the owner of the land or building or part thereof, in the records of the authority concerned; or</li><li>(ii) Any person who is granted forest rights under the Scheduled Tribes and other Traditional Forest Dwellers (Recognition of Forest Rights) Act, 2006 or under any other law for the time being in force; or</li><li>(iii) Who is entitled to be granted Patta rights on the land under any law of the State including assigned lands; or</li><li>(iv) Any person who has been declared as such by an order of the court or Authority.</li></ul>
<b>Marginal Farmer</b>	: "Marginal Farmer" means a cultivator with an un-irrigated land holding UP to one hectare or irrigated land holding up to one half hectare.
<b>Small Farmer</b>	: "Small Farmer" means a cultivator with an un-irrigated land holding up to >1 hectare or irrigated land holding up to one hectare, but more than the holding of a marginal farmer.





- Encroacher** : A person who has trespassed Government/ private/community Land, adjacent to his or her land or asset to which he/she is not entitled and who derives his/her livelihood and housing there from prior to the cut-off date
- Squatter** : A squatter is a person who has settled on publicly owned land for housing or livelihood without permission or who has been occupying publicly owned building without authority prior to the cut-off date.
- Landless/ Agriculture Labour** : A person who does not hold any agriculture land and has been deriving his main income by working on the lands of others as sub-tenant or as an agriculture labour prior to the cut-off date.
- Below Poverty Line** : A household, whose annual income from all sources is less than the designed sum as fixed by the planning commission of India, will be considered to be below poverty line (BPL).
- Vulnerable Person** : The Vulnerable group may include but not be limited to the following:
- a. those people falling under Below Poverty Line category as defined by GoUP;
  - b. Member of Scheduled Caste/Tribe community/ other backward community;
  - c. Women Headed households;

\* PAP includes project displaced person, but all PAPs may not be displaced persons





## 0 EXECUTIVE SUMMARY

---

### 0.1 Introduction

The state has a road network of 299,604 km, out of which 174,451 km is under Uttar Pradesh Public Works Department (PWD). The roads under PWD comprise 7,550 km of National Highways (NHs), 7,530 km of State Highways (SHs), 5,761 km of Major District Roads (MDRs), 3,254 km of Other District Roads (ODRs) and 138,702 km of Village Roads (VRs). Only about 60% of SHs are two-lane (7 m). In the entire state 62% of MDRs and 83% of ODRs have widths less than 7 m.

With a view to improve the transport network system, UP PWD has identified 24,095 km of Core Road Network (CRN) for the development. The Core road development works will consist of raising the formation level, widening to a full two lanes from the existing single and intermediate lane widths, and/or pavement rehabilitation/strengthening. Road sections with high volumes of non-motorized traffic will be widened to 10m with 1.5m full paved shoulders. Road stretches crossing urban areas may also require upgrading to a four lane cross section, and/or provision for drains, sidewalks and parking where required. In some cases, new alignments (by-passes and/or re-alignments) may also be required. In view of the above, UP core road network development project (UPCRNDP) has been designed. The UPCRNDP will have three Components:

- Upgrading/reconstruction/widening as well as rehabilitation of selected roads from the Core Road Network (CRN) including construction of a new Sharda Bridge at Pachpheri Ghat in Lakhimpur district.
- Road Safety Component: A comprehensive and coordinated package of road safety sub-components to be delivered by the Transport, Home, Public Works and Health Departments
- Road Sector and Institutional Reform Component: This component is likely to include a program to strengthen PWD asset management of SHs, MDRs and ODRs, to support the application of IT systems for human resource management and works budgeting and management across the PWD organization

The Garautha – Chirgaon Road selected for inclusion in the project demonstrated high Internal Rates of Return in project feasibility studies. Although such benefits were not quantified, the project is also expected to help alleviate development constraints in agriculture, commerce, education, health, social welfare, and public safety and contribute to general expansion and diversification of development activities. The project road, Garautha – Chirgaon Road (SH-42) is section of Hamirpur – Chirgaon (Jhansi) road. The complete road is divided into three packages:

- Garautha – Chirgaon (Jhansi), 48.94 km (KM 118+600 to KM 167+540)
- Hamirpur – Rath Road, Existing length 75.7 km (KM 2+000 to KM 77+720)
- Rath – Garautha, 35.0 km. This is missing link and alternative alignment via ODR/MDR is taken forward. The road has to be taken up for bid in Phase II.

The Uttar Pradesh Public Works Department over a 5-year period will implement the project. Though there is no land acquisition in this particular corridor, there are non-titleholders who will be adversely impacted due to the project and therefore Resettlement Action Plan (RAP) has been



prepared. The primary purpose for preparing Resettlement Action Plan (RAP) is to assess the socio-economic condition of the Project Affected Persons (PAPs) in order to minimize impact and provide mitigate measures. Since the displacement is indispensable, rehabilitation need to be done in such a manner so that the standard of living of PAPs is restored. Special attention will be paid to the vulnerable groups. RAP has provisions to ensure that PAPs are compensated at replacement value for the assets lost and to enable them to regain or improve their socio-economic status enjoyed prior to the project. The RAP is a live document and will be updated as and when necessary. Implementation of the final RAP will be done on data so modified.

This document comprises the Resettlement and Rehabilitation Action Plan (RAP) of the Uttar Pradesh Public Works Department (UPPWD). The RAP meets all Government of India (GOI) and World Bank resettlement-related requirements and complies with applicable GOI and World Bank (OP 4.10 and OP 4.12) regulations, policies, and procedures including those on public participation, environmental assessment and indigenous people. It confirms to provisions of *Resettlement and Rehabilitation Policy for Persons Displaced or affected by Projects in Uttar Pradesh*. Government of Uttar Pradesh has approved the policy vide letter number 1195(1)/23-12-14 dated August19, 2014. Uttar Pradesh PWD will implement this RAP with assistance from other government agencies, and non-governmental- and community-based organizations.

## **0.2 Objective of the Study**

The social screening is done first and the objective is to create:

- ✓ a baseline database containing the features and populace in the immediate vicinity of proposed road;
- ✓ structures likely to be affected by the widening/improvement proposal;
- ✓ highlight the social problems and suggests general and typical mitigation measures to alleviate social problems that the project-affected people may face less loss of livelihood, displacement and loss of access to community facilities etc;
- ✓ develop resettlement action plan to avoid, reduce or mitigate likely negative impacts of project and enhance positive impacts, sustainability and development benefits;

## **0.3 Scope of the Study**

The scope of the study includes:

- Carry out Census Survey of the structures likely to be affected and Socio-Economic Survey of the Project Affected Persons (PAPs) to get the base line information about the level of impact and to get the base line socio economic status of the PAPs.
- Preparation of Strip Plan showing existing structures likely to be affected along the project road
- Conducting Social Impact Assessment including Rehabilitation and Resettlement (R&R) studies
- Preparation of Social Impact Assessment (SIA) report and Resettlement Action Plan (RAP)

## **0.4 Methodology**

The resettlement action plan is based on the primary and secondary data sources. Secondary data source include Gazetteer of project districts and District Census Details, 2011.To assess the



socio-economic condition, a questionnaire has been developed and used to conduct census and socio-economic survey of the project affected persons within the identified corridor width.

This Resettlement Action Plan (RAP) report has been prepared as per the Rehabilitation (R&R) policy formulated for the Core Road Network Development Programme by Uttar Pradesh Public Works Department (UP PWD) and is based on World Bank's (OP) 4.12 and (OP) 4.10 for resettlement of involuntarily displaced persons and indigenous people and UP State Rehabilitation Policy. The principle of the R&R policy is the guiding philosophy to provide a development approach to resettle and rehabilitate the people affected by the project.

The preliminary social assessment was carried out, considering 15 m either side along the project road except at the proposed facilities such as Junctions, Bridges etc. Most of the land use categories along this section is agriculture (predominantly), residential and general activities carried out by the local residents. The project road, Garautha – Chirgaon Road (SH-42) is section of Hamirpur – Chirgaon (Jhansi) road. The complete road is divided into three sections as below:

- Garautha – Chirgaon (Jhansi), Up-gradation and Maintenance of Garautha-Chirgaon section of SH-42, from Km 118+600 to Km 167+745 (48.94 km)
- Hamirpur – Rath Road, Existing length 75.7 km (KM 2+064 to KM 76+500)
- Rath – Garautha, 35.0 km. This is missing link and alternative alignment via ODR/MDR is taken forward. This section of road has to be taken up for bid in Phase II and will bypass Rath town.

## 0.5 Right of Way and Corridor of Impact

Right of way is the public land owned by the State Government and administered by the PWD, for the existing road. Right of way held by the PWD is the lawfully acquired corridor of land. The established width on an average is 30m. However, Right of way width varies from 8 m to 46 m. Moreover, the existing ROW is not free of encumbrances, as will be seen from the strip maps. Using available records with the PWD and the revenue department, R&R team have verified the boundaries of legal right of way as well as boundaries of private properties within and in the vicinity of the corridor of impact. The limit of displacement will be limited not to the legal right of way but only to the corridor of impact. The Strip plan & Land Acquisition Plan (LAP) has also been submitted along with this report. The corridor/prism of impact is the corridor required for the actual construction of the road, including carriageway, shoulders, embankments and longitudinal drainage. Within this corridor there should be no structures or hindrances.

**Table 0.1: Availability of Existing RoW**

S. No.	Chainage (Km)		RoW as per Sazra map (in Metres)	Corridor of Impact	Remarks
	From	To			
1	118+750	123+000	36	22.5	Road cross-section with unlined drain
2	123+000	129+450	36	22.5	Road cross-section with unlined drain
3	129+450	131+500	27	13	With covered drain because of built-up area
4	131+500	140+000	32	23	Road cross-section with unlined drain
5	140+000	144+950	28	23	Road cross-section with unlined drain
6	144+950	150+000	34	23	Road cross-section with unlined drain
7	150+000	158+000	23	23	Road cross-section with unlined drain
8	158+000	162+500	27	27	Road cross-section with unlined drain
9	162+500	166+850	22	22	Road cross-section with unlined drain
10	166+850	167+500	8	8	As per Existing Road





## **0.6 Rehabilitation Issues**

Most of the infrastructure improvements planned for the urban/rural areas will take place within the existing Right of Way (ROW) except at some of the congested settlements and densely built-up areas and at locations where minor improvements are required for accommodating road safety measures. Social screening surveys conducted in the Detailed Project Report (DPR) stage and verify the Right of Way (ROW) with revenue records. It was obvious that in majority sections of the project roads, ROW may be enough to accommodate/fit the considered design standards. Further, it has been identified that ROW is not fully free from encumbrances and at many places it is encroached and squatted upon by the people for various purposes, mainly, near habitations and in marketplaces. In order to face or overcome these consequences, a preliminary idea of Social and Rehabilitation issues need to be acquired. The key social issues considered are as follows:

- Loss of structures used for residential, commercial and other purposes and associated loss of livelihood due to impacts on sources of earning;
- Loss of other properties and assets such as boundary walls, hand pumps, bore wells, dug wells, ponds etc.;
- Disruption of livelihood due to clearing of ROW, particularly, petty shop owners like kiosk;
- Loss of common property resources such as religious places, water resources, village gates, passenger shelters, etc;

## **0.7 Land Use along the Project Road**

The proposed project road passes through the settlements wherein some Permanent, Semi-Permanent and Temporary structures are found in large numbers. These comprise private, government and community assets. The major portion is predominantly agricultural land. Though inhabitants occupying land for different activities along the proposed road have land titles, the project activities will be restricted to right of way owned by Public Works Department. This information has been used in the design of the Entitlement Matrix and mitigation measures. Common Property Resources (CPR) along the sections of the project road include religious structures, community, water resources, etc. Majority of the temporary structures within the existing right of way are road side commercial establishments. Though there is no land acquisition in this particular corridor, there are non-titleholders who will be adversely impacted due to the project and therefore Resettlement Action Plan (RAP) has been prepared. The primary purpose for preparing Resettlement Action Plan (RAP) is to assess the socio-economic condition of the Project Affected Persons (PAPs) in order to minimize impact and provide mitigate measures. These are either squatters or kiosk owners engaged in small time petty businesses such as eateries, tobacco selling, tea stalls, etc.

## **0.8 Social Impact Assessment**

The Social Impact Assessment of the project is an important component of project preparation. The Right to Fair Compensation and Transparency in Land Acquisition and Rehabilitation and Resettlement Act, 2013; project specific R&R Policy as approved by GoUP and World Bank policy require a social impact assessment during the design stage to avoid, reduce and mitigate potential negative impacts of the project and enhance positive impacts, sustainability and development benefits.



The Assessment results are considered with technical and economic feasibility analysis in the final selection of roads to be rehabilitated. The assessments also contribute to the engineering design and result in the preparation of social action plans governing project implementation and the resettlement and rehabilitation of those who may be displaced by road improvements.

The main objective of the study is to ensure that the project addresses the adverse impacts on the livelihood of the people and that no one is left worse off after implementing RAP and those affected have access to project benefits, both during project construction as well as operation. In specific, the objectives of the study are:

- To carry out a socio-economic, cultural and political/institutional analysis to identify the project stakeholders and social issues associated with the project;
- To assess the extent of land acquisition/appropriation and other losses and undertake the census of potential project affected people;
- To develop a Resettlement Action Plan (RAP) in consultation with the affected people and project authorities;
- To identify gender related issues in road design and develop a gender action plan
- To identify a likely occurrence of HIV/AIDS resulting from the influx of outside labourers and others and develop a strategy to reduce their incidence; and
- To develop a consultation framework for participatory planning and implementation of proposed mitigation plan.

The project's social impacts and resettlement component includes assessment of social impacts of the project and development of appropriate mitigation plans as required. These plans must comply with appropriate national and local laws and guidelines, and with the World Bank policy directives. Social assessment is carried out in close co-ordination with the environmental assessment team and design team and includes consultation and participation among project stakeholders, local communities and potentially affected groups. The social impact assessment and resettlement planning component has following elements:

- Social screening as part of Project Feasibility Report.(PFR);
- Social Impact Assessment; Census and baseline socio-economic survey of the potentially affected population as part of Detailed Project Report (DPR);
- Preparation of a time-bound Resettlement Action Plan (RAP);
- Consultations at project, district and state level;
- Follow-up consultations (to be carried out after finalization of drawings); and
- Videography and still photography of all the routes.

Social screening was undertaken in conjunction with Project Inception Report and the selection of roads to be included in the project. It provided important inputs and guidance to engineering designs.

A full census has been undertaken in the 30 m corridor (October 2014 to November 2014) to register and document the status of the potentially affected population within the project impact area, their assets, and sources of livelihood. The baseline data was collected in 30 m corridor to get information of a wider corridor as it gives more flexibility for deciding widening options. Census data provides the basis for establishing a cut-off date for non-title holders in order to determine who may be entitled to relocation assistance or other benefits from the project.



Socio-economic survey was also carried out on a census basis. This survey provides a baseline against which mitigation measures and support will be measured and includes comprehensive examination of the people's assets, incomes, important cultural or religious networks or sites, and other sources of support such as common property resources. Analyses of survey results cover the needs and resources of different groups and individuals, including intra-household and gender analysis. The **Table 0.2** given below provides a comparative analysis of impacts between 30 m census and corridor of impact.

**Table 0.2: Impact of the Project**

30 M			CoI (in M)		
No. of PAPs	No. of PAHs	No. of PAFs	No. of PAPs	No. of PAHs	No. of PAFs
1950	912	1154	361	90	136

Source: EGIS Primary Survey 2014

For further analysis and reporting of impacts, only corridor of impact has been considered. Therefore all the tables given below correspond to corridor of impact.

**Table 0.3: Distribution of Families by Type of Loss**

Residential	Commercial		Residential cum Commercial	Others	B. Wall	Total
	Structures	Kiosk				
33	10	61	2	25	5	136

Source: EGIS Primary Survey 2014

As the **Table 0.3** above shows, impact is more on commercial establishments which are immediate property in most cases of built-up sections.

## 0.9 Corridor of Impact

On an average the COI is 22 m and it varies between 8 m to 25 m. Widening schedule has been discussed with the design team and the following design chainage has been considered for raising, 125+700 to 126+700, 131+800 to 131+950, 132+150 to 132+600, 137+500 to 137+800, 144+320 to 144+440, 152+500 to 152+800, 153+040 to 153+260, 154+400 to 154+960, 155+520 to 155+740, 159+760 to 159+980 and 161+500 to 161+720 COI.

### High Embankment

There are a few locations where embankment is high in the range of 6.0m. First one being, at both approaches of major bridge and second one at Km 159+270 to Km 159+390. The locations where height of embankment is more than 6.0m are given in **Table 0.4** below.

**Table 0.4: High Embankment > 6.0m**

Chainage		Length	Side
From (Km)	To (Km)		
158+620	158+680	60	Both
159+270	159+390	120	LHS
159+890	159+930	40	RHS



The available ROW available ranges from 11m to 40 m. In order to avoid Land Acquisition (LA), toe wall has been provided. There are locations where embankment is going beyond the existing ROW. The toe wall of Varying height is proposed to contain the cross-section within ROW. The locations of toe wall are given in **Table 0.5** below.

**Table 0.5: Toe Wall**

From (Km)	To (Km)	Length (m)	Height (m)	From (Km)	To (Km)	Length (m)	Height (m)
<b>Left</b>				<b>Right</b>			
125+775	125+855	80	1.50	125+790	125+855	65	1.00
125+920	126+157	237	1.50	131+740	131+840	100	2.50
131+740	131+840	100	2.50	131+880	131+930	50	3.00
131+880	132+060	180	3.00	125+890	126+130	240	1.50
152+720	152+780	60	1.00	132+300	132+440	140	1.00
154+420	154+890	470	1.50	132+500	132+632	132	1.00
155+500	155+630	130	3.00	152+715	152+820	105	1.00
155+648	155+690	42	3.00	155+525	155+630	105	3.00
155+705	155+750	45	2.00	155+648	155+690	42	3.00
157+480	157+680	200	1.00	155+705	155+730	25	1.00
161+625	161+720	95	2.00	157+635	157+730	95	1.00
163+780	164+020	240	1.00	161+080	161+217	137	1.50
<b>Total</b>		<b>1879</b>		161+680	161+772	92	3.00
				163+810	164+070	260	1.00
				165+730	165+930	200	1.00
				<b>Total</b>		<b>1788</b>	

**Table 0.6: Widening Schedule of Garautha-Chirgaon Section (SH-42)**

S. No.	Design Chainage (Km)		Length (Km)	Cross-section Type	Remarks	Pavement
	Start	End				
1	118+600	125+700	7.100	1A	Rural (reconstruction)	Reconstruction with GSB, WMM, DBM and BC
2	125+700	126+200	0.500	1C	Raising due to HFL	
3	126+200	129+430	3.230	1A	Rural (reconstruction)	
4	129+430	131+750	2.320	2	Gursarai (Drain Cum Footpath)	
5	131+750	131+800	0.050	1A	Rural (reconstruction)	
6	131+800	131+950	0.150	1C	Raising at causeway	
7	131+950	132+150	0.200	1A	Rural (reconstruction)	
8	132+150	132+600	0.450	1C	Raising	
9	132+600	137+500	4.900	1A	Rural (reconstruction)	
10	137+500	137+800	0.300	1C	Raising	
11	137+800	144+320	6.520	1A	Rural (reconstruction)	
12	144+320	144+440	0.120	1C	Raising	
13	144+440	152+500	8.060	1A	Rural (reconstruction)	
14	152+500	152+800	0.300	1C	Raising due to HFL	
15	152+800	153+040	0.240	1A	Rural (reconstruction)	
16	153+040	153+260	0.220	1C	Raising due to HFL	
17	153+260	154+400	1.140	1A	Rural (reconstruction)	
18	154+400	154+960	0.560	1C	Raising due to HFL	
19	154+960	155+520	0.560	1A	Rural (reconstruction)	



S. No.	Design Chainage (Km)		Length (Km)	Cross-section Type	Remarks	Pavement
	Start	End				
20	155+520	155+740	0.220	1C	Raising due to HFL	
21	155+740	158+240	2.500	1A	Rural (reconstruction)	
22	158+240	158+420	0.180	1B	Curve Improvement	
23	158+420	159+300	0.880	1A	Rural (reconstruction)	
24	159+300	159+380	0.080	1B	Curve Improvement	
25	159+380	159+760	0.380	1A	Rural (reconstruction)	
26	159+760	159+980	0.220	1C	Raising due to HFL	
27	159+980	160+150	0.170	1A	Rural (reconstruction)	
28	160+150	160+600	0.450	2	Ram Nagar (Drain cum Footpath)	
29	160+600	161+500	0.900	1A	Rural (reconstruction)	
30	161+500	161+720	0.220	1C	Raising	
31	161+720	165+200	3.480	1A	Rural (reconstruction)	
32	165+200	165+750	0.550	2	Siya Village (Drain cum Footpath)	
33	165+750	166+930	1.180	1A	Rural (reconstruction)	
34	166+930	167+000	0.070	3A	Sultanpura (Line drain)	
35	167+000	167+270	0.270	3B	Sultanpura (Line drain)	
36	167+270	167+400	0.130	3A	Sultanpura (Line drain)	
37	167+400	167+540	0.140	1A	Rural (reconstruction)	
<b>Total Length</b>			<b>48.94</b>			

Source: EGIS Design Report

**Note:-**

1. 1A - Widening in rural area (Reconstruction Section)
2. 1B – New Construction / Realignment / Bypass
3. 1C – Widening in rural area (New construction due to raising)
4. 2 – Widening in urban area (Reconstruction Section)
5. 3A – Widening in semi urban area (Reconstruction Section)
6. 3B - Widening in semi urban area (Reconstruction Section)

**Table 0.7: Distribution of Project Affected Households by Type of Loss**

Residential	Commercial		Residential cum Commercial	Others	B. Wall	Total
	Structures	Kiosk				
19	7	45	1	16	2	90
21%	8%	50%	1%	18%	2%	100

Source: EGIS Primary Survey 2014

As the **Table 0.7** above shows, impact is more on commercial establishments including temporary kiosks. Out of the total project affected households, 58% are commercial; 1% are residential cum commercial, 21% are residential and others cum boundary wall come to only 20%.

Preparation of the RAP has been undertaken within the project's social assessment component. A key prerequisite of the RAP is a policy framework for resettlement containing categories of impacts and their corresponding entitlements. The project specific R&R policy was prepared and agreed upon with the government of Uttar Pradesh (GoUP) vide their order number 1195(1)/23-





12-14 dated 19<sup>th</sup> August, 2014 . The RAP provides a number of affected households and families by impact category and detailed guidance on how to implement provisions in the policy framework, including institutional arrangements and budgets based on enumeration of project-affected people with entitlements under the framework.

Detailed studies undertaken to prepare this RAP show extensive occupancy of project roadside areas, including densely populated villages and urban communities containing numerous residential and commercial structures, businesses, and public facilities. Road widening and the other improvements proposed will impact roadside residences, businesses, religious shrines and structures, agricultural lands, public buildings, and infrastructure.

Resettlement will be required only where residential and residential/commercial buildings must either be fully demolished or taken to the extent that they are rendered uninhabitable or useless. Displaced residents of these buildings will be resettled. Similarly affected businesses and other public and religious buildings and structures will be relocated. Rehabilitation will be required where resettlement, relocation, or other project impacts result in lost livelihood or income. In these cases, it will be necessary to restore the economic status of affected persons to at least pre-project levels.

In most cases, the project will not require either full demolition or the taking of residential or commercial structures to the extent that either resettlement or relocation will be necessary. Generally, only a narrow frontage strip of several meters or less will be affected. Frequently, this means that only a compound wall or fences, yards, must be removed. In some cases, small portions of roadside dwellings and businesses will be taken. Only rarely, will it be necessary to take entire residential or commercial structures. However, kiosks will have to move out of COI though they may remain within the ROW. The right of way (ROW) for this corridor ranges from 8 m to 46 m. The design width of the road will not be more than 20 m and will be well within the available ROW. Therefore, no Land Acquisition is envisaged in Garautha–Chirgaon project road.

#### 0.10 Cut off Date

The date of completion of the census survey will be considered as a cut-off date and therefore, people who are not surveyed during the census will not be considered as PAP. The cut-off date will be used to establish whether a person located in the corridor qualifies as a PAP during the implementation of the various phases of the project. However, a person not enumerated during the census, but able to prove their stay in the project corridor, during the census survey will be considered for entitlement. The Period of Census Survey is given below:

**Table 0.8: Cut off Date**

Route No.	Route Name	Start Month	End Month
SH- 42	Hamirpur-Rath-Gursahayganj-Jhansi Road (Section Garautha–Chirgaon km 118+000 to 167+500 km)	4 October-2014	November-2014

**Table 0.9: Distributions of Project Affected Households by Status of Ownership**

Status of Ownership				
Squatter	Encroacher	Kiosk	Tenant	Total
7 (8%)	38 (42%)	45 (50%)	0 (0%)	90 (100%)

Source: EGIS Primary Survey 2014



The ownership status shows that over 8% are squatter. Apart from squatters, 50% are kiosk owners and 42% are encroachers. As per the project's R&R policy, vulnerable encroachers will be provided cash assistance at replacement cost for loss of structures; one time grant of Rs. 36000 as subsistence allowance; shifting allowance of Rs. 50,000 per family as one time grant for a permanent structure and Rs. 30,000 for a semi-permanent structure and Rs. 10,000 for a temporary structure; and each affected person who is a rural artisan, small trader or self-employed person assistance' of Rs 25,000/- for construction of working shed or shop. In case of Kiosks, only Rs. 5000 will be paid as one time grant.

**Table 0.10: Distributions of Community Properties by Category**

Community Properties								
Temple / Shrine / Chabutra	Mosque	Well	Boundary Wall	Water Tank	Hand pump	Bus Stop	Others	Total
5	0	1	1	0	33	0	0	40

Source: EGIS Primary Survey 2014.

As the table above shows a total of 40 community properties are within the corridor of impact of which 33 are hand pumps and 5 are cultural properties.

#### 0.11 Analysis of Census and Baseline Socio-economic Data

A detailed socio-economic survey was conducted in conjunction with the census of the project-affected persons (PAPs) to profile the impacted project area and provide a baseline against which mitigation measures and support will be measured. For this purpose, comprehensive information related to people's assets, income, socio-cultural and demographic indicators, religious structures, and other sources of support such as common property resources were collected. The analysis has covered the needs and resources of different groups and individuals, including intra-household analysis and gender analysis. The analysis is based on the cutoff date for entitlement assigned in the project (the cutoff date for the non title holder is the start date of census).

**Table 0.11: Distribution of Affected and Displaced Families**

No. of PAPs	No. of PAHs	No. of PAFs	No. of PDFs
361	90	136	70

Source: EGIS Primary Survey 2014

As shown in the table above, a total of 90 households (136 families) will be affected due to proposed road up gradation, which in turn will affect 361 persons.

**Table 0.12: Distributions of PAFs and PDFs by Type of Affect**

Affect Type	Type of Loss						Total
	Residential	Commercial	kiosk	Resi.+ Comm	Others	B.wall	
Displaced	0	9	61	0	0	0	70
PAF	33	10	61	2	25	5	136

Source: EGIS Primary Survey 2014

Note: Partial: Loss less than 10%; Adverse: Loss between 10 to 25%; Displaced: Loss more than 25%

Approximately 51 % of the total affected families will be displaced either because of the loss of residential property/kiosk. It is only the kiosk & squatters who will be displaced.



**Table 0.13: Demographic in Corridor of Impact**

Demographic/Social															
Distribution of PAPs by type of Sex			Distribution of Families by Family Type				Distribution of Families by Religious Groups				Distribution of PAFs by Social Stratification				
Male	Female	Total	Nuclear	Joint	Extended	Total	Hindu	Muslim	Others	Total	SC	ST	OBC	General	Total
211	150	361	88	34	14	136	129	7	0	136	28	0	57	51	136
58%	42%	100%	65%	25%	10%	100%	95%	5%	0	100%	21%	0	42%	37%	100%

Source: EGIS Primary Survey 2014

**Table 0.14: Social Characteristics in Corridor of Impact**

Distribution of PAPs by Marital Status							Distribution of PAPs by Age Group						
Married	Unmarried	Divorced	Separated	Widow	Total	0 to 6 years	7 to 15 years	16-18	19-21	22-35	36-58	59 and above	Total
214	140	0	0	7	361	40	48	26	28	102	84	33	361
59%	39%	0	0	2%	100%	11%	13%	7%	8%	28%	23%	9%	100%

Source: EGIS Primary Survey 2014

During the census survey, sex of every individual was recorded as it helps in identification of family and a vulnerable category as per R&R policy. As the table 0.13 above shows, approximately 58% PAPs are male and 42% are female. Majority of the families (65%) are nuclear in nature. Nearly 95% of the PAFs follow Hinduism. Caste configuration shows that 63% of the PAFs are from other backward castes and 37% belongs to general caste. The scheduled castes are 21% of the total affected families.

To identify affected families as per the R&R policy of UP State Roads Project, the marital status of PAPs has been recorded and more specifically of women PAPs. According to survey results, the number of unmarried PAPs is higher than married ones. Data for divorced, separated, widows and ones deserted was specifically analyzed as they all form separate families as per R&R policy and are eligible for R&R assistance. The marital status of the PAPs shows that 59% are married. Nearly 2% PAPs are widows and no separated or divorced has been found.

The age group classification: As per R&R policy, all males/women above the age of 18 years, irrespective of marital status, will be considered as a separate family age group classification, also helps in assessing a dependent and economically independent population.

As the table on age cohort shows, nearly three fifths of the population comes under an economically independent group of 19 to 58 years of age. About 11% of the population comes under age for school and about 9% are above the 59 years of age.

**Table 0.15: Distribution of PAPs by Literacy Level**

Distribution of PAPs by Literacy Level								
Illiterate	Primary	Upper primary	Secondary	Intermediate	Graduate	technical	Others	Total
103	64	78	46	26	28	5	11	361
29%	17%	22%	13%	7%	8%	1%	3%	100%

Source: EGIS Primary Survey 2014.

The literacy level is a quantifiable indicator to assess the development status of any area/region. The higher the literacy rate, the more developed the area would be. Secondly, in a displacement induced development project, the data on the literacy level of PAPs helps in formulating alternative income restoration schemes. Keeping this in mind, the literacy level of PAPs was recorded during the Census Survey.

For recording the literacy level, the completed years of education have been taken. e.g., a respondent who failed to clear the 10th standard level has been considered as a middle literate. Similarly the respondent who failed to clear the 12th standard level has been considered as a secondary literate. However, those who have attended school but failed to clear the 5th standard level still have been considered as a primary level. The literacy rate among the PAPs is quite high. Nearly 29% of the PAPs were found to be illiterate. Even among the literates, 17% PAPs are literate up to primary level. Graduates and above are only 8% of the total population. Around 1% have done some technical literacy.

**Table 0.16: Distribution of Families by Type of Loss**

Residential	Commercial		Residential cum Commercial	Others	B. Wall	Total
	Structures	Kiosk				
33(24%)	10(7%)	61(45%)	2(1%)	25 (18%)	5(4%)	136

Source: EGIS Primary Survey 2014.

As the **Table 0.16** above shows, the impact is more on commercial establishments which are immediate property in most cases of built-up sections. Out of a total 136 affected families, nearly 24% are residential & only 7% are commercial, 45% are from a Kiosk. Another 1% of families are affected due to loss of residential cum commercial structures. Among the affected commercial structures, 61 are kiosks of those who will be displaced.

**Table 0.17: Vulnerability Status of the Household in Corridor of Impact**

Vulnerability Status of the Household			
Caste	BPL	WHH	Total
53	12	1	66

Status of Women Headed Household (WHH)			
PDFs	PAFs	PAHs	PAPs
4	4	1	7

Source: EGIS Primary Survey 2014

**Table 0.18: Distributions of Project Affected Households by Status of Ownership**

Status of Ownership				
Squatter	Encroacher	Kiosk	Tenant	Total
7 (8%)	38 (42%)	45 (50%)	0 (0%)	90 (100%)

Source: EGIS Primary Survey 2014

The survey results show that out of 66 families, 53 are vulnerable. Among the vulnerable families, 80 % are socially vulnerable and rest 20% are economically vulnerable. The ownership status shows that over 8% are squatters. Apart from squatters, 50% are kiosk owners and 42% are encroachers.

As per the project's R&R policy, vulnerable encroachers will be provided cash assistance at replacement costs for loss of structures; a onetime grant of Rs. 36000 as subsistence allowance; shifting allowance of Rs. 50,000 per family as a onetime grant for a permanent structure and Rs. 30,000 for a semi-permanent structure and Rs. 10,000 for a temporary structure; and each affected person who is a rural artisan, small trader or self-employed person the assistance' of Rs 25,000/- for construction of working shed or shop. In case of Kiosks, only Rs. 5000 will be paid as a one time grant.

## 0.12 Literacy Level

Literacy level is a quantifiable indicator to assess the development status of any area/region. Higher the literacy rate, more developed the area would be. Secondly, in displacement induced development project, data on literacy level of PAPs helps in formulating alternative income restoration schemes. Keeping this in mind, literacy level of PAPs was recorded during the Census Survey.

For recording literacy level, completed years of education have been taken. E.g., respondent who failed to clear 10th standard has been considered as middle literate. Similarly respondent who failed to clear 12th standard has been considered as secondary literate. However, those who have attended school but failed to clear 5th standard, still have been considered as primary.

## 0.13 Resource Base of the Affected Families

The information presented below has been collected through both censuses as well as a sample of a socio-economic survey. The economic indicators considered during the survey were usual activity, occupational pattern, average household income and expenditure, number of families below poverty line, asset holdings, etc.

**Table 0.19: Resource Base**

Enlistment of Families		Facilities owned by Families	
No. of families holding ration card	130	No. of families with electrification	83
No. of families holding voter card	132	No. of shops with electrification	23
Families with legal document	36	No. of families with tap connection	0
		No. of shops with tap connection	0

Source: EGIS Primary Survey 2014

As the table above shows, out of 136 families, 130 holds ration card and 36 households also owns legal document of the property. Out of 361, less than half of the PAPs (37%) holds voter's



card. Approximately more than 23% of the families have electricity connection whereas no families have tap connection. None of the shop has electricity connection, none have any tap connection.

**Table 0.20: Construction Typology of Structures**

Permanent	Semi-Permanent	Temporary	Total
1	13	76	90

Source: EGIS Primary Survey 2014

As the table above shows, construction typology of majority of the affected structures (approximately 84 %) is temporary as most of them are either kiosks or small eateries along the road side.

#### 0.14 Usual Activity

It is important to record usual activity so as to assess whether PAP is gainfully employed or not. The activity the PAP is engaged in helps in formulating alternative income generation schemes. Accordingly activity where a person spends 8 or more than 8 hours in a day has been considered as usual activity for the respondent. Such activities may be directly economically gainful or may not be. Accordingly, PAPs have been classified into 8 categories as defined in Census of India.

As the Table 0.21 shows, over one fourth of the total PAPs are engaged in some or the other kind of economically gainful activity and hence are in the category of workers. In rural areas, generally some kind of economically gainful activities are always available either in cultivation or non-agriculture labour activities run under various government poverty alleviation schemes. Still a small percentage of PAPs are reportedly non-workers or unemployed. Hence, such section of PAPs will require special attention during implementation phase of RAP. Over one fifth of the total PAPs reportedly are engaged in household chores and such PAPs are primarily women. Details about the household activities carried out by women PAPs are presented in chapter eleven on vulnerable groups.

**Table 0.21: Usual Activity**

Occupation							
Worker	Non Worker	Main Worker	Migrated Worker	Home Worker /House Wife	Student	Non-school going age Children (0 to 5 years)	Others
112	16	12	0	91	86	33	11

Source: EGIS Primary Survey 2014

#### 0.15 Occupational Pattern

Occupational pattern of the PAPs are recorded to assess their skill so that they can be imparted training in the same trade for alternative income generating scheme. Secondly, occupational pattern helps in identifying dominating economic activity in the area.

As the survey results shows, trade and business (primarily petty shops) is the most common occupation found among the PAPs settled along the road. Nearly 49 percent of the PAPs are engaged in Trade and Business followed by non agriculture labourers and agriculturists.

**0.16 Average Annual HH Income and Expenditure****Table 0.22: Distribution of HH by Income Level**

1000 - 5000	5001 - 10000	10001 - 15000	15001 - 20000	Total
62	19	5	4	90

Source: EGIS Primary Survey 2014

Annual income helps in identifying families below poverty line. During the survey income of a household through all possible sources was recorded. Accordingly, the average monthly household income, as table above indicates is Rs. 5133. The various sources asked during the survey for calculating household income includes agriculture; allied agriculture activities; agriculture labour; non-agriculture labour; household industries; services; trade and business; profession; etc. Income from these sources was added up and weighted average was taken to arrive at average annual income figure.

**Table 0.23: Distribution of Households by Primary Source of Income**

Source	Number of HHs	% of total
Agriculture	11	12
Petty trade and business	44	49
Agriculture labour	11	12
Non agriculture labour	12	14
Daily wage earner	2	2
Salaried	10	11
<b>Total</b>	<b>90</b>	<b>100</b>

Source: EGIS Primary Survey 2014

The average monthly expenditure is Rs. 4826. Which is little less than the income and this is one reason why PAPs have some kind of saving. The various heads of expenditure asked during the survey included food; fuel; clothing; health; education; communication; social functions; etc. Like income, in calculating average expenditure per family, expenses made against each head was added up and weighted average was taken up to arrive at average annual expenditure.

**0.17 Project Specific Resettlement & Rehabilitation (R & R) Policy, 2014**

This policy is based on the Right to Fair Compensation and transparency in land Acquisition, Rehabilitation and Resettlement Act, 2013 subject to subsequent supplements by GoUP orders and World Bank Operational Policy 4.12 on involuntary resettlement.

Government of Uttar Pradesh has plans to improve the Core Road Network. The aim and the objective are to improve and strengthen the state's road transport network.

Apart from the positive aspects of the road up-gradation, the project may cause loss of structures (squatters and encroachers), other immobile properties and various sources of livelihood. Though there is no land acquisition in this particular corridor, there are non-titleholders who will be adversely impacted due to the project. This document describes the principles and approaches to be followed in minimizing and mitigating negative social and economic impacts caused by projects so that the affected are able to restore and improve their standard of living.





S. No.	Application	Definition of Entitled Unit	Entitlement	Details
<b>A. Loss of Private Agricultural, Home-Stead &amp; Commercial Land</b>				
1	Land within the Corridor of Impact (COI)	Titleholder family. and families with traditional land Right	Compensation at Market value, Resettlement and Rehabilitation	a) Land for land, if available. Or, Cash compensation for the land at replacement value, which will be determined as provided under section 26 of RFCTLARR Act 2013. b) The land if allotted will be in the name of both husband and wife. c) If post acquisition, residual land is economically unviable, the land owner will have the choice of either retaining or sell off rest of the land. d) Refund of stamp duty and registration charges incurred for replacement land to be paid by the project; replacement land must be bought within a year from the date of payment of compensation to project affected persons. e) Subsistence allowance of Rs. 36000 as one time grant f) One time grant of Rs. 500,000 or annuity g) Compensation at market value for loss of crops if any
<b>B. Loss of Private Structures (Residential/Commercial)</b>				
2	Structure within the Corridor of Impact (Col)	Title Holder/ Owner	Compensation at Market value, Resettlement & Rehabilitation Assistance	a) Cash compensation for the structure at replacement value which would be determined as per as per section 29 of the RFCTLARR Act 2013. House under Indira Awas Yojna in rural area or Rs 50000 in lieu off and house under RAY in urban area or Rs 100,000 in lieu off. The house if allotted will be in the name of both husband and wife. b) Right to salvage material from the demolished structures. c) Three months' notice to vacate structures. d) Refund of stamp duty and registration charges for purchase of new alternative houses/shops at prevailing rates on the market value as determined in (a) above. Alternative houses/ shops must be bought within a year from the date of payment of compensation. e) In case of partially affected structures and the remaining structure remains viable, additional 10% to restore the structure. In case of partially affected structures and the remaining structure becomes unviable additional 25% of compensation amount as severance allowance. f) Subsistence allowance equivalent to Rs. 36000 as one time grant. G) Each affected family getting displaced shall get a one-time financial assistance of Rs 50,000 as shifting allowance. h) Each affected family that is displaced and has cattle, shall get financial assistance of Rs 25,000/- for construction of cattle shed. i) One time grant of Rs. 50,000 as resettlement assistance j) Each affected person who is a rural artisan, small trader or self-employed person and who has been displaced (in this project owner of any residential-cum commercial structure) shall get a one-time financial assistance of Rs 25,000/-for construction of working shed or shop. j) One time grant of Rs. 500,000





S. No.	Application	Definition of Entitled Unit	Entitlement	Details
3	Structure within the Corridor of Impact (Col)	Tenants/ Lease Holders	Resettlement & Rehabilitation Assistance	<p>a) Registered lessees will be entitled to an apportionment of the compensation payable to structure owner as per applicable local laws.</p> <p>b) In case of tenants, three months written notice will be provided along with Rs 50,000 towards shifting allowance.</p>
<b>C. Loss of Trees and Crops</b>				
4	Standing Trees, Crops. within the Corridor of Impact (Col)	Owners and beneficiaries (Registered/ Un-registered tenants, contract cultivators, leaseholders & sharecroppers	Compensation at market value	<p>a) Three months advance notice to project affected persons to harvest fruits, standing crops and removal of trees.</p> <p>b) Compensation to be paid at the rate estimated by:</p> <ol style="list-style-type: none"> <li>The Forest Department for timber trees</li> <li>The State Agriculture Extension Department for crops</li> <li>The Horticulture Department for fruit/flower bearing trees.</li> </ol> <p>c) Registered tenants, contract cultivators &amp; leaseholders &amp; sharecroppers will be eligible for compensation for trees and crops as per the agreement document between the owner and the beneficiaries.</p> <p>d) Un-registered tenants, contract cultivators, leaseholders &amp; sharecroppers will be eligible for compensation for trees and crops as per mutual understanding between the owner and the beneficiaries.</p>
<b>D. Loss of Residential/ Commercial Structures to Non-Titled Holders</b>				
5	Structures within the Corridor of Impact (Col) or Government land	Owners of Structures or Occupants of structures identified as per Project Census Survey	Resettlement & Rehabilitation Assistance	<p>a) Non vulnerable encroachers shall be given three months' notice to vacate occupied land</p> <p>b) Vulnerable encroachers will be provided cash assistance at replacement cost for loss of structures as described in section 29 of the RFCTLARR Act 2013. .</p> <p>c) Any encroacher identified as non-vulnerable but losing more than 25% of structure used will be paid cash assistance at replacement cost for loss of structures. The amount will be determined as per section 29 of the RFCTLARR Act 2013.</p> <p>d) All squatters to be paid cash assistance for their structures at replacement costs which will be determined as mentioned in section 29 of the RFCTLARR Act 2013.</p> <p>e) All squatters (other than kiosks) will be eligible for one time grant of Rs 36000 as subsistence allowance.</p> <p>f) All squatters other than Kiosks will be given shifting allowance of Rs 50,000 per family as one time grant for a permanent structure and Rs. 30,000 for a semi-permanent structure and Rs. 10,000 for a temporary structure.</p> <p>g) Each affected person who is a rural artisan, small trader or self-employed person assistance' of Rs 25,000/- for construction of working shed or shop.</p> <p>h) In case of Kiosks, only Rs. 5000 will be paid as one time grant.</p>
<b>E. Loss of Livelihood</b>				
6	Families living within the Corridor of Impact (Col)	Title Holders/ Non-Title holders/ sharecroppers, agricultural	Resettlement & Rehabilitation Assistance	<p>a) Subsistence allowance of Rs. 36,000 as one time grant. (PAPs covered under 1(f), 2 (f) and 5 (e) above would not be eligible for this assistance).</p>



S. No.	Application	Definition of Entitled Unit	Entitlement	Details
		labourers and employees		b) Training Assistance of Rs 10,000/- for income generation per family. c) Temporary employment in the project construction work to project affected persons with particular attention to vulnerable groups by the project contractor during construction, to the extent possible.
<b>F. Additional Support to Vulnerable Families</b>				
7	Families within the Corridor of Impact (Col)	SC, ST, BPL, WHH families	Resettlement & Rehabilitation Assistance	One time additional financial assistance of Rs. 50,000. Squatters and encroachers already covered under clause 5 are not eligible for this assistance.
<b>G. Loss of Community Infrastructure/Common Property Resources</b>				
8	Structures & other resources (e.g. land, water, access to structures etc.) within the Corridor of Impact (Col)	Affected communities and groups	Reconstruction of community structure and • common property resources	Reconstruction of community structure and Common property resources in consultation with the community.
<b>H Temporary Impact During Construction</b>				
9	Land & assets temporarily impacted during construction	Owners of land & Assets	Compensation for temporary impact during construction e.g. diversion of normal traffic, damage to adjacent parcel of land / assets due to movement of heavy machinery and plant site.	Compensation to be paid by the contractor for loss of assets, crops and any other damage as per prior agreement between the 'Contractor' and the 'Affected Party'.
<b>J. Resettlement Site</b>				
10	Loss of residential structures	Displaced titleholders and non-titleholders	Provision of resettlement site/ vendor market	Resettlement sites will be developed as part of the project, if a minimum of 25 project displaced families opt for assisted resettlement. Vulnerable PAPs will be given preference in allotment of plots/flats at the resettlement site. Plot size will be equivalent to size lost subject to a maximum of provision given in RFCTLARR Act 2013. Basic facilities shall be provided by the project at resettlement site as per the provisions given in the Third Schedule of RFCTLARR Act 2013. Similarly, if at least 25 displaced commercial establishments (small business enterprises) opt for shopping units, the Project Authority will develop the vendor market at suitable location in the nearby area in consultation with displaced persons. Basic facilities such as approach road, electricity connection, water and sanitation facility, will be provided in the vendor market by the project. Vulnerable PAPs will be given preference in allotment of shops in vendor market. One displaced family will be eligible for only one land plot at resettlement site or shop in the vendor market.



## 0.18 Analysis of Alternatives

Analysis of alternatives is very important activities, which leads to minimize the negative impacts on population and properties and meet the technical requirement. The provision of widening and COI were weighed upon by the technical team, considering the outcome of public consultation as well as the suggestion of people along the project road. In most of the heavy built up locations, concentric widening within the available ROW has been proposed in the design to avoid land acquisition and to minimize displacement of non- titleholders. In approximately in Village Sultanpura nearly 340 M length is affected in between 167+000 to 167+540, the available RoW is 8 m only, so concentric widening has been proposed to save residential and commercial structures.

Therefore alternatives were explored and assessment was made. Analysis of Alternatives was done considering 2 options as given in the table below. Alternative 1 was considered as there will be no major impact and applicable typical cross section of 8m will fit in the available ROW.

1. Alternative -1: Rehabilitation of existing road
2. Alternative 2: Widening of 13 m.

Impact Category	Alternative 1	Alternative 2
Loss of structure	0	56
Land acquisition	0	2Ha
Affected households	0	67
Loss of religious structures	0	3
Affected PAPs	0	266
Loss of water bodies	0	0

Source: EGIS Primary Survey 2014

Considering the above options the alternative 1 was appraised for village Sultanpura. Though there will be no land acquisition, the impacted households will be saved. For Alternative 2, since there will be acquisition of land, apart from impacting 56 households and 3 CPRs. So alternative 1 was considered.

## 0.19 Widening Options

Due importance has been given to social issues while road designing. The coordination between social and design team helped in minimizing the number of PAPs and affected PAHs. Concentric widening has been proposed in majority of total stretch to avoid involuntary land taking and minimize the social impact. Eccentric widening option (one side widening) has been proposed in 11.93% of total project stretch, for geometrical correction and improvement of existing road alignment. However, those within the right of way (ROW) but not within corridor of impact (COI) will not be displaced by the project. Typical cross sections applied are presented in table below.

**Table 0.24: Typical Cross-section (TCS)**

S. No.	Cross Section Type	Description
1.	TCS -1A	Two lane carriageway with paved and earthen shoulder (rural section) – Reconstruction section
2.	TCS -1B	Two lane carriageway with paved and earthen shoulder (rural section) – Realignment
3.	TCS -1C	Two lane carriageway with paved and earthen shoulder (rural section) – New due to raising



S. No.	Cross Section Type	Description
4.	TCS -2	Two lane carriageway with paved shoulder and raised footpath cum drain (urban/ semi-urban section)
5.	TCS -3A	Two lane carriageway with paved shoulder and covered drain
6.	TCS -3B	6m carriageway with covered drain

In view of safety requirements as well as segregation of the fast moving traffic from the local slow moving traffic, paved shoulder has been proposed in the entire project road.

### Improvement in Built-up Locations

In context of present project improvement that consisted of 2 lane with paved shoulders, the Corridor of Impact is the most important parameter in determining the number of PAPs. The requirement of the project demands that the entire corridor of impact should be free from encroachments, human habitation and structure, causing hindrances to traffic. Removing the encroachers and the squatters from the RoW does not guarantee that they would not reoccupy the area. Therefore, all estimations were limited to the CoI only and the project will not displace any person outside the corridor of impact, even if within the RoW. In the present road there are 4 locations with heavy urban built up where 13metres CoI has been considered to avoid/ minimize adverse impacts. Improvement in these locations would require removal of few squatters and encroachers. The chainage-wise locations of built-up areas along the project road is charted in table below.

**Table 0.25: Built-up Locations along the Project Road**

S. No.	Chainage		Length (m)	Town/Village Name
	From	To		
1	129+430	131+750	2.320	Gursarai
2	160+150	160+600	0.450	Ram Nagar
3	165+200	165+750	0.550	Siya
4	166+900	167+500	0.600	Sultanpura

### 0.20 Timing of Resettlement

The resettlement process must be completed by the start of civil works on the particular route. Requisite procedure will be developed by the PWD to carry out resettlement of PAPs located within the COI, before the civil work starts on any section of the project road. These people will be given at least three months' notice to vacate their property before civil works begins. During the field visit with UP PWD in November, 2014, the milestone has been finalized for handing over to the Contractor. The Mile stone is based with no hindrance at the project corridors.

Stretches, which are free of encroachment and other encumbrances, will be handed over first to contractor. The timetable of stretches to be handed over to the contractor is given below.

**Table 0.26: Plan for Handing Over the Stretches to Contractor**

Route No.	Road Name	Mile Stone	Chainage		Total km	Date of Handing Over to Contractor
			Start	End		
1	Garautha - Chirgaon	1	132+000	137+000	5.000	at starting date
			140+000	146+000	6.000	
			147+000	149+000	2.000	
Sub Total of Mile Stone-1					13.000	



Route No.	Road Name	Mile Stone	Chainage		Total km	Date of Handing Over to Contractor
			Start	End		
2	Garautha - Chirgaon	2	118+600	129+000	10.400	6 months from the Start Date
			131+000	132+000	1.000	
			137+000	140+000	3.000	
			146+000	147+000	1.000	
			149+000	160+000	11.000	
			161+000	165+000	4.000	
Sub Total of Mile Stone-2					30.400	
1	Garautha - Chirgaon	3	129+000	131+000	2.000	12 months from the Start Date
			160+000	161+000	1.000	
			165+000	167+745	2.745	
Sub Total of Mile Stone-3					5.745	
Grand Total of Mile Stone 1+2+3					49.145	

### 0.21 Institutional Arrangement

The action plan provides a detailed mechanism for the appropriate organisation and implementation of the plan. A social cell is created which will be responsible for the implementation of the action plan. There will be a Resettlement and Rehabilitation (R & R) Officer, who will be supported by R & R Manager (of Executive Engineer Rank) for each Road. In addition Non-government Organizations (NGOs) having relevant experience in implementation of R & R projects may be contracted to provide assistance to Implementing Authority as well as affected persons. The district level committees will be set up to facilitate the finalization of replacement value and all grievances of the people.

### 0.22 Integrated Grievance Redressal Mechanism

An Integrated Grievance Redressal Mechanism (IGRM) will be established at the head quarter level that will register user complaints using combination of various mediums (e.g. a dedicated toll free phone line, web based complaints, written complaints in feedback register and open public days) and address them in a time bound system. The project will appoint a grievance redressal or Public Relation officer solely responsible for handling phone and web based complaints. The person will be responsible for directing the aggrieved person to the concerned official through e-mail. On receiving any phone call or web based or email, a unique number will be generated which will be the reference number for the caller and he can trace the progress of his grievance / query through that number. Any complaint lodged will be addressed within 15 days of receiving the complaint. System will have escalation matrix i.e. if grievance / query remain untended or there is no response from the concern officer for specified period of time than system will escalate the grievance / query to next level through email. The toll free line will be monitored between 10 AM to 5.30 PM on all working days. Any call made before or after the stipulated time, will get recoded and from the voice mail an e- mail will be generated addressed to the grievance officer. The grievance officer will then direct that mail to the concerned official and follow-up. The recorded message will be responded back the next day. The project will also commit itself for proactive disclosure and sharing of information with the key stakeholders, including the communities/beneficiaries. The website of PWD will have the name and number of social development officer; the toll free number and also the website address.



### 0.23 Implementation Arrangements and Schedule

It is envisaged that the R & R activities will be completed before initiating the civil works. The project will establish Environment; Social Development and Resettlement Cell at headquarters level. ESDRC will be headed by Chief Engineer and will have one Environment and one Social Development Specialist. These specialists will be hired from the market. Project will hire the services of one NGO for implementation of RAP. At the district level, project will establish project implementation unit. One Assistant Engineer will be designated as Environmental and Social Officer. ESO will be responsible for coordinating with line departments at the district level and will also facilitate land purchase wherever required. The resettlement action plan will be implemented in two years.

### 0.24 Budget

The implementation of RAP entails expenditure, which is a part of the overall project cost. The R&R budget, gives an overview of the estimated costs of the RAP and provides a cost-wise, item-wise budget estimate for the entire package of resettlement implementation, including compensation, assistance, administrative expense, monitoring and evaluation and contingencies. Values for compensation amounts and other support mechanism will be adjusted, based on annual inflation factor.

Around 5% of the total cost has been set aside for physical contingencies. Such type of contingencies may arise as a result of time overrun of the project or due to various other unforeseen circumstances

The costs estimated mainly include structure cost and R&R assistance costs.

**Cost of Civil Works:** While preparing the budget, the R&R team laid special emphasis on arriving at an estimate of the market value of the assets. The R&R team verified price data from a section of the PAPs, revenue officials in the concerned district; local entrepreneurs engaged in these works and even non-PAPs in each kilometer stretch. The resettlement budget, particularly, the compensation has been computed on this basis.

**R&R assistance:** The R&R assistance amounts such as shifting allowance; subsistence allowance and grant for working shed has been taken from approved R&R policy for the project.

**Cost towards implementation arrangement:** The cost for hiring NGO; M&E agency and implementation of gender action plan has been estimated based on other projects; activities envisaged; and number of PAPs

The budget for RAP implementation comes to **Rs. 1.14 crores**. The detailed budget is presented below:

**Table 0.27: Estimated Cost of R&R Budget based on R & R policy**

S. No.	Item	Unit	Rate (INR)*	Total Amount
<b>A</b>	<b>Replacement cost for Structure Non Title holders</b>	<b>In Sq. mtr.</b>		
1	Replacement cost for Permanent Structure	9.750	13,000	126750.00
2	Replacement cost for Semi Permanent Structure	266.830	12,000	3201960.00
3	Replacement cost for Temporary structure	337.080	3,500	1179780.00





S. No.	Item	Unit	Rate (INR)*	Total Amount
4	Replacement cost for Boundary Wall	13.700	2,000	27400.00
<b>Total</b>		<b>627.36</b>		<b>45,35,890.00</b>
<b>B</b>	<b>Assistance</b>	<b>Number</b>		
1	Squatters One time grant of Rs 36000 as subsistence allowance	9.00	36000.00	324000.00
2	Shifting allowance of Rs 50,000 as one time grant for a permanent structure per family.	0.00	0.00	0.00
3	Shifting allowance 30,000 as one time grant for a semi - permanent structure per family.	0.00	30000.00	0.00
4	Shifting allowance 10,000 as one time grant for a temporary structure per family.	9.00	10000.00	90000.00
5	Kiosks only Rs. 5000 will be paid as one time grant	45.00	5000.00	225000.00
6	Grant for construction of working shed or shop for self employed	0.00	50000.00	0.00
7	Training Assistance of Rs 10,000/- for income generation	54.00	10000.00	540000.00
<b>Total</b>				<b>11,79,000.00</b>
<b>C</b>	<b>CPR-compensation for Community/Properties</b>	<b>In Sq. mtr.</b>		
1	Compensation for Religious St.	39.99	12000.00	479880.00
2	Community Boundary Wall (in Running mts.)	12.50	2000.00	25000.00
3	Well (in number)	1.00	50000.00	50000.00
4	Hand Pump (in number)	33.00	25000.00	825000.00
<b>Total</b>				<b>13,79,880.00</b>
<b>D</b>	<b>Implementation Arrangement</b>			
	Implementation of GAP	Lump sum		10,00,000
	Hiring of NGO	Lump sum		12,00,000
	Hiring of M&E agency	Lump sum		15,00,000
	Training of Project Staff on RAP issues	Lump sum		1,00,000
<b>Total</b>				<b>38,00,000.00</b>
<b>Total (A+B+C+D)</b>				<b>1,08,94,770.00</b>
			Contingency 5%	544738.50
<b>Grand Total</b>				<b>1,14,39,508.50</b>

\* Rate - As per District Circle Rate (Government of Uttar Pradesh)







## 1 INTRODUCTION

### 1.1 Project Background

The state has a road network of 299,604 km, out of which 174,451 km is under Uttar Pradesh Public Works Department (PWD). The roads under PWD comprise 7,550 km of National Highways (NHs), 7,530 km of State Highways (SHs), 5,761 km of Major District Roads (MDRs), 3,254 km of Other District Roads (ODRs) and 138,702 km of Village Roads (VRs). Only about 60% of SHs are two-lane (7 m). In the entire state 62% of MDRs and 83% of ODRs have widths less than 7 m.

With a view to improve the transport network system, UP PWD has identified 24,095 km of Core Road Network (CRN) for the development. This network comprise NH, SH, MDR, ODR and the details are presented in the table below.

**Table 1.1: Road Network in Uttar Pradesh**

Road Category	Length (km)
National Highway (NH)	7,550
State Highway (SH)	7,530
Major District Road (MDR)	5,761
Other District Road (ODR)	3,254
<b>Total</b>	<b>24,095</b>

Although National Highways are an integral and significant part of Core Roads Network of the State, but their widening/strengthening and maintenance activities are carried out through the resources of Government of India and their ownership also lies with central government. Therefore the entire length of National Highways within the state has not been included in the proposed World Bank Project. However the State Government has intended to include improvement of about 3650.0 Kms of roads out of entire core network of 22296.0 Kms, which has to be implemented in three phases.

The Core road development works will consist of raising the formation level, widening to a full two lanes from the existing single and intermediate lane widths, and/or pavement rehabilitation/strengthening. Road sections with high volumes of non-motorised traffic will be widened to 10m with 1.5m full paved shoulders. Road stretches crossing urban areas may also require upgrading to a four lane cross section, and/or provision for drains, sidewalks and parking where required. In some cases, new alignments (by-passes and/or re-alignments may also be required.

The Government of Uttar Pradesh has a long-term program to improve the Core Road Network (CRN) and, as part of this program, has applied for a financial assistance from the World Bank for developing the Uttar Pradesh Core road Network Development Project (UPCRNDP).

The UPCRNDP will have three Components:



- Upgrading/reconstruction/widening as well as rehabilitation of selected roads from the Core Road Network (CRN) including construction of a new Sharda Bridge at Pachpheri Ghat in Lakhimpur district.
- Road Safety Component: A comprehensive and coordinated package of road safety sub-components to be delivered by the Transport, Home, Public Works and Health Departments
- Road Sector and Institutional Reform Component: This component is likely to include a program to strengthen PWD asset management of SHs, MDRs and ODRs, to support the application of IT systems for human resource management and works budgeting and management across the PWD organization

The GoUP through the PWD will be the executing agency for the project.

The road development projects have certain impact on environmental and social components at different stages. Management of environmental and social impacts is a very important component of such developmental activities and, rightly therefore, it has been emphasized to take care of environmental and social issues relevant to the projects under UPCRNDP.

The project is expected to bring quite a few benefits viz.,

- result in lower transport costs for freight and passengers of motorized and non-motorized vehicles,
- improved road transport corridors
- road network connectivity,
- improved management of road sector institutions,
- enhanced maintenance of priority roads
- rural prosperity
- reduced risk of highway related diseases, and
- basic amenities to the villages along the proposed highways

Project benefits identified in economic analysis include

- savings in vehicle operating costs;
- time savings for passengers and goods in transit;
- savings in road maintenance costs.

The Garautha – Chirgaon Road selected for inclusion in the project demonstrated high Internal Rates of Return in project feasibility studies. Although such benefits were not quantified, the project is also expected to help alleviate development constraints in agriculture, commerce, education, health, social welfare, and public safety and contribute to general expansion and diversification of development activities. The Uttar Pradesh Public Works Department over a 3-year period will implement the project.

This document comprises the Resettlement and Rehabilitation Action Plan (RAP) of the Uttar Pradesh Public Works Department (UPPWD). The RAP meets all Government of India (GOI) and World Bank resettlement-related requirements and complies with applicable GOI and World Bank (OP 4.12 and 4.10) regulations, policies, and procedures including those on public participation, environmental assessment and indigenous people. It confirms to provisions of *Resettlement and Rehabilitation Policy for Persons Displaced or affected by Projects in Uttar Pradesh*. Government



of Uttar Pradesh has approved the policy vide letter number 1195(1)/23-12-14 dated August 19, 2014. Copy of the letter is enclosed as **Annexure-1.1**.

Uttar Pradesh PWD will implement this RAP with assistance from other government agencies, and non-governmental- and community-based organisations.

The project road, Garautha – Chirgaon Road (SH-42) is section of Hamirpur – Chirgaon (Jhansi) road. The complete road is divided into three packages:

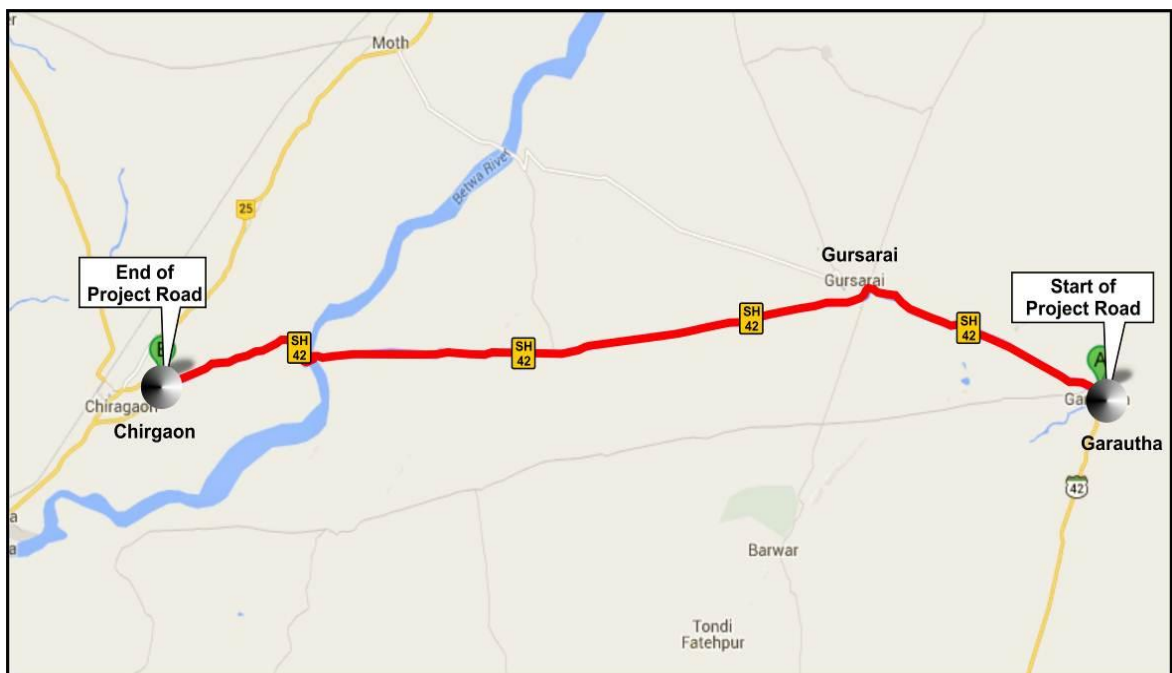
- Garautha – Chirgaon (Jhansi), 48.94 km
- Hamirpur – Rath Road, Existing length 75.7 km (KM 2+000 to KM 77+720)
- Rath – Garautha, 35.0 km. This is missing link and alternative alignment via ODR/MDR is taken forward. The road has to be taken up for bid in Phase II.

## 1.2 Start and End Points

The project road is located on south side of UP state passing in Hamirpur district.

The project road start at the outskirts of Garautha (Km 118+716) at the intersection with existing SH-42 and ends Chirgaon at a grade separated intersection with NH-25.

The project road location is presented in **Figure 1.1**.



**Figure 1.1: Location Map**

The existing road length is 48.94 km per existing Kilometer Stone, however the measured length/ design length is 49 km. The design length is after fitting the curves and carrying out the design.



Start of Project Road



End of Project Road

**Figure 1.2: Start and End Points**

### 1.3 Salient Features

The project stretch passes through major settlement areas namely Gauratha, Gursarai, Baghera, Ramnagar and Sultanpura.

The entire project road passes through mainly plain terrain. The land use along the project road is predominantly agricultural. Along the project road interspersed out crop of rocks are visible. There are many stone quarry located along the project road near Ramnagar. There is no major industrial development along the road other than crushing operation in Ramnagar.

The existing road mainly has predominantly intermediate and two lane carriageway, approximately 50% each. Single lane sections are also present. Earthen shoulder of average width of 0.5-2.5 m is present on both sides of the carriageway. Right of Way (ROW) on the project road varies from 8m to 46m.



Gursarai Town at Km 130+000



Sultanpura Town at Km 167+200

**Figure 1.3: Built-up Areas**

There are numerous intersections; out of these a few intersections can be classified as major. There are many other important intersections, mainly with BT road that are also treated in major junction category. The key major junctions are detailed below:





- (i) at start point – intersection with SH 42
- (ii) at end point – intersection with NH 25
- (iii) in Gursarai



Y Intersection in Gursarai



4-legged Junction in Gursarai

**Figure 1.4: Major Intersections**

The road geometry is generally good except at few locations like approaches to major and minor bridges and in built-up areas like Sultanpura. The pavement condition is poor, mainly in Ramnagar area. The poor state of road is mainly because of crushing activities and sand trucks from Betwa river. This area being near to Betwa river, is often overtopped during rains.

The traffic density is very low, and commercial traffic scanty. Even two wheelers or pedestrian traffic are meager except in town areas.

There are no Bus Bays/Truck Lay byes along the project road. However, many nine Bus Stops/Shelters are observed along the project road. These bus shelters are generally in good condition.

There are many schools and colleges along the road. The project road lacks safety features like pedestrian crossings, traffic signs to warn or slow down vehicles or bus bays.

## 1.4 Project Description

*District and Sub District Level Information:* The table shows that District and Sub District level house hold, Population, Sex Ratio, Literacy Level and Work participation rate of the Project influence area. The sex ratio is below the state level, similarly in case of literacy status in rural area is lower in comparison to urban area. On the other hand work force in rural area having more work participation in case of percentage of sharing the work force.

Level	Name	TRU	No_HH	T. Population	Male	Female	Sex Ratio	SC Population	ST Population
1	2	3	4	5	6	7	8	9	10
District	Jhansi	Total	367779	1998603	1057436	941167	890	562505	3873
District	Jhansi	Rural	215843	1165119	615629	549490	893	374245	1969
District	Jhansi	Urban	151936	833484	441807	391677	887	188260	1904
Sub-District	Moth	Total	55845	308007	162245	145762	898	86122	160



Level	Name	TRU	No_HH	T. Population	Male	Female	Sex Ratio	SC Population	ST Population
1	2	3	4	5	6	7	8	9	10
Sub-District	Moth	Rural	46671	255881	134796	121085	898	75731	160
Sub-District	Moth	Urban	9174	52126	27449	24677	899	10391	0
Sub-District	Tahrauli	Total	33611	177754	93563	84191	900	62986	87
Sub-District	Tahrauli	Rural	31548	165899	87310	78589	900	59689	87
Sub-District	Tahrauli	Urban	2063	11855	6253	5602	896	3297	0

Level	Name	P_LIT	%_LIT	T. Workers	MAINWORK_P	MAIN_CL_P	MARGWORK_P	Non Workers	% of workforce
1	2	11	12	13	14	15	16	17	18
District	Jhansi	1304513	65.27	814914	560041	189840	126789	1183689	40.77
District	Jhansi	702993	60.34	528443	345377	176010	109872	636676	45.36
District	Jhansi	601520	72.17	286471	214664	13830	16917	547013	34.37
Sub-District	Moth	202810	65.85	133731	90356	39930	30007	174276	43.42
Sub-District	Moth	167238	65.36	115875	78149	38004	27700	140006	45.28
Sub-District	Moth	35572	68.24	17856	12207	1926	2307	34270	34.26
Sub-District	Tahrauli	108966	61.30	82565	50404	27440	16668	95189	46.45
Sub-District	Tahrauli	102025	61.50	76638	47234	26058	15584	89261	46.20
Sub-District	Tahrauli	6941	58.55	5927	3170	1382	1084	5928	50.00

Source: Census of India 2011

**Village Level Information:** The below table shows that number of villages comes under with in project influence area. Village wise no. of HH, sex wise population, SC,ST population as well as literacy level and work participation.

**Table 1.2: Village Level House Hold, Population, Sex Ratio, Literacy Level and Work Participation Rate of the Project Area**

Level	Name	TRU	No_HH	T. Population	Male	Female	Sex ratio	SC Population	ST Population
1	2	3	4	5	6	7	8	9	10
Village	Arjara	Rural	190	949	512	437	854	353	0
Village	Atarsuva	Rural	170	962	517	445	861	181	0
Village	Bachheh	Rural	345	2004	1105	899	814	582	0
Village	Badokhar	Rural	299	1716	913	803	880	664	0
Village	Bamhroli	Rural	1258	6683	3485	3198	918	2037	2
Village	Bangari	Rural	204	1242	659	583	885	430	0
Village	Bangra	Rural	347	2041	1122	919	819	548	0
Village	Basa	Rural	13	61	33	28	848	61	0
Village	Birari	Rural	11	43	28	15	<b>536</b>	14	0
Village	Garautha Dehat	Rural	98	507	286	221	773	26	0
Village	Garautha Khurd	Rural	119	675	340	335	985	199	0
Village	Gursarai Dehat	Rural	51	278	149	129	866	119	0
Village	Lakhawati	Rural	198	1084	579	505	872	312	0
Village	Lohagarh	Rural	1161	6524	3482	3042	874	1744	1
Village	Ram Pura	Rural	370	2026	1119	907	811	724	0
Village	Ramnagar	Rural	262	1428	682	746	<b>1094</b>	347	0





Level	Name	TRU	No_HH	T. Population	Male	Female	Sex ratio	SC Population	ST Population
1	2	3	4	5	6	7	8	9	10
Village	Siya	Rural	553	2825	1536	1289	839	942	0
Village	Sultan Pura	Rural	329	1705	877	828	944	269	0
Village	Baghaira	Rural	454	2493	1343	1150	856	816	0
Village	Shila	Rural	99	521	288	233	809	93	0
Village	Pureniya	Rural	128	577	302	275	911	4	0
Village	Sarsenda	Rural	613	3339	1756	1583	901	1396	0
Village	Gursarai (NPP)	Urban	4920	26869	14127	12742	902	5337	4
Village	Pahalgawan	Rural	221	1231	639	592	926	511	0
Village	Bari Bujurg	Rural	190	1066	534	532	996	215	0
Village	Bhat Pura	Rural	95	557	295	262	888	172	0
Village	Bawai	Rural	322	1857	987	870	881	618	0
Village	Budhupura	Rural	108	477	259	218	842	466	0
Village	Londi	Rural	282	1451	761	690	907	567	34
Village	Kalothra Ghat	Rural	84	492	248	244	984	68	0

Level	Name	P_LIT	%_LIT	T. Workers	MAINWO RK_P	MAIN_ CL_P	MARGWO RK_P	Non Workers	% of workforce
1	2	11	12	13	14	15	16	17	18
Village	Arjara	650	68.49	459	213	200	1	490	48.37
Village	Atarsuva	607	63.10	584	390	78	234	378	60.71
Village	Bachheh	1204	60.08	1108	757	636	108	896	55.29
Village	Badokhar	1144	66.67	946	847	284	328	770	55.13
Village	Bamhroli	4189	62.68	2424	1286	182	401	4259	36.27
Village	Bangari	835	67.23	433	398	287	63	809	34.86
Village	Bangra	808	39.59	1215	892	80	780	826	59.53
Village	Basa	35	57.38	19	19	0	18	42	31.15
Village	Birari	22	51.16	24	24	1	21	19	55.81
Village	Garautha Dehat	404	79.68	109	103	22	25	398	21.50
Village	Garautha Khurd	451	66.81	191	131	107	2	484	28.30
Village	Gursarai Dehat	137	49.28	82	82	3	76	196	29.50
Village	Lakhawati	717	66.14	498	180	133	20	586	45.94
Village	Lohagarh	4054	62.14	2848	1741	730	784	3676	43.65
Village	Ram Pura	1193	58.88	613	510	312	136	1413	30.26
Village	Ramnagar	813	56.93	641	459	207	191	787	44.89
Village	Siya	1778	62.94	1249	719	485	174	1576	44.21
Village	Sultan Pura	1154	67.68	907	683	345	280	798	53.20
Village	Baghaira	1713	68.71	788	449	267	339	1705	31.61
Village	Shila	401	76.97	179	23	1	156	342	34.36
Village	Pureniya	423	73.31	127	125	95	2	450	22.01
Village	Sarsenda	2161	64.72	1119	621	415	498	2220	33.51
Village	Gursarai (NPP)	19745	73.49	8217	5892	1320	2325	18652	30.58
Village	Pahalgawan	791	64.26	466	389	193	77	765	37.86
Village	Bari Bujurg	682	63.98	423	218	160	205	643	39.68
Village	Bhat Pura	332	59.61	338	172	160	166	219	60.68



Level	Name	P_LIT	%_LIT	T. Workers	MAINWO RK_P	MAIN_ CL_P	MARGWO RK_P	Non Workers	% of workforce
1	2	11	12	13	14	15	16	17	18
Village	Bawai	1279	68.87	925	554	112	371	932	49.81
Village	Budhupura	262	54.93	174	171	0	3	303	36.48
Village	Londi	1013	69.81	468	468	251	0	983	32.25
Village	Kalothra Ghat	304	61.79	283	149	144	134	209	57.52

Source: Census of India 2011

## 1.5 Social Impact Assessment

Social Impact Assessment of the project is an important component of project preparation. The Right to Fair Compensation and Transparency in Land Acquisition and Rehabilitation and Resettlement Act, 2013; project specific R&R Policy as approved by GoUP and World Bank policy require social impact assessment during the design stage to avoid, reduce and mitigate potential negative impacts of project action and enhance positive impacts, sustainability and development benefits.

Assessment results are considered with technical and economic feasibility findings in the final selection of roads to be rehabilitated. The assessments also contribute to engineering design and result in the preparation of social action plans governing project implementation and the resettlement and rehabilitation of those who may be displaced by road improvements.

The main objective of the study is to ensure that the project addresses the adverse impacts on the livelihood of the people and that nobody is left worse off after implementing RAP and those affected have access to project benefits, both during project construction as well as operation. In specific, the objectives of the study are:

- To carry out a socio-economic, cultural and political/institutional analysis to identify the project stakeholders and social issues associated with the project;
- To assess the extent of land acquisition/appropriation and other losses and undertake the census of potential project affected people;
- To develop a Resettlement Action Plan (RAP) in consultation with the affected people and project authorities;
- To identify gender related issues in road design and develop gender action plan
- To identify likely occurrence of HIV/AIDS resulting from the influx of outside labourers and others and develop a strategy to reduce their incidence; and
- To develop a consultation framework for participatory planning and implementation of proposed mitigation plan.

The project's social impacts and resettlement component includes assessment of social impacts of the project and development of appropriate mitigation plans as required. These plans must comply with appropriate national and local laws and guidelines, and with World Bank policy directives. Social assessment is carried out in close co-ordination with environmental assessment team and design team and includes consultation and participation among project stakeholders, local communities and potentially affected groups. The social impact assessment and resettlement planning component has following elements:

- Social screening as part of Project Feasibility Report.(PFR);



- Social Impact Assessment; Census and baseline socio-economic survey of the potentially affected population as part of Detailed Project Report (DPR);
- Preparation of a time-bound Resettlement Action Plan (RAP);
- Consultations at project, district and state level;
- Follow-up consultations (to be carried out after finalisation of drawings); and
- Videography and still photography of all the routes.

Social screening was undertaken in conjunction with project inception report and the selection of roads to be included in the project. It provided important inputs and guidance to engineering designs.

A full census has been undertaken in 30 m corridor ( October to November 2014) to register and document the status of the potentially affected population within the project impact area, their assets, and sources of livelihood. The baseline data was collected in 30 m corridor to get information of a wider corridor as it gives more flexibility for deciding widening options. Census data provides the basis for establishing a cut-off date for non-title holders in order to determine who may be entitled to relocation assistance or other benefits from the project.

The below table indicate the Chainage wise list of affected villages. In this project corridor one district and three tehshil are affected due to the improvement of the road. The rest of the structure related information given in **Annexure – 1.2**.

**Table 1.3: Chainage wise List of Villages, Tehsil and District of the Garautha -Chirganw Project Road**

S. No.	Chainage		Village	Tehsil Name	District Name
	From	To			
1	118+000	121+450	Garautha	Garotha	Jhansi
2	121+450	122+300	Garotta Khass	Garotha	Jhansi
3	122+300	123+700	Shila	Garotha	Jhansi
4	123+700	125+200	Nunaar	Garotha	Jhansi
5	125+200	126+500	Lakwaty	Garotha	Jhansi
6	126+500	126+900	Lakwaty (RHS) and Basaa (LHS)	Garotha	Jhansi
7	126+900	127+750	Basaa (LHS) and Pahadpura Rakad (RHS)	Garotha	Jhansi
8	127+500	128+250	Basaa	Garotha	Jhansi
9	128+250	129+300	Virari (RHS) and Gursarai (LHS)	Garotha	Jhansi
10	129+300	134+300	Gursarai	Garotha	Jhansi
11	134+300	134+700	Bhamrauli	Garotha	Jhansi
12	134+700	135+350	Bhachhe	Garotha	Jhansi
13	135+350	137+300	Adjara	Garotha	Jhansi
14	137+300	137+700	Bhachhe	Tahroli	Jhansi
15	137+700	139+550	Purainia	Tahroli	Jhansi
16	139+550	141+350	Sasainda	Tahroli	Jhansi
17	141+350	141+900	Bhadokar	Tahroli	Jhansi
18	141+900	142+200	Atarsuva	Tahroli	Jhansi
19	142+200	145+000	Laudi	Tahroli	Jhansi
20	145+000	147+800	Baghaira	Tahroli	Jhansi
21	147+800	151+000	Bari Bujurg	Tahroli	Jhansi
22	151+000	154+450	Bangari Bangari	Tahroli	Jhansi
23	154+450	154+650	Budupura	Tahroli	Jhansi
24	154+650	155+300	Berbai	Tahroli	Jhansi



S. No.	Chainage		Village	Tehsil Name	District Name
	From	To			
25	155+300	155+750	Rampura	Tahroli	Jhansi
26	155+750	156+300	Kalothara Ghat	Tahroli	Jhansi
27	156+300	157+500	Batpura Ghat	Tahroli	Jhansi
28	157+500	159+000	Lohargaon Ghat	Tahroli	Jhansi
29	161+100	163+200	Ramnagar	Moth	Jhansi
30	163+000	167+150	Siya	Moth	Jhansi
31	167+150	168+000	Sultanpura	Moth	Jhansi

Source: Primary Survey 2014 EGIS

The above table shows that total 31 villages comes under this project road most of the villages is small in type.

Socio-economic survey was also carried out on census basis. This survey provides a baseline against which mitigation measures and support will be measured and includes comprehensive examination of people's assets, incomes, important cultural or religious networks or sites, and other sources of support such as common property resources. Analyses of survey results cover the needs and resources of different groups and individuals, including intra-household and gender analysis. The **Table 1.4** given below provides a comparative analysis of impacts between 30 m census and corridor of impact.

**Table 1.4: Impact of the Project (Phase I Route SH-42)**

30 M			CoI (in m)		
No. of PAPs	No. of PAHs	No. of PAFs	No. of PAPs	No. of PAHs	No. of PAFs
1950	912	1154	361	90	136

Source: EGIS Primary Survey 2014

For further analysis and reporting of impacts, only corridor of impact has been considered. Therefore all the tables given below correspond to corridor of impact.

### Corridor of Impact (CoI)

On an average COI is 22 m and it varies between 8 m to 25 m. Widening schedule has been discussed with the design team and the following design chainage has been considered for raising; 125+700 to 126+700, 131+800 to 131+950, 132+150 to 132+600, 137+500 to 137+800, 144+320 to 144+440, 152+500 to 152+800, 153+040 to 153+260, 154+400 to 154+960, 155+520 to 155+740, 159+760 to 159+980 and 161+500 to 161+720 COI. The available ROW available ranges from 11m to 40 m. In order to avoid Land Acquisition (LA), toe wall has been provided.

**Table 1.5: Widening Schedule of Garautha-Chirgaon Section (SH-42)**

S. No.	Design Chainage (Km)		Length (Km)	Cross-section Type	Remarks	Pavement
	Start	End				
1	118+600	125+700	7.100	1A	Rural (reconstruction)	Reconstruction with GSB, WMM, DBM and BC
2	125+700	126+200	0.500	1C	Raising due to HFL	
3	126+200	129+430	3.230	1A	Rural (reconstruction)	
4	129+430	131+750	2.320	2	Gursarai (Drain Cum Fothpath)	
5	131+750	131+800	0.050	1A	Rural (reconstruction)	



S. No.	Design Chainage (Km)		Length (Km)	Cross-section Type	Remarks	Pavement
	Start	End				
6	131+800	131+950	0.150	1C	Raising at causeway	
7	131+950	132+150	0.200	1A	Rural (reconstruction)	
8	132+150	132+600	0.450	1C	Raising	
9	132+600	137+500	4.900	1A	Rural (reconstruction)	
10	137+500	137+800	0.300	1C	Raising	
11	137+800	144+320	6.520	1A	Rural (reconstruction)	
12	144+320	144+440	0.120	1C	Raising	
13	144+440	152+500	8.060	1A	Rural (reconstruction)	
14	152+500	152+800	0.300	1C	Raising due to HFL	
15	152+800	153+040	0.240	1A	Rural (reconstruction)	
16	153+040	153+260	0.220	1C	Raising due to HFL	
17	153+260	154+400	1.140	1A	Rural (reconstruction)	
18	154+400	154+960	0.560	1C	Raising due to HFL	
19	154+960	155+520	0.560	1A	Rural (reconstruction)	
20	155+520	155+740	0.220	1C	Raising due to HFL	
21	155+740	158+240	2.500	1A	Rural (reconstruction)	
22	158+240	158+420	0.180	1B	Curve Improvement	
23	158+420	159+300	0.880	1A	Rural (reconstruction)	
24	159+300	159+380	0.080	1B	Curve Improvement	
25	159+380	159+760	0.380	1A	Rural (reconstruction)	
26	159+760	159+980	0.220	1C	Raising due to HFL	
27	159+980	160+150	0.170	1A	Rural (reconstruction)	
28	160+150	160+600	0.450	2	Ram Nagar (Drain cum Footpath)	
29	160+600	161+500	0.900	1A	Rural (reconstruction)	
30	161+500	161+720	0.220	1C	Raising	
31	161+720	165+200	3.480	1A	Rural (reconstruction)	
32	165+200	165+750	0.550	2	Siya Village (Drain cum Footpath)	
33	165+750	166+930	1.180	1A	Rural (reconstruction)	
34	166+930	167+000	0.070	3A	Sultanpura (Line drain)	
35	167+000	167+270	0.270	3B	Sultanpura (Line drain)	
36	167+270	167+400	0.130	3A	Sultanpura (Line drain)	
37	167+400	167+540	0.140	1A	Rural (reconstruction)	
<b>Total Length</b>			<b>48.94</b>			

Source: EGIS Design Report

**Table 1.6: Distribution of Project Affected Households by Type of Loss**

Residential	Commercial		Residential cum Commercial	Others	Boundary Wall	Total
	Structures	Kiosk				
19	7	45	1	16	2	90
21%	8%	50%	1%	18%	2%	100%

Source: EGIS Primary Survey 2014.

As the **Table 1.6** above shows, impact is more on commercial establishments including temporary kiosks. Out of total project affected households, 58% are commercial; 1% are



residential cum commercial, 21% are residential and others cum boundary wall come to 20% only.

Preparation of the RAP has been undertaken within the project's social assessment component. A key prerequisite of the RAP is a policy framework for resettlement containing categories of impacts and their corresponding entitlements. The project specific R&R policy was prepared and agreed upon with the government of Uttar Pradesh (GoUP) vide their order number 1195 (1)/23-12-14 dated 19<sup>th</sup> August, 2014. The RAP provides number of affected households and families by impact category and detailed guidance on how to implement provisions in the policy framework, including institutional arrangements and budgets based on enumeration of project-affected people with entitlements under the framework.

Detailed studies undertaken to prepare this RAP show extensive occupancy of project roadside areas, including densely settled village and urban communities containing numerous residential and commercial structures, businesses, and public facilities. Road widening and the other improvements proposed will impact roadside residences, businesses, religious shrines and structures, agricultural lands, public buildings, and infrastructure.

Resettlement will be required only where residential and residential/commercial buildings must either be fully demolished or taken to the extent that they are rendered uninhabitable or useless. Displaced residents of these buildings will be resettled. Similarly affected businesses and other public and religious buildings and structures will be relocated. Rehabilitation will be required where resettlement, relocation, or other project impacts result in lost livelihood or income. In these cases, it will be necessary to restore the economic status of affected persons to at least pre-project levels.

In most cases, the project will not require either full demolishing or the taking of residential or commercial structures to the extent that either resettlement or relocation will be necessary. Generally, only a narrow frontage strip of several meters or less will be affected. Frequently, this means that only a compound wall or fences, yards, must be removed. In some cases, small portions of roadside dwellings and businesses will be taken. Only rarely, will it be necessary to take entire residential or commercial structures. However, kiosks will have to move out of COI though they may remain within the ROW. The right of way (ROW) for this corridor ranges from 8 m to 46 m. The design width of the road will not be more than 20 m and will be well within the available ROW. Therefore, no Land Acquisition is envisaged in Garautha–Chirgaon project road.

## **1.6 Structure of Report**

This report has been organized with 13 chapters as detailed below:

### **Executive Summary**

**Chapter 1- Introduction:** provides an overview of the proposed project and the project corridors, objectives of social impact assessment, approach to minimize impacts, and the methodology for SIA preparation

**Chapter 2- Study Methodology:** Social Assessment Process, Reconnaissance Survey, Census and Socio-economic Survey, Identifying Social Hotspots, Identifying Actual PAPs, Social Input for Design, Preparation for Resettlement Action Plan, Consultations & Collection of Data from Secondary Sources





**Chapter 3- Resettlement Policies and Legal Framework:** Key Social Laws and Regulations World Bank Safeguard Policies, Comparative Analysis of World Bank safeguard policies & , Involuntary Resettlement And RFCTLARR Act, 2013, Process of Land Acquisition,& Project Specific R&R Policy for UPCRNDP

**Chapter 4- Minimising Negative Social Impact:** Right of Way And Corridor of Impact Design And R&R Co-Ordination Widening Options Improvement In Built-Up Locations Analysis of Alternatives

**Chapter 5 -Profile of State and Project Affected Persons:** Socio-Demographic Profile of The State, Economic Profile, Employment Pattern, Census and Socio-Economic Survey Analysis, Categories of Properties Affected Within CoI, Analysis Of Census And Baseline Data Resource

**Chapter 6- Community Participation:** Consultation And Participation Mechanisms, Issues Raised During Consultation, Local Level Consultations, Key Outcomes of Consultations Carried Out And The Ways In Which The Concerns And Suggestions of The Community Were Integrated Into The Project Design Are Presented;

**Chapter 7- Gender Analysis:** Status of Women, Gender Issues, Child Sex Ratio, Education, Women's Role In Household Economy, Decision Making Power Among Women PAPs, Gender Based Violence, Gender Action Plan, Safety of Women , Involvement In Development Process, Women Participation With Other Stakeholders

**Chapter 8- Income Restoration:** Income Restoration Options Preferred By PAPs,

**Chapter 9 -Institutional Arrangements:** Need For NGO/CBO, Role of NGO, Training And Capacity Building

**Chapter 10 - Grievance Redress Mechanism:** Need for Grievance Redress Mechanism, Functions of the Committee

**Chapter 11- Monitoring And Evaluation:** Objectives of The Internal Monitoring, Internal Monitoring ,Monitoring And Reporting Systems, External Monitoring ,The Objectives of The External Monitoring ,Project Input And Output

**Chapter 12- Implementation Schedule:** Implementation Procedure, Timing of Resettlement, Community Participation, Tasks For NGO

**Chapter 13- Costs And Budget:** Cost of Civil Works R & R assistance, Cost towards implementation arrangement







## 2 STUDY METHODOLOGY

---

### 2.1 Introduction

This section deals with the approach and methodology followed for the collection and analysis of data. The project followed both quantitative and qualitative approach for data collection. Social impact assessment and resettlement planning component has three main elements:

- Early screening as part of project feasibility studies;
- Social Impact Assessment; Census and baseline socio-economic survey of potentially affected population, and;
- Preparation of the Resettlement Action Plan and Gender Action Plan

These elements have been further elaborated in the following paragraphs.

### 2.2 Social Assessment Process

The complete R&R process included integration of engineering, environment and social inputs. The R&R team included Social Scientist, Civil Engineers, Field Supervisors, Community Organisers and field investigators doing the census verification, socio-economic surveys and public consultations. PWD is also closely integrated into the loop.

The different steps in the R&R process are as follows:

#### **Step 1: Reconnaissance Survey and Familiarization**

This step involves preliminary reconnaissance of the project road to take into account sections with potential environment and R&R issues. This is done with the Social Scientist in charge along with the field surveyor and investigators. At this stage the sections of roads having social impact and type of impacts are identified. Screening results were presented in the Project Feasibility Report. Team also familiarized itself with the concerned and important stakeholders to identify and collect the available literature and to scope the activities. This involved two pronged approach (a) discussions with project authorities and community members along the sample corridors b) project specific R&R policy as approved by GoUP and collection of other available relevant project literature; and details of right of way (ROW). Relevant national and state legislations and regulations pertinent to the land acquisition and resettlement were reviewed.

#### **Step 2: Census and Socio-economic Survey**

The right of way status of the road is ascertained. This was done through collection of land records from revenue department. The right of way information is important in knowing the land available for widening, and land acquisition requirements. Collection of the right of way information continued simultaneously with the census and the socio-economic surveys. The census survey covers 100 % of the potentially affected population within 30m corridor. Following the designs, those within the corridor of impact were considered eligible for support under the project. The existing centreline provides the benchmark line to survey 15 meters on either side (i.e. within the 30m corridor). The census and socio-economic survey questionnaires are presented in **Annexure-2.1.**



The census registered the owners' name, address, legal document if any towards the claim of the property, all household members and individuals within the potential COI; their assets and incomes and sufficient demographic and social information to determine whether they are to be categorized as vulnerable groups with special entitlements under the project. Private land owners, tenants and squatters and encroaches within the ROW were covered in the census. Social Census team is preceded by a Civil Engineers responsible for measuring the potentially affected structure perpendicular and along the road to record the size and shape of the structure. Each structure was measured and location was recorded.

The socio -economic survey, which was also carried out on census basis, provides the baseline against which mitigation measures and support will be measured. The analysis covers the needs and resources of different groups and individuals, including inter and intra-household analysis and gender analysis. The following information was collected during the survey:

- Socio economic conditions of the affected persons
- Family structure and number of family members
- Literacy levels
- Occupation type and income levels
- Inventory of household assets
- Loss of immovable assets due to the project by type and degree of loss
- Accessibility to the community resources
- Perceptions on the resettlement and rehabilitation measures
- Perceived income restoration measures
- Grievances of affected persons and its redressal
- Awareness and knowledge levels on HIV/AIDS and gender issues
- Willingness to participate in the project

The study made an attempt to identify people losing their livelihood directly or indirectly. Also through consultations the rehabilitation strategies for those losses by way of training requirements for income generation and other remedial and restoration measures were identified. For this the consultations were conducted among:

- People losing properties/resources
- Village community Government land (PWD's right of way) is being used for this sub project
- Knowledgeable persons / opinion leaders in the village
- Village heads

### **Step 3: Identifying Social Hotspots**

This step involves deciding sections, which need realignments. This was executed by measuring the distance of structures from the existing centreline. If the width available fails minimum requirement, then the option of a demolition of structures is considered.

The proximity of location of settlements along the roads is one of the deciding factors in addressing the degree of impact. This process is facilitated by local level consultations where the needs and opinion of the local people are taken into consideration, to find out the opinion of the local community about widening the road through the village, and its impacts.



#### **Step 4: Social Input to Design**

The inputs of field information are integrated with the engineering designs. Once it is concluded that there is no space for expansion of the road identified around the village. This is done by the Social Scientist with topographic surveyor in-charge. This exercise includes analysis of various alternatives.

#### **Step 5: Identifying Actual PAPs**

After the integration of the social and environmental inputs, the final engineering drawings were completed. Once this was done then the actual number of PAF's were identified, especially in the built up area, where there is reduced COI. For identifying legal owners, encroachers and squatters, revenue records were used for verification of legal ROW and the boundaries of properties likely to be within the COI. With the completion of final drawings, only those within the actual COI were considered eligible for entitlement under the project and list of PAFs is generated. During the local level consultations and also during door to door survey, community was informed on the definition of impacts and corridor of impact. All those outside the COI but within the ROW is well informed that they will not be adversely impacted by the project.

#### **Step 6: Preparing Resettlement Action Plan**

The last step in the process involves the preparation of Resettlement Action Plan. The RAP includes number of PAPs and families by impact category; their entitlements, grievance mechanism; institutional arrangement for implementation; implementation schedule and budgetary requirements. The process for preparing the RAP is given in **Annexure-2.2**.

### **2.3 Consultations**

Considering the importance of people's participation in the project planning, public consultation and FGDs were also carried out at different levels at various stages of project preparation. The objectives of the consultation were to disseminate information about the project to the potentially affected population in order to incorporate their views and suggestion for preparing the RAP and the design and to assess the economic situation of the settlement. The consultation focuses on identification of issues raised by the PAPs and its integration in the Resettlement Action Plan.

### **2.4 Local Level Consultation**

For local level consultations, villages were selected. It was ensured that information regarding consultations is disseminated in the concerned village at least two days prior to consultations. The participants included village head and/or opinion leader of the village; community and potentially affected persons. The targeted segments included men and women affected by loss of residential structures; commercial structures; livelihood or sources of livelihood. A total of 7 mixed consultations were held.

### **2.5 Consultation with Government Officials**

The objective of these consultations was to (i) create awareness about the project among the district administration, and officials of line departments along the project road.(ii) to study implementation arrangements and its capacity in delivering the R&R services verification of these arrangements. Consultations were held with concerned village revenue officials to update the ownership of land and its utilization pattern by referring to Records of Right (ROR).



## **2.6 Collection of Data from Secondary Sources**

Throughout the Study, various types of secondary data were used along with the primary data collected through surveys. Secondary data sources included Uttar Pradesh at a Glance, published by Jagaran Publications (Social, Cultural, Demographic and Economic profile of Uttar Pradesh), District Census Handbooks of districts through which road is passing through, Tehasil Offices; and Census of India, 2011.



### **3 MINIMISING NEGATIVE SOCIAL IMPACT**

---

#### **3.1 Minimizing the Social Impact**

The need for resettlement arises when a proposed infrastructure project displaces a number of people and households for a defined public purpose which, in this case, is the widening and upgrading of the existing project corridor. As per the Bank's Op 4.12 & OP 4.10, the displacement should be avoided or minimized. The objectives of the social analysis is to be done in order to understand the ways and means to minimize the negative impact on the lives of the affected population, offering them opportunities to enhance their living standards. While the land acquisition on the account of widening the road and new alignment is unavoidable, the area with the high population density could be marginalized and displacement could be minimized. The project specific R&R policy, also, acknowledges the importance of avoiding adverse socio-economic impacts in road design and construction.

The success of a project depends to a large extent on the improvement that it brings about in the living standards of the people, both in the short and the long term. While preparing the engineering design, the prime consideration has been to minimise the social negative impacts within the limitations of technical requirements and cost effectiveness and to enhance the benefits. Despite the best efforts to minimise the negative social impact, however, land take at few places and resettlement have been unavoidable.

In general, the design considerations adopted by the project to minimize the land taking in the project are as below:

- The corridor of impact (CoI)/proposed cross-section would be restricted within the existing right of way.
- The corridor of impact (CoI) for the project would broadly range between 13 m to 44 m to fit the typical cross sections, space for drains, roadside furniture and utilities. However, in specific locations, CoI of less than 13m would also be considered to minimize the impact on properties.
- Decision on bypasses and realignments will be taken based on a comparison of options with or without the proposed change in design on a case-to-case basis.

#### **3.2 Right of Way and Corridor of Impact**

Right of way is the public land owned by the State Government and administered by the PWD, for the existing road. Right of way held by the PWD is the lawfully acquired corridor of land. The established width on an average is 30m. However, Right of way width varies from 8 m to 46 m. Moreover, the existing ROW is not free of encumbrances, as will be seen from the strip maps. Using available records with the PWD and the revenue department, R&R team have verified the boundaries of legal right of way as well as boundaries of private properties within and in the vicinity of the corridor of impact. The limit of displacement will be limited not to the legal right of way but only to the corridor of impact. The corridor of impact is the corridor required for the actual construction of the road, including carriageway, shoulders, embankments and longitudinal drainage. Within this corridor there should be no structures or hindrances.



**Table 3.1: Availability of Existing ROW**

S. No.	Chainage (Km)		RoW as per Sazra map (in Metres)	Corridor of Impact	Remarks
	From	To			
1	118+750	123+000	36	22.5	Road cross-section with unlined drain
2	123+000	129+450	36	22.5	Road cross-section with unlined drain
3	129+450	131+500	27	13	With covered drain because of built-up area
4	131+500	140+000	32	23	Road cross-section with unlined drain
5	140+000	144+950	28	23	Road cross-section with unlined drain
6	144+950	150+000	34	23	Road cross-section with unlined drain
7	150+000	158+000	23	23	Road cross-section with unlined drain
8	158+000	162+500	27	27	Road cross-section with unlined drain
9	162+500	166+850	22	22	Road cross-section with unlined drain
10	166+850	167+500	8	8	As per Existing Road

Source: EGIS Design Report

### 3.3 Design and R&R Co-ordination

The prime objective of the RAP is to minimize negative impact on the people/community because of the project execution. Therefore, during preparation of the project, due consideration was given to minimise the negative impacts within the limitations of technical requirements and cost effectiveness. The built up areas generally have dense developments on either side of the existing road including high level of encroachment and residential/commercial squatting. Though some of the structures on the encroached land are permanent in nature, most of the squatting is in temporary structures. The rural open stretches are characterized by agriculture encroachment or fallow land. As a result two distinct design approaches were adopted: one for built up areas and other for open rural areas. The broad parameters considered by the design team based on the inputs from the R&R surveys were:

- Minimize the impact on roadside settlements
- Minimize impact on agricultural land
- Minimize land acquisition
- Minimize impact on community assets
- Avoid the adverse impacts of the crowded areas along the project stretch

The proposed road design would require 20 m wide strip of land, which includes 7m wide two-lane carriageway. The existing ROW except at certain location on Garautha – Chirgaon road is wide enough to accommodate proposed developments; therefore there is no need to acquire land for improvement of existing roads. Minimum COI is considered in order to minimize displacement in Garautha – Chirgaon road within the ROW. Provision has been made in the RAP to address the issues related to non-title holders affected persons.

**Table 3.2: Plan for Handing Over the Stretches to Contractor**

Route No.	Road Name	Mile Stone	Chainage		Total km	Date of Handing Over to Contractor
			Start	End		
1	Garautha - Chirgaon	1	132+000	137+000	5.000	at starting date
			140+000	146+000	6.000	
			147+000	149+000	2.000	
Sub Total of Mile Stone-1					13.000	





Route No.	Road Name	Mile Stone	Chainage		Total km	Date of Handing Over to Contractor
			Start	End		
2	Garautha – Chirgaon	2	118+600	129+000	10.400	6 months from the Start Date
			131+000	132+000	1.000	
			137+000	140+000	3.000	
			146+000	147+000	1.000	
			149+000	160+000	11.000	
			161+000	165+000	4.000	
Sub Total of Mile Stone-2					30.400	
1	Garautha - Chirgaon	3	129+000	131+000	2.000	12 months from the Start Date
			160+000	161+000	1.000	
			165+000	167+745	2.745	
Sub Total of Mile Stone-3					5.745	
Grand Total of Mile Stone 1+2+3					49.145	

Source: EGIS Design Report

### 3.4 Timing of Resettlement

The resettlement process must be completed by the start of civil works on the particular route. Requisite procedure will be developed by the PWD to carry out resettlement of PAPs located within the COI, before the civil work starts on any section of the project road. These people will be given at least two months' notice to vacate their property before civil works begins. During the field visit with UP PWD in November, 2014, the milestone has been finalized for handing over to the Contractor. The Mile stone is based with no hindrance at the project corridors.

Stretches, which are free of encroachment and other encumbrances, will be handed over first to contractor. The timetable of stretches to be handed over to the contractor is given below.

### 3.5 Widening Options

Due importance has been given to social issues while road designing. The coordination between social and design team helped in minimizing the number of PAPs and affected PAHs. Concentric widening has been proposed in majority of total stretch to avoid involuntary land taking and minimize the social impact. Eccentric widening option (one side widening) has been proposed in 8.1% of total project stretch, for geometrical correction and improvement of existing road alignment. Typical cross section applied in presented in table below.

**Table 3.3: Typical Cross-section (TCS)**

S. No.	Cross Section Type	Description
1.	TCS -1A	Two lane carriageway with paved and earthen shoulder (rural section) – Reconstruction section
2.	TCS -1B	Two lane carriageway with paved and earthen shoulder (rural section) – Realignment
3.	TCS -1C	Two lane carriageway with paved and earthen shoulder (rural section) – New due to raising
4.	TCS -2	Two lane carriageway with paved shoulder and raised footpath cum drain (urban/ semi-urban section)
5.	TCS -3A	Two lane carriageway with paved shoulder and covered drain
6.	TCS -3B	6m carriageway with covered drain

Source: EGIS Design Report



In view of safety requirements as well as segregation of the fast moving traffic from the local slow moving traffic, paved shoulder has been proposed in the entire project road.

### Improvement in Built-up Locations

In context of present project improvement that consisted of 2-lane/2 lane with paved shoulders, the Corridor of Impact was the most important parameter in determining the number of PAPs. The requirement of the project demands that the entire corridor of impact should be free from encroachments, human habitation and structure, causing hindrances to traffic. Removing the encroachers and the squatters from the RoW does not guarantee that they would not reoccupy the area. Therefore, all estimations were limited to the CoI only and the project will not displace any person outside the corridor of impact, even if within the RoW. In the present road there are 4 locations with heavy urban built up where 13metresCoI has been considered to avoid/ minimize adverse impacts. Improvement in these locations would require removal of few squatters and encroachers. The chainage-wise locations of built-up areas along the project road is charted in table below.

**Table 3.4: Built-up Locations along the Project Road**

S. No.	Chainage		Length (m)	Town/Village Name
	From	To		
1	129+430	131+750	2.320	Gursarai
2	160+150	160+600	0.450	Ram Nagar
3	165+200	165+750	0.550	Siya
4	166+900	167+500	0.600	Sultanpura

### Analysis of Alternatives

Analysis of alternatives is very important activities, which leads to minimize the negative impacts on population and properties and meet the technical requirement. The provision of widening and COI were weighed upon by the technical team, considering the outcome of public consultation as well as the suggestion of people along the project road. In most of the heavy built up locations, concentric widening within the available ROW has been proposed in the design to avoid land acquisition and to minimize displacement of non- titleholders. In approximately in Village Sultanpur nearly 340 M length is affected in between 167+000 to 167+540, the available RoW is 8 m only, so eccentric widening has been proposed to save residential and commercial structures.

Therefore alternatives were explored and assessment was made. Analysis of Alternatives was done considering 2 options as given in the table below. Alternative 1 was considered as there will be no major impact and applicable typical cross section of 6m will fit in the available ROW.

1. Alternative -1: Rehabilitation of existing road
2. Alternative 2: Widening of 13 m.

Impact Category	Alternative 1	Alternative 2
Loss of structure	0	56
Land acquisition	0	2Ha
Affected households	0	67
Loss of religious structures	0	3
Affected PAPs	0	266
Loss of water bodies	0	0

Source: EGIS Primary Survey 2014



Considering the above options the alternative 1 was appraised for village Sultanpura. Though there will be no land acquisition, the impacted households will be saved. For Alternative 2, since there will be acquisition of land, apart from impacting 56 households and 3 CPRs. So alternative 1 was considered.





## 4 RESETTLEMENT POLICIES AND LEGAL FRAMEWORK

### 4.1 Key Social Laws and Regulations

This section presents the legal framework for the land acquisition process and the Resettlement and Rehabilitation Policy which also includes the entitlements for affected eligible families. Project has developed Resettlement and Rehabilitation Policy based on the Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act 2013; World Bank's OP 4.12 and various government orders issued by state government for issues related to R&R. The policy recognizes the need to support restoration of livelihoods of adversely affected people and lays down norms for rehabilitating the affected people and broadly outlines an approach and institutional framework to achieve its objectives. The key Social regulations and legislations that will govern then preparation and implementation of the project is presented below.

**Table 4.1: Relevant Social Legislations**

Acts/Rule/Policy	Year	Objective	Applicability to this Project	Responsible Agency
Ancient Monuments and Archaeological Sites and Remains Act	1958	Conservation of cultural and historical remains found in India.	Yes. For the project located within 300 m from such features	Archaeological Dept. GOI, Indian Heritage Society and Indian National Trust for Art and Culture Heritage (INTACH).
Right to fair compensation and transparency in land acquisition, rehabilitation and Resettlement Act	2013	Fair compensation for acquisition of immovable assets; Resettlement of displaced population due to LA and economic rehabilitation of all those who are affected due to land acquisition.	Yes. In case of acquisition of land	Revenue Department. Govt. of U.P.
Seventy Third Constitution Amendment Act,	1992	The Act enables participation of Panchayat level institutions in decision-making by broadening the village level functions, supporting implementation of development schemes.  The Act provides for involvement of the PRIs especially, the Gram Sabha/ Panchayat during project preparation and implementation. The Panchayats at the village level will be involved for preparation and implementation of the project.	Yes, especially for any sub project located in panchayat area	Department of Panchayati Raj, Government of Uttar Pradesh
The Scheduled Tribes and other Traditional Forest Dwellers (Recognition of Forest Rights) Act	2006	Grants legal recognition to the rights of traditional forest dwelling communities, partially correcting the injustice caused by the forest laws.  Makes a beginning towards giving communities and the public a voice in forest and wildlife conservation	Yes, if project road passes through customary forest land including reserved and protected forests; protected areas and also community forest.	Ministry of Tribal Affairs, GOI and Department of Tribal Welfare, GoUP



## 4.2 World Bank Safeguard Policies

Projects financed with IDA resources need to comply with World Bank Operational Policies. The World Bank has Environmental and Social Safeguard Policies to reduce or eliminate the adverse effects of development projects. The safeguard policies of World Bank are provided in the table below.

**Table 4.2: Safeguard Policies of World Bank**

World Bank Safe Guard Policies	Objective	Applicability	Safeguard Requirements
<b>OP/BP 4.12</b>	Involuntary Resettlement-The objective of this policy is to avoid or minimize involuntary resettlement where feasible, exploring all viable alternative project designs. Furthermore, it intends to assist displaced person in improving their former living standards; community participation in planning and implementing resettlement; and to provide assistance to affected people, regardless of the legality of title of land	There will be need for limited land acquisition for certain project corridors resulting in: relocation or loss of shelter; loss of assets or access to assets; loss of income sources or means of livelihood.	Resettlement Action Plan in consultation with the community and project authorities
<b>OP 4.10</b>	Indigenous People -This policy aims to protect the dignity, right and cultural uniqueness of indigenous people; to ensure that they do not suffer due to development; that they receive social and economic benefits	This policy may be triggered if there are indigenous people in the project area; when potential adverse impacts on indigenous people are anticipated; and if indigenous people are among the intended beneficiaries.	Indigenous people development Plan in consultation with the IPs.
<b>OP/BP 4.11</b>	Cultural Property –This policy aims at assisting in the preservation of cultural property, historical, religious and unique natural value-this includes remains left by previous human inhabitants and unique environment features, as well as in the protection and enhancement of cultural properties encountered in Bank-financed project.	This policy may be triggered by sub-projects under UPCRNDP in those areas where cultural property, historical, religious and unique natural value-this includes remains left by previous human inhabitants and unique environment features may be affected during widening and strengthening work of the sub-projects.	Application has to be prepared and submitted to Archaeological department

## 4.3 Comparative Analysis of World Bank OP 4.12 on Involuntary Resettlement and RFCTLARR Act, 2013

S. No.	Topics/Issues/Areas	World Bank OP4.12	RFCTLAR&R
1	Application of LA	Direct economic and social impacts that both result from Bank-assisted investment projects. Applies to all	<b>Section 2</b> Applicable to projects where government acquires land for its own use, hold and control, including PSU and for public purpose; for PPP where ownership of



S. No.	Topics/Issues/Areas	World Bank OP4.12	RFCTLAR&R
		components of the project that result in involuntary resettlement, regardless of the source of financing.	land continues to vest with govt; private companies where 80% of <b>land owners</b> <sup>1</sup> have given consent or 70% in case of PPP.
	Principle of avoidance	Involuntary resettlement should be avoided where feasible, or minimized, exploring all viable alternative project design	Alternatives to be considered as Act in chapter II, point # 4 (d) says "extent of land proposed for acquisition is the absolute bare minimum needed for the project; and (e) says land acquisition at an alternate place has been considered and found not feasible.
	Linkages with other projects		No such provision
2.	Application of R&R	Same as above	In addition to the above, <b>Section 2(3)</b> land purchased by private company as prescribed by Govt. or when part acquired by govt
3.	Affected area	Involuntary take of land resulting in loss of shelter, loss of assets or access to assets, loss of income sources or means of livelihood	<b>Section 3(b):</b> Area notified for 'acquisition'
4.	Family	All adversely affected people whether have formal legal rights or do not have formal legal rights on land	<b>Section 3(m)</b> includes person, his and her spouse, minor children, minor brothers and sisters dependent. Widows, divorcees, abandoned women will be considered as separate family.
5.	Affected family for eligibility		<b>Section 3 (a):</b> whose land and other immovable property acquired. <b>(b)&amp;(e):</b> Family residing in affected area such as labourers, tenants, dependent on forest and water bodies, etc whose primary source of livelihood is affected due to acquisition <b>(c)</b> Scheduled tribes and other forest dwellers whose rights recognized under the Forest Dwellers Act 2006. <b>(f)</b> Family assigned land by state or central government under any schemes <b>(g)</b> Family residing on any land in urban area that will be acquired or primary source of livelihood affected by acquisition.
6.	Cut-Off date	Date established by the borrower and acceptable to the Bank. In practice it is the date of census.	<b>Section 3 c (ii), (iv) (vi):</b> Families residing for preceding 3 yrs or more prior to "acquisition of land".
7.	Non-application of Chapter II	Stand-alone SIA for all investments	<b>Section 6(2):</b> Irrigation projects where EIA is required under other laws, provisions of SIA not applicable.
7.	Consultation – Phase I during preparation	Consultation a continuous process during planning and implementation	<b>Section 4(1)</b> date issued for <i>first consultation</i> with PRIs, Urban local bodies, Municipalities, etc to carry out SIA. <b>Section 5:</b> Public hearing of SIA in affected area. Provide adequate publicity of date and time.

<sup>1</sup> Land Owner – whose land and immovable property acquired and land assigned by state or central govt under any scheme (Section 3 c (i) and (v))





S. No.	Topics/Issues/Areas	World Bank OP4.12	RFCTLAR&R
8.	Time duration to prepare SIA and SIMP	Draft Social Assessment, Resettlement Action Plan and or Social Management Framework prepared before appraisal.	<b>Section 4 (2): within six months</b> from the date of its commencement.
9.	Disclosure – Stage I	To be disclosed before appraisal and 120 days before board date.	<b>Section 6(1):</b> Translated in local language available in PRI institutions and local urban government bodies; district administrative offices and websites of concerned government agency.
10.	Formation of Expert Group to appraise SIA and SIMP	Appraised by Bank staff	<b>Section 7(1):</b> Constitute a multi-disciplinary Expert Group include members of decentralized govt Institutes (PRIs, ULBs).
11.	Time stipulated for Group to submit its report	Before the decision meeting for appraisal	<b>Section 7(4):</b> Submit its report <b>within two months from the date of its constitution</b>
12.	Scope of work of the Expert group	Social Assessment, resettlement action Plan reviewed and appraised by Bank staff and approved by Regional safeguard advisor	<b>Section 7 (4) (a&amp;b):</b> assess whether it serves any public purpose or not; if social costs outweigh potential benefits then should be abandoned; <b>Section 7 (5) (a&amp;b):</b> if serves public purpose, then it has considered minimum land acquisition, and alternate options to minimize displacement; potential benefits outweigh social costs
13.	Consultation – Phase II during appraisal	In practice consultation workshops are organized in project affected areas at district and state level.	<b>Section 2 (2):</b> Prior consent of 80% and 70% of land owners in PPP and where private company has approached the govt to acquire balance land has been obtained,
14.	Disclosure – Stage II	Information dissemination through the planning and implementation	Section 7 (6): recommendations of expert group under 7(4&5) to be made public in local language in district and block administrative office and PRIs
15.	Minimize impact on multi-crop land	Select feasible design that has minimal adverse impact.	<b>Section 10:</b> In case multi-crop land is to be acquired under exceptional circumstances, the area to be acquired cannot exceed aggregate of land of all projects in district or state. The area to be acquired cannot exceed the total net sown area of the district or state. Wasteland equivalent to twice the area acquired will be developed.
16.	Information dissemination of preliminary notice	Continuous part of the preparation and participation	<b>Section 11 (1), (2) &amp; (3):</b> Notice published in local language and meetings called of gram sabahs, municipalities to provide full information about the purpose of the project, summary of SIA and particulars of administrator appointed for R&R' summary of R&R scheme
17.	Updating land records	To be part of RAP	<b>Section 11 (5):</b> Once established that the land is required for public purpose, accordingly notice to be issued <b>under section 19</b> following which land records to be updated within two months
18.	Census and preparation of R&R schemes	To be part of RAP	<b>Section 16 (1) (2):</b> carry out census of affected people and their assets to be affected, livelihood loss and common property to be affected; R&R scheme including time line for implementation.



S. No.	Topics/Issues/Areas	World Bank OP4.12	RFCTLAR&R
19.	Information dissemination and Public hearing - Stage III	Consultation throughout the process is mandatory	<b>Section 16(4)&amp;(5):</b> mandatory to disseminate information on R&R scheme including resettlement area and organize public hearing on the Draft R&R scheme in each Gram Sabha, Municipality and consultations in Scheduled area as required under PESA.
20.	Approval of R&R Scheme		<b>Section 17 &amp; 18:</b> Draft R&R Scheme to be finalized after addressing objections raised during public hearing and approved.
21.	Final declaration of R&R Scheme	Approved RAP including budgetary provisions to implement it	<b>Section 19 (2):</b> Only after the requiring body has deposited the money will the govt issue the notice along with <b>19(1)</b> .
22.	Time period stipulated.	Included in RAP - Time line synchronized with Government's procedures or adopts innovative methods to reduce the time which is based operated on the principles of participation and transparency.	<b>Section 19 (2):</b> the entire process to update land records, disseminate information, preliminary survey, census, hearing of objections, preparation of R&R schemes and approval, deposit of money must <b>complete within 12 months</b> from the date on which section 11, the preliminary notice issued. <b>Section 19 (7):</b> If the final declaration not made within 12 months of section 11 (1), the process will lapse, except under special circumstances.
23.	Preparation of land acquisition plans	Included in RAP.	<b>Section 20:</b> Land marked, measured for preparation of acquisition plans.
24.	Hearing of claims		<b>Section 21(1) (2):</b> Notices issued indicating govt's intension to take possession of land, and claims on compensation and R&R can be <b>made not less than one month and not more than six month</b> from the date of issue of section 21(1).
25.	Time period stipulated for declaring the award		<b>Section 25:</b> It is required to announce the award <b>within 12months of issue of Section 19 (final declaration to acquire land, approved R&amp;R scheme)</b> after completing land acquisition plans, hearing of objection, settling individual claims for declaration of the award. If award not made within the stipulated time, the entire proceedings will lapse.
26.	LA Act 1984 deem to lapse and RFCTLAR&R is applicable		<b>Section 24:</b> where award is not declared under section 11, or where made five years ago but land not taken in possession or where award declared but money not deposited in the account of majority of beneficiary.
27.	Methodology for determining market value for land	Full replacement Cost	<b>Section 26 and First Schedule:</b> Recognizes 3 methods and whichever is higher will be considered which will be multiplied by a factor given in Schedule First; compensation given earlier will not be considered; if rates not available floor price can be set; steps to be taken to update the market value.
28.	Valuation of structures	Full Replacement cost	<b>Section 29 (1)</b> without deducting the depreciated value.



S. No.	Topics/Issues/Areas	World Bank OP4.12	RFCTLAR&R
29.	Solatum and interest		<b>Section 30(1)</b> 100% of the compensation amount <b>Section 30(3):</b> 12% per annum on the market rate from the date of notification of SIA to the date of ward or land taken over
30.	R&R Award	Total cost included in RAP to resettle and rehabilitate the affected persons and assist in their efforts to improve their livelihoods and standards of living or at least to restore them, in real terms, to pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher	<b>Section 31, Second Schedule:</b> A family as a unit will receive R&R grant over and above the compensation and those who are not entitled to compensation. <b>Second Schedule:</b> Homeless entitled to constructed house, land for land in irrigation projects in lieu of compensation, in case of acquisition for urbanization 20% of developed land reserved for owners at a prices equal to compensation' jobs or one time payment or annuity for 20 years' subsistence grant, transportation, land and house registered on joint name husband and wife, etc
31	Transparency		<b>Section 37(1):</b> Information of each individual family including loss, compensation awarded, etc will be available on the website.
38.	Possession of land	Taking of land and related assets may take place only after compensation has been paid and, where applicable, resettlement sites and moving allowances have been provided to the displaced persons.	<b>Section 38(1):</b> Land will be taken over by the government within three months of compensation and 6 months of R&R benefits disbursed; infrastructure facilities at resettlement sites will be completed within 18 months from the date of award made under section 30 for compensation; in case of irrigation and hydle projects R&R completed six months prior to submergence.
39.	Multiple displacement		<b>Section 39:</b> Additional compensation equivalent to compensation determined will be paid to displaced
31.	Acquisition for emergency purpose	Not permeable in bank funded projects	<b>Section 40 (5):</b> 75% additional compensation will be paid over and above the compensation amount
32.	Prior consent before acquisition and alienation	Mandatory to carry out Free, Prior, Informed Consultation with Indigenous people.	<b>Section 41(3)</b> Mandatory to get consent from Gram sabah, Panchayat, Autonomous Councils in Scheduled areas.
33.	Development plans for SC and ST	Indigenous Peoples' Development plan required along with RAP. Land for land for is an option across all sectors.	<b>Section 41:</b> Separate development plans to be prepared, settle land rights before acquisition; provision of for alternate fuel fodder, non-timber produce on forest land to be developed within 5 years; 1/3 <sup>rd</sup> compensation amount to be paid as first instalment and rest at the time of taking possession; ST to be resettled within Scheduled area; land free of cost for community purpose; land alienation will be null and void and ST and SC considered for R&R benefits; fishing rights restored in irrigation and hydle projects; if wish to settle outside the district additional benefits to be provided in monetary terms; all rights enjoyed under other laws will continue. <b>Second Schedule:</b> additional provisions for SC&ST for land for land in irrigation



S. No.	Topics/Issues/Areas	World Bank OP4.12	RFCTLAR&R
			projects, additional sum over and above the subsistence grant,
34.	Institutional arrangement	Institutional arrangement must be agreed upon and included in RAP, IPDP.	<b>Section 43-45:</b> Appointment of administrator, R&R Commissioner, when more than 100 acres of land is to be acquired, R&R Committee will be formed at project level, social audit to be carried out by Gram Sabha and Municipalities.
35.	Change of land use		<b>Section 46(4):</b> Land will not be transferred to the requisitioning authority till R&R is not complied with in full
36.	Monitoring and Evaluation	Indicators and monitoring system included in RAP and IPDP	<b>Section 48-50:</b> Set up National and State level Monitoring Committee to review and monitor progress
37.	Authority to settle claims		<b>Section 51-74:</b> the Authority will be set up to settle any legal disputes that arise from acquisition and R&R, the aggrieved party can move to the high court thereafter.
38.	Exempt from tax and fee		<b>Section 96:</b> Compensation and agreements will not be liable to tax
39.	No change in status of land acquired		<b>Section 99:</b> Once the land is acquired for a particular purpose, its purpose cannot be changed
40.	Return of unutilized land		<b>Section 101:</b> If the acquired land remains unutilized for 5 years, then it will be returned to original owner, heir or included in land bank
41.	Distribution of increased value of land transferred		<b>Section 102:</b> 40% of appreciated value of acquired land will be distributed to owners provided no development has taken place.

#### 4.4 Process of Land Acquisition and Other Immovable Assets

The project specific R&R policy provides two options for acquisition of land and other immovable assets. Option 1 on direct purchase and Option 2 is through RFCTLARR Act 2013. The details are given below:

**Option 1:** Direct Purchase of land based on Clause 46 of RFCTLARR Act, 2013

Under this option following steps will be followed:

- Project to identify land parcels to be purchased and owners during SIA in consultation with the local revenue officials.
- List of such land owners along with intent to purchase and purpose of purchase will be forwarded to the District Magistrate. A committee will be set up as per the existing government order (GO) number 271/83 dated September 2, 2013 for direct purchase.
- The base price of land will be as per the process mentioned in RFCTLARR Act, 2013.
- The rate will be finalized by the land purchase committee.
- The rate agreed upon will be exclusive of R&R assistances as mentioned in project specific R&R policy.

**Option II:** Acquisition of private land through Right to Fair Compensation and Transparency in Land Acquisition and Rehabilitation and Resettlement Act, 2013



As per option II, all private immovable assets will be acquired as per new RFCTLARR Act 2013. All eligible PAPs will be entitled to R&R assistance over and above the compensation. Those PAPs who are not entitled for compensation (encroachers and squatters) will get R&R benefits as per their entitlement given in project specific R&R policy. The entitlement of compensation and assistance will be extended to only those PAPs who are identified on or prior to the cut-off date. Claims regarding R&R regarding R&R assistance should be dealt by Grievance redress committee. However, acquisition through the Act may take 3.5 to 4 years of time as shown in table below.

**Table 4.3: Time Lines for SIA, Land Acquisition and Compensation Payments**

S. No.	Key Activity	TimeLine	Remarks
1	SIA Notification (Sec.4)	0 date	
2	SIA Report	6 months	
3	Appraisal of SIA by Expert Committee ( Sec 7)	2 Months	
3	Decision of Appropriate Government on SIA report	No timeframe is suggested	
4	Preliminary Notification for Land acquisition ( Sec.11)	Within 1 year SIA appraisal	Simultaneous update of Land records ( 2 months)
5	Final Declaration of Land acquisition ( Sec. 19)	Within a 1 year of Preliminary Notification	
6	Compensation Award ( sec. 30)	Within 1 year of declaration	
7	Compensation Payment	Within 3 months of award	
8	Payment of R&R monetary assistance	Within 6 months of award	Lands can be taken over only after payment of compensation and R&R monetary assistance
9	Development of R&R sites and infrastructure, if needed.	Within 18 months from the date of award	
10	<b>Total Time Frame for taking over of acquired properties</b>	<b>About 3.5 to 4 years</b>	

#### 4.5 Project Specific R&R Policy

The Resettlement and Rehabilitation (R&R) policy for Core Road Network Development Programme Uttar Pradesh Public Works Department (UP PWD) is based on World Bank's Operational Policies (OP) 4.12 on involuntary Resettlement and 4.10 on Indigenous Peoples and UP State Rehabilitation Policy. The action plan has been prepared based on the broad outlines laid down in the policy. The principle of the R&R policy is the guiding philosophy to provide a development approach to resettle and rehabilitate the people affected by project. The project specific R&R policy recognizes that involuntary resettlement results in dismantling of existing production system and way of life. Therefore, all rehabilitation programs will adopt a developmental approach rather than the welfare approach. The policy details out the assistance in re-establishing the homes and livelihoods of the Project Affected People (PAP) during the course of projects. The entitlement matrix as given in the approved policy is presented below. The detailed policy is attached as **Annexure – 1.1**.

S. No.	Application	Definition of Entitled Unit	Entitlement	Details
<b>A. Loss of Private Agricultural, Home-Stead &amp; Commercial Land</b>				
1	Land within the Corridor of	Titleholder family. and	Compensation at Market value,	a) Land for land, if available. Or, Cash compensation for the land at replacement value, which will be



S. No.	Application	Definition of Entitled Unit	Entitlement	Details
	Impact (COI)	families with traditional land Right	Resettlement and Rehabilitation	<p>determined as provided under section 26 of RFCTLARR Act 2013.</p> <p>b) The land if allotted will be in the name of both husband and wife.</p> <p>c) If post acquisition, residual land is economically unviable, the land owner will have the choice of either retaining or sell off rest of the land.</p> <p>d) Refund of stamp duty and registration charges incurred for replacement land to be paid by the project; replacement land must be bought within a year from the date of payment of compensation to project affected persons.</p> <p>e) Subsistence allowance of Rs. 36000 as one time grant</p> <p>f) One time grant of Rs. 500,000 or annuity</p> <p>g) Compensation at market value for loss of crops if any</p>
<b>B. Loss of Private Structures (Residential/Commercial)</b>				
2	Structure within the Corridor of Impact (Col)	Title Holder/ Owner	Compensation at Market value, Resettlement & Rehabilitation Assistance	<p>a) Cash compensation for the structure at replacement value which would be determined as per as per section 29 of the RFCTLARR Act 2013. House under Indira Awas Yojna in rural area or Rs 50000 in lieu off and house under RAY in urban area or Rs 100,000 in lieu off. The house if allotted will be in the name of both husband and wife.</p> <p>b) Right to salvage material from the demolished structures.</p> <p>c) Three months' notice to vacate structures.</p> <p>d) Refund of stamp duty and registration charges for purchase of new alternative houses/shops at prevailing rates on the replacement value as determined in (a) above. Alternative houses/ shops must be bought within a year from the date of payment of compensation.</p> <p>e) In case of partially affected structures and the remaining structure remains viable, additional 10% to restore the structure. In case of partially affected structures and the remaining structure becomes unviable additional 25% of compensation amount as severance allowance.</p> <p>f) Subsistence allowance equivalent to Rs. 36000 as one time grant.</p> <p>G) Each affected family getting displaced shall get a one-time financial assistance of Rs 50,000 as shifting allowance.</p> <p>h) Each affected family that is displaced and has cattle, shall get financial assistance of Rs 25,000/- for construction of cattle shed.</p> <p>i) One time grant of Rs. 50,000 as resettlement assistance</p> <p>j) Each affected person who is a rural artisan, small trader or self-employed person and who has been displaced (in this project owner of any residential-cum commercial structure) shall get a one-time financial assistance of Rs 25,000/-for construction of working shed or shop.</p> <p>j) One time grant of Rs. 500,000</p>
3	Structure within the Corridor of	Tenants/ Lease Holders	Resettlement & Rehabilitation Assistance	<p>a) Registered lessees will be entitled to an apportionment of the compensation payable to structure owner as per applicable local laws.</p>





S. No.	Application	Definition of Entitled Unit	Entitlement	Details
	Impact (Col)			b) In case of tenants, three months written notice will be provided along with Rs 50,000 towards shifting allowance.
<b>C. Loss of Trees and Crops</b>				
4	Standing Trees, Crops . within the Corridor of Impact (Col)	Owners and beneficiaries (Registered/ Un-registered tenants, contract cultivators, leaseholders & sharecroppers	Compensation at market value	a) Three months advance notice to project affected persons to harvest fruits, standing crops and removal of trees. b) Compensation to be paid at the rate estimated by: i) The Forest Department for timber trees ii) The State Agriculture Extension Department for crops iii) The Horticulture Department for fruit/ flower bearing trees. c) Registered tenants, contract cultivators & leaseholders & sharecroppers will be eligible for compensation for trees and crops as per the agreement document between the owner and the beneficiaries. d) Un-registered tenants, contract cultivators, leaseholders & sharecroppers will be eligible for compensation for trees and crops as per mutual understanding between the owner and the beneficiaries.
<b>D. Loss of Residential/ Commercial Structures to Non-Titled Holders</b>				
5	Structures within the Corridor of Impact (Col) or Govt., land	Owners of Structures or Occupants of structures identified as per Project Census Survey	Resettlement & Rehabilitation Assistance	a) Non vulnerable encroachers shall be given three months' notice to vacate occupied land b) Vulnerable encroachers will be provided cash assistance at replacement cost for loss of structures as described in section 29 of the RFCTLARR Act 2013. . c) Any encroacher identified as non-vulnerable but losing more than 25% of structure used will be paid cash assistance at replacement cost for loss of structures. The amount will be determined as per section 29 of the RFCTLARR Act 2013. d) All squatters to be paid cash assistance for their structures at replacement costs which will be determined as mentioned in section 29 of the RFCTLARR Act 2013. e) All squatters (other than kiosks) will be eligible for one time grant of Rs 36000 as subsistence allowance. f) All squatters other than Kiosks will be given shifting allowance of Rs 50,000 per family as one time grant for a permanent structure and Rs. 30,000 for a semi permanent structure and Rs. 10,000 for a temporary structure. g) Each affected person who is a rural artisan, small trader or self-employed person assistance' of Rs 25,000/- for construction of working shed or shop. h) In case of Kiosks, only Rs. 5000 will be paid as one time grant.
<b>E. Loss of Livelihood</b>				
6	Families living within the Corridor of Impact (Col)	Title Holders/ Non-Title holders/ sharecroppers, agricultural labourers and employees	Resettlement & Rehabilitation Assistance	a) Subsistence allowance of Rs. 36,000 as one time grant. (PAPs covered under 1(f), 2 (f) and 5 (e) above would not be eligible for this assistance). b) Training Assistance of Rs 10,000/- for income generation per family. c) Temporary employment in the project construction work to project affected persons





S. No.	Application	Definition of Entitled Unit	Entitlement	Details
				with particular attention to vulnerable groups by the project contractor during construction, to the extent possible.
<b>F. Additional Support to Vulnerable Families</b>				
7	Families within the Corridor of Impact (Col)	SC, ST, BPL, WHH families	Resettlement & Rehabilitation Assistance	One time additional financial assistance of Rs. 50,000. Squatters and encroachers already covered under clause 5 are not eligible for this assistance.
<b>G. Loss of Community Infrastructure/Common Property Resources</b>				
8	Structures & other resources (e.g. land, water, access to structures etc.) within the Corridor of Impact (Col)	Affected communities and groups	Reconstruction of community structure and • common property resources	Reconstruction of community structure and Common property resources in consultation with the community.
<b>H. Temporary Impact During Construction</b>				
9	Land & assets temporarily impacted during construction	Owners of land & Assets	Compensation for temporary impact during construction e.g. diversion of normal traffic, damage to adjacent parcel of land / assets due to movement of heavy Machinery and plant site.	Compensation to be paid by the contractor for loss of assets, crops and any other damage as per prior agreement between the 'Contractor' and the 'Affected Party'.
<b>J. Resettlement Site</b>				
10	Loss of residential structures	Displaced titleholders and non-titleholders	Provision of resettlement site/ vendor market	Resettlement sites will be developed as part of the project, if a minimum of 25 project displaced families opt for assisted resettlement. Vulnerable PAPs will be given preference in allotment of plots/flats at the resettlement site. Plot size will be equivalent to size lost subject to a maximum of provision given in RFCTLARR Act 2013. Basic facilities shall be provided by the project at resettlement site as per the provisions given in the Third Schedule of RFCTLARR Act 2013. Similarly, if at least 25 displaced commercial establishments (small business enterprises) opt for shopping units, the Project Authority will develop the vendor market at suitable location in the nearby area in consultation with displaced persons. Basic facilities such as approach road, electricity connection, water and sanitation facility, will be provided in the vendor market by the project. Vulnerable PAPs will be given preference in allotment, of shops in vendor market. One displaced family will be eligible for only one land plot at resettlement site or shop in the vendor market.





## 5 PROFILE OF STATE AND PROJECT AFFECTED PERSONS

The project will be implemented in the state of Uttar Pradesh (UP) which is the fifth largest state in India. With an area of 2,40,928 sq.km, UP covers 7.3% of India's land area, and is the country's most populous state with a population of nearly 200 million. One sixth of India's population lives in the 70 districts of UP. Many roads in UP have locally important cultural properties located along the edge of pavement. UP forms the bulk of the Gangetic plain in India. The state has a road network of 299,604 km, out of which 174,451 km are under Uttar Pradesh Public Works Department (PWD). The roads under PWD comprise 7,550 km of National Highways (NHs), 7,530 km of State Highways (SHs), 5,761 km of Major District Roads (MDRs), 3,254 km of Other District Roads (ODRs) and 138,702 km of Village Roads (VRs). Only about 60% of SHs are two-lane (7 m). In the entire state 62% of MDRs and 83% of ODRs have widths less than 7 m.

### 5.1 Socio-Demographic Profile of the State

#### 5.1.1 Demography

The Government of Uttar Pradesh has requested the World Bank through Government of India to provide assistance for improvement of the Core Road Network of the state.

**Population:** Uttar Pradesh as per Census Survey of 2011 has a total population of 200 million which is almost one sixth of India's population. The population density is 828 persons per square kilometer. Approximately 77% of the total population lives in rural area. About 15% of the total population is below the age of 6 years.

**Gender Classification:** Over half the total population is male and sex ratio stands at 1000:912 which is much less than the national figure of 943.

**Social Stratification:** Over one fifth of the population belongs to scheduled caste and less than 1% is tribal community. Hinduism is the dominant religion followed by 80% of the population. Muslims form the second largest community accounting for 18% of the total population. The other religions followed are Sikhism; Jainism and Buddhism.

**Literacy Rate:** The literacy rate of the state is 68% which is much lower than the national figure. The male literacy is 77% whereas female literacy stands at just 57%.

A brief socio-economic snapshot of the State is summarized below:

Area	2,40,928 km <sup>2</sup>
Population (2011 census)	19.95 crore (16% All India Share of Population)
Density of population (2011)	828 persons per km <sup>2</sup>
Decadal Growth (2001-11)	20.80
Percentage of Male population	52
Percentage of female population	48
sex ratio	912
Percentage of population between 0 to 6 years	15
Literacy rate (2011)	67.7
Male literacy rate	77



Area	2,40,928 km <sup>2</sup>
Female literacy rate	57
Percentage of scheduled caste population	21
Percentage of tribal population	0.6

### 5.1.2 Economic Profile

Under the economic profile, issues covered include working population; occupations; and use, and income. The details are in the paragraphs below.

#### Land use Pattern in UP

The land use pattern in UP is predominantly agriculture based. The breakup of the land use (2010-11) is given in **Table 5.1**.

**Table 5.1: Land Classification in U.P**

S. No.	Land Classification	Area (Thousand Hectares)	Percent (%)
1.	Forest	1658	7
2.	Barren and Uncultivated land	486	2
3.	Land under non agriculture uses	2835	12
4.	Waste land unfit for Agriculture	426	2
5.	Permanent pastures and grazing land	66	0
6.	Area under trees and grooves	354	1
7.	Current fallow land	1215	5
8.	Other fallow land	538	2
9.	Net area sown	16592	69
<b>Total</b>		<b>24171</b>	<b>100</b>

### 5.1.3 Employment Pattern

The work participation for various industries are summarizes for the districts and presented in **Table 5.2**.

**Table 5.2: Work Participation for Various Industries**

Industries	2001-02	2004-05	2007-08	2008-09	2009-10	2010-11
1. Agriculture & livestock	769	754	802	808	749	749
2. Mining & Quarrying	13	11	12	13	12	12
3. Manufacturing	2224	1994	2016	1974	1963	1951
4. Electricity, Gas	396	398	410	414	415	418
5. Construction	1054	988	1009	1017	1014	1014
6. Trade & Commerce	807	647	636	620	618	619
7. Transport	492	457	471	482	493	498
8. Financing. Insurance & Real Estate etc.	5195	5263	5332	5390	5440	5528
9. Services	<b>14689</b>	<b>14873</b>	<b>14944</b>	<b>14958</b>	<b>15040</b>	<b>15069</b>
<b>Total</b>	25639	25385	25632	25676	25744	25858

Source: Statistical abstract on Uttar Pradesh, 2012



The work participation rate for total workers is defined as the percentage of total workers to total population. In a similar way it is defined for main and the marginal workers. The main workers are distributed in nine industrial categories of economic activities as per 2011 census. Table 5.3 illustrate the work participation in the project districts of the state of Uttar Pradesh for the main and marginal workers. The relative importance of the main spheres of economic activity may be gauged from the pattern of distribution of main workers in cultivation, agricultural labour, household industry and other economic activities

**Table 5.3: Work Participation for Main and Marginal Workers ('000)**

District	Main workers			Marginal workers		
	Total	Rural	Urban	Total	Rural	Urban
<b>Uttar Pradesh</b>	39,338	31,243	8,095	14,646	13,433	1,213
<b>Jhansi</b>	467	295	172	179	143	36

Source: Census of India, 2011

#### State's Income and per capita income

<b>Total State Income (2009-10) – current prices</b>	INR 4,53,020 crore
<b>Per capita Income (2009-10) current prices</b>	INR 23,132

Source: Statistical abstract on Uttar Pradesh, 2012

As the table above shows, the per capita income in the state is INR 23,132 which is less than half of the national per capita income of 54,835.

## 5.2 Census and Socio-economic Survey Analysis

Successful implementation of Rehabilitation Action Plan (RAP) depends on appropriate and accurate census and socio-economic survey of Project Affected Persons (PAPs). Without these, there can be no measurement of precise impacts on the affected persons and therefore it becomes difficult to frame appropriate entitlement policies. Also, in the absence of surveys it is difficult to measure the achievement or non-achievement of the basic objective of the RAP. Details of Socio-economic analysis are presented in **Annexure – 5.1**. Two kinds of surveys were taken up in course of the study:

- Census verification survey;
- Census socio-economic survey.

## 5.3 Objectives of the Census and Socio-economic Surveys

The objectives of the census verification survey were:

- To collect information regarding likely project impacts in order to facilitate designs of various components of RAP
- To set up a cutoff date so as to monitor the influx of new people
- To desegregate the properties by type and identification of possible categories of entitlement.

The objectives of the socio-economic survey were:



- To attach actual values to key indicators of the PAPs social and economic status and their vulnerability to socio-economic change due to the project.
- To assess use/dependence on common property resource
- To provide a benchmark for any further information needed to monitor and evaluate EPs in the future; and
- To provide further inputs in preparation of RAP

People who are not surveyed during the census will not be considered as PAP, as the date on which the census survey was carried out will act as a cutoff date. The cutoff date will be used to establish whether a person located in the corridor qualifies as a PAP during the implementation of the various phases of the project. However, a person not enumerated during the census, but able to prove their stay in the project corridor, during the census survey will be considered for entitlement. The survey for this project corridor was carried out between 4 October-2014 to November-2014

#### 5.4 Categories of Properties Affected within COI

The number of properties getting impacted within corridor of impact for Garautha - Chirgaon SH-42 roads the various categories of impacted properties is as under:

**Table 5.4: Distribution of Project Affected households by Type of Loss**

Residential	Commercial		Residential cum Commercial	Others	B. Wall	Total
	Structures	Kiosk				
19	7	45	1	16	2	90
21%	8%	50%	1%	18%	2%	100%

Source: EGIS Primary Survey 2014.

Other Properties includes loss of trees, irrigation units, etc. As the table above clearly shows that impact is more on commercial structures including temporary kiosks, though majority of them are temporary. Out of total project affected households, 58% are commercial; 1% are residential cum commercial, 21% are residential and others cum boundary wall come to 20% only.

This is primarily because commercial structures are always established along the highways for better business prospects. It is only the squatter & Kiosk who will be displaced.

**Table 5.5: Distribution of Community Properties by type**

Temple / Shrine / Chabutra	Mosque	Well	Boundary Wall	Water tank	Hand pump	Others	Total
5	0	1	1	0	33	0	40

Source: EGIS Primary Survey 2014.

As the table above shows a total of 40 community properties are within the corridor of impact of which 33 are hand pumps and 7 are cultural properties. The details are given in **Annexure - 5.2** and **Annexure – 5.3**.


**Table: 5.6 Actual Impacts**

Impact of the Project	No. of PAPs	No. of PAHs		No. of PAFs	No. of PDFs		
	361	90		136	70		
Project Affected Households by Status of Ownership	<b>Squatter</b>	<b>Encroacher</b>		<b>Kiosk</b>	<b>Tenant</b>		<b>Total</b>
	7	38		45	0		90
Distributions of Affected Households by Type of Loss	<b>Residential</b>	<b>Commercial</b>		<b>Resi cum Comm</b>	<b>Others</b>	<b>B. Wall</b>	<b>Total</b>
		<b>Structures</b>	<b>Kiosk</b>				
	19	7	45	1	16	2	90
Distribution of Families by Type of Loss	Residential	<b>Commercial</b>		Residential cum Commercial	Others	B. Wall	Total
		Structures	Kiosk				
	33	10	61	2	25	5	136
Distributions of PAFs and PDFs by Type of Affect	<b>Residential</b>	<b>Commercial</b>	<b>kiosk</b>	<b>Resi.+ Comm</b>	<b>Others</b>	<b>B. wall</b>	<b>Total</b>
	0	9	61	0	0	0	70
Eligible for R&R assistance (9 Families of Squatter and 45 Kiosk )	0	9	45	0	0	0	54
Compensation for the structure at replacement value	<b>Squatter</b>	<b>Encroacher</b>		<b>Kiosk</b>	<b>Tenant</b>		<b>Total</b>
	7	38		0	0		45

## 5.5 Analysis of Census and Baseline Socio-economic Data

A detailed socio-economic survey was conducted in conjunction with the census of the project-affected persons (PAPs) to profile the impacted project area and provide a baseline against which mitigation measures and support will be measured. For this purpose, comprehensive information related to people's assets, income, socio-cultural and demographic indicators, religious structures, and other sources of support such as common property resources were collected. The analysis has covered the needs and resources of different groups and individuals, including intra-household analysis and gender analysis. The analysis is based on the cutoff date for entitlement assigned in the project (the cutoff date for the non title holder is the start date of census).

**Table 5.7: Distribution of Affected and Displaced Families**

No. of PAPs	No. of PAHs	No. of PAFs	No. of PDFs
361	90	136	70

Source: EGIS Primary Survey 2014

As shown in the table above, a total of 90 households (136 families) will be affected due to proposed road up gradation, which in turn will affect 361 persons.

**Table 5.8: Distributions of PAFs and PDFs by Type of Affect**

Affect Type	Type of Loss						
	Residential	Commercial	kiosk	Resi.+ Comm	Others	B.wall	Total
Displaced	0	9	61	0	0	0	70
<b>PAF</b>	33	10	61	2	25	5	<b>136</b>

Source: EGIS Primary Survey 2014

Note: Partial: Loss less than 10%; Adverse: Loss between 10 to 25%; Displaced: Loss more than 25%





Approximately 51% of the total affected families will be displaced either because of loss of residential property or commercial property/Kiosk. It is only the squatter & Kiosk who will be displaced.

**Table 5.9: Demographic in Corridor of Impact**

Demographic/Social															
Distribution of PAPs by type of Sex			Distribution of Families by Family Type				Distribution of Families by Religious Groups				Distribution of PAFs by Social Stratification				
Male	Female	Total	Nuclear	Joint	Extended	Total	Hindu	Muslim	Others	Total	SC	ST	OBC	General	Total
211	150	361	88	34	14	136	129	7	0	136	28	0	57	51	136
58%	42%	100%	65%	25%	10%	100%	95%	5%	0	100%	21%	0	42%	37%	100%

**Table 5.10: Social Characteristics in Corridor of Impact**

Distribution of PAPs by Marital Status							Distribution of PAPs by Age Group						
Married	Unmarried	Divorced	Separated	Widow	Total	0 to 6 years	7 to 15 years	16-18	19-21	22-35	36-58	59 and above	Total
214	140	0	0	7	361	40	48	26	28	102	84	33	361
59%	39%	0	0	2%	100%	11%	13%	7%	8%	28%	23%	9%	100%

Source: EGIS Primary Survey 2014

During the census survey, sex of every individual was recorded as it helps in identification of family and vulnerable category as per R&R policy. As the table above shows, approximately 58% PAPs are male and 42% are female. Majority of the families (65%) are nuclear in nature. Nearly 95% of the PAFs follow Hinduism. Caste configuration shows that 63% of the PAFs are from other backward castes and 37% belongs to general caste. The scheduled castes are 21% of the total affected families.

To identify affected families as per the R&R policy of UP State Roads Project, marital status of PAPs has been recorded and more specifically of women PAPs. According to survey results, number of unmarried PAPs is higher than married ones. Data for divorced, separated, widow and deserted was specifically analysed as they all form separate family as per R&R policy and are eligible for R&R assistance. The marital status of the PAPs shows that 59% are married. Nearly 2% PAPs are widows and no separated or divorced has been found.

Age group classification: As per R&R policy, all males/women above the age of 18 years, irrespective of marital status will be considered as separate family. Age group classification also helps in assessing dependent and economically independent population.

As the table on age cohort shows, nearly three fifth of the population comes under economically independent group of 19 to 58 years of age. About 11% of the population comes under non-school going age and about 9% are above the 59 years.



**Table 5.11: Distribution of PAPs by Literacy Level**

Illiterate	Primary	Upper primary	Secondary	Intermediate	Graduate	technical	Others	Total
103	64	78	46	26	28	5	11	361
29%	17%	22%	13%	7%	8%	1%	3%	100%

Source: EGIS Primary Survey 2014

Literacy level is a quantifiable indicator to assess the development status of any area/region. Higher the literacy rate, more developed the area would be. Secondly, in displacement induced development project, data on literacy level of PAPs helps in formulating alternative income restoration schemes. Keeping this in mind, literacy level of PAPs was recorded during the Census Survey.

For recording literacy level, completed years of education have been taken. e.g., respondent who failed to clear 10th standard has been considered as middle literate. Similarly respondent who failed to clear 12th standard has been considered as secondary literate. However, those who have attended school but failed to clear 5th standard still have been considered as primary. The literacy rate among the PAPs is quite high. Nearly 29% of the PAPs were found to be illiterate. Even among the literates, 17% PAPs are literate up to primary level. Graduates and above are only 8% of the total population. Around 1% have done some technical literacy.

**Table 5.12: Distribution of Families by Type of Loss**

Residential	Commercial		Residential cum Commercial	Others	B. Wall	Total
	Structures	Kiosk				
33 (24%)	10 (7%)	61(45%)	2(1%)	25 (18%)	5 (4%)	136

Source: EGIS Primary Survey 2014

As the **Table 5.12** above shows, impact is more on commercial establishments which are immediate property in most cases of built-up sections. Out of total 136 affected families, nearly 24% are residential & only 7% are commercial, 45% are from Kiosk. Another 1% families are affected due to loss of residential cum commercial structures. Among the affected commercial structures, 61 are kiosks those who will be displaced.

**Table 5.13: Vulnerability Status of the Household in Corridor of Impact**

Vulnerability Status of the Household			
Caste	BPL	WHH	Total
53	12	1	66

Source: EGIS Primary Survey 2014

The survey results show that out of 66 families, 53 are vulnerable. Among the vulnerable families, 80 % are socially vulnerable and rest 20% is economically vulnerable.

**Table 5.14: Distribution of Project Affected Households by status of ownership**

Status of Ownership				
Squatter	Encroacher	Kiosk	Tenant	Total
7 (8%)	38 (42%)	45(50%)	0 (0%)	90 (100%)

Source: EGIS Primary Survey 2014



The survey results shows that over 8% are squatter. Apart from squatters, 50% are kiosk owners and 42% are encroachers.

### Resource Base of the Affected Families

This section of the report deals with the economic status of the Project Affected Persons (PAPs). The information presented below has been collected through both census as well as sample socio-economic survey. The economic indicators considered during the survey were usual activity, occupational pattern, average household income and expenditure, number of families below poverty line, asset holdings, etc.

**Table 5.15: Resource Base**

Enlistment of Families		Facilities owned by Families	
No. of families holding ration card	130	No. of families with electrification	83
No. of families holding voter card	132	No. of shops with electrification	23
Families with legal document	36	No. of families with tap connection	0
		No. of shops with tap connection	0

Source: EGIS Primary Survey 2014

As the table above shows, out of 136 families, 130 holds ration card and 36 households also owns legal document of the property. Out of 361, less than half of the PAPs (37%) holds voter's card. Approximately more than 23% of the families have electricity connection whereas no families have tap connection. None of the shop has electricity connection, none have any tap connection.

**Table 5.16: Construction typology of structures**

Permanent	Semi Permanent	Temporary	Total
1	13	76	90

Source: EGIS Primary Survey 2014

As the table above shows, construction typology of majority of the affected structures (approximately 84 %) is temporary as most of them are either kiosks or small eateries along the road side.

**Table 5.17: Usual Activity**

Occupation							
Worker	Non Worker	Main Worker	Migrated Worker	Home Worker /House Wife	Student	Non school going age children (0to 5 years)	Others
112	16	12	0	91	86	33	11

Source: EGIS Primary Survey 2014

### Usual Activity

It is important to record usual activity so as to assess whether PAP is gainfully employed or not. The activity the PAP is engaged in helps in formulating alternative income generation schemes. Accordingly activity where a person spends 8 or more than 8 hours in a day has been considered as usual activity for the respondent. Such activities may be directly economically gainful or may not be. Accordingly, PAPs have been classified into 8 categories as defined in Census of India.



As the Table above shows, over one fourth of the total PAPs are engaged in some or the other kind of economically gainful activity and hence are in the category of workers. In rural areas, generally some kind of economically gainful activities are always available either in cultivation or non-agriculture labour activities run under various government poverty alleviation schemes. Still a small percentage of PAPs are reportedly non-workers or unemployed. Hence, such section of PAPs will require special attention during implementation phase of RAP. Over one fifth of the total PAPs reportedly are engaged in household chores and such PAPs are primarily women. Details about the household activities carried out by women PAPs are presented in chapter eleven on vulnerable groups.

### Occupational Pattern

Occupational pattern of the PAPs are recorded to assess their skill so that they can be imparted training in the same trade for alternative income generating scheme. Secondly, occupational pattern helps in identifying dominating economic activity in the area.

As the survey results shows, trade and business (primarily petty shops) is the most common occupation found among the PAPs settled along the road. Nearly 49 percent of the PAPs are engaged in Trade and Business followed by non agriculture labourers and agriculturists.

### Average Annual HH Income and Expenditure

**Table 5.18: Distribution of H H by Income Level**

1000 - 5000	5001 -10000	10001 -15000	15001 -20000	Total
62	19	5	4	90

Source: EGIS Primary Survey 2014

**Table 5.19: Distribution of Households by Primary Source of Income**

Source	Number of HHs	% to total
Agriculture	11	12
Petty trade and business	44	49
Agriculture labour	11	12
Non agriculture labour	12	14
Daily wage earner	2	2
Salaried	10	11
<b>Total</b>	<b>90</b>	<b>100</b>

Source: EGIS Primary Survey 2014

Annual income helps in identifying families below poverty line. During the survey income of a household through all possible sources was recorded. Accordingly, the average monthly household income, as table above indicates is Rs. 5133. The various sources asked during the survey for calculating household income includes agriculture; allied agriculture activities; agriculture labour; non-agriculture labour; household industries; services; trade and business; profession; etc. Income from these sources was added up and weighted average was taken to arrive at average annual income figure.

The average monthly expenditure is Rs. 4826 which is little less than the income and this is one reason why PAPs have some kind of saving. The various heads of expenditure asked during the



survey included food; fuel; clothing; health; education; communication; social functions; etc. Like income, in calculating average expenditure per family, expenses made against each head was added up and weighted average was taken up to arrive at average annual expenditure.

### Household Asset Structure of PAPs

Any development project brings about a change in the life style and the standard of living of the PAPs. Apart from movable properties such as land and house, it also has an impact on immovable properties. Any improvement in the economic conditions of the families is usually reflected in acquisition of these assets and similarly any adverse economic situation results in selling of these assets. The asset structure is an indicator of the economic strength of a particular family and its capacity to sustain the impact. The assets recorded during the sample socio-economic survey includes; livestock, household furniture, utensils, durables, etc.

**Table 5.20: Household Asset Structure (Average Unit holding per Family)**

Category wise HH assets								Irrigation unit		
Average Land holding (in acres)	Average financial asset (savings)	Average HH debt	Average no. of trees per HH	Fruit	Fodder	Fuel wood	Timber	Well	Tube well	Canal
1.1	3688	1283	4.33	3.85	0	0.01	0.47	0.02	0.03	0.4
Durable Assets										
TV/Tape /Radio	Bicycle/Motorcycle	Jewellery /watch	Furniture	Utensils	Bullock cart	Iron/ wooden plough	Hoe/Sickle	Tractor / Thresher	Cattle	Poultry birds
0.21	1.53	41.98	17.88	16.65	0.05	0.03	1.18	0.01	0.42	0.01
										Goats/ Sheep/Pig
										0.11

Source: EGIS Primary Survey 2014

### Land Details

The table above indicates that average land holding for a family varies from less than an acre to 1.1 acres. Most of the agriculture land in the project area is unirrigated.

The average size of homestead land varies from 168 sq. m to 239 sq. m.

### Other Durable Assets

Utensils and furniture are the most common household items used by every family in the project road. This is mainly because of two reasons viz., apart from being most important items, are also the cheapest of all other durable assets used by a family. Among the expensive assets, number of jewellery and watches were found more than motorcycles, televisions, tape recorder and radios.

### Agriculture Implements

Small agriculture tools like hoe or sickle is possessed by all the families holding land followed by plough (either wooden or iron). Ownership of tractor and thrasher is also less found in the project road.



### Need for data update and mechanism to conduct update

Since the census and socio-economic survey was conducted during Oct/November 2014 and RAP implementation usually starts at least one year after the RAP preparation, which implies that actual physical relocation of PAPs will be delayed by a year. Therefore, it is suggested that partnering NGOs entrusted with the responsibility of RAP implementation along with PWD, should conduct a Core Rapid Appraisal.

R&R Coordinator from PWD will supervise the entire exercise and this document would serve as revised baseline information for the PAPs finally getting affected by the project. (Please see table number 9-1 in chapter 9 for detailed responsibility of R&R Coordinator. However non-title holders the day of census survey (conducted during the preparation stage of the project) will remain as cut-off date. The mechanism to conduct update is given below. Details are provided in table 6.2 of this report.

**Table 5.21: Core Rapid Appraisal Mechanism**

S. No.	Technique	Method	Group Size	Staff Required	Time
1	Key Informant interview	Interview selected local with special knowledge or experience	5-10 per group	Interviewer observer & moderator	Selection plus 3 hours interview per village
2	Focus group	Specific topic discussed in open-ended group sessions	5-10 per group	Interviewer observer & moderator	2 hours per group per village
3	Community Interview	Open public meeting with prepared questionnaire	Large number (more than 10)	At least 2 interviewer	1 day per village
4	Structured direct observation	Observation of people and things plus individual or group interviews if desired	Large or small numbers	Team of 4 or 5	Several days
5	Informal surveys	Non probability sampling with open ended questionnaires	Sample size of 10-20 respondents	Team of 4 or 5 surveyors	One day per village







## 6 COMMUNITY PARTICIPATION

### 6.1 Introduction

Public participation was undertaken to make explicit the social factors that will affect the development impacts of planned highway improvements and mediate project results. Through public participation, stakeholders and key social issues were identified and strategy was formulated. It included socio-cultural analysis and design of social strategy, institutional analysis and specifically addressed the issue of how poor and vulnerable groups may benefit from the project.

Participation is a process, through which stakeholder influence and share control over development initiatives and the decisions and the resources, which affects them. The effectiveness of R&R programme is directly related to the degree of continuing involvement of those affected by the project. Comprehensive planning is required to assure that local government, NGOs, host population and project staff interacts regularly, frequently and purposefully throughout all stages of the project. Participation of persons directly affected by projects is a primary requirement in development of R&R, if its programmes are to be suited to the needs of the resettled population. Their involvement vastly increases the probability of their successful resettlement and rehabilitation.

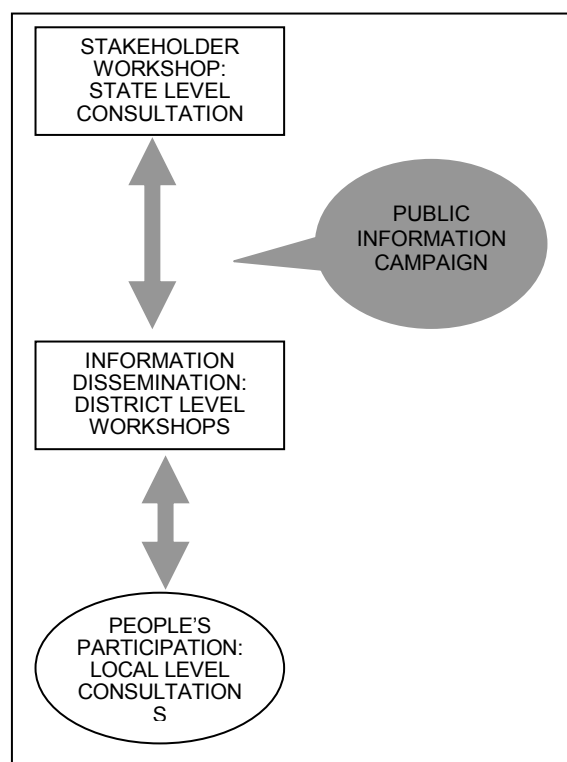
### 6.2 Consultation and Participation Mechanisms

Experience indicates that involuntary resettlement generally gives rise to severe problems for the affected population. These problems may be reduced if, as part of a resettlement program, people are properly informed and consulted about the project, their situation and preferences, and allowed to make meaningful choices. This serves to reduce the insecurity and opposition to the project which otherwise are likely to occur.

The project will therefore ensure that the affected population and other stakeholders are informed, consulted, and allowed to participate actively in the development process. This will be done throughout the project, both during preparation, implementation, and monitoring of project results and impacts.

During implementation and monitoring stage, information will be disseminated to project affected persons and other key stakeholders in appropriate ways. This information will be

**Flow Chart 1: Levels of Consultation**





prepared in Hindi and local languages as required, describing the main project features including the entitlement framework. Consultation will be carried out in ways appropriate for cultural, gender-based, and other differences among the stakeholders. Where groups or individuals have different views/opinions, particular emphasis will be laid on the views and needs of the vulnerable groups.

The Resettlement Action Plan provides detailed information regarding the consultation process. It describes information disclosure at preparation stage. The consultation process established during preparation stage of the project uses different types of consultation such as in-depth interviews with key informants, focus group discussions, seminars and meetings. The consultation program included the following:

- Heads of households likely to be impacted;
- Household members;
- Clusters of PAPs;
- Villagers;
- Village panchayats
- Government Agencies and Departments; and

As part of the consultation process, women are given the opportunity to voice their views without the presence of men.

As part of the preparation for the project, state level workshop was conducted with participation from key stakeholders including local NGOs, academic institutions, government officials, and others. The purpose of the stakeholder workshop was to present and discuss the framework and approach to social impacts and resettlement, and to achieve agreement about implementation mechanisms and coordination among different groups and agencies.

The main objectives of the consultation program were to minimize negative impact in the project corridors and to make people aware of the road rehabilitation project. During the process efforts were made to ascertain the views and preferences of the people. The aims of community consultation were:

- To understand views of the people affected w.r.t to the impacts of the road
- To identify and assess all major economic and sociological characteristics of the village to enable effective planning and implementation and,
- To resolve the issues relating to affect on community property.

### **6.3 The Process**

Consultation process was carried out at Village level and all the comments received have been incorporated in this version of RAP.

#### **Issues Raised During Consultation**

- Participants were concerned about the safety of local population staying along the proposed roads. Suggestions made for such areas included railing or parapet walls along the route in urban areas.
- Concerns were shown on amount and mode of compensation. General consensus was on replacement value for any immovable property acquired. Participants also suggested that



compensation be paid in one single instalment so that the amount can be used in a fruitful manner.

- Participants also agreed that in case of displacement, resettlement colonies along with all basic amenities should be constructed before physical possession of properties of PAPs.
- On being informed that squatters will receive assistance under the project, apprehensions were expressed by participants. They feared that this step would lead to further encroachment and squatting along the roads.
- Revenue officials expressed their apprehensions regarding court cases unless PAPs are taken into confidence are told about the benefits and compensation package well in advance.

#### **6.4 Local Level Consultations**

Consultant carried out local level consultations for Garautha – Chirgaon Road. Efforts were made to select both small and big habitations in order to get representation of all the segments of affected population. More than one-group discussions were held in seven villages. The size of group was restricted to 10 to 15 so that everybody gets the chance to express their views on the project. The objectives of local level consultations were to inform the affected persons about the project, R&R policy, to incorporate their views on the policy in RAP and mitigation measures as suggested by them. Consultation was carried out by utilizing the tools which is provided in **Annexure – 6.1**. The consultation was carried out at two levels i.e. Community level and Institute level. The community level consultation included gathering opinion & suggestion regarding improvement and changes at the ground level to be addressed in this social mitigation plan. Information from the consultation has been provided in **Annexure – 6.2**.

##### **Methodology**

Consultation team included one socio-economic Analyst specialized in qualitative data collection, two women community organisers and one moderator. Data was collected through one to one meeting techniques.

##### **Key findings of the local level consultations**

The key findings of the local level consultations are as follows:

- Though participants were aware of the fact that road will be widened, but the people did not know details of the project.
- People were also concerned about the burial ground and trees getting affected. Temples however could be shifted in consultation with local place.
- People agreed to participate in the process of identifying alternate site for the road .
- PAPs were of the view that community should be consulted before the drawings of the roads are finalised.
- People are in favour of road widening and they even agreed for central widening.
- PAPs were also concerned about the compensation payment. Therefore, a strong demand for cash compensation at replacement value for the acquired property was made. PAPs demanded cash compensation.
- Safety issues were paramount in all discussions. At one village people also demanded for traffic police to monitor the flow of traffic at the intersection of their village.



- As regard to employment in the project or with the contractor was preferred over temporary job during the project implementation. However, quite a significant number of the PAPs declined to work as labourers with the contractors.

**Table 6.1: Local Level Consultation Output**

Name of the Village	Issues Raised	Suggestions of PAPs (Response)	Mitigation Measures / Design Approach
<b>Garautha-Chirgaon Km 118 to 168 km SH- 42</b>			
VILLAGE & BLOCK – GARAUTHA, DISTT- JHANSI (12/11/2014) VENUE- NEAR-BUS STOP.	• Encroachment	Majority of the PAPs agreed they are encroachers and are willing to shift out of CoI.	Assistance to vulnerable encroachers, squatters and Kiosk as per R&R policy
	• Widening option	Should be widened according to the land availability.	Concentric Widening
	• Employment	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.	Drainage provided in all urban areas
	• Shifting of religions structure	Relocation should be carried out in consultation with village community	Will be relocated in consultation with the village community
	• Compensation	Cash compensation at replacement value	As per the policy, compensation will be provided at replacement value
	• Safety	In market place provide three breakers within a distance of 1 km along with the median and street light	Various safety signage will be provided. Footpath and safety railing in every urban area. . Project has a separate component on road safety.
	• Civic Amenities	Sanitation, Drinking Water, Internal road be provided	Will be provided in resettlement colonies
VILLAGE-SHEELA, BLOCK – GARAUTHA, DISTT-JHANSI (10 /11/.2014) VENUE- MUNNI SINGH HOUSE	• Encroachment	PAPs agreed that they are encroachers.	Assistance to vulnerable encroachers, squatters and Kiosk as per R&R policy
	• Widening option	Concentric Widening	Concentric Widening
	• Employment	Training to be provided for Self employment. Employment with contractor	As per the policy, contractor to give preference to local population. NGO will provide training for self employment for eligible PAPs.
	• Drainage	Provide drain along with road to reduce water logging	Drainage provided in all urban areas
	• 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.
	• Civic Amenities	School, Hospital, Sanitation, Drinking Water, internal roads	Will be provided in resettlement colonies
	• Widening Option	Concentric Widening as per the clear space available	Concentric Widening



Name of the Village	Issues Raised	Suggestions of PAPs (Response)	Mitigation Measures / Design Approach
TOWN & BLOCK-GURSARAIN, DISTT-JHANSI (05/10/2014) VENUE-TYAG MURTI INTER COLLEGE.	• Employment	Permanent employment	As per the policy, contractor to give preference to local population. NGO will provide training for self employment for eligible PAPs
	• Drainage	Provide drains on both side of the road	Drains provided in all urban areas
	• Compensation	Cash compensation at replacement value	Compensation will be provided at replacement value as per the policy
	• Safety	Speed breakers should be provided at both the ends of the village	Safety signage will be provided. Footpath and safety railing in every urban area. Project has a separate component on road safety.
	• Widening Option	Widening option as per availability of land.	Concentric Widening
VILLAGE-BAGHAIRA, BLOCK – GURSARAIN, DISTT-JHANSI (05 /10/2014) VENUE-NEAR BAGHAIRA CHAURAHA	• Employment	Would prefer Permanent employment with the road contractor.	As per the policy, contractor to give preference to local population
	• Drainage	Provide drain	Drainage provided in all urban areas
	• Shifting of religions structure	Village community should be consulted. Relocation site and process will be finalised by the community.	Will be relocated in consultation with the village community
	• Compensation	Cash compensation at replacement value	As per the policy, compensation will be provided at replacement value
	• Safety	Speed breaker at entry and exit of the village	Footpath and safety railing in every urban area. Various safety signage will be provided. Project has a separate component on road safety.
	• Removal of encroachment	Villagers agreed that they are encroacher and agreed to move out	Assistance to vulnerable encroacher and squatters as per the policy
	• Widening Option	Road should be widened on both side as per the clear space available	Concentric Widening
VILLAGE-RAMNAGAR, BLOCK-CHIRGANW, DISTT-JHANSI (22 /11/2014) VENUE-VINOD NAYAK MARKET	• Drainage	Drains should be provided	Drainage facility in every urban area
	• Shifting of religions structure	Relocation should be in consultation with village community	Village community will be consulted during relocation of religious structure
	• Compensation	Should be provided at replacement value	Compensation at replacement value as per the policy
	• Safety	Speed breaker and median should be provided,	Footpath and safety railing in every urban area. Project has a separate component on road safety.
	• Encroachment	Clear space of 18 m is available so road should be widened accordingly on either side	



Name of the Village	Issues Raised	Suggestions of PAPs (Response)	Mitigation Measures / Design Approach
	• Widening Option	Road should be widened on either side	Concentric Widening
	• Demolition of commercial structures	New structures be provided before demolition of existing ones.	Commercial space will be provided as per the policy
	• Safety	Breakers, Sinages	Safety railings and signage will be provided. Project has a separate component on road safety.
VILLAGE-SIYA,BLOCK-CHIRGANW,DISTT-JHANSI (04 /10/2014) VENUE- NEAR PRIMARY SCHOOL	• Employment	At least one member of the family should get permanent employment	As per the policy, contractor to give preference to local population during construction
	• Drainage	Water logging is a major problem. Drainage should be provided	Drainage will be provided in all urban areas as part of the project design
	• Demolition of commercial structures	New structures be provided before demolition of existing ones.	Commercial space will be provided as per the policy
	• Compensation	Cash compensation should be paid before relocation	As per the policy, compensation will be paid at replacement value
	• Safety	Speed breakers and signage's will reduce number of accidents	Safety railings will be provided in all urban areas. NGO will hold awareness generation camps for safety issues during RAP implementation. . Project has a separate component on road safety.
	• Encroachment	PAPs agreed that they are encroacher	Vulnerable encroacher and squatters to be assisted as per the policy
VILLAGE-SULTANPURA, BLOCK-CHIRGANW, DISTT-JHANSI (05/10 /2014) VENUE-GHANSHYAM HOUSE	• Widening Option	Road should be widened on either side	Concentric Widening
	• Drainage	Drains should be provided	Drainage facility in every urban area
	• Shifting of religious structure	Relocation should be in consultation with village community	Village community will be consulted during relocation of religious structure
	• Compensation	Should be provided at replacement value	Compensation at replacement value as per the policy
	• Safety	Speed breaker and median should be provided,	Project has a separate component on road safety.

## 6.5 Continuation of Public Consultations

The effectiveness of the R&R program is directly related to the degree of continuing involvement of those affected by the project. Participation of PAPs has been emphasised in the development of RAP to assure that its components are suited to the needs of the impacted and resettled population. Their continued involvement and participation during RAP implementation will both increase the probability of their successful resettlement and rehabilitation and contribute to the overall project success.





During the preparation stage, consultations were held at local level. Several additional rounds of consultations with PAPs have been planned in the action plan through partnering NGO during RAP implementation. Consultations during RAP implementation will involve agreements on compensation and assistance options and entitlements with PAPs and completion of a PAP identity card indicating the accepted entitlement package. The other round of consultations will occur when compensation and assistance are provided and actual resettlement begins.

### **Plan for Continued Participation**

The following set of activities is required for effective implementation of RAP. This will also help in timely execution of RAP.

### **Information Disclosure**

For the benefit of the community in general and PAPs in particular, RAP and R&R policy will be translated in Hindi and kept at

- Public Libraries of the districts
- Office of Chief Development Officer, and
- Libraries of various colleges in the district.
- PWD offices in project districts
- Schools of the villages affected, and
- Any other public place along the highway

A copy of RAP and R&R policy will also be placed at the office of Chief Engineer, UP PWD, Lucknow and respective PWD circles and divisions.

### **Public Information Dissemination**

PWD offices located along the Project Corridors will provide actual information and policies and other rehabilitation actionplan to the people in continuous manner. For this, following are proposed

- The NGOs involved in the implementation of RAP will organise Public meetings, and will appraise the communities about the progress in the implementation of limited works.
- The NGO will organise public meetings to inform the community about the payment and assistance paid to the community. Regular update of the program of resettlement component of the project will be placed for public display at the PWD office.

### **Community Participation**

For effective implementation of RAP, it is essential to provide scope of involving communities and PAPs in the process. The mechanism of involving communities is suggested below :

**Table 6.2: Core Rapid Appraisal : Mechanism for Continued Participation**

<b>Project Stage</b>	<b>PAPs</b>	<b>NGOs</b>	<b>Hosts</b>	<b>Project &amp; Local Officials</b>
Planning	<ul style="list-style-type: none"><li>• Participate in public meetings</li><li>• Identify alternatives to avoid or minimise displacement</li><li>• Assist in developing and</li></ul>	<ul style="list-style-type: none"><li>• Assist in impact assessment</li><li>• Assist in census and SE survey</li><li>• Participate in coordination</li></ul>	<ul style="list-style-type: none"><li>• Provide information or various aspects of host communities</li><li>• Assist in data collection and</li></ul>	<ul style="list-style-type: none"><li>• Provide information on PAP skills etc.</li><li>• Suggest ways to minimise impacts</li><li>• Indicate local staff</li></ul>





Project Stage	PAPs	NGOs	Hosts	Project & Local Officials
	<p>choosing alternative options for relocation and income generation</p> <ul style="list-style-type: none"> <li>• Help to choose resettlement sites.</li> <li>• Participate in survey</li> <li>• Participate in meeting with host population</li> <li>• Provide inputs to entitlement provisions</li> <li>• Assist in preparation of action plan</li> <li>• Suggest mechanism for grievance redressal and participate in grievance redressal</li> <li>• Participate in coordination committees</li> </ul>	<p>committee</p> <ul style="list-style-type: none"> <li>• Participate in group meetings</li> <li>• Design and implement an information campaign</li> <li>• Support group formation, problem identification and planning for PAPs and hosts,</li> <li>• Design and Participatory process</li> <li>• Suggest mechanism for grievance redressal of conflict resolution.</li> <li>• Assist in preparation of action Plan</li> </ul>	<p>design</p> <ul style="list-style-type: none"> <li>• Provide inputs to site selection</li> <li>• Identify possible conflict areas with PAPs</li> <li>• Identify social and cultural facilities needed at resettlement sites</li> <li>• Assist in identification of IG schemes</li> <li>• Provide inputs for design of IG schemes</li> <li>• Help develop a process of consultation between hosts and PAPs.</li> <li>• Suggest mechanism for grievance redressal and conflict resolution.</li> </ul>	<p>and budget capacity for relocation.</p> <ul style="list-style-type: none"> <li>• Assist NGO in information dissemination</li> <li>• Participate in consultations</li> <li>• Examine the feasibility of IG schemes and discuss with PAPs.</li> <li>• Help document and consultations.</li> </ul>
Implementation	<ul style="list-style-type: none"> <li>• Participate in implementation support activities</li> <li>• Participation in local decision making activities.</li> <li>• Decide on management of common properties</li> <li>• Participate in grievance redressal mechanism.</li> <li>• Monitor provision of entitlements</li> <li>• Labour and other inputs of site</li> <li>• Labour and other inputs at site</li> <li>• Credit and other group scheme management</li> <li>• O&amp;M of sites and project inputs</li> <li>• Members of implementation committee</li> </ul>	<ul style="list-style-type: none"> <li>• Provide ongoing information for PAPs and hosts</li> <li>• Provide support in group management</li> <li>• Monitor entitlement provision by implementation of IG schemes.</li> <li>• Assist implementing live deptts.</li> <li>• Provide support to RAP implementation .</li> <li>• Training to eligible PAPs</li> <li>• Support to vulnerable groups</li> <li>• Evaluate community process and social preparation</li> <li>• Provide advice on grievance redressal. Be an interface between PAPs</li> </ul>	<ul style="list-style-type: none"> <li>• Assist APO in relocation</li> <li>• Manage common property at site</li> <li>• Participate in local committees.</li> <li>• Assist PAPs in integration with Hosts.</li> <li>• Assist PAPs in use of new production system.</li> <li>• Use established mechanisms for grievance redressal.</li> </ul>	<ul style="list-style-type: none"> <li>• Process IG proposals</li> <li>• Participate in grievance redressal</li> <li>• Provide assistance under local schemes.</li> <li>• Participate as member of Implementation committee.</li> </ul>



Project Stage	PAPs	NGOs	Hosts	Project & Local Officials
		and PWD for grievance redress, especially for vulnerable groups, and those will low levels of literacy.		
M&E	<ul style="list-style-type: none"> <li>• Participate in grievance tribunals</li> <li>• Report to project on IG schemes</li> <li>• Report on service quality of sites</li> </ul>	<ul style="list-style-type: none"> <li>• Provide information to project staff on vulnerable groups</li> <li>• Act as M&amp;E agency for project</li> <li>• Act as external monitors for project (where not previously involved)</li> </ul>	<ul style="list-style-type: none"> <li>• Provide inputs to M&amp;E of R&amp;R</li> </ul>	<ul style="list-style-type: none"> <li>• Ongoing interaction with PAPs to identify problems in IG programme.</li> <li>• Participants in correctional strategies.</li> </ul>





## **7 GENDER ANALYSIS**

---

### **7.1 Status of Women**

The current situation of women across the Indian states based on a select set of indicators covering issues of work, education, health, survival, safety and women's participation in private and public decision-making is undertaken here to illustrate the relevance of adopting a simple methodology of individual indicators. The indicators used here include both attainment levels as well as gaps between men and women in selected spheres. This analysis reveals the utility of such a methodology in identifying the areas of gender backwardness and possible intervention mechanisms that can prove to be effective in improving the situation of Women. India ranks 103 out of 137 countries in the gender development index (GDI) that reveals the reality of insufficient level of development of women as compared to men in this country. The economic condition of women headed households varies considerably depending upon factors such as marital status, social context of female leadership and decision making, access to facilities and productive resources, income and composition of the household. These conditions form the basis for defining indicators to assess the vulnerability of such households.

There are two important aspects of Uttar Pradesh Core Road Network Development Program under UP PWD where gender issues are required to be addressed. It is expected that in development projects like this project women are going to experience socio-economic impacts due to certain adverse impacts such as eviction from public COI, loss of common property resources, etc.

This is to be noted here that post-project provisions as mentioned in the RAP has been done keeping in mind the well-being of mostly the affected women along with women of the host communities. Thus, these relate to resettlement and rehabilitation. Whereas, gender issues in the construction phase will mostly concern the women workers who will be engaged in the road construction activities. These women workers are expected to come from outside being engaged by the construction contractors and will be staying in the construction camps during the construction. There may be participation from local women also in the construction activities.

#### **Impact on Women in Uttar Pradesh Core Road Network Development Program of UP PWD**

While women constitute almost half of the affected and displaced population in the project area they are neglected from the socio-economic development point of view. Socio economic parameters like literacy, work force participation rate, general health conditions etc. reveals that social status of women is very backward in the project area and thereby brought forward the scope of considering the households headed by women as vulnerable.

#### **Women Headed Households**

Women headed households are found to be less in number in the project area. The number of displaced families is 4 only. This constitutes only 3% of the total families affected. **Table 7.1** below shows distribution of women headed families.

**Table 7.1: Number of Women Headed Households**

Particulars	Nos.
Number of Women Headed Households	1
Number of Women Headed Displaced Families	4
Number of Women Headed Families	4
Number of Project Affected Women (including minors below 18 years)	150

Source: EGIS Primary Survey 2014

For the successful implementation of any project, it is important that both men and women are made equal partners in all stages of the project. This chapter examines the status of women using selected demographic, educational, socio-cultural, health-related and economic indicators. There are two demographic variables that include sex ratio and child sex ratio pertaining to the 0-6 year age group. Effective female literacy and gender gap in literacy rates are the two educational indicators used in this chapter. Female work participation rates along with the gender gap in participation levels are the twin economic variables considered in this analysis.

The indicators used here include both attainment levels as well as gaps between men and women in selected spheres. For any planned development to be effective and for replication of successful experiments, there is a need for more specific details that can be provided by gender related development indicators. However, the variables and indicators for women's status need to be simple and disaggregated. The gender development indicators used generate specific sets of information that has been utilized for identification of and intervention for the amelioration of the status of women.

## **7.2 Gender Issues**

Discussion with women in the project area shows that women work both for the labour market 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.

The role played by women in the care sector, predominantly their reproductive work (bearing, rearing, nurturing children and household maintenance), falls outside the accounting systems. Many of the tasks non-working women are involved in would be considered work if performed by a person hired for the purpose or unrelated to the household. Because women perform roles, which are not statistically counted as economic and hence not monetarily valued, women's roles and their contribution are assigned a lower status. The role fulfilled by women in household maintenance and care activities is often trivialized. Assigning monetary value to all the tasks undertaken by them, however, is not very easy.



### 7.2.1 Female Work Participation Rate and the Gender Gap in Work

The female work participation rate (FWPR) is measured by calculating the proportion of female main plus marginal workers among the female population. Standard definitions of economic activity indicate low rates of FWPR. At the all-India level, only 30 per cent of women are defined as workers, main or marginal. In Uttar Pradesh female work participation rate is lower than the national figure and the gender gap in work is higher. In female work participation rate, Uttar Pradesh is ranked 2 in the entire country with a participation rate of 20. The women work participation rate in project corridor was found to be 10% with a gender gap of 43.3%.

**Table 7.2: Female Work Participation Rate and Gender Gap in Work**

Location	Female Work Participation Rate	Rank	Gender Gap in Work	Rank
Project Road	9.33		32.67	
Uttar Pradesh	20	2	37.8	4
India	<b>30.3</b>		<b>31</b>	

Source: Rustagi Preet 2004) Notes: Work participation rates are calculated as the proportion of total workers (main + marginal) among respective populations above six years. AND Primary Survey results (Census and socio-economic survey).

On the whole, FWPR is low, partly as a result of the poor coverage given to women's work, especially in the unorganized sector and partly due to heavy domestic responsibilities that inhibit women's economic activities. Nearly 50 per cent of women who are principally involved in home-making reported that there was no other household member to undertake these responsibilities.

### 7.2.2 Gender Disparity in Sex

**Table 7.3: Sex Ratio**

Location	Sex Ratio	
	2011	2001
Project road	767	
Uttar Pradesh	912	898
India	<b>943</b>	<b>934</b>

Source: Census of India, 2011 and 2001 and Field Survey results.

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 ratios below the all-India levels and one primary reason is male migration from these states. The situation is extremely poor in the project road where sex ratio is 787 as compared to 912 in the state and 943 in the country.

### 7.2.3 Child Sex Ratio

**Table 7.4: Child Sex Ratio**

Location	Sex Ratio of Children in the Age Group of 0-6 Years	
	2011	2001
Project Road	746	
Uttar Pradesh	899	916
India	914	<b>927</b>

Source: Census of India, 2011 and 2001 and Primary Survey results



The table above reflects a worsening gender balance among children. The situation in the project road is worse than the state.

## **7.2.4 Education**

### **7.2.4.1 Female Literacy Rate**

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 7.5: Female Literacy and Gender Gap in Literacy**

Location	Female Literacy in %	Rank	Gap in Literacy in %	Rank
Project Road	54.66		16.8	
Uttar Pradesh	42.98	4	27.25	3
India	<b>54.16</b>		<b>21.69</b>	

*Source: Census of India, 2001 and Primary Survey*

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 primary schools 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.

## **7.2.5 Women's Health**

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. 12.4 percent women between the age of 14-19 were already mothers or pregnant at the time of the Survey. Marriage of girls before the legal minimum age of 18 is a widespread phenomenon in Uttar Pradesh. Nearly 49 percent girls are married below the age of 18 years in Uttar Pradesh. The position is alarming in Lalitpur and Maharajganj districts where over 80 percent of girls are married off before they reach the age of 18. Early age of marriage is both the symptom as well as a cause of women's subordination in the society. Girls are married off early for a complex array of causes. Socially and culturally perceived as "parayadhan", premium is put on virginity and therefore restrictive controls are imposed on her mobility and sexuality. Girls are thus seen to be protected from violence in society by an early marriage.

The situation in project corridor is no difference as mean age of marriage for girls is 16 years.

## **7.2.6 Women and Work**

As per census 2011, employment opportunities seem to be much lower for women in U.P., which restricts their economic empowerment. The work participation rate (WPR) was very low for females at 16.5 percent as compared to 46.8 percent for males. The work participation rate for women in the project corridor is less than 10 percent.





### 7.2.7 Women's Role in Household Economy

As can be seen from **Table 7.6** below, women participation in economic activities is almost negligible. The survey result shows that 40% of the women PAPs spend their maximum time attending to household chores. Approximately 14% of the women PAPs reported that they are engaged in economically productive activities.

**Table 7.6: Usual Activity of Affected Women**

Usual Activity	N=150	%
Worker	14	9.33
Non Worker	5	3.33
Main Worker	0	0.00
Marginal Worker	0	0.00
Student	25	16.67
Non School going age child (5 to 7 years)	15	10.00
Home Maker	91	60.67
other	0	0.00

Source: Primary Survey

### 7.2.8 Time Disposition

This section highlights women's involvement in various activities throughout the day. Although particulars like child rearing are difficult to record as women are of the opinion that there is no fixed time for rearing children. In joint family, (majority of families here are joint families) children are taken care of by any elder member of the family and not necessarily the mother. In nuclear families, even neighbours at time take care of children for some time. In this area among the respondents the maximum time was being spent by the females on household chores like cooking, washing, collection of drinking water, cleaning, cattle rearing etc. Those who are engaged in labour activities (including service in urban areas) on an average spend 6 to 9 hours every day. Women those who help family members in cultivation, on an average spent over 3 hours in a day. The recorded timings for relaxation and entertainment are pretty high because even sleeping time of 8 hours is also included in this.

**Table 7.7** below presents average time spent by responding women

**Table 7.7: Women – Time Disposition**

S. No.	Activities	Number of Women Respondents	Cumulative Time Spent (hours)	Average Time Spent per Women (Hours)
1	Cultivation	11	33	3
2	Allied activities- Dairy / Poultry	12	24	2
3	Collection of drinking water	36	36	1
4	Collection of Fuel	84	252	3
5	Trade & Business	1	6	6
6	Agricultural Labor	6	48	8
7	Non Agricultural Labor	12	96	8
8	HH Industries	0	0	
9	Service	0	0	0
10	Households Work	91	819	9

Source: EGIS Primary Survey 2014



### 7.2.9 Decision Making Power among Women PAPs

**Table 7.8: Decision Making Power among Women**

Activities	Number of Women Respondents	Percent of Women Saying Yes	Percent of Women Saying No
Financial matter	22	24.18	75.82
Child's education	35	38.46	61.54
Healthcare of child	67	44.67	55.33
Purchase of assets	41	45.05	54.95
Day-to-day activities	45	49.45	50.55
Social functions	30	32.97	67.03
Others	15	16.48	83.52

Source: EGIS Primary Survey 2014

During the 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, marriages and other functions, etc. As the table above shows majority of women PAPs have said that they do not have any decision making power at household level. One fifth of the total sample respondents have say in important matters viz., child's education, child's health, etc. Little over one-tenth of the women respondents reportedly have say in financial matters of household. However, nearly one fourth reportedly have say in purchase of assets and social functions.

### 7.2.10 Gender Based Violence

According to the NFHS III, 44.3 percent of married women in rural areas and 36 percent of women in urban areas have experienced some form or other of spousal violence. The Survey points out those women who have had education of ten years and more, experience least spousal violence. The survey result shows that 28 percent of ever married women faced some kind of spousal violence. 24 % of women respondent who have faced violence said that violence was physical.

## 7.3 Gender Action Plan

### 7.3.1 Awareness Generation Campaign

The campaign will specifically address the issues related to gender based violence; women employment; HIV/AIDS; women health; women empowerment; and literacy among women. Apart from door to door approach; awareness campaigns will be through posters; wall paintings; street plays; village consultations; and various competitions among school children. Orientation workshop on gender issues for PWD officials and contractor's staff will also be carried out by NGO to sensitize staff members on gender related issues.

### 7.3.2 Safety of Women

Women and children are the most affected section of the society when it comes to road accidents and other road related safety issues. Keeping this in mind, road safety has been taken up as a separate component of the project. In order to ensure safety of women and children while using village pond, project will enhance two ponds used by women and children. The enhancement will include constructing steps and ghat.



Specific road safety engineering counter measures will be adequately integrated in the engineering designs to reduce the safety risks in hazardous locations and also to provide a safer road environment for all road users especially women and children. Project will improve safety of vulnerable road users through paved shoulders along entire stretches of project roads. Work zone safety standards would be fully integrated in the contract management framework to ensure safety of women workers.

In addition to inclusion of adequate road safety provisions into the program of state highway rehabilitation and widening under the Civil Works Component, there will be programs of systematic, cost-effective safety engineering improvements focusing on: (a) high-risk corridors of the core network based on priorities identified by the International Road Assessment Program (iRAP) survey, and (b) junctions improvements and pedestrian safety. Awareness program will be carried out specifically for women; children and elderly people in the project corridor through partner NGO.

Technical assistance will be provided to the Road Safety Division of PWD to assist the design of safety engineering improvements and to build its capacity, including the preparation of guidelines and manuals and related training programs for PWD staff, and support for specific safety design initiatives undertaken under project Component 1, Civil Works, to systematically address and improve road safety in the planning, design, construction and operation of the UP road network.

Under the Road Safety Component implemented by Police and Transport Departments there will be a state wide road safety media campaign and targeted social marketing campaigns.

### **7.3.3 Women Involvement in Development Process through Employment**

The development experience of at least two decades shows that it is equally necessary to consult women and offer them options in enabling them to make informed choices and decide for their own development. Participation of women has been envisaged specifically in the following areas:

- In the pre-planning and planning stages participation from women could be sought through allowing them taking part in the consultation process. For this, the local level agencies of implementation, i.e. the NGOs have an important role to play.
- Each field team of the NGO shall include at least one women investigator/facilitator
- Compensation for land and assets lost being same for all the affected or displaced families, special care should be taken by the NGOs for women group while implementing the process of acquisition and compensation as well.
- The NGOs should make sure that women are actually taking part in issuance of identify cards, opening accounts in the bank, receiving compensation amounts through cheques in their name or not, etc. This will further widen the perspective of participation by the women in the project implementation.
- Under the entitlement framework there is a number of provisions kept for compensation and assistances towards the losses incurred upon the impacted women headed households by the project. On the other, some provisions, mostly those of the assistances, have been created towards reducing the probable hardship to be experienced by them in the process side by side creating scope for their sustainable socio-economic development.
- The assistances to be provided to women as a vulnerable group is creating alternative livelihood for them to ensure their sustainable socio-economic upliftment.



- The implementing agencies should provide trainings for upgrading the skill in the alternative livelihoods and assist throughout till the beneficiaries start up with production and business.
- Women's participation should be initiated through Self-Help Group formation in each of the villages affected by the project. These groups can then be linked to special development schemes of the Government, like DWCRA.
- For monitoring and evaluation, there should be scope for women's participation. Monitoring of project inputs concerning benefit to women should involve their participation that will make the process more transparent to them.

Women should be encouraged to evaluate the project outputs from their point of view and their useful suggestions should be noted for taking necessary actions for further modifications in the project creating better and congenial situation for increasing participation from women. All these done in a participatory way may bring fruit to this vulnerable group in an expected way.

#### **7.3.4 Specific Provisions in the Construction Camp for Women**

The provisions mentioned under this section will specifically help all the women and children living in the construction camp.

##### **Temporary Housing**

During the construction the families of labourers/workers should be provided with residential accommodation suitable to nuclear families.

##### **Health Centre**

Health problems of the workers should be taken care of by providing basic health care facilities through health centres temporarily set up for the construction camp. The health centre should have at least a doctor, nurses, General Duty staff, medicines and minimum medical facilities to tackle first-aid requirements or minor accidental cases, linkage with nearest higher order hospital to refer patients of major illnesses or critical cases.

The health centre should have MCW (Mother and Child Welfare) units for treating mothers and children in the camp. Apart from this, the health centre should provide with regular vaccinations required for children.

##### **Day Creche Facilities**

It is expected that among the women workers there will be mothers with infants and small children. Provision of a day crèche may solve the problems of such women who can leave behind their children in such a crèche and work for the day in the construction activities. If the construction work involves women in its day-night schedules, then the provision of such a crèche should be made available on a 24-hour basis.

The crèche should be provided with at least a trained ICDS (Integrated Child Development Scheme) worker with 'ayahs' to look after the children. The ICDS worker, preferably women, may take care of the children in a better way and can manage to provide nutritional food (as prescribed in ICDS and provided free of cost by the government) to them. In cases of emergency she, being trained, can tackle the health problems of the children and can organise treatment linking the nearest health centre.



### **Proper Scheduling Of Construction Works**

Owing to the demand of a fast construction work it is expected that a 24 hours-long work-schedule would be in operation. Women, especially the mothers with infants should to be exempted from night shifts as far as possible. If unavoidable, crèche facilities in the construction camps must be extended to them in the night shifts too.

### **Education Facilities**

The construction workers are mainly mobile groups of people. They are found to move from one place to another taking along their families with them. Thus, there is a need for educating their children at the place of their work. For this at least primary schools are required to be planned in the construction camps. Wherever feasible, day crèche facilities could be extended with primary educational facilities.

### **Control on Child Labour**

Minors i.e., persons below the age of 14 years should be restricted from getting involved in the constructional activities. It will be the responsibility of Environment and Social Cell of PWD and NGO to ensure that no child labourer is engaged in the activities. The cell would require cooperation of Construction Supervision Consultants for effective monitoring for control on child labour.

Exploitation of young unmarried women is very common in such camps. A strong vigilance mechanism will ensure ceasing of such exploitation.

Project Director on receipt of complaint from R&R Coordinator or NGO and valid proof may take necessary action as per the Child Labour (Prohibition & Regulation) Act, 1986. Apart from that Project Director may take following actions:

1. Penalty
2. Black listing of the firm

### **Special Measures for Controlling STD, AIDS**

Solitary adult males usually dominate the labour force of construction camps. They play a significant role in spreading sexually transmitted diseases. In the construction camps as well as in the neighbouring areas they are found to indulge in physical relations with different women. This unhealthy sexual behaviour gives rise to STDs and ADIS.

While it is difficult to stop such activities, it is wiser to make provisions for means of controlling the spread of such diseases. Awareness campaigns for the target people, both in the construction camp and neighbouring villages as well, and supply of condoms at concession rate to the male workers may help to large extent in this respect.

#### **7.3.5 Women Participation with Other Stakeholders**

It is imperative to bring the issue of women's development in the process of socio-economic uplift within the scope of the RAP for UP PWD. Encouraging women's participation in development projects is policy being followed by the GOI. Involving women meaningfully at all levels of the project therefore, you will show a greater commitment to the nation-wide goals.



Women are involved in the project anyway. However, most of the times, they are on the negatively impacted side. Following is the account of the ways women are affected and/or involved in the project.

- Women constitute almost half of the PAPs.
- It is expected that women labourers will be engaged as contract labourers during the construction period. Experiences (elsewhere in India) show that women constitute 25-40% of the semi-skilled and unskilled workforce in road construction contracts. However, women are seldom, if ever, involved in the road construction industry at managerial levels.
- Women will be involved in the selection of location of community infrastructure facilities if needs to be relocated or newly constructed. Project through NGO will consult the community during project implementation and especially with the women groups to identify optimum locations to consider costs, maintenance, proximity to households and capacity of community to manage communal facilities.

### 7.3.6 Possible Areas of Women Involvement

The entitlement Framework includes provisions for participation of, and consultation with women during implementation of the RAP. These provisions are already in place.

Without doubt, women need to be involved in the implementation of the RAP. The other areas of concern to the women and more readily addressed by them will be in managing health and hygiene issues at the construction camps (where there are possibilities of exploitation of women workforce, or children), and in managing the spread of highway related diseases.

However, involvement of women is seen to be more important and as part of the long-term strategy than symbolic in UPSRP. Therefore, certain management positions will need to be occupied by the women in this project.

### 7.3.7 Summary of Gender Actions under the Project

**Table 7.9 : Gender Action under the Project**

Key Indicators	Steps Taken by Project	Steps to be taken during implementation
Representation and presence of women from different socioeconomic groups in all meetings	All meetings that take place so far, has representation of women. The meetings/consultations are organized at a time when women find it convenient to attend, so that maximum participation can be ensured.	Process will remain the same during implementation as well.
Venue for meetings is based on discussions with the women so they can feel free and uninhibited in their discussions.	The meeting venue was generally selected by the participants. The meetings generally took place in the village or at the village entry point which is accessible to all.	Process will remain the same during implementation as well.
Women facilitators or work through women's groups or networks—formal or informal.	Consultant's team had one social organizer who helped in facilitating the meetings.	The NGO and M&E consultant's terms of referencing specifically mentions hiring of women staff to assist during consultations and other activities where women groups participate during implementation.





Key Indicators	Steps Taken by Project	Steps to be taken during implementation
Women's involvement in preparation and review of resettlement plans.	The disclosure of RAP and entitlement matrix was carried out in a mixed group as well as separately for men and women members.	The NGO and M&E consultant's terms confirm the same has to utilize or not.
Women's associations are vested with authority.	100% women participating in livelihood restoration activities will be trained on techniques on savings and managing household expenditure	In order to pre-empt situations where women are mere tokens in decision-making processes, women members will be encouraged to become office bearers of grievance mechanism at local level and other community level platforms through awareness campaigns. All women and mixed SHGs will be formed for livelihood enhancement. Such groups once established provides platform for women to take independent decision not only at household but also at community level.
Ensure women's involvement and participation in implementation and monitoring.	Women employed by project fully informed about labor rights Men and women to receive equal pay for equal work Child labor not to be employed by project	As said earlier, women members will be part of M&E consultants. Village level monitoring groups will be formed with women members
Social and cultural factors may exclude women from participating actively in planning, implementing, and executing resettlement activities	It was ensured that consultants and NGOs do not operate via male elite, who may not represent the community in its entirety and especially women. Women's participation was ensured so that male biases do not undermine women's rights in customary institutions and disadvantage vulnerable women. Widows, the elderly, divorced women, and women-headed households those who suffer the most have been considered as vulnerable family in the project. As agreed during women consultations, project is enhancing two ponds which are used by women and children for collecting water; bathing and washing.	Process will remain the same during implementation as well.
Do women have any information about the proposed project and resettlement plan?	Women were involved in developing the resettlement plan and their inputs were solicited. Separate meetings with women, using female facilitators were conducted to solicit women's views, especially on sensitive issues as toilets, sanitation, water, and house plan. Women were also consulted in identifying affected persons and draft RAP was shared with the affected community.	Process will remain the same during implementation as well.
Inclusion of women in the socioeconomic survey?	Gender-disaggregated data for each household was collected including <ul style="list-style-type: none"> <li>ownership and use of resources;</li> </ul>	Process will remain the same during implementation as well.





Key Indicators	Steps Taken by Project	Steps to be taken during implementation
	<ul style="list-style-type: none"> <li>• decision making regarding finance and resource use;</li> <li>• women's formal and informal income-earning activities;</li> <li>• extent of women's time spend on various day to day activities</li> </ul>	
Legal rights to land and property allocated as part of the resettlement package for Women	As part of the RAP, existing land and property laws were examined to identify any provisions or entitlements for women.	Since under RFCTLARR act 2013, only legal titleholder can be given compensation, R&R assistance will be disbursed in the joint bank account operated by both.
Income-restoration programs to address gender issues	During social impact assessment survey, existing levels of women's skills were assessed. The SIA noted the complex role a woman performs as a collector of food, fuel, fodder and water and also as a partner in agricultural activities.	The NGO to be hired for implementation of RAP, will carry out training need assessment. Special orientation meetings will be arranged with the women members to help form new self -help groups and to revive the defunct groups if any. Training will be provided to the SHG groups along with the exposure visits. The NGO will also explore the opportunities for augmenting existing income.



## 8 INCOME RESTORATION

### 8.1 Background

Development project may have an adverse impact on the income of project-affected persons. They also have a negative impact on the socio- cultural systems of affected communities. The basic postulates of all developmental activities should be that no one is worse off than before the project. Restoration of pre-project levels of income is an important part of rehabilitating socio-economic and cultural systems in affected communities.

To achieve this goal, preparation of IR programmes under Rehabilitation Action Plan should proceed exactly as it would have for any other economic development programme. IR schemes should be designed in consultation with the affected persons and they should explicitly approve the programme.

As is clear that due to proposed roads project, out of a total of 136 families, livelihood of 70 families (61 Kiosk+9 Squatter) will be affected due to loss of commercial structures

### 8.2 Income Restoration Options Preferred by PAPs

During the survey PAPs were specifically asked about their preference for rehabilitation in case they are affected / displaced by the proposed project. As table 8.1 below shows, over three fourth of the total affected PAPs opted for cash grant. Nearly 16% of the PAPs, primarily those running shops, opted for petty shops as they are already in the same avocation. Less than five percent of PAPs opted for employment with contractors during construction phase. However, educated PAPs demanded permanent employment either with PWD or contractors. Training for skill upgradation or activities allied to agriculture had very few takers. Income Restoration plan for eligible families have been given at the end of the chapter.

**Table 8.1: Income Restoration Options as Preferred by PAPs**

IR Options	% of respondents to total N=361
Allied Agriculture Activity	3.32
Petty Shops	16.62
Cash Grant	54.02
Employment during construction	13.85
Training for skill up gradation	9.42
Others	2.77

Source: EGIS Primary Survey 2014

Village wise number of Eligible PAPs for Income Restoration list as provided in the **Annexure – 8.1**

### 8.3 Resettlement

#### 8.3.1 Affected Families

Resettlement and rehabilitation in UP PWD consists of the following broad entitlements of the "entitled person/family group".



- Compensation for the loss of property at replacement value.
- Compensation relocation support of the displaced titleholder families;
- R&R assistance to the non-titleholder affected/displaced families.
- Livelihood and income restoration support and assistance to the families/persons belonging to the vulnerable group.

For details, refer the Entitlement Framework for the UP PWD, given in this report.

### **8.3.2 Non Titleholder Displaced Families**

No titleholder is getting affected in project road. However, 52 squatters and encroachers & kiosk will be displaced/ rehabilitated.

The vulnerable encroachers will receive replacement cost of their (building) structures. This will have the right to salvage material from their structures, and will be notified in time of remove their assets. However, during the census of PAPs, no agricultural encroacher was recorded. The vulnerable group encroachers will be entitled to the additional support mechanisms and assistance, as per the entitlement framework.

Squatters will be entitled to receive replacement cost of their (building) structures. They will have the right to salvage material from their structures, and will be notified in time (at least three weeks' notice) remove their assets.

The tenants will receive Rs 5000 one time grant as per the policy.

### **8.3.3 Replacement of Amenities**

All amenities affected will be either conserved or replaced by the project. While replacing the amenities, particularly those used as a common resource with no restriction of access, development of the surrounding site will be given due consideration. (For example, while replacing hand pumps or tube wells, drainage and access path of the immediate surrounding will be improved, and sitting/washing facilities will be provided, irrespective of the fact that at present there is no proper access, or that the areas surrounding the extremely muddy, or there is no associated facility whatsoever. The location of common property resources and other community amenities will be finalized in consultation with the community. Separate consultations will be held with men and women. The preference of women will be given priority). Plans, designs, drawings have been prepared for replacement of all these amenities, along with technical specifications (including specifications for material and workmanship) and bill of quantities have been prepared

## **8.4 Inter-Agency Linkages for Income Restoration**

Majority of the eligible families for income restoration earn their livelihood through petty businesses or cultivation (primarily small and marginal), and therefore, it is imperative to ensure that the PAPs are able to reconstruct their livelihood. The NGOs engaged in the implementation of the RAP will ensure that the PAPs are facilitated to obtain plots near their existing habitation to minimize disruption to their social network and normal work pattern.

For Income restoration it is important that available skills with the PAPs is identified and further upgraded. During the survey, PAPs were specifically asked about the skill they possess other than the one related to their current occupation. However, none of the PAPs possessed any skill, which



can be further upgraded through training. Hence, NGO contracted for implementation will have to conduct a survey among the PAPs with options of various skills related to the resource base of the area and available market (with proper forward and backward linkages) and accordingly select trades for training. Based on the training, NGO will identify income-generating activities for sustainable economic opportunities. This would include establishing forward and backward linkages for marketing and credit facility. NGOs in consultation with the PAPs, R&R Coordinator of PWD, district administration and other stakeholders in institutional financing and marketing federations will prepare micro-plans for IR activities.

In case of upgrading agriculture productivity, the training on technical know-how will be arranged as per the choices of the target group population. In case of creation of alternative livelihood schemes, felt needs of the target group population will be prioritised through people's participation. Further, these options will be tested for their viability against availability of skills, resource base of the area and available appropriate technology. Suitable alternative livelihood schemes will be chosen finally, where training on skill up-gradation, capital assistance, and assistance in the form of backward-forward linkages can be provided for making these pursuits sustainable for the beneficiaries or the target groups.

A comprehensive support system to the PAPs will ensure income security. The system will include establishing training need; identification of skills; hiring training staff; providing training to interested PAPs; ensuring that PAPs take up their new avocation; mid-term evaluation and corrective measures if required; and concurrent monitoring. The R&R coordinator of the project through the contracted NGO will ensure that these steps are followed. The results of concurrent monitoring and mid-term evaluation will be shared with the NGO to bring in corrective measures.

The PAPs are required to participate in developing feasible long - term income generating schemes. The long- term options are expected to be developed during the implementation of the RAP and also supported by the government assistance.

Government of India along with the state governments runs various poverty alleviation programmes. One such scheme is Mahatma Gandhi National Rural Employment Guarantee Act. The objective is to generate additional gainful employment for the unemployed population in rural areas especially during lean agriculture season. The Act provides for 100 days of employment to husband and wife in a year. The person can demand job under MNREGA from village head and in case job is not available, panchayat will pay a day's wage to the person. This scheme can be dovetailed especially for those who are losing source of income as temporary income restoration measure.

Participation of PAPs in those schemes will be helpful for short- term IR gains. PWD and partnering NGO can tie up with such programs and help/facilitate PAPs to participate in poverty alleviation programmes.

The ensuing sections deals with the probable short and long-term IR schemes.

## **8.5 Steps in Income Restoration (IR)**

### **8.5.1 Information on Economic Activities of PAPs**

Basic information on IR activities of PAPs will be available from the census and socio-economic surveys. Information from base line surveys will be available on features of economic activities of PAPs under two categories, viz.



- Land based economic activities
- Non-land economic activities
- Total income of PAPs from various sources

Based on this information IR activities can be planned. IR activities are of two types:

- Short term; and
- Long term. The ensuing section describes both IR schemes.

### **Short Term IR activities**

Short term IR activities mean restoring PAPs' income during periods immediately before and after relocation. Such activities will focus on the following:

- Ensuring that adequate compensation is paid before relocation
- Relocation and transit allowances
- Providing short term, welfare based grants and allowances such as:
  - One time relocation allowance
  - Free transport to resettlement areas or assistance for transport
  - Free or subsidised items
- Transitional allowances or grants until adequate income is generated, special allowances for vulnerable groups
- With consideration of PAPs skills and needs, promoting PAP access to project related employment opportunities such as:
  - a) Work under the Main Investment Project
  - b) Work on relocation teams (e.g., driver, food provision, etc.)
  - c) Work on resettlement sites, if any (e.g. construction on, transport, maintenance, etc.

### **Long Term IR Activities**

PAP should participate in developing a range of feasible long-term IR options. Long-term options are affected by the scale of resettlement which may affect the feasibility of various non-land based and land based IR options. The long-term options are government financed, therefore no separate budget is required. However, in R&R budget provision has been made for the expenses to be incurred towards the coordination between project and concerned departments for dovetailing of poverty alleviation schemes. The project officials will coordinate with government (district administration), including tribal development and social welfare departments, to assure PAPs access to all schemes for improving IR services. Project financed programmes should include a specific time frame for handing over the project to local administration at the end of a stipulated period. Availability and access to existing programmes should be sought for all PAPs.

Long Term IR activities will be generated once the census surveys and consultation get over. IR activities will be generated in consultation with the community. Mechanism to dovetail existing government poverty alleviation programmes will be developed in consultation with the community and officials of district administration and District Rural Development Agency (DRDA).

#### **8.5.2 Categories of Impacts**

Project induced displacement may lead to loss or diminished income for Project Affected Person (PAPs). The main categories of impacts are as follows:



- Loss of agriculture land in part or full
- Loss of commercial establishments (permanent)
- Loss of temporary commercial structure or mobile vendor (Squatters)
- Loss of livelihood (Commercial tenants or helping hands, agriculture labours)

Projects like road development involve acquiring linear strips of land; as such the impacts are not expected to be significant. However, mitigation measures need to be planned and implemented however insignificant the impacts may be.

**Loss of Permanent Commercial Structure** is a more complicated problem since the complementary issue of retaining the present customer base is to be simultaneously tackled. There is also the problem of tenants and owners with a majority of structures being occupied by tenants. The required mitigation would involve re-constructing the commercial structures in an adjacent area so that the present customer base is retained. The ways and means of achieving this together with the ownership of the new structure also needs to be defined. While the project authority can acquire the required land and construct the structures for allotment, a more practical way would be to let the PAPs handle their own replacement structures with the guidance and support of the PWD. Regarding ownership, the status quo can be maintained i.e. ownership remains with the owner while the tenant occupies it. As in the previous case, the compensation money can be deposited in blocked bank accounts to be released only for constructing or buying the replacement structure. Since the construction involves different activities, the money can be released in four installments, coinciding with pre-determined stages in the construction activity.

**Loss of commercial space** (for temporary structures and mobile vendors) should be given utmost importance since this involves vulnerable sections of the PAPs. They also need to be given alternative space in an adjacent area for carrying on their trade or vocation. The temporary structure can be shifted to the new location and the mobile vendor can get stationed there. Needless to mention, the PWD has to use its good offices with the local authorities (i.e. Municipality or Panchayat) for getting the alternative space. As per the project's R&R policy, all squatters are entitled for cash assistance for their structures at replacement costs which will be determined as mentioned in section 29 of the RFCTLARR Act 2013. Squatters are also eligible for one time grant of Rs 36000 as subsistence allowance. In order to enable them to move out of COI, they will be given shifting allowance of Rs 50,000 per family as one time grant for a permanent structure and Rs. 30,000 for a semi-permanent structure and Rs. 10,000 for a temporary structure. Each affected person who is a rural artisan, small trader or self-employed person will be entitled for Rs. 25000 as one time grant for construction of working shed or shop. The Kiosk owners who can easily move their structures out of COI are entitled for Rs. 5000 as disruption allowance as one time grant. During the census survey, 77% asked for cash grant so that they can self-relocate.

While mitigation measures for specific impacts are discussed above, there is also the general impact of a disturbance upon displacement in the life and livelihood of PAPs. They need to be compensated through payment of a Maintenance Allowance. The income restoration cannot be fully achieved by using the compensation amount; there can be a provision of rehabilitation grant at least for the vulnerable sections of PAPs to enable them reach or improve upon their former standard of living. The Policy document also highlights this issue by acknowledging that the PAPs should be assisted in improving or at minimum regaining their former status of living at no cost to themselves.



## **8.6 Alternative Individual Income Restoration Scheme**

### **8.6.1 Basis for Identification of Alternative IR Scheme**

Keeping in view the resource base of the EPs and also the socio-economic characteristics and preferences, PWD and the NGO contracted for the implementation will have to chalk out individual IR schemes. This is an ongoing activity that needs to be completed by NGO. The terms of reference of NGO details out the activities to be carried out to complete the task the important factors that need to be considered for identification of alternative IR schemes are:

- Education level of PAPs
- Skill possession
- Likely economic activities in the post displacement period
- Extent of land left
- Extent of land purchased
- Suitability of economic activity to supplement the income
- Market potential and marketing facilities

"The best option is to allow the EP to continue its former occupation". However, during any development programme, occupations always change.

## **8.7 Monitoring of IR Schemes**

The monitoring of IR schemes will be carried out along with the monitoring of other components of RAP by an outside agency contracted for the purpose. The contract will specifically provide for regular (every six months) monitoring of income restoration of PAPs. The monitoring will be carried out based on economic indicators. The first monitoring visit should be after the first month then every 6 months. This will help to identify and possibly reduce PAPs who receive cash compensation from spending resources immediately.

Vulnerable PAPs who lose their livelihood due to the project will be assisted in alternative economic rehabilitation schemes and vocational training for skill up gradation as per the requirement of suggested economic scheme. Special emphasis will be laid on both economic and socially vulnerable PAPs such as those who are below poverty line; belong to scheduled caste community; and women headed households.





## 9 INSTITUTIONAL ARRANGEMENTS

---

### 9.1 Background

Institutions for planning and implementation of resettlement programmes are numerous and vary substantially in terms of their respective roles and capacity to successfully carry out various components. Timely establishment and involvement of appropriate R and R institutions would significantly facilitate achievement of the objectives of the R&R Programme. This document reflects an institutional assessment and provides a strategy for developing required implementation capacity and minimising risks. Capacity building and training are co-ordinated with the project implementation schedule to ensure that skilled staff is available to implement the RAP without delay in civil works. The main R&R institutions would include:

- Official Agencies
  - PWD
  - World Bank
  - Local Administration
- Line Departments
- NGO/CBO
- Training Institutions
- Grievance Redress Cell
- Monitoring & Evaluation Agency

### 9.2 The Process

PWD will focus effort in three critical areas to commence RAP implementation:

- (a) To initiate the process, orientation and awareness seminars will be organised for the PWD and other RAP implementers
- (b) To establish a Environment, Social Development and Resettlement Cell (Refer Organogram)
- (c) NGOs with experience in social development and a track record in resettlement and rehabilitation will be partners in RAP implementation.
- (d) To establish Coordination Committee with representatives from local self-government, PAPs and implementing NGO. The objective of this committee is to coordinate between various implementing agencies.

In addition PCC will provide technical assistance in resettlement and rehabilitation planning during the transition to project and RAP implementation. The institutional context of resettlement in the project is reviewed below and major features of RAP implementation are described in sections that follow.

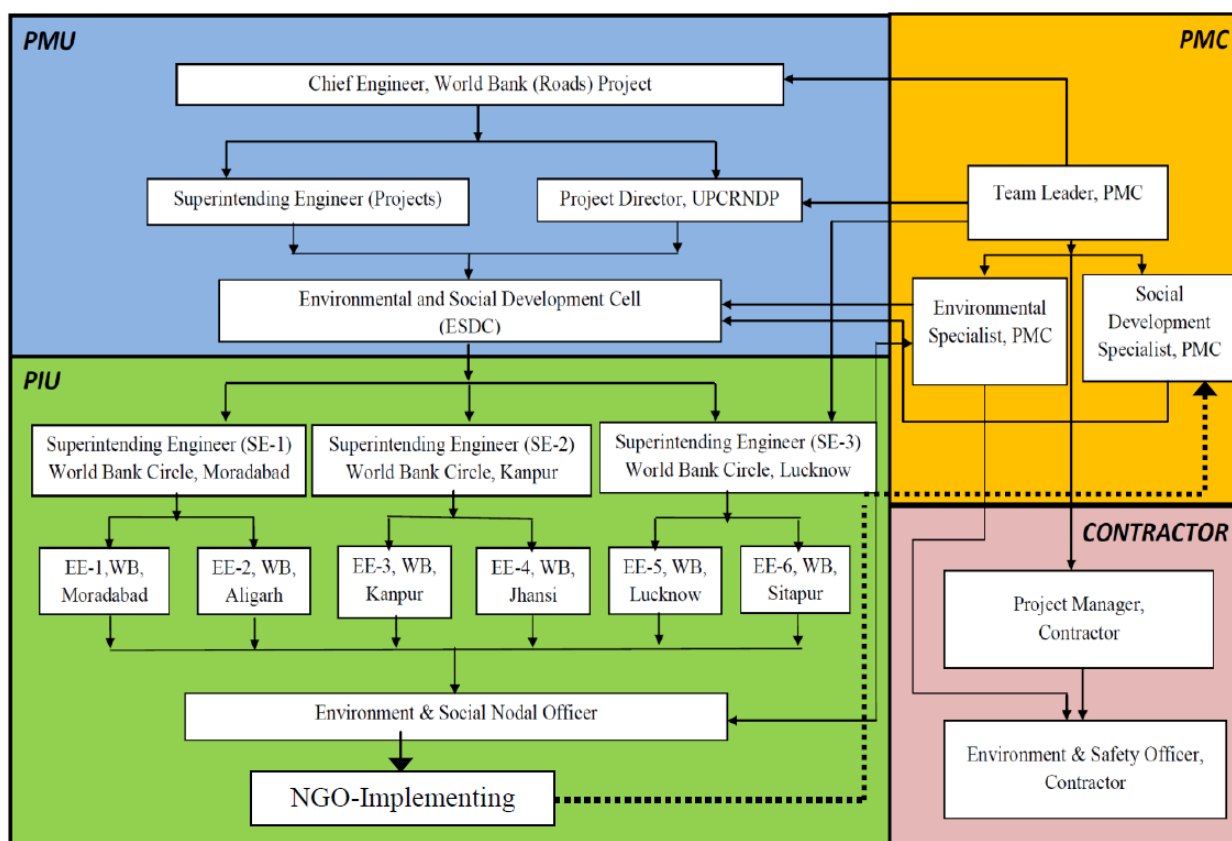
Effective RAP implementation will require institutional relationships and responsibilities, rapid organisational development and collaborative efforts by PWD, State Government, partner NGO and affected population. The ESDRC should have representation of other line departments viz., revenue, forest, public health, rural engineering, etc. The responsibility of co-ordination lies with R&R Coordinator. The ESDRC will establish operational links within PWD and with other agencies



of government involved in project-induced resettlement. It will bridge the distance between the project and project affected persons and communities. It will provide the means and mechanisms for co-ordinating the delivery of the compensation and assistance entitled to those who will suffer loss. ESDRC will link the project with state government agencies, provide liaison with PWD field units and impacted communities, establish district level committees to co-ordinate social development and resettlement operations in the field and also to assist NGO partners. It will also engage required training services, oversee a grievance redress process and actively monitor RAP implementation.

On behalf of PWD, the ESDRC will assume the responsibility for representing the social impact and resettlement components of the project for environment clearance. The ESDRC will also be responsible for disseminating this information to the public and providing additional opportunities for public comment.

The Social Development Specialist (SDP) will implement the RAP & supervision by the PMC in coordination and support of the field teams as will be positioned in different packages.



**Figure 9.1: Organization Structure of Project Implementation Unit for UPCRNDP**

Note:

1. The Assistant Engineer and Junior Engineer in the division in charge of the subsection of the corridor will also be the in charge of social (RAP) and Environment (EMP) issues.
2. The senior most assistant engineer in the division will be overall in charge of the internal monitoring of social and environmental issues in the division as a whole and will report to the Head office.



Among government agencies, the revenue department will have the most important role. While the responsibility for land acquisition and payment of compensation for land acquired (including properties there on) lies with the Revenue Department, the ESDRC has to assume responsibility for co-ordinating various matters with the Revenue Department so that both physical possession of land acquired and payment of compensation is not unduly delayed. The responsibility for income restoration and replacement of common property resources would fully be with the ESDRC along with the nodal NGO.

The ESDRC will be consisting of Project Director, R&R and Environmental Coordinators of PWD (of the rank of Assistant Engineer) other officers of PWD responsible for implementation of RAP at district level. The ESDRC will have a flat organisational structure with the subject matter specialist working nearly independently under the supervision of a location specific coordinator. Since the Revenue Department has district – wise jurisdiction, the coordinators can also be appointed for each district. The structure of the staffing will be at two levels;

- (1) ESDRC with three people, PD, UPPWD as head, R&R and Environmental Coordinators of PWD and their district level counterparts.
- (2) In each contract, the R&R and Environmental coordinators of PWD will be assisted by their counterparts from districts.

This district-wise separation can be maintained for all issues so that proper co-ordination can be done with the concerned authorities. Land acquisition details and rehabilitation action plans should also be segregated district-wise for all road stretches. The district ESDRC Coordinator can be given the necessary mandate for proper and adequate coordination with all authorities. It is necessary that the ESDRC be staffed in all concerned districts upon completion of the census and socio-economic survey so that the ESDRC can be involved in the consultation and counselling Phase Itself.

**Table 9.1: ESDRC Staff Responsibilities**

Position	Responsibilities
PD, UP PWD(WB) as Head of ESDRC	Co-ordination of all activities of ESDRC with PWD and other government agencies. Will be holding review meeting every month.
Assistant Engineers of PWD (2-Environment, 2-Social, 1- LA) at Head Office	Reports to Head, ESDRC; Will act as ears and eyes of Head, PWD. Will collate reports form field, monitor progress, prepare monthly reports, catalyst between field staff and head office
Field Staff of PWD at Circle/Division level	Oversee Construction; attend to social and environmental issues including permission and Liaisoning with line departments, shifting of utilities in consultation with concerned departments, facilitating land acquisition
Non- Government Organisation	Will be grass root level worker actually dealing with PAP; develop rapport with the PAPs; conduct a sample survey among them, help in skill upgradation, facilitate purchase of land for PAPs, help in negotiation, help PAPs in obtaining benefits under entitlement framework and appropriate government schemes, help in creating awareness among truckers on highways and design methods / measures prevention of same.
Supervision Consultant	<ol style="list-style-type: none"> <li>a) To monitor the activities of NGO for implementing RAP and conducting awareness training</li> <li>b) Ensuring timely disbursement of compensation as per R&amp;R policy of the project</li> <li>c) To ensure that the activities of R&amp;R is completed before start of civil works</li> <li>d) Maintenance of documents and records of disbursement of compensation, and other activities related to R&amp;R</li> </ol>



Position	Responsibilities
	<ul style="list-style-type: none"> <li>e) coordination with competent authority</li> <li>f) Review of all the reports on social and R&amp;R issues at Project level</li> <li>g) To develop methodology and formats for concurrent monitoring</li> <li>h) To ensure that deployment of professionals by NGO is as agreed in their technical proposal.</li> <li>i) Based on available information, prepare baseline monitoring indicators</li> <li>j) To provide on the job training to NGO and PWD project staff and guide them on RAP implementation</li> <li>k) To ensure that PWD / NGO adheres to the agreed time-plan during implementation</li> <li>l) To ensure proper documentation of NGO (i) documentation of socioeconomic data; (ii) preparation of micro plans; (iii) documentation of consultations; (iv) documentation of GRC meetings; (v) NGO's monthly progress reports; and (vi) skill mapping and income restoration activities</li> </ul>
District Level Committee	Announcement of awards; assistance; negotiation with respect to award, land, etc.; Co-ordinate with local government offices; field office of PWD, line departments and other government agencies; provide venue for dissemination of project information, public consultation and public hearings of Government of India.
Grievance Redressal Cell	Provide support to EP on problems arising out of LA/property , prioritise cases for which support is to be given, keep the EPS apprised about the development, inform PWD of serious cases within an appropriate time frame.
Contractor	Will carry out execution as required by the EMP; will monitor the pollution sources on site; will construct mitigation and enhancement measures

### 9.3 Need for NGO/CBO

The relocation disturbs the present activities of PAPs and therefore there is a need to establish and stabilise their economic living. While all tasks relating to Land Acquisition is taken care by the Land Acquisition Officer and his staff, the implementation of RAP is the responsibility of the ESDRC under PWD. The NGO will help in implementing various components of the RAP, particularly the use of compensation and rehabilitation assistance for more productive purposes like purchase of land, self-employment, etc. Its involvement is all the more important since there are no social community organisations among the PAPs which otherwise could have taken lead in this regard.

Being new to the area of working with PAPs, the selected NGO will have to work directly under the ESDRC Co-ordinator who will be defector in charge for implementation of RAP. Thus implementation becomes joint responsibility of PWD and NGO. Developing rapport with the PAPs is one of the responsibilities of the NGO as specified in the TOR. In order to do so, NGO will hold regular community meetings and will also carry out door to door interaction with the PAPs. Whereas community meetings will include both PAPs as well as those who is not adversely affected, additional emphasis will be made for vulnerable community members in door to door interaction.

### 9.4 Role of NGO

Resettlement relates to human aspects and economic rehabilitation requires human resources development consisting of education, training, awareness generation, etc. In absence of any



sociologist / anthropologist, NGO will be involved to assist PWD in implementation of RAP. The NGO will help educating PAPs on the proper utilisation of compensation and rehabilitation grant and help them in getting financial assistance, if required, under various subsidy related development programmes. It will also organise training programmes to impart required skill for such PAPs who would prefer to go for self-employment schemes. Specifically, the tasks of the NGO will be to:

- develop rapport with PAPs and between PAPs and PWD
- verification of PAPs
- post design consultations with the community
- assess the level of skills and efficiency in pursuing economic activities, identify needs for training and organise programmes either to improve the efficiency and/or to impart new skills.
- assist PAP in receiving rehabilitation entitlement due to them
- motivate and guide PAP for proper utilisation of benefits under R&R policy provisions;
- facilitate purchase of agriculture land in negotiating price and settling at a reasonable price or expedite the same through Land Purchase Committee.
- assist PAPs in obtaining benefits from the appropriate development programmes.
- help PAPs in increasing their farm income through provision of irrigation facility or improving farm practices, and
- ensure marketing of produce particularly those under self-employment activities.
- Complete the consultation at the community level and provide support by describing the entitlements to the EPs and assisting them in their choices
- Accompany and represent the EPs at the Grievance Committee meeting.
- Assist the EPs to take advantage of the existing government housing schemes and employment and training schemes that are selected for use during the project, and
- Carry out other responsibilities as required and identified.

In the context of implementing of RAP, it is important that NGO, which is genuine and committed to the task entrusted, is selected. An NGO with local presence is, however, more suitable hence would be preferred. The NGO may be contracted on specified terms and conditions with proper fixation of financial accountability. The payment to NGO will be linked to the performance of the task assigned and the time period. The payment will be arranged on quarterly basis to be released on certification of completing the previous task. The monitoring of R&R programme will also include the performance of NGO. The NGO services will be required for implementation period for which provisions have been provided in the plan.

Simultaneously steps can be taken for promoting location specific Community Based Organisations (CBOs) of PAPs to handle resettlement planning, implementation and monitoring. These groups can be promoted for each adversely affected settlement/villages or a group of contiguous villages. Until and unless sufficient institutional capacity is built amongst the PAPs, so that they can act and react as a group, participatory planning and implementation of good re-establishment solutions is nearly impossible.

Resettlement negotiation, if carried out individually with all displaced families, is both uneven and time consuming. It favours the good bargainers over the bad bargainers and as bargaining capacity is directly related to income levels – favours the more affluent over the poorer and more vulnerable sections of the displaced population. This can be minimised by organising homogenous



groups of displaced persons to handle resettlement negotiations together with participatory planning and implementation of re-establishment solutions. The terms of reference for hiring of NGO is attached as **Annexure – 9.1.**

## **9.5 Training and Capacity Building**

Establishing sufficient implementation capacity to launch and carry out those components of project resettlement that must be completed before civil works. Project in order to enhance the capabilities of ESDRC staff, will sent staff on exposure visits to other projects with good resettlement programs as well as sponsored for training courses in Resettlement and Rehabilitation (R&R). If required, select NGO staff can also be send for exposure visits and training. This is the responsibility project to The training would also cover techniques in conducting participatory rural appraisal for micro planning, conducting census and socio-economic surveys, dissemination of information, community consultation and progress monitoring and evaluation.

### **Training Modules:**

Following training modules will be followed during initial and repeat training sessions of UPPWD staff (both at head office and at field level) and NGO staff.

- Overview of social issues in UPCRNDP: Social issues; methodology followed for SIA; entitlement framework and detailed R&R policy
- Land Acquisition: Legal and operational issues; RFCTLARR Act 2013; Resettlement: Issues pertaining to planning and preparation for relocation; implementation issues; factors necessary for identification and finalisation of resettlement area.
- Rehabilitation: Issues in economic rehabilitation; factors necessary for identification and finalisation of alternative economic rehabilitation schemes; training needs.
- Public Consultations: Issues to be discussed during various stages of project viz., preparation, implementation and post implementation; public consultation in project delivery; techniques of public consultations.
- Social Impact Assessment: Definition; steps; output; required surveys viz., screening, census, socio-economic, verification, etc.; issues to look at for preparation of entitlement framework; institutional capacity.

## **9.6 Areas of Capacity Building**

PWD needs to build their capacity in the following areas:

### **Land Acquisition**

Though no land acquisition is required for Garautha –Chirgaon road, major land acquisition will take place in Phase II. LA generally is a long drawn and demanding process and therefore project R&R policy specifically talks about direct purchase of land. However, the existing strength of PWD for this purpose is too small. Land purchase or acquisition (in case negotiations fails) will also be Project Director's responsibility. R&R Coordinator of PWD will assist him.

The Project Director, apart from timely purchase or acquisition of land is also responsible for number of other important components of pre-construction work. Though revenue department of





state government will do the purchase or acquisition, it will require constant follow up. Hence the responsibility will come on R&R Coordinator. Among other pressing assignments viz., identification and verification of PAFs, Issuing Identity cards, development of resettlement sites, etc, R&R Coordinator will also be responsible for regular follow up of land purchase or acquisition.

In light of the above, it would be important to address the following:

- The procedural requirements have to be fulfilled. An official thoroughly conversant with the procedural requirements should be in position to co-ordinate the land purchase or acquisition process.
- For better co-ordination, the officer responsible has to spend sufficient time at the site. To enable better follow up the officer should be of sufficiently high rank.
- The procedural requirements have to be formalised and documented for the benefit of all projects concerned.
- Ensuring timely land acquisition is demanding requirement and requires full time involvement of an officer, at least during the first six months of the project.

### **Women Participation**

It is imperative to bring the issue of women's development in the process of socio-economic uplift within the scope of RAP. Encouraging women's participation in development projects is a policy being followed by Government of India. Involving women meaningfully at all levels of the project will show greater commitment to the nationwide goals. Women constitute over two fifth of the total affected population, though number of women headed families are very few in Phase I roads.

Possible areas of Women involvement include managing health and hygiene issues at the construction camps and in controlling the spread of highway diseases. Similarly, it may be specified in the Terms of Reference of NGO contracted for the implementation to have at least 33% of the total person months for women. A similar provision can be made in the TOR of external agency appointed for monitoring of RAP implementation.







## 10 GRIEVANCE REDRESS MECHANISM

---

### 10.1 Need for Grievance Redress Mechanism

There is a provision for redress of grievances of PAPs in all aspects relating to Land Acquisition (LA) and payment of compensation in Rehabilitation Action Plan. Various provision under LA act enable aggrieved EPs at different stages of LA to represent their cases to Land Acquisition Officer or even refer to court for redress and seek higher compensation. It is suggested that LAO & RRO should hold a meeting at a fixed date every month to hear the grievances of EPs. Moreover, *Lok Adalats* can be held for quick disposals of cases.

However, R&R policy of Government of Uttar Pradesh has a provision of Grievance Redress Committee to be headed by District Magistrate of respective districts.

Members of the committee: Apart from District Magistrate as head of the committee at district level, the committee will comprise of representatives of two local NGOs, representative of people (viz., Member of Parliament, Member of Legislative Assembly, etc), representatives of blocks, districts, line departments & affected persons. At central level, Project Director of Project Implementation Unit will head the committee.

Meetings and decision-making process of the committee: It is suggested that Grievance cell shall meet regularly (at least once a month) on a pre-fixed date (preferably on first 7<sup>th</sup> day of the month). The committee will fix responsibilities to implement the decisions of the committee. This will not only help proper assessment of the situation but also in suggesting corrective measures at the field level itself. The committee shall deliver its decision within a month of the case registration. The Divisional Commissioner of the area shall hear appeal against the decision of the grievance redress committee.

### 10.2 Functions of the Committee

The functions of the grievance committee shall be

- To provide support for the EPs on problems arising out LA/property acquisition
- To record the grievances of the EPs, categories and prioritise and solve them within a month.
- To inform PWD of serious cases within an appropriate time frame
- To report to the aggrieved parties about the developments regarding their grievance & decision of PWD.
- To prioritise cases based on following criteria:
  - (i) cases pertaining to the land and structures of displaced persons
  - (ii) cases pertaining to the land and structures of adversely affected PAPs
  - (iii) cases pertaining to the land and structures of partially affected PAPs

As said earlier Divisional Commissioner of the area will have the final say and that decision will not be contested in any other forum except the regular arbitration forum or, if required, in the



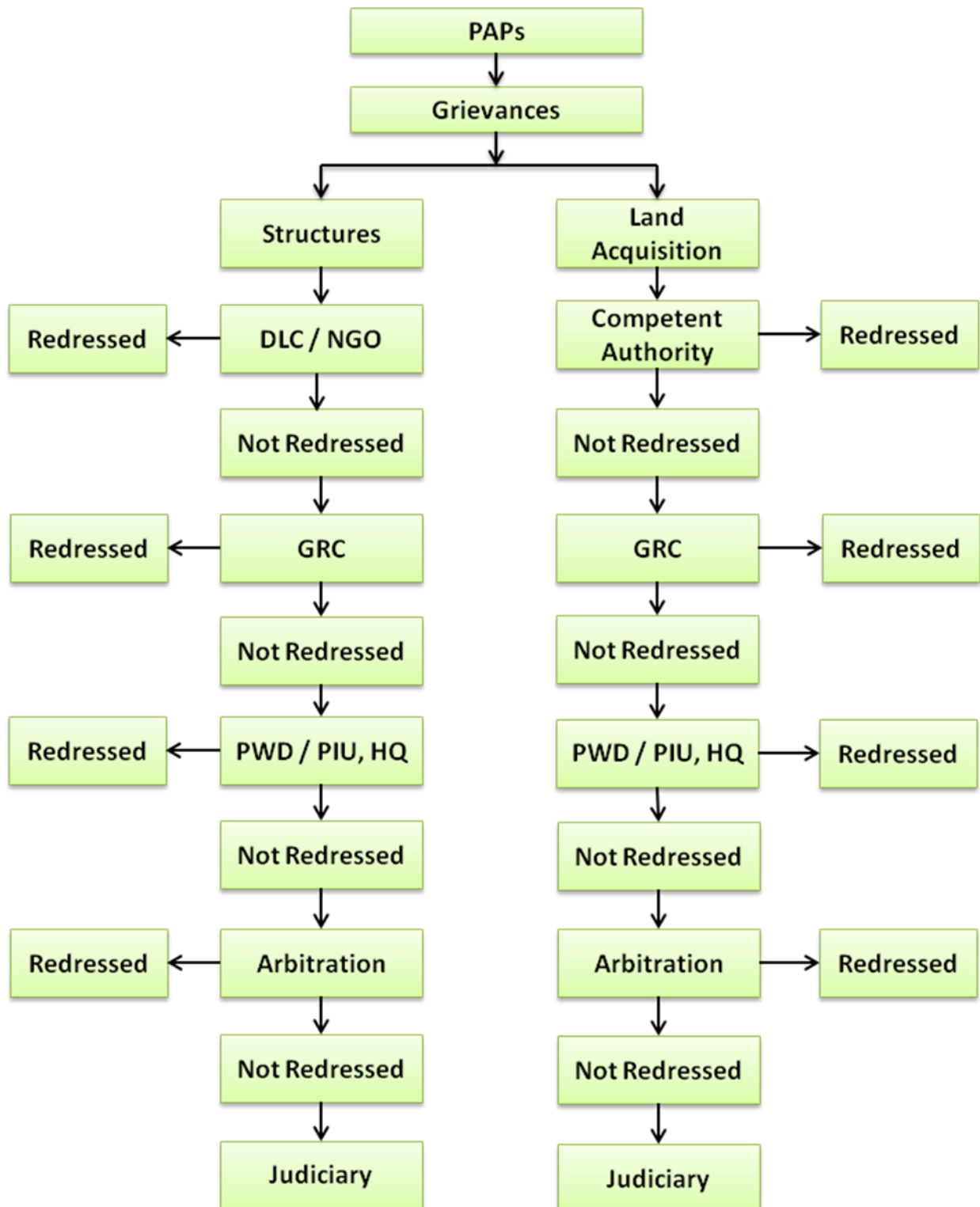
courts of law. In case court fails, NGO will have to motivate the agitated EPs to smoothen implementation of the R&R programme.

The Grievance Redressal Committee for phase I roads will be in place by March 2015.

### **10.3 Integrated Grievance redress Mechanism**

An *Integrated Grievance Redress Mechanism* (IGRM) will be established at the head quarter level that will register user complaints using combination of various mediums (e.g. a dedicated toll free phone line, web based complaints, written complaints in feedback register and open public days) and address them in a time bound system. The project will appoint a grievance redressor Public Relation officer solely responsible for handling phone and web based complaints. The person will be responsible for directing the aggrieved person to the concerned official through e-mail. On receiving any phone call or web based or email, a unique number will be generated which will be the reference number for the caller and he can trace the progress of his grievance / query through that number. Any complaint lodged will be addressed within 15 days of receiving the complaint. System will have escalation matrix i.e. if grievance / query remain untended or there is no response from the concern officer for specified period of time than system will escalate the grievance / query to next level through email. The toll free line will be monitored between 10 AM to 5.30 PM on all working days. Any call made before or after the stipulated time, will get recorded and from the voice mail an e- mail will be generated addressed to the grievance officer. The grievance officer will then direct that mail to the concerned official and follow-up. The recorded message will be responded back the next day. The project will also commit itself for proactive disclosure and sharing of information with the key stakeholders, including the communities/ beneficiaries. The website of PWD will have the name and number of social development officer; the toll free number and also the website address.

NGO staff will be responsible for assisting illiterate and other vulnerable PAPs in registering their grievances.



**Figure 10.1: Levels of Grievance Redressal**





## **11 MONITORING AND EVALUATION**

---

### **11.1 Introduction**

Monitoring and Evaluation (M&E) are critical activities in involuntary resettlement. Monitoring involves periodic checking to ascertain whether activities are going according to the plan. It provides the feedback necessary for project management to keep the programmes on schedule. By contrast, evaluation is essentially a summing up, the end of the project assessment of whether those activities actually achieved their intended aims. As per World Banks' OP 4.12 "Monitoring provides both working system for project managers and a channel for the resettles to make known their needs and their reactions to resettlement execution". Monitoring exercise will be undertaken both internally and externally. While R&R Coordinator of PWD on monthly basis will carry out the project's internal monitoring, an external agency will be appointed for third party monitoring. External agency will conduct quarterly monitoring and mid- term, annual and end term evaluation of the project.

Indicators, which will be monitored during the project, consist of two broad categories:

- Process and output indicators or internal monitoring
- Outcome/impact indicators or external monitoring

### **11.2 Process and Output Indicators**

Monitoring of involuntary resettlement operations require in essence, an application of general project monitoring procedures and methods to the process accruing in resettlement but with particular attention to the specific high risks intrinsic in such operations. This means monitoring of R&R requires certain specialised skills. Therefore a specialised group reporting to the PWD must carry out M&E.

The conventional monitoring through government machinery often misses focus on certain vital aspects, which may otherwise be very important. Therefore R&R Coordinator at Lucknow in close coordination with his counterparts at division level will carry out regular monitoring and will produce monthly reports.

The internal monitoring is a conventional monitoring of government related to physical factors such as, number of families affected, resettled, assistance extended infrastructure facilities provided, etc. and other financial aspects, such as compensation paid, grant extended, etc. The internal M&E must be simultaneous with the implementation of the Rehabilitation Action Plan (RAP).

#### **11.2.1 The Objectives of the Internal Monitoring**

The objectives of the internal monitoring are:

- Daily Operations Planning (DOP)
- Management and Implementation (M&I)
- Operational Trouble shooting and Feedback (OTSF)



The periodicity of internal monitoring could be daily or weekly depending on the issues and level.

### **11.2.2 Information Required for Internal Monitoring**

For internal monitoring following information will be required:

- Individual files on each project affected person
- Village Proforma
- Action Plan and Progress reports

### **11.2.3 Monitoring and Reporting Systems**

Crisis and day to day management and monitoring management will require its own improved action plans, regular coordination and onsite training sessions and an Management Information System as internal system. It also requires trouble-shooters and informal networks of feedback from the communities, NGOs, M&E agencies and other government bodies.

Physical monitoring of movement and progress reporting of input stocks, finance and service resource in the system to ensure management and financing functions in a timely and effective manager.

Monitoring and verification of the qualifiable progress of the resettlement programme to indicate the timeliness of the financial disbursements already agreed to and deviations from the critical path for overall project completion and the required integrated arrangements to resettle PAPs.

### **11.2.4 External Monitoring**

An external monitoring and evaluation (M&E) agency will be appointed to meaningfully and realistically monitor and evaluate R&R programmes on periodical basis. The role of such an agency will not be fault finding but to act as a catalyst in smoothening the process of R&R and thus provide a helping hand in the proper implementation of rehabilitation programmes. It should also endeavour to bring the problem and difficulties faced by the PAPs to the notice of PWD so as to help in formulating corrective measures. Financial provisions have been made to appoint an external agency for M&E. As a feedback to the PWD and other concerned, the external agency should submit quarterly report on progress made relating to different aspect of R&R.

### **11.2.5 The Objectives of the External Monitoring**

The objectives of the external monitoring are:

- To track resettled and host population over time in order to document the restoration of incomes and standard of living.
- Determine remedial action if required.
- If income and standard of living of the PAPs has at least been restored and has not declined.
- In case of host population, whether income and standard of living of host population have not declined due to influence of resettlers
- Whether resettlers and host population have re-integrated with each other.
- Validate the internal monitoring of the RAP including process and outcomes.





### 11.2.6 The Information's Required for External Monitoring

The information required for external monitoring is:

- Baseline survey data (conducted by PCC)
- Sample survey (to be conducted by M&E agency)
- Case studies/Thematic studies \* Issue based research (to be conducted by M&E agency)
- Participatory research (to be carried out by M&E agency)
- Target group monitoring (to be carried out by M&E agency)

### 11.3 Monitoring Project Input and Output

Project monitoring will be the responsibility of the R&R Coordinator who will prepare monthly progress reports. The reports will compare the progress of the project to targets set up at the commencement of the project. The list of impact performance indicators will be used to monitor project objectives. The socio-economic survey conducted will provide the benchmarks for comparison.

Progress	Assessment Methodology	Expected Output
<b>Financial</b>		
Amount disbursed for acquisition of land, structure, wells, trees, etc.	Structured Schedule, informal and formal discussion	Adequate compensation
Amount disbursed for productive assets grant (agriculture and business)	Structured Schedule, informal and formal discussion	Proper Assistance
Amount disbursed for house construction grant, transitional allowance, economic rehabilitation grant, shifting assistance, rent, assistance to tenants,	Structured Schedule, informal and formal discussion	Proper Assistance
Amount disbursed for restoration of CPR, community infrastructure, conservation of religious structures,	Structured Schedule, informal and formal discussion	Community Welfare
Amount disbursed for extension of development programmes, training and capacity building,	Structured Schedule, informal and formal discussion	Income Restoration
Fees paid to NGO for implementation of RAP and consultants for M&E activities	Structured Schedule, informal and formal discussion	Implementation and monitoring
Amount disbursed for training of implementation staff of PWD	Formal Discussion with concerned officials	Better implementation and coordination
<b>Physical</b>		
Total Land Acquired	Structured Schedule	Extent of land acquired
Number of PAFs whose land, residence and business establishment affected and totally demolished	Structured Schedule	Adequate Compensation
Number of PAFs allotted residential structures/plots	Structured Schedule	Assistance and Resettlement
Number of PAFs allotted agriculture land, Commercial structure/plots	Structured Schedule	Economic Rehabilitation
Extent of agriculture land, and commercial plots/structures distributed	Structured Schedule	Economic Rehabilitation
Extent of residential plots/structures distributed	Structured Schedule	Assistance and Resettlement



Progress	Assessment Methodology	Expected Output
Total area of community and government land transferred for resettlement sites and infrastructure	Structured Schedule	Assistance and Resettlement
Number of PAFs received productive asset grant (agriculture and business)	Structured Schedule	Economic Rehabilitation
Number of PAFs received house construction grant, transitional, shifting and rental allowances	Structured Schedule	Resettlement and Assistance
Number of PAFs received economic rehabilitation grant	Structured Schedule	Economic Rehabilitation
Implementation of IR Schemes	Formal Discussion/ Structured Schedule	Economic Rehabilitation
<b>Social</b>		
Area and type of house and facility	Core Rapid Appraisal	Resettlement
Morbidity and mortality rates	Structured Schedule	Social well being
Communal harmony	Core Rapid Appraisal	Social well being
Women time disposition and decision making power	Participatory Appraisal	Women Empowerment
Literacy Level, drinking water, schools, health facilities, and other community infrastructures	Structured Schedule	Social well being
<b>Economy</b>		
Annual Household Income and Expenditure	Structured Schedule	Economic Status
Number of PAFs below poverty line	Structured Schedule	Poverty Status
Utilisation of Compensation	Structured Schedule	Proper utilisation of compensation amount
Number of PAPs and Women gainfully employed in project	Structure Schedule	Improvement of Economic Status and Women empowerment
Number of PAFs brought above poverty line	Structured Schedule	Improved economic status, Poverty Alleviation
Number of shop sites purchased	Structured Schedule	Proper utilisation of compensation amount and economic rehabilitation
Extent of agriculture land purchased	Structured Schedule	Proper utilisation of compensation amount and economic rehabilitation
<b>Community Participation</b>		
Number of meetings for dissemination of information on resettlement	Informal Discussion and structured schedule	Increased local participation
Number of meetings with each PAF to finalise R&R options	Informal Discussion and structured schedule	Involvement in project cycle
Number of PAFs approaching Grievance Redress Cell	Structured Schedule	Increased Awareness
Selection of Resettlement Sites	Informal Discussion and Structured Schedule	Involvement in project cycle
Number of PAFs self relocated	Informal Discussion and Structured Schedule	Informed choice of selection
<b>Grievance</b>		
Number of PAPs moved to court	Structured Schedule	Adequate Compensation
Cases referred to court pending settlement and those settled	Structured Schedule and IDI with concerned officials	Adequate Compensation
Number of grievance cell meetings	Structured Schedule	Participation
Number of village level meetings	Structured Schedule	Participation



Progress	Assessment Methodology	Expected Output
Number of field visits by SDO and number of cases disposed by SDO to the satisfaction of EPs.	Structured Schedule	Involvement of concerned officials
Number of grievance, their resolution/non resolution.	Structured Schedule	Involvement of concerned officials
Main responsibilities of the GRC are to: (i) provide support to PAPs on problems arising from land/property Acquisition.	Record DP grievances, categorize, and prioritize grievances and resolve	Participation

The terms of reference for hiring of M&E Consultant is attached as **Annexure - 11.1.**

### 11.3.1 Monitoring and Evaluation Systems

Observing and appraising various specific parameters and processes as objectively as possible will be carried out. Periodic evaluation of these would indicate where and when policy changes could occur. Periodic evaluation of these would indicate where and when policy changes could occur or where deficiencies in implementation method or style are apparent. The boundaries of this assessment will need the agencies (M&E) to examine the multiplier effects and linkages outside of the project definition of affected people and areas.

The evaluation will be carried out in two level and two stages. The two level include internal evaluation by the department through its existing Institution system. Second level will be carried out by an external and third party agency. The stages of evaluation include midterm evaluation which will be carried out during the implementation of RAP in order to carryout timely corrective action. The second stage of evaluation will be carried out to identify, document and enlist any good practices and any gap in implementation of the RAP. The end term evaluation is generally carried out after 3 to 5 years of project completion as retrofit survey to understand the benefit(Positive and adverse) due to project development.

The impact evaluation will be carried out after the implementation of RAP is over. This is never an easy matter to determine. Financial consideration often requires an impact evaluation shortly before or after the project concludes. However project continuous to evolve overtime.

Impact evaluation will all the affected population; self-relocate; assisted resettled population; host population. Further this large population will be further broken down into vulnerable segments of each population. Impact evaluation will be carried out on randomly selected segment of population.

The external agency will submit quarterly report to the PWD.

#### Evaluation Indicators

1. Present Condition of the PAPs
2. Annual income in INR.
3. Number of Family Member
4. Number of Earners within Family
5. Type of Loss (Specify)
6. Categories of Loss: Titled Holder or Non-Titled Holder



7. Compensation Received Yes/No If Yes then Date of Received.
8. Compensation Received by Partly or Fully

**Economic Indicators**

- A. What Type of compensation Received i. Cash; ii. Kind; iii. Both
- B. Have you received any Training i. Yes; ii. No.
- C. Are you happy with Compensation i. Yes; ii. No.
- D. How you used Compensation Amount.
- E. What is your present source of income?
- F. Is it different than earlier.



## 12 IMPLEMENTATION SCHEDULE

---

### 12.1 Background

Planning, surveying, assessing, policy development, institutional identification, participation, income restoration and implementation are typical activities of RAP. While these activities have discrete components that can be put on a time line, there is a close inter relationship of each activity to the whole. The breakdown of each activity according to a specific time frame has been given for Phase I and II to assist Public Works Department in implementation of RAP at various stages.

It is further cautioned that specific situation may require an increase in time, allotted to a task. Such situations include, but not limited to local opposition; seasonal factors, social and economic concerns, training of support staff and financial constraints. Complementation Schedule will require detailed coordination between the project authorities and various line departments. The time schedule for major task of the RAP is given in **Annexure – 12.1**.

Implementation plan has been spread over a period of five years for both phases. Implementation of both the phases will take three years each, but first year of phase II will overlap third year of phase I implementation. A simplified summary of the operational aspects of the implementation plan will be prepared when the project starts. It will be given to PWD, who along with a route wise selected NGOs will have to put the plan into action.

### 12.2 Implementation Procedure

The implementation of the RAP will consist of four major stages:

- Identification of cut-off date and notification for land acquisition as per RFCTLARR Act 2013 (for Phase II)
- Verification of properties of EPs and estimation of their type and level of losses. (for both the phases)
- Preparation of EPs for relocation/rehabilitation (for both the phases)
- Relocation and rehabilitation of the EPs (for both the phases)
- Implementation of Gender Action Plan

### 12.3 Timing of resettlement

The resettlement process must be completed by the start of civil works on the particular route. Requisite procedure will be developed by the PWD to carry out resettlement of PAPs located within the COI, before the civil work starts on any section of the project road. These people will be given at least two months' notice to vacate their property before civil works begins. During the field visit with UP PWD on 8 & 9<sup>th</sup> of November, 2014, the above milestone has been finalized for handing over to the Contractor. The Mile stone is based with no hindrance at the project corridors.

Stretches, which are free of encroachment and other encumbrances, will be handed over first to contractor. The timetable of stretches to be handed over to the contractor is given below.


**Table 12.1: Plan for Handing Over the Stretches to Contractor**

Route No.	Road Name	Mile Stone	Chainage		Total km	Date of Handing Over to Contractor
			Start	End		
1	Garautha - Chirgaon	1	132+000	137+000	5.000	at starting date
			140+000	146+000	6.000	
			147+000	149+000	2.000	
Sub Total of Mile Stone-1					13.000	
2	Garautha - Chirgaon	2	118+600	129+000	10.400	6 months from the Start Date
			131+000	132+000	1.000	
			137+000	140+000	3.000	
			146+000	147+000	1.000	
			149+000	160+000	11.000	
			161+000	165+000	4.000	
Sub Total of Mile Stone-2					30.400	
1	Garautha - Chirgaon	3	129+000	131+000	2.000	12 months from the Start Date
			160+000	161+000	1.000	
			165+000	167+745	2.745	
Sub Total of Mile Stone-3					5.745	
Grand Total of Mile Stone 1+2+3					49.145	

#### 12.4 Miscellaneous Activities

Miscellaneous activities include steps to be taken for diversion of traffic during construction and leasing of borrow areas by contractors. These steps include:

Diversion route:

- Preparing plans with details of land required for diversion
- Compensation decided in mutual agreement and paid before physical possession
- Returning of land after restoration in original condition.

Borrow Areas

- Submit details to PWD about the persons and area to be leased in by the contractor.
- The contract document signed between the PWD and the contractor will include the terms of payment and return the land to the owner.
- Complete payments will be made to the contractor after the PWD is satisfied that the terms and conditions of the contract document have been met.

#### 12.5 Implementation Responsibility

It is the responsibility of the PWD to ensure that the RAP is successfully implemented in a timely manner. The implementation plan of RAP for a specific route will be prepared by the PWD. PWD will be assisted by the partnering NGO selected for implementation. The implementation schedule proposed will be updated as the implementation progresses.

**Table 12.2: Roles and Responsibilities**

Implementation Staff	Roles and Responsibilities
Project Director	<ul style="list-style-type: none"> <li>• Overall responsibilities for R&amp;R activities in the field including land acquisition in Phase II</li> </ul>



Implementation Staff	Roles and Responsibilities
	<ul style="list-style-type: none"> <li>• Make budgetary provisions for R&amp;R activities</li> <li>• Liaison with district administration for land acquisition and implementation of RAP</li> <li>• Participate in state and district level committee meetings</li> <li>• Preparing TOR and Contracting NGO for implementation and external agency for monitoring and evaluation</li> <li>• Organise training for PWD members and NGO for capacity building to implement the RAP</li> <li>• Prepare TOR for any studies required and qualitative dimensions to the implementation of RAP</li> <li>• Facilitate appointment of consultants to carry out the studies and co-ordinate them.</li> <li>• Monitor financial progress on RAP implementation</li> </ul>
R&R Coordinator	<ul style="list-style-type: none"> <li>• Co-ordinate with district administration and NGO responsible for RAP implementation</li> <li>• Translation of R&amp;R policy in Hindi</li> <li>• Prepare pamphlets on policy for information dissemination</li> <li>• Print policy and identity cards for PAPs</li> <li>• Ensure that contractors has paid the mutually agreed amount to the landowner for borrow pits.</li> <li>• To ensure that land is returned to the owner within the stipulated period as in agreement and land returned is not unproductive.</li> <li>• Ensure the development of resettlement sites and agriculture land as and when required</li> <li>• Ensure that land acquisition plans as per the alignment is submitted to district administration for acquisition (for Phase II)</li> <li>• Participate in allotment of residential and commercial plots</li> <li>• Liaison with district administration for dovetailing of government schemes for Income Restoration Schemes</li> <li>• Co-ordinate with NGO appointed for implementation of RAP</li> <li>• Ensure inclusion of PAPs who might not have been covered during the census survey</li> <li>• Facilitate opening of joint account in local banks to transfer the rehabilitation assistance for the PAPs and also organise distribution of cheque payment of compensation and rehabilitation assistance, through transparent manner in <i>Gram Sabha</i> for distribution of cheques</li> <li>• Monitor physical progress of RAP implementation including physical shifting of PAPs</li> <li>• Participate in every district level meetings</li> <li>• Prepare monthly progress report</li> <li>• Organise by-monthly meetings with NGO to review the progress of R&amp;R</li> <li>• Implement GAP</li> </ul>
Non Governmental Organisation	<ul style="list-style-type: none"> <li>• Co-ordinate with R&amp;R Coordinator to implement RAP activities</li> <li>• Verification of PAFs listed out in RAP</li> <li>• Issue identity cards to the PAFs</li> <li>• Develop rapport with PAPs</li> <li>• Facilitate R&amp;R Coordinator in organising public information campaign at the commencement of R&amp;R activities</li> <li>• Distribute the pamphlets of R&amp;R policy and also explain to them the meaning and measures of mitigation to eliminate the feeling of insecurity among the PAPs</li> <li>• Assist the PAPs in receiving the payment of compensation, opening of bank accounts and facilitate the vulnerable PAPs in ensuring that they</li> </ul>





Implementation Staff	Roles and Responsibilities
	<p>get their dues on time and are not left out to deteriorate to the stages of impoverishment.</p> <ul style="list-style-type: none"> <li>Facilitate opening of joint bank accounts</li> <li>Generate awareness about the alternate livelihood options and their viability, the resource base and other opportunities to enable the PAPs to make informed choices and participate in their own development.</li> <li>Conduct awareness campaigns regarding HIV/AIDS among truckers and CSWs along with regular campaigns</li> <li>Prepare micro-plans for economic rehabilitation of PAFs</li> <li>Enable PAPs to identify the alternate sites for relocation</li> <li>Participate in consultation process for allotment of residential and commercial plots</li> <li>Ensure preparation of resettlement sites as per the guidelines laid in the policy complete with basic facilities</li> <li>Participate in the meetings organised by PWD</li> <li>Submit monthly progress reports</li> <li>Identify training needs of PAPs for income generating activities and ensure they are adequately supported during the post-training period on enterprise development and management, the backward and forward linkages, credit financing and marketing of the produce.</li> <li>Participate in the disbursement of cheques at public meetings and <i>Gram Sabhas</i></li> <li>Ensure the women headed households (very few in Phase I) and other groups of vulnerable PAPs are given their dues both for payment of compensation and rehabilitation assistance.</li> <li>Implement other actions under GAP</li> </ul>

**Table 12.3: Summary of Role and Responsibilities of Other Project Partners in Various Stages of Project**

Project Stage	PAPs and Representative	NGOs	Local officials (in PAP and host areas)	Hosts
Identification	<ul style="list-style-type: none"> <li>Receive information on project impacts</li> <li>Representative on coordination committee</li> <li>Participate in census surveys</li> <li>Participation in structured consultations to develop IG programs</li> <li>Keep records of consultations</li> <li>Choose resettlement locations or housing schemes</li> <li>Inputs to design of resettlement locations</li> <li>Representation on grievance tribunal</li> </ul>	<ul style="list-style-type: none"> <li>Design and carry out information campaign</li> <li>Assist in census and Socio-economic survey</li> <li>Participate on Coordination Committee</li> <li>Participate in consultations</li> <li>Representation on grievance tribunal</li> <li>Train VRWs where required</li> <li>Facilitate PAP inter group meetings</li> </ul>	<ul style="list-style-type: none"> <li>Assist in census and socio-economic surveys</li> <li>Assist NGO in information dissemination</li> <li>Participate in and arrange consultations</li> <li>Arrange PAP transport to sites</li> <li>Help to document consultations</li> <li>Support VRWs work</li> <li>Examine feasibility of IG programmes and discuss with PAPs</li> </ul>	<ul style="list-style-type: none"> <li>Provide information and inputs to design of IG programs</li> <li>Identify existing credit and IG schemes</li> <li>Discuss areas of possible conflict with PAPs</li> </ul>



Project Stage	PAPs and Representative	NGOs	Local officials (in PAP and host areas)	Hosts
Implementation	<ul style="list-style-type: none"> <li>Monitor provision of entitlements</li> <li>Labour and other input at site</li> <li>Credit and other group scheme management</li> <li>O&amp;M of sites and project input</li> <li>Management of common property resources</li> <li>Manage common property resources and community development funds</li> <li>Member of implementation committee</li> </ul>	<ul style="list-style-type: none"> <li>Provide on-going information for PAPs and hosts</li> <li>Provide support in group management</li> <li>Monitor entitlement provision and implementation of IG programmes</li> <li>Members of implementation committee</li> </ul>	<ul style="list-style-type: none"> <li>Process IG proposals</li> <li>Participate in grievance redress</li> <li>Provide assistance under local schemes</li> <li>Membership of implementation committee</li> <li>Process documents for welfare and socio-economic services (ration card, BPL card)</li> </ul>	<ul style="list-style-type: none"> <li>Assist PAPs in use of new production systems</li> <li>Form joint management groups for common resources</li> </ul>
Monitoring and Evaluation	<ul style="list-style-type: none"> <li>Participate in grievance tribunals</li> <li>Report to project on IG schemes</li> <li>Report on service quality at sites</li> </ul>	<ul style="list-style-type: none"> <li>Provide information to project staff on vulnerable groups</li> <li>Act as external monitors for project (where not previously involved)</li> </ul>	<ul style="list-style-type: none"> <li>Ongoing interaction with PAPs to identify problems in IG programs</li> <li>Participants in correctional strategies</li> </ul>	<ul style="list-style-type: none"> <li>Provide inputs to M&amp;E of R&amp;R</li> </ul>

## 12.6 Community Participation in the Implementation of RAP

The institutional arrangement as explained in R&R policy already provides the continued involvement of the communities, especially the project-affected and the project-displaced persons in implementation of the RAP. The PWD will ensure:

- The stakeholders are consulted at every state of project
- The women perception is built into the RAP implementation plan
- The host community is consulted so that community assets are optimised and enhanced
- The PAPs participate in ensuring creation of community assets, and the upkeep and maintenance of assets created by the project
- An institutional mechanism is evolved involving the people, the *gram panchayats* and the formal and informal peoples' committees to ensure sustainability of the process of development, beyond the RAP implementation period.

## 12.7 Tasks for NGO in Implementation and Tentative Methodology

The table below details out the task to be carried out by NGO at different stages of the report.

**Table 12.4: Tasks of NGO**

Task Name	Methodology
<ul style="list-style-type: none"> <li>• Developing Rapport with the PAPs</li> </ul>	<ul style="list-style-type: none"> <li>• Fortnightly and Monthly meetings with PAPs &amp; its Documentation</li> </ul>



Task Name	Methodology
<ul style="list-style-type: none"> <li>Developing Rapport with the Project Authorities particularly the Social Officer</li> </ul>	<ul style="list-style-type: none"> <li>Fortnightly meetings with R&amp;R Coordinator of PWD &amp; its Documentation</li> </ul>
<ul style="list-style-type: none"> <li>The need for Land Acquisition</li> </ul>	<ul style="list-style-type: none"> <li>Participatory</li> </ul>
<ul style="list-style-type: none"> <li>The need for eviction of Squatters &amp; Encroachers</li> </ul>	<ul style="list-style-type: none"> <li>Participatory</li> </ul>
<ul style="list-style-type: none"> <li>The likely consequences of the project on the communities economic livelihood</li> </ul>	<ul style="list-style-type: none"> <li>Participatory and by setting up of Public Information Centre</li> </ul>
<ul style="list-style-type: none"> <li>Identifying PAPs &amp; verifying on the basis of census survey carried out &amp; facilitating the distribution of Identity Cards</li> </ul>	<ul style="list-style-type: none"> <li>Validity Survey and Participatory</li> </ul>
<ul style="list-style-type: none"> <li>Distribution of R&amp;R policy and entitlement packages</li> </ul>	<ul style="list-style-type: none"> <li>Participatory</li> </ul>
<ul style="list-style-type: none"> <li>Assist PAPs in getting the compensation for their land and properties acquired for the project</li> </ul>	<ul style="list-style-type: none"> <li>Participatory</li> </ul>
<ul style="list-style-type: none"> <li>In consultation with PWD &amp; Revenue Dept. help PAPs identify suitable land for relocation and for agricultural purposes &amp; assist in negotiating its transfer to the PAPs &amp; in case suitable Government land is unavailable then assist PAP to locate a land owner willing to dispose and assist in the negotiation of the purchase price</li> </ul>	<ul style="list-style-type: none"> <li>Participatory</li> </ul>
<ul style="list-style-type: none"> <li>Determination of the entitlements of each PAP by reviewing the R&amp;R Policy and the RAP and comparing it with the offer made by the SOCIAL OFFICER and upon identifying discrepancy assisting the PAP in coming to some agreement with SOCIAL OFFICER &amp; if need be pursuing the matter through grievance redress cell</li> </ul>	<ul style="list-style-type: none"> <li>Discussion with PD and Officials with Participatory tools</li> </ul>
<ul style="list-style-type: none"> <li>In close consultation with PAPs for ensuring acceptability help project authorities in making arrangements for smooth relocation of the PAPs and their business</li> </ul>	<ul style="list-style-type: none"> <li>Regular Meeting with PAPs</li> </ul>
<ul style="list-style-type: none"> <li>Advising PAPs on best use of grants under the R&amp;R package ensuring sustainability of income</li> </ul>	<ul style="list-style-type: none"> <li>Regular Meeting with PAPs</li> </ul>
<ul style="list-style-type: none"> <li>Investigation of the availability of various Govt. development programmes and examining their relative merits for recommending the same to the PAPs and accordingly orchestrate training programmes for sustainable livelihood of PAPs and assisting in required skill development by networking with Revenue department, other Government departments and NGOs of the area</li> </ul>	<ul style="list-style-type: none"> <li>Literature survey of Secondary sources of information, Meetings with other functionaries</li> </ul>
<ul style="list-style-type: none"> <li>Helping PAPs in redress of their grievances by awareness generation amongst PAPs on grievance redress mechanism as per RAP &amp; assisting PAPs with grievances for its mitigation</li> </ul>	<ul style="list-style-type: none"> <li>Regular Meeting with PAPs</li> </ul>
<ul style="list-style-type: none"> <li>Developing Micro level plans for R&amp;R in consultation with the PAPs and the SOCIAL OFFICER ensuring PAPs agreement on List of options open &amp; choices made by PAPs upon being assisted to do so</li> <li>Relocation site</li> <li>List of benefits due to the PAP</li> <li>Arrangement for Shifting</li> <li>Proposed utilisation of grant moneys due to PAPs</li> <li>Involvement of PAPs in existing Govt. development programmes</li> <li>Updating the data bank on PAPs due to any changes in project</li> </ul>	<ul style="list-style-type: none"> <li>Regular Meeting with PAPs</li> <li>Capacity Building</li> <li>Identify specific IG Schemes</li> </ul>



Task Name	Methodology
<p>&amp; development of impact indicators</p> <ul style="list-style-type: none"><li>• Specific assignments from the SOCIAL OFFICER for the welfare of the affected community</li><li>• Assisting in identifying tree species selected by the community and facilitates its plantation.</li></ul>	





## 13 COSTS AND BUDGET

### 13.1 Budget

The implementation of RAP entails expenditure, which is a part of the overall project cost. The R&R budget, gives an overview of the estimated costs of the RAP and provides a cost-wise, item-wise budget estimate for the entire package of resettlement implementation, including compensation, assistance, administrative expense, monitoring and evaluation and contingencies. Values for compensation amounts and other support mechanism will be adjusted, based on annual inflation factor.

The project promoter will bear the cost through PIU. Costs related to land acquisition and transfer of title to property from private individuals will be paid by project authorities.

Around 5% of the total cost has been set aside for physical contingencies. Such type of contingencies may arise as a result of time overrun of the project or due to various other unforeseen circumstances

The costs estimated mainly include structure cost and R&R assistance costs.

**Cost of Civil Works:** While preparing the budget, the R&R team laid special emphasis on arriving at an estimate of the market value of the assets. The R&R team verified price data from a cross-section of the PAPs, revenue officials in the concerned district; local entrepreneurs engaged in these works and even non-PAPs in each kilometer stretch. The resettlement budget, particularly, the compensation has been computed on this basis.

**R&R Assistance:** The R&R assistance amounts such as shifting allowance; subsistence allowance and grant for working shed has been taken from approved R&R policy for the project.

**Cost Towards Implementation Arrangement:** The cost for hiring NGO; M&E agency and implementation of gender action plan has been estimated based on other projects; activities envisaged; and number of PAPs.

The budget for RAP implementation comes to **Rs. 1.14 crores**. The detailed budget is presented below

**Table 13.1: Estimated Cost of R&R Budget based on R&R Policy**

S. No.	Item	Unit	Rate (INR)*	Total Amount
<b>A</b>	<b>Replacement cost for Structure Non Title Holders</b>	<b>In Sq. mtr.</b>		
1	Replacement cost for Permanent Structure	9.750	13,000	126750.00
2	Replacement cost for Semi Permanent Structure	266.830	12,000	3201960.00
3	Replacement cost for Temporary structure	337.080	3,500	1179780.00
4	Replacement cost for Boundary Wall	13.700	2,000	27400.00
	<b>Total</b>	<b>627.36</b>		<b>45,35,890.00</b>
<b>B</b>	<b>Assistance</b>	<b>Number</b>		
1	Squatters One time grant of Rs 36000 as subsistence allowance	9.00	36000.00	324000.00
2	Shifting allowance of Rs 50,000 as one time grant for a permanent structure per family.	0.00	0.00	0.00



**DETAILED PROJECT REPORT**  
**Volume-IX: Resettlement Action Plan**  
**Garautha – Chirgaon Road (SH-42)**

S. No.	Item	Unit	Rate (INR)*	Total Amount
3	Shifting allowance 30,000 as one time grant for a semi - permanent structure per family.	0.00	30000.00	0.00
4	Shifting allowance 10,000 as one time grant for a temporary structure per family.	9.00	10000.00	90000.00
5	Kiosks only Rs. 5000 will be paid as one time grant	45.00	5000.00	225000.00
6	Grant for construction of working shed or shop for self employed	0.00	50000.00	0.00
7	Training Assistance of Rs 10,000/- for income generation	54.00	10000.00	540000.00
<b>Total</b>				<b>11,79,000.00</b>
<b>C</b>	<b>CPR-compensation for Community/Properties</b>	<b>In Sq. mtr.</b>		
1	Compensation for Religious St.	39.99	12000.00	479880.00
2	Community Boundary Wall (in Running mts.)	12.50	2000.00	25000.00
3	Well (in number)	1.00	50000.00	50000.00
4	Hand Pump (in number)	33.00	25000.00	825000.00
<b>Total</b>				<b>13,79,880.00</b>
<b>D</b>	<b>Implementation Arrangement</b>			
	Implementation of GAP	Lump sum		10,00,000
	Hiring of NGO	Lump sum		12,00,000
	Hiring of M&E agency	Lump sum		15,00,000
	Training of Project Staff on RAP issues	Lump sum		1,00,000
<b>Total</b>				<b>38,00,000.00</b>
<b>Total (A+B+C+D)</b>				<b>1,08,94,770.00</b>
Contingency 5%				544738.50
<b>Grand Total</b>				<b>1,14,39,508.50</b>

\* Rate - As per District Circle Rate (Government of Uttar Pradesh)



## **ANNEUXRES**

---



## **Annexure – 1.1**

---

### **Resettlement & Rehabilitation (R & R) Policy**



संख्या— / 23-12-2014-4(सा0) / 2012

प्रेषक,

जिन्नूरैन अहमद खाँ

उप सचिव

उत्तर प्रदेश शासन।

सेवा में,

प्रमुख अभियन्ता (विकास) एवं विभागाध्यक्ष,

लोक निर्माण विभाग, लखनऊ।

लोक निर्माण अनुभाग-12

लखनऊ : दिनांक 19 अगस्त, 2014

विषय:-विश्व बैंक के ऋण से प्रस्तावित उत्तर प्रदेश कोर रोड नेटवर्क परियोजना के अन्तर्गत पुर्नस्थापना एवं पुनर्वास नीति के अनुमोदन के सम्बन्ध में।

महोदय,

उपर्युक्त विषयक मुख्य अभियन्ता, विश्व बैंक परियोजना (मार्ग), लो0नि0वि0 लखनऊ के पत्र सं0-119/1-09/यू0पी0सी0आर0एन0डी0पी0/सी0ई0डब्लू0बी0/2014 दिनांक 05.08.2014 (छायाप्रति संलग्न) का कृपया अवलोकन करने का कष्ट करें, जिसके द्वारा उत्तर प्रदेश कोर रोड नेटवर्क परियोजना के अन्तर्गत पुर्नस्थापना एवं पुनर्वास नीति के अनुमोदन हेतु प्रस्ताव उपलब्ध कराया गया है।

2- इस सम्बन्ध में मुझे यह कहने का निदेश हुआ है कि उत्तर प्रदेश कोर रोड नेटवर्क परियोजना के अन्तर्गत पुर्नस्थापना एवं पुनर्वास नीति के सम्बन्ध में सैद्धान्तिक अनुमोदन प्रदान किया जाता है। प्रकरण में अन्तिम अनुमोदन प्रदान करने पर यथासमय निर्णय लिया जायेगा। कृपया तदनुसार आवश्यक कार्यवाही सुनिश्चित कराने का कष्ट करें।

संलग्नक -उपर्युक्तानुसार।

भवदीय,

( जिन्नूरैन अहमद खाँ )  
उप सचिव

संख्या-1195 (1)/23-12-14-तददिनांक।

प्रतिलिपि निम्नलिखित को सूचनार्थ एवं आवश्यक कार्यवाही हेतु प्रेषित :-

- 1- प्रमुख अभियन्ता (ग्रामीण सड़क), लोक निर्माण विभाग, लखनऊ।
- 2- मुख्य अभियन्ता, विश्व बैंक परियोजना (मार्ग), लो0नि0वि0 लखनऊ के पत्र सं0-119/1-09/यू0पी0सी0आर0एन0डी0पी0/सी0ई0डब्लू0बी0/2014, दिनांक 05.08.2014 के संदर्भ में।
- 3- गार्ड फाइल।

आज्ञा से,

( जिन्नूरैन अहमद खाँ )  
उप सचिव

**PUBLIC WORKS DEPARTMENT  
GOVERNMENT OF UTTAR PRADESH**

**UTTAR PRADESH CORE ROAD  
NETWORK DEVELOPMENT  
PROGRAMME  
RESETTLEMENT AND  
REHABILITATION POLICY**

**JULY, 2014**

## 1 INTRODUCTION

- 1.1 Government of Uttar Pradesh has plans to improve the Core Road Network. The aim and the objective are to improve and strengthen the state's road transport network.
- 1.2 Apart from the positive aspects of the road up-gradation, the project may cause loss of land, structures, other immobile properties and various sources of livelihood. This document describes the principles and approaches to be followed in minimizing and mitigating negative social and economic impacts caused by projects so that the affected are able to restore and improve their standard of living.
- 1.3 This policy is based on the Right to Fair Compensation and transparency in land Acquisition, Rehabilitation and Resettlement Act, 2013 subject to subsequent supplements by GoUP orders and World Bank Operational Policy 4.12 on involuntary resettlement.

## 2 BROAD PRINCIPLES

- 2.1 This policy recognizes that involuntary resettlement dismantles a previous production system and a way of life, all such rehabilitation programs will adopt a developmental approach rather than the welfare approach. These guidelines details out the assistance in re-establishing the homes and livelihoods of the Project Affected People (PAP) during the course of projects. The broad principles of the Resettlement and Rehabilitation (R&R) policy are as given below :
  - a) All negative impacts including displacement should be avoided or minimized wherever feasible by exploring all viable alternative project designs
  - b) Where negative impacts are unavoidable, efforts should be made either to improve the standard of living of the affected persons or at least assist them in restoring their previous standard of living at no cost to them.
  - c) Ensure people's participation during the course of the project cycle.
  - d) Effort should be made towards the enhancement of the positive impact of the projects.
- 2.2 The project will broadly have three impacts that require mitigation measures. These are :
  - a. Loss of immovable assets viz., land, house, commercial establishments wells, ponds etc.
  - b. Loss of livelihood or income opportunities viz, for agriculture labours, helping hands in commercial establishments etc.
  - c. Impact on the community in terms of loss of common property resources.

The first two categories represent direct impacts on an identified population. The people likely to be affected will be surveyed and registered, and project monitoring and evaluation will compare long term impacts against baseline socio economy data.

The third category represents a group impact, where gains and losses of a group oriented nature are not quantifiable in terms of impact on the individual. Mitigation and support mechanism will be collectively oriented, and the monitoring will focus on impact on such groups.
- 2.3 All acquisition of private land would be by direct purchase as per G.O. No. 271/83-अव0-13-39(अवस्थापना)/13 Avasthapna Vikash Anubhag – 13 dt 02.09.2013 and subsequent amendments thereof. However the provisions of rights to Fair compensations and transparency in land acquisition, rehabilitation and resettlement act, 2013 and subsequent supplements by GoUP shall prevail in case direct purchase fails.
  - a) Support will be extended under the broad principles of this policy to meet the replacement value of the assets and loss of livelihood.
  - b) The policy further recognizes extension of support to non-titleholders for the loss of livelihood and replacement value for assets other than land.
  - c) The common property resources will be replaced as far as feasible and if not then assistance will be provided at replacement value to the group.
- 2.4 Major widening and strengthening work planned will take place within the Right of Way (ROW) based on land availability, gradient, traffic and congestion of population along the road length. Efforts will be made during implementation to minimise any disturbance in the daily activities of the local people.



- 2.5 Before taking possession of the acquired lands and properties, all compensation, resettlement and rehabilitation would be made in accordance with this policy.
- 2.6 In case of displacement, resettlement sites will be developed as part of the project. In such circumstances care should be taken so that there is no/or minimum adverse social, economic and environmental effects of displacement on the host communities and specific measures would be provided in the Resettlement and Rehabilitations Action Plan (RAP) to mitigate any such impacts.
- 2.7 Before taking possession of acquired property sufficient time would be provided to harvest the crop.
- 2.8 The implementation of the R&R Action Plan will be synchronized with the civil works.
- 2.9 The project will ensure that no civil works are initiated before compensation and assistance to affected population has been provided in accordance with this policy.

### 3 ABBREVIATIONS AND TERMS

#### ABBREVIATIONS USED

BPL	Below Poverty Line
SOR	Schedule of Rates
CBO	Community Base Organisation
COI	Corridor of Impact
CPR	Common Property Resources
DC	District Collector
EP	Entitled/Eligible Person
HCA	House Construction Allowance
NGO	Non Governmental Organisation
PAP	Project Affected Person
PAF	Project Affected Family
PDP	Project Displaced Person
PDF	Project Displaced Family
PIU	Project Implementation Unit
RFCTLAR&R	Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement act, 2013
PWD	Public Works Department
R&R	Resettlement and Rehabilitation
RAP	Rehabilitation Action Plan
ROW	Right of Way
RRO	Resettlement and Rehabilitation Officer
SLAO	Special Land Acquisition Officer
SES	Socio-Economic Survey
SC/ST	Schedule Caste and Schedule Tribes
u/s	Under Section
SIA	Social Impact Assessment

#### TERMS

- Below Poverty Line** : Annual Income from all sources is less than a designated sum as fixed by the Planning Commission, Government of India.
- Corridor of Impacts** : Width of the land required for upgradation of the road.
- Development Block** : A number of villages grouped together with Block Development Officer as its administrative head.
- District Collector** : Administrative head of the District

## 4 DEFINITIONS

- Cut off Date** : i) In case of land acquisition affecting the legal title-holders, the cut off date would be the date of issuing the publication of preliminary notification u/s 11 (1) of RFCTLAR&R, Act, 2013.  
ii) For the non-title holders cut off date would be the date of Census Survey.
- Project Affected Persons** : Person who is affected in respect of his/her land including homestead land and structure thereon, trade and occupation due to construction of the project
- Project Displaced Person** : A person who is compelled to change his /her place of residence and/or workplace of business due to the project.
- Project Affected Family** : Family includes a person, his or her spouse, minor children, minor brothers and minor sisters dependent on him. Provided that widows, divorcees and women deserted by families shall be considered separate families;  
Explanation – An adult of either gender with or without spouse or children or dependents shall be considered as a separate family for the purpose of this Act.
- Land Over** : “land owner” includes any person –  
(i) Whose name is recorded as the owner of the land or building or part thereof, in the records of the authority concerned; or  
(ii) Any person who is granted forest rights under the Scheduled Tribes and other Traditional Forest Dwellers (Recognition of Forest Rights) Act, 2006 or under any other law for the time being in force; or  
(iii) Who is entitled to be granted Patta rights on the land under any law of the State including assigned lands; or  
(iv) Any person who has been declared as such by an order of the court or Authority.
- Marginal Farmer** : “marginal farmer” means a cultivator with an un-irrigated land holding up to one hectare or irrigated land holding up to one half hectare.
- Small Farmer** : “small farmer” means a cultivator with an un-irrigated land holding up to two hectares or irrigated land holding up to one hectare, but more than the holding of a marginal farmer.
- Encroacher** : A person who has trespassed Government/ private/community Land, adjacent to his or her land or asset to which he/she is not entitled and who derives his/her livelihood and housing there from prior to the cut off date.
- Squatter** : A squatter is a person who has settled on publicly owned land for housing or livelihood without permission or who has been occupying publicly owned building without authority prior to the cut off date.
- Landless/Agriculture Labour** : A person who does not hold any agriculture land and has been deriving his main income by working on the lands of others as sub-tenant or as an agriculture labour prior to the cut-off date.
- Below Poverty Line** : A household, whose annual income from all sources is less than the designated sum as fixed by the planning commission of India, will be considered to be below poverty line (BPL).



**Vulnerable Person**

: The Vulnerable group may include but not be limited to the following:

- a. those people falling under Below Poverty Line category as defined by GoUP;
- b. Member of Scheduled Caste/Tribe community/other backward community;
- c. Women Headed households;
- d. Senior Citizen – person above the age of 60 years;
- e. Landless.
- f. Village artisan -

\* PAP includes project displaced person, but all PAPs may not be displaced persons.

## 5 BROAD PROCEDURES

### 5.1 Basic Approach

- a) The policy recognizes that along with the positive aspects of infrastructure development, there are also negative socio-economic impacts.
- b) The policy principle is to provide R&R assistance to both PDPs and PAPs.
- c) Every effort should be made during project design and preparation to minimise acquisition of land and other assets and to reduce negative socio-economic impacts. The structures/assets falling outside the COI and within the ROW would be left undisturbed.
- d) People losing their home represent a particular challenge in the resettlement program. Every effort will be to ensure that new housing is available before people are displaced.
- e) If the project impact leads to people being unable to continue with their previous occupation, the project will provide support and assistance through alternative employment strategies. Long-term earning opportunities will be provided through strategies such as vocational training, employment counseling, income generating schemes, and access to credit, etc.
- f) Absence of legal title to land will not bar the people from rehabilitation assistance. However, compensation for land will not be extended to the encroachers and squatters, considering the illegal nature of their possession.
- g) The identification of encroachers and squatters, in case they do not possess ration cards, would be sought from voter's list, or any other legal documents or information from the community. In the absence of any supporting legal documents, findings of the Census survey shall be relied upon.
- h) Efforts should be made to ensure consultation, involvement and participation of the people, non-government organizations (NGOs) and stakeholders in planning, implementation and monitoring of the project through focus group discussions, workshops at district level and also at state level. The PAPs and particularly in the case of vulnerable individuals and groups, who will be encouraged to choose the options, which entail the lowest risk.
- i) Copies of this document, information of its salient features or its executive summary, will be displayed at the notice board of the offices of the project authority, and prominent public places for general information to the public. Summary of the policy with entitlement framework translated in local language will be distributed to the affected people. Interested persons may contact project authorities for further details.
- j) The R&R assistance for each and every PAP will be determined as per their respective entitlement as defined in annex I.

### 5.2 Compensation and R&R

- a) All eligible PAPs will be entitled to R&R assistance over and above the compensation received under RFCTLAR&R Act, 2013. Those PAPs who are not entitled for compensation (encroachers and squatters) will get R&R benefits as per their entitlement under this policy.
- b) The compensation for land and building shall be provided within the ambit of RFCTLAR&R Act, 2013 and to meet the replacement value, R&R assistance will be provided.

- c) All losses, including loss of income, will be compensated within the overall R&R package as per the entitlement framework. The unit of entitlement will be the family as defined in section 4.0.
- d) In case of acquisition of houses/community buildings/or any other assets, the replacement value will be considered. In case the replacement value is more than the compensation at market value determined by the competent authority, the difference is to be paid in form of assistance.
- e) The entitlement of compensation and assistance will be extended to only those PAPs who are identified on or prior to the cut off date. Claims regarding R&R regarding R&R assistance should be dealt by Grievance redress committee

### 5.3 General Assistance

- a) The shifted population will be assisted in getting their names included in voter's lists of the area of their resettlement.
- b) PAPs falling under vulnerable groups will be provided suitable assistance to minimise the adverse impacts through various means including implementation of development activities. All mitigatory measures will be described in depth in RAP.
- c) Provision will be made for infrastructure facilities at resettlement sites.
- d) Dumping sites for earth spoils will be identified in consultation with the community.
- e) The project will ensure that PAPs get preference in job with the contractors during construction phase.

## 6 SOCIAL IMPACT ASSESSMENT AND RESETTLEMENT PLANNING

### 6.1 Corridor of Impact

Displacement will be limited to the corridor required for the road, which included the safety zone. This corridor is referred to as the Corridor of Impact (COI) and comprises typically the total construction width, inclusive of drains/embankments, shoulders. The COI may have different extent to the left and right from the road centre line and may vary as the social requirement is to avoid / minimise adverse impacts.

### 6.2 Surveys

For proper rehabilitation of the project affected and displaced persons, social impact assessment shall be undertaken. This will help in assessing the magnitude of displacement, losses to be sustained by PDP's and PAPs, better targeting of vulnerable groups, ascertaining the cost of R&R, drawing out the rehabilitation package and administering the same.

The social impact assessment survey will include both census to identify PAP, type & degree of social impact and base line socio economic surveys;

- 6.2.1 The purpose of the census is to register and document the status of the potentially affected population within the project impacts area, demographic, social and economic profile of the PAPs and to prepare strip maps indicating individual, community and public assets along the road stretches.

Where a preliminary notification under section 11 is not issued within twelve months from the date of appraisal of the Social Impact Assessment report submitted by the Expert Group under section 7, then, such report shall be deemed to have lapsed and a fresh Social Impact Assessment shall be required to be undertaken prior to acquisition proceedings under section 11. Provide that the appropriate Government, shall have the power to extend the period of twelve months, if in its opinion circumstances exist justifying the same; provided further that any such decision to extend the period shall be recorded in writing and the same shall be notified and be uploaded on the website of the authority concerned.



The census would also include collection of information of the following:

- a) The economy base of the affected people including owned the modes and magnitude of production, consumption pattern, related economic institutions and allocation of various productive resources.
- b) Household census covering immovable property owned by the PAPs and other resources in their possessive/use. These surveys would be carried out in association with local and host communities as well as with the local representatives. The data generated will be gender disaggregated.
- c) The social structure, norms, customs, cultural centres, traditional patterns of leadership and institutions of social networking and impact on common property resources (CPR) that will be affected.
- d) The census will prima facie identify tenants, sharecroppers, encroachers, squatters and agricultural labourers. This will also identify PDPs, minorities and vulnerable people.

6.2.2 Through baseline socio-economic survey following information would be collected:

- a) Accurate and up to date maps of the project area.
- b) Analysis of social structures and income resources and expenditure pattern of the population.
- c) Information on health, development process of the habitations, indebtedness, etc.
- d) Inventories of the resources which the PAPs use, as well as data on their system of economic production.
- e) The relationship of tribal to other local groups. Baseline studies should capture the full range production and marketing activities in which the PAPs in general and more specifically if tribal are affected.

### 6.3 Rehabilitation Action Plan

- a) The census, which serves to provide baseline socio-economic information about the affected person, will be completed before initiation of the finalization of the RAP.
- b) A comprehensive plan for resettlement will be drawn up in advance by the project authorities based on socio-economic surveys. The entire plan for resettlement should be prepared by the project authorities in consultation with all stakeholders including local representatives, NGOs/CBOs and representatives of PAPs.
- c) The RAP should be brought to the notice of the displaced and affected persons with the help of the local NGOs, the representatives of PAPs and the host communities so that they are able to make their suggestions.
- d) The completed RAP will include census of affected people, their entitlements to restore losses, budget, institutional mechanisms and schedule of tasks, assessment of the feasibility of income restoration mechanism and avenues for grievances redress and participatory monitoring of results.

## 7 ACQUISITION OF LAND AND OTHER IMMOVABLE PROPERTIES

### OPTION I

#### Clause 46 of RFCT LA R&R, 2013 : Direct purchase

- Project to identified land parcels to be purchased & owners is consultation with the local revenue officials.
- List of such land owners intent to purchase & purpose of purchase will be forwarded to the DM for direct purchase. A committee will be set up as per GO 271/83-अव-13-39 (अवस्थापना)/13 dt 02.09.2013 for direct purchase issued by GoUP.
- The base price of the land will be as per RFCT LA R&R, 2013.
- The rate will be finalized by the committee.
- The rate agreed upon will be exclusive of R&R assistance.
  - (a) Any PAP getting displaced due to loss of shelter will be eligible for R&R assistance as per the entitlement matrix (Annexure I)
  - (b) Any PAP where land post acquisition becomes economically unviable will be eligible for R&R assistance as per entitlement matrix (Annexure I)
- Rules and procedures will be as per GO 271/83-अव-13-39 (अवस्थापना)/13 dt 02.09.2013 amended time to time by GoUP by GO,

**OPTION II**

- 7.1 Land surveys for payment of compensation shall be done on the basis of updated official records and grounds facts. The land records shall be updated relating to title/classification/current use of land expeditiously for ensuring adequate cost compensation. For determining classification/current land use, official records as they are on the cut off date shall be taken into account.
- 7.2 If the residual land is less than the 0.5 Hectare in case of irrigated land and 1.0 Hectare in case of un-irrigated land and if remaining structure is unlivable, owner of such land/property shall have the right to seek acquisition of his entire contiguous holding/property:
- 7.3 The compensation amount for the land and properties to be acquired shall be paid according to the provisions of the Right to Fair Compensation and Transparency in Land Acquisition, rehabilitation and resettlement act, 2013.
- 7.4 The value of houses, buildings and other immovable properties of the PAPs including the PDPs shall be determined for the purpose of payment of compensation at the relevant SOR without deducting the depreciation value.
- 7.5 Compensation for properties belonging to the community or for common places of worship which are acquired for the project shall be provided to enable construction of the same at the new place through the local self-governing bodies or will be replaced by the project.
- 7.6 Compensation for trees will be based on their market value in case of timber bearing trees and replacement cost in case of fruit bearing trees as per the rates decided by the competent authority in consultation with department of Agriculture, forest, Horticulture, Sericulture etc. as the case may be.
- 7.7 Compensation shall be paid and efforts will be made to complete the R&R of PAPs/PDSs before taking possession of the land /properties. The PDPs and PAPs shall hand over the land and properties acquired to the Government free from all encumbrances such as mortgage, debt etc. pertaining to the lands and properties acquired. However, in case of any loans, on such acquired lands and properties given to the PAP by any Govt. agency, remains unadjusted as per the information furnished by the PAPs or by the loaner agency then such amounts shall be deducted out of total compensation.

Disposal of acquired properties :

- 7.8 The acquired land and properties shall vest in the department/ organization paying compensation for such lands/properties.
- 7.9 Even after payment of compensation, PDPs and PAPs will be allowed to salvage the materials from their houses, shops, etc acquired by the project and no charges will be levied upon them from the government. Project authorities will give a notice to people to salvage the material within 15 days of the issue of the notice.
- 7.10 Government will provide support to PDPs to carry the salvaged materials and other belonging to the alternate site.
- 7.11 The affected persons should either be paid the compensation for the trees and he/she should be allowed to take the cut tree.

**8 RESETTLEMENT AND REHABILITATION**

- 8.1 Agricultural land for land compensation will be provided to vulnerable person as defined in section 7.3
- 8.2 New resettlement sites with housing /shopping complexes should be developed, if opted by 25 EPs for house and 15 EPs for shops. However, where PDPs do not opt for such site and prefer cash, then adequate assistance towards the cost of infrastructure development will be given to the PDPs.
- 8.3 Plots for agricultural land/houses/shop at the new resettlement sites will be provided to the PDPs free of cost in the Joint name of husband and wife. Cost of registration to that effect would be borne by the project authority. The new resettlement site, as far as possible will be close to the original habitation.
- 8.4 At the new resettlement centres, basic civic amenities as listed by Government of India, viz, drinking water, internal and link roads, medical facilities, schools, electricity, etc, will be provided along with any other amenities which the PDPs enjoyed at their abandoned place.
- 8.5 People losing access to public land and other properties due to widening and upgradation of the road will be assisted as per the procedures in the entitlement framework.
- 8.6 Personal and individual attention will be paid towards assisting affected families during their resettlement. The focus will be on minimizing the transition period involved in resettlement.



- 8.7 Identity cards will be issued to all PAPs in order to establish their bonafide claim.
- 8.8 Rehabilitation Assistance
- a) One time resettlement allowance shall be provided to the affected families;
  - b) Subsistence grant and Transportation cost shall be provided to the affected people;
  - c) Training for upgradation of skills or those related to income generation will be provided as a part of rehabilitation assistance.
- 8.9 The R&R activities in respect of the tribal should be adapted to their needs and environment. Customary right and land tenure system of the tribal PDPs and PAPs should be protected.

## **9 MONITORING AND POST – PROJECT EVALUTION**

On completion of implementation of the R&R work, project authorities shall monitor resettlement & rehabilitation activities and its impact on the PAPs & the host population. The socio-economic survey undertaken during the project preparation will provide benchmarks for comparison on the socio-economic status of the PAPs in the post project period. While regular monitoring of physical and financial aspects of the project will be conducted by the project authorities, annual, mid-term and end-term evolution of resettlement and rehabilitation implementation process will be carried out by an external agency with the participation of the representatives of the PAPs. Suggestion made in the evolution report will incorporated in the RAP/ revised RAP to make the R&R programmes more effective.

## **10 ORGANISATIONAL STRUCTURE**

The project will have an R&R cell with one Resettlement and Rehabilitation Officer (RRO) and a Land Officer at the rank of assistant engineer at the Project Implementation Unit. The RRO and the revenue officer will co-ordinate the R&R and land acquisition activities with the district level committees set up for the implementation for the project.

At district level, District Collector (DC) would be the head of R&R Cell, supported by an Executive Engineer from PWD and representatives of various line departments. The District Level Committees will assess the market value of the property and advice the R&R cell accordingly as well as on any other matter concerning the social aspects of the resettlement.

## **11 COST AND BUDGETING**

The cost of all compensation and R&R works will be integral part of the overall projection cost which will be borne by the project.

## **12 GRIEVANCE REDRESS**

For grievance redress cell will be set up for the purpose of the project which will address the grievances related to project implementation.

## **13 SCOPE FOR MAKING AMENDMENTS IN THE R&R POLICY**

The State Government may make amendments in this R&R policy, after annual review of the policy.



## Annex I

Entitlement Matrix

Sl. No.	Application	Definition of Entitled Unit	Entitlement	Details
<b>A. Loss of Private Agricultural, Home-Stead &amp; Commercial Land</b>				
1	Land within the Corridor of Impact (COI)	Titleholder family and families with traditional land Right	Compensation at Market value, Resettlement and Rehabilitation	<p>a) Land for land, if available. Or, Cash compensation for the land at Market value, which will be determined as provided under section 26 of RFCTLARR Act 2013.</p> <p>b) The land if allotted will be in the name of both husband and wife.</p> <p>c) If post acquisition, residual land is economically unviable, the land owner will have the choice of either retaining or sell off rest of the land.</p> <p>d) Refund of stamp duty and registration charges incurred for replacement land to be paid by the project; replacement land must be bought within a year from the date of payment of compensation to project affected persons.</p> <p>e) Subsistence allowance of Rs. 36000 as one time grant</p> <p>f) One time grant of Rs. 500,000 or annuity</p> <p>g) Compensation at market value for loss of crops if any</p>
<b>B. Loss of Private Structures (Residential/Commercial)</b>				
2	Structure within the Corridor of Impact (CoI)	Title Holder/ Owner	Compensation at Market value, Resettlement & Rehabilitation Assistance	<p>a) Cash compensation for the structure at Market value which would be determined as per as per section 29 of the RFCTLARR Act 2013. House under Indian Awas Yojna in rural area or Rs 50000 in lieu off and house under RAY in urban area or Rs 100,000 in lieu off. The house if allotted will be in the name of both husband and wife.</p> <p>b) Right to salvage material from the demolished structures.</p> <p>c) Three months' notice to vacate structures.</p> <p>d) Refund of stamp duty and registration charges for purchase of new alternative houses/shops at prevailing rates on the market value as determined in (a) above. Alternative houses/shops must be bought within a year from the date of payment of compensation.</p> <p>e) In case of partially affected structures and the remaining structure remains viable, additional</p>

Sl. No.	Application	Definition of Entitled Unit	Entitlement	Details
				<p>10% to restore the structure. In case of partially affected structures and the remaining structure becomes unviable additional 25% of compensation amount as severance allowance.</p> <p>f) Subsistence allowance equivalent to Rs. 36000 as one time grant.</p> <p>g) Each affected family getting displaced shall get a one-time financial assistance of Rs 50,000 as shifting allowance.</p> <p>h) Each affected family that is displaced and has cattle, shall get financial assistance of Rs 25,000/- for construction of cattle shed.</p> <p>i) One time grant of Rs. 50,000 as resettlement assistance</p> <p>j) Each affected person who is a rural artisan, small trader or self-employed person and who has been displaced (in this project owner of any residential-cum commercial structure) shall get a one-time financial assistance of Rs 25,000/- for construction of working shed or shop.</p> <p>j) One time grant of Rs. 500,000.</p>
3	Structure within the Corridor of Impact (CoI)	Tenants/ Lease Holders	Resettlement & Rehabilitation Assistance	<p>a) Registered lessees will be entitled to an apportionment of the compensation payable to structure owner as per applicable local laws.</p> <p>b) In case of tenants, three months written notice will be provided along with Rs 50,000 towards shifting allowance.</p>
<b>C. Loss of Trees and Crops</b>				
4	Standing Trees, Crops within the Corridor of Impact (CoI)	Owners and beneficiaries (Registered/ Un-registered tenants, contract cultivators, leaseholders & sharecroppers	Compensation at market value	<p>a) Three months advance notice to project affected persons to harvest fruits, standing crops and removal of trees.</p> <p>b) Compensation to be paid at the rate estimated by:</p> <p>i) The Forest Department for timber trees</p> <p>ii) The State Agriculture Extension Department for crops</p> <p>iii) The Horticulture Department for fruit/flower bearing trees.</p> <p>c) Registered tenants, contract cultivators &amp; leaseholders &amp; sharecroppers will be eligible for compensation for trees and crops as per the agreement document between the owner and the beneficiaries.</p> <p>d) Un-registered tenants, contract cultivators, leaseholders &amp; sharecroppers will be eligible for compensation for trees and crops as per mutual understanding between the owner and the beneficiaries.</p>

Sl. No.	Application	Definition of Entitled Unit	Entitlement	Details
<b>D. Loss of Residential/ Commercial Structures to Non-Titled Holders</b>				
5	Structures within the Corridor of Impact (CoI) or Govt. land	Owners of Structures or Occupants of structures identified as per Project Census Survey	Resettlement & Rehabilitation Assistance	<p>a) Non vulnerable encroachers shall be given three months' notice to vacate occupied land</p> <p>b) Vulnerable encroachers will be provided cash assistance at replacement cost for loss of structures as described in section 29 of the RFCTLARR Act 2013.</p> <p>c) Any encroacher identified as non-vulnerable but losing more than 25% of structure used will be paid cash assistance at replacement cost for loss of structures. The amount will be determined as per section 29 of the RFCTLARR Act 2013.</p> <p>d) All squatters to be paid cash assistance for their structures at replacement costs which will be determined as mentioned in section 29 of the RFCTLARR Act 2013.</p> <p>e) All squatters (other than kiosks) will be eligible for one time grant of Rs 36000 as subsistence allowance.</p> <p>f) All squatters other than Kiosks will be given shifting allowance of Rs 50,000 per family as one time grant for a permanent structure and Rs. 30,000 for a semi permanent structure and Rs. 10,000 for a temporary structure.</p> <p>g) Each affected person who is a rural artisan, small trader or self-employed person assistance of Rs 25,000/- for construction of working shed or shop.</p> <p>h) In case of Kiosks, only Rs. 5000 will be paid as one time grant.</p>
<b>E. Loss of Livelihood</b>				
6	Families living within the Corridor of Impact (CoI)	Title Holders/ Non-Title holders/ sharecroppers, agricultural labourers and employees	Resettlement & Rehabilitation Assistance	<p>a) Subsistence allowance of Rs. 36,000 as one time grant. (PAPs covered under 1(f), 2 (f) and 5 (e) above would not be eligible for this assistance).</p> <p>b) Training Assistance of Rs 10,000/- for income generation per family.</p> <p>c) Temporary employment in the project construction work to project affected persons with particular attention to vulnerable groups by the project contractor during construction, to the extent possible.</p>



Sl. No.	Application	Definition of Entitled Unit	Entitlement	Details
<b>F. Additional Support to Vulnerable Families</b>				
7	Families within the Corridor of Impact (CoI)	SC, ST, BPL, WHH families	Resettlement & Rehabilitation Assistance	One time additional financial assistance of Rs. 50,000. Squatters and encroachers already covered under clause 5 are not eligible for this assistance.
<b>G. Loss of Community Infrastructure/Common Property Resources</b>				
8	Structures & other resources (e.g. land, water, access to structures etc.) within the Corridor of Impact (CoI)	Affected communities and groups	Reconstruction of community structure and common property resources	Reconstruction of community structure and Common property resources in consultation with the community.
<b>H Temporary Impact During Construction</b>				
9	Land & assets temporarily impacted during construction	Owners of land & Assets	Compensation for temporary impact during construction e.g. diversion of normal traffic, damage to adjacent parcel of land / assets due to movement of heavy machinery and plant site.	Compensation to be paid by the contractor for loss of assets, crops and any other damage as per prior agreement between the 'Contractor' and the 'Affected Party'.
<b>J. Resettlement Site</b>				
11	Loss of residential structures	Displaced titleholders and non-titleholders	Provision of resettlement site/ vendor market	Resettlement sites will be developed as part of the project, if a minimum of 25 project displaced families opt for assisted resettlement. Vulnerable PAPs will be given preference in allotment of plots/flats at the resettlement site. Plot size will be equivalent to size lost subject to a maximum of provision given in RFCTLARR Act 2013. Basic facilities shall be provided by the project at resettlement site as per the provisions given in the Third Schedule of RFCTLARR Act 2013. Similarly, if at least 25 displaced commercial establishments (small business enterprises) opt for shopping units, the Project Authority will develop the vendor market at suitable location in the nearby area in consultation with displaced persons. Basic

Sl. No.	Application	Definition of Entitled Unit	Entitlement	Details
				facilities such as approach road, electricity connection, water and sanitation facility, will be provided in the vendor market by the project. Vulnerable PAPs will be given preference in allotment of shops in vendor market. One displaced family will be eligible for only one land plot at resettlement site or shop in the vendor market.

Factor  
So (PP)

~~Handwritten signature~~  
D. S. - 08. 2014  
C. B.  
W - 13.



## **Annexure – 1.2**

---

### **Chainagewise List of Affected Villages with Structures**





**Village wise list of affected properties of the Garautha -Chirganw project road SH-42**

Sl. No.	Chainage		Village Name	Affected properties												Hand Pump
	From	To		Land		Structure				CPR						
				No.	Area	No.	Area	Boundary Wall		Total	No.	Area	Boundary Wall		Total	
								No.	Running Mtrs.				No.	Running Mtrs.		
1	122.300	123.700	Sheela	-	-	12	208.650	-	-	12	1	6.25	-	-	1	3
2	124+500	124+500	Chauthe Meel Chauraha	-	-	-	-	-	-	-	-	-	1	12.50	1	1
3	125.200	126.500	Lakwaty	-	-	-	-	-	-	-	1	6.00	-	-	1	1
4	129.300	134.300	Gursarai	-	-	7	96.270	1	7.20	8	2	11.44	-	-	2	13
5	142.200	145.000	Laundi	-	-	-	-	-	-	-	1	12.50	-	-	1	3
6	145.000	147.800	Baghaira	-	-	-	-	-	-	-	-	-	-	-	-	-
7	147.800	151.000	Bangri Bangra	-	-	4	34.394	-	-	4	-	-	-	-	-	-
8	151.000	154.450	Bangra Bangri	-	-	1	12.200	-	-	1	-	-	-	-	-	2
9	155.300	155.750	Rampura	-	-	-	-	-	-	-	-	-	-	-	-	2
10	157.500	159.000	Luhar Ganw Ghat	-	-	7	77.850	-	-	7	-	-	-	-	-	3
11	161.100	163.200	Ramnagar	-	-	6	83.950	-	-	6	-	-	-	-	-	-
12	163.000	167.150	Siya	-	-	6	114.050	1	6.50	7	-	-	-	-	-	1
13	167.150	168.000	Sultan Pura	-	-	-	-	-	-	-	1	3.80	-	-	1	4
Total				0	0.000	43	627.36	2	14	45	6	40	1	12.50	7	33

**Village wise ownership of the Garautha -Chirganw project road SH-42**

Sl. No.	Chainage		Village Name	Affected properties											
				Land						Structure					
	From	To		Owner	Encroacher	Squatter	Share cropper	Agricultural Laborer	Total	Owner	Encroacher	Squatter	Kiosk	Tenant	Total
1	122.300	123.700	Sheela	-	-	-	-	-	-	-	12		1	-	13
2	124+500	124+500	Chauthe Meel Chauraha	-	-	-	-	-	-	-	-	-	5	-	5
3	125.200	126.500	Lakwaty	-	-	-	-	-	-	-	-	-	-	-	-
4	129.300	134.300	Gursarai	-	-	-	-	-	-	-	6	2	11	-	19
5	142.200	145.000	Laundi	-	-	-	-	-	-	-	-	-	-	-	-
6	145.000	147.800	Baghaira	-	-	-	-	-	-	-	-	-	2	-	2
7	147.800	151.000	Bangra	-	-	-	-	-	-	-	1	-	-	-	1
8	151.000	154.450	Bangri	-	-	-	-	-	-	-	3	1	10	-	14
9	155.300	155.750	Rampura	-	-	-	-	-	-	-	-	-	2	-	2
10	157.500	159.000	Luhar Ganw Ghat	-	-	-	-	-	-	-	5	2	3	-	10
11	161.100	163.200	Ramnagar	-	-	-	-	-	-	-	5	1	4	-	10
12	163.000	167.150	Siya	-	-	-	-	-	-	-	6	1	7	-	14
13	167.150	168.000	Sultan Pura	-	-	-	-	-	-	-	-	-	-	-	-
Total				0	0	0	0	0	0	0	38	7	45	0	90

Sl. No.	Chainage		Village Name	Affected properties												
				Land				Structure					CPR			
	From	To		Private	Government	Trust / Community	Total	Private	Pvt.BW	Government	Trust	Total	Private	Trust / Community	Boundary Wall	Total
1	122.300	123.700	Sheela	-	-	-	-	12	-	-	-	12	-	1	-	1
2	124+500	124+500	Chauthe Meel Chauraha	-	-	-	-	-	-	-	-	-	-	-	1	1
3	125.200	126.500	Lakwaty	-	-	-	-	-	-	-	-	-	-	1	-	1
4	129.300	134.300	Gursarai	-	-	-	-	7	1	-	-	8	-	2	-	2
5	142.200	145.000	Laundi	-	-	-	-	-	-	-	-	-	-	1	-	1
6	145.000	147.800	Baghaira	-	-	-	-	-	-	-	-	-	-	-	-	-
7	147.800	151.000	Bangri Bangra	-	-	-	-	4	-	-	-	4	-	-	-	-
8	151.000	154.450	Bangra Bangri	-	-	-	-	1	-	-	-	1	-	-	-	-
9	155.300	155.750	Rampura	-	-	-	-	-	-	-	-	-	-	-	-	-
10	157.500	159.000	Luhar Ganw Ghat	-	-	-	-	7	-	-	-	7	-	-	-	-
11	161.100	163.200	Ramnagar	-	-	-	-	6	-	-	-	6	-	-	-	-
12	163.000	167.150	Siya	-	-	-	-	6	1	-	-	7	-	-	-	-
13	167.150	168.000	Sultan Pura	-	-	-	-	-	-	-	-	-	-	1	-	1
Total							0	43	2	0	0	45	0	6	1	7

**Village wise uses of affected structures of the Garautha -Chirganw project road SH-51**

Sl. No.	Chainage		Village Name	Residential				Commercial					Residential cum commercial				B/W	Others	Total (R+ C + K + RC+ BW + O)
				Owner	Encroacher	Squatter	Total	Owner	Encroacher	Squatter	Kiosk	Total	Owner	Encroacher	Squatter	Total			
	From	To																	
1	122.300	123.700	Sheela	-	5	-	5	-	-	-	1	1	-	-	-	0	-	7	13
2	124+500	124+500	Chauthe Meel Chauraha	-	-	-	0	-	-	-	5	5	-	-	-	0	-	-	5
3	125.200	126.500	Lakwaty	-	-	-	0	-	-	-		0	-	-	-	0	-	-	0
4	129.300	134.300	Gursarai	-	3	-	3	-	-	2	11	13	-	-	-	0	1	2	19
5	142.200	145.000	Laundi	-	-	-	0	-	-	-		0	-	-	-	0	-	-	0
6	145.000	147.800	Baghaira	-	-	-	0	-	-	-	2	2	-	-	-	0	-	-	2
7	147.800	151.000	Bangri Bangra	-	-	-	0	-	-	-		0	-	-	-	0	-	-	0
8	151.000	154.450	Bangra Bangri	-	2	-	2	-	1	-	10	11	-	1	-	1	-	1	15
9	155.300	155.750	Rampura	-	-	-	0	-	-	-	2	2	-	-	-	0	-	-	2
10	157.500	159.000	Luhar Ganw Ghat	-	4	1	5	-	-	1	3	4	-	-	-	0	-	1	10
11	161.100	163.200	Ramnagar	-	3	-	3	-	1	1	4	6	-	-	-	0	-	1	10
12	163.000	167.150	Siya	-	1	-	1	-	1	-	7	8	-	-	-	0	1	4	14
13	167.150	168.000	Sultan Pura	-	-	-	0	-	-	-		0	-	-	-	0	-		0
Total					18	1	19		3	4	45	52		1		1	2	16	90

### Village wise PAFs, PAPs & PDFs of the Garautha -Chirganw project road SH-42

Sl. No.	Chainage		Village Name	PAF	PAP	PDF
	From	To				
1	122.300	123.700	Sheela	24	73	4
2	124+500	124+500	Chauthe Meel Chauraha	5	18	5
3	125.200	126.500	Lakwaty	-	-	-
4	129.300	134.300	Gursarai	33	86	18
5	142.200	145.000	Laundi	-	-	-
6	145.000	147.800	Baghaira	4	7	4
7	147.800	151.000	Bangri Bangra	20	57	13
8	151.000	154.450	Bangra Bangri	2	4	
9	155.300	155.750	Rampura	2	4	2
10	157.500	159.000	Luhar Ganw Ghat	18	45	8
11	161.100	163.200	Ramnagar	10	20	5
12	163.000	167.150	Siya	18	47	11
13	167.150	168.000	Sultan Pura	-	-	-
<b>Total</b>				<b>136</b>	<b>361</b>	<b>70</b>



**Village wise Vulnerable Families of the Garautha -Chirganw project road SH-42**

Sl. No.	Chainage		Village Name	Vulnerable						
	From	To		WHH	SC	ST	OBC	Handicapped	BPL	Total
1	122.300	123.700	Sheela	1	-	-	1	-	7	9
2	124+500	124+500	Chauthe Meel Chauraha	-	-	-	4	-	-	4
3	125.200	126.500	Lakwaty	-	-	-	-	-	-	-
4	129.300	134.300	Gursarai	-	9	-	6	-	-	15
5	142.200	145.000	Laundi	-		-		-	-	-
6	145.000	147.800	Baghaira	-		-	2	-	-	2
7	147.800	151.000	Bangri Bangra	-	2	-	8	-	3	13
8	151.000	154.450	Bangra Bangri	-		-	1	-		1
9	155.300	155.750	Rampura	-	1	-	1	-		2
10	157.500	159.000	Luhar Ganw Ghat	-		-	5	-	1	6
11	161.100	163.200	Ramnagar	-		-	4	-		4
12	163.000	167.150	Siya	-	6	-	3	-	1	10
13	167.150	168.000	Sultan Pura	-		-		-		-
<b>Total</b>				<b>1</b>	<b>18</b>		<b>35</b>	<b>-</b>	<b>12</b>	<b>66</b>

## **Annexure – 2.1**

---

### **Census Survey Questionnaires**



## Census and Community Asset Survey Schedules

### Census Survey Questionnaires

#### PART: 1 – ASSET INFORMATION

Census Survey Code.

--	--	--	--	--	--	--	--	--	--

#### GENERAL

A. Questionnaire No: ..... B. Subproject Road Name: .....

C. Village: ..... D. District: ..... E. State: .....

F. Plot No. .... G. Km/Chainage..... H. Side 1. Left 2. Right

I. Name of the person answering to survey.....

J. Relation to the owner:.....

K. Years of Occupation of the Affected Property \_\_\_\_ Years

L. Present Address of the Property: \_\_\_\_\_

M. Mother Tongue \_\_\_\_\_ (Hindi-1; Urdu-2; Others-3; in case of others specify.)

#### DETAILS OF LAND

1. Ownership of the Land

1. Private 2. Government 3. Religious 4. Community 5. Others

2. Type of Land

1. Irrigated 2. Non-Irrigated 3. Barren 4. Forest 5. Other

3. Use of Land

1. Cultivation 2. Orchard 3. Residential 4. Commercial

5. Forestation 6. Others 7. No Use/ Barren

4. Affected area of the Land (in square meter) .....

5. Total Area of the Land/Plot (in square meter) .....

6. Rate of the Land (Per sq. m) 1. Market Rate (Rs).....

7. Status of Ownership

1. Titleholder (Pvt Owner) 2. Customary Right 3. Encroacher 4. Squatter

8. Name of the Owner/Occupier: .....

9. Father's Name: .....

10. Name of the owner, if the occupier is tenant.....

11. Total Land Holding (in Acre) .....

12. Any of the following people associated with the Land

A. Agricultural Laborer 1. Yes 2. No

☐

(i). If Yes then How many .....

B. Sharecropper 1. Yes 2. No

☐

(ii). If Yes then How many .....

13. Number of trees within the affected area

1. Total.....2. Fruit Bearing.....3. Non-fruit Bearing.....

#### DETAILS OF STRUCTURES (cross check with part III)

14. Any structure in the Affected Land 1. Yes..... 2. No.....

☐

15. Area of the affected structure (in Square Meter)

a) Length along the road.....b) Width perpendicular to the road.....c) Floor .....

16. Area of the total structure (in Square Meter)

a) Length along the road.....b) Width perpendicular to the road.....c) Floor .....

17. Distance of structure from center line of the road (in mtr.).....

18. Type of Construction of the Structure

1. Temporary (buildings with mud/brick/wood made walls, thatched/tin roof)

☐

2. Semi-Permanent (buildings, with tiled roof and normal cement floor)

3. Permanent (with RCC, Single/ Double storey building)

19. Market Value of the Structure (in Rs.).....

20. Use of the Structure (select appropriate code from below)

☐

**A. Residential Structure** 1 House 2 Hut 3 Other .....

**B. Commercial Structure** 4 Shops 5. Hotel 6 Small Eatery 7 Kiosk 8 Farm House  
9 Petrol Pump 10 Clinic 11 STD Booth 12 Workshop  
13 Vendors 14 Com. Complex 15 Industry 16. Restaurant  
17. Others.....

**C. Mixed Structure** 18 Residential-cum-Commercial Structure

**D. Community Structure** 19 Comm. Center 20 Club 21 Trust 22 Memorials 23 Other....

**E. Religious Structure** 24 Mosque, 25 Shrine 26 Burial 27. Temple 28. Other...

**F. Government Structure** 29 Govt. Office 30 Hospital 31 School 32 College 33 Other .....

**G. Other Structure** 34 Boundary Wall 35 Foundation 36 Cattle Shed 37 Well/Tube Well

21. Status of the Structure

1. Legal Titleholder 2. Customary Right 3. Encroacher 4. Squatter

☐

22. Name of the Owner/Occupier: .....

23. Father's Name: .....

24. Name of the owner, if the occupier is tenant.....

a. Tenure Status..... (Own-1; Rented-2; Leasehold-3)

b. Monthly Rent.....

c. Utility Connection.....(1-Electricity; 2- Water; 3- Sewer)

25. Any of the following people associated with the Structure?

A. Employee/ wage earner in commercial structure 1. Yes 2. No

(i). If Yes, How Many?.....

B. Employee/ wage earner in residential structure 1. Yes 2. No

(ii). If Yes, How Many?.....

☐

26. Number of trees within the affected area

1. Total.....2. Fruit Bearing.....3. Non-fruit Bearing.....

27. Social Category

1. SC 2. ST 3. OBC 4. General 5. Others (specify).....

☐

28. Religious Category

1. Muslim 2. Hindu 3. Other (specify).....

☐

29. Vulnerability Status of the Household:

A. Is it a woman headed household? 1. Yes 2. No

B. Is it headed by physically/mentally challenged person? 1. Yes 2. No

C. Is it a household Below Poverty Line (BPL) 1. Yes 2. No

D. If BPL, provide BPL card number-----

☐
☐
☐
☐

30. Monthly income of the family in (Total of Q.No. 36) Rs.....

### Resettlement and Rehabilitation Option

31. Willing to shift 1. Voluntarily 2. Non-voluntarily

32. Assistance Option

1. Self Relocation	<div></div>
2. Cash for Land loss	<div></div>
3. Cash for House/ Shop loss	<div></div>
4. Project Assistance	<div></div>
<b>33. Income Restoration Assistance (The most preferred option)</b>	<div></div>
1. Employment Opportunities in Construction work	
2. Assistance/ Loan from other ongoing development scheme	
3. Vocational Training	
4. Others (specify ..... )	

**34. Other Support from Project (Specify)**

.....



**Part II**

**SOCIOECONOMIC DETAILS**

**35. Name of the Head of the Household.....**

**36. Number of family members Total.....Male.....Female.....**

Details of Family Members above 18 years of age: (fill appropriate code)

Sl. No	Name of Persons	Relationship with Head of the Household	Sex (M/F)	Age	Marital Status	Educational Qualification	Usual Activity	Main Occupation	Monthly Income	Other Occupation	Monthly Income
1.											
2.											
3.											
4.											
5.											
6.											
7.											
8.											
9.											
10.											
11.											
12.											
13.											
14.											
15.											
16.											

**Marital Status:**

Married-1; Unmarried-2; Divorcee-3; Separate-4; Widowed-5;

**Educational Qualification:**

Illiterate-1; Primary Schooling-2; Upper Primary Schooling-3; High School-4; Graduate-5; Post-Graduate-6; Technical-7

**Usual Activity:**

Worker- 1; Non –worker- 2; Main worker- 3; Marginal worker- 4; home maker – 5; student; 6; below the age of 5-7; others -8

**Occupation :**

Cultivator-1: Agricultural Labourer-2; Daily Wage Earner-3; Salaried-4; Business- 6; Other-7; in case of others specify.

## 37. Possession of Material /Assets (Please Record Numbers)

Televisi on	Tape Record er	Radio	Refrigerat or	Telepho ne	Vehicles					Cookin g Gas	Any Other (specify )
					Cycles	Three Wheeler	Two- Wheeler	Four Wheeler	Bus / Truck		

## 37 Live Stock Assets (Please Record Numbers)

Classification	Cows	Buffaloes	Sheep	Goats	Poultry	Others
Give Number						

## 37. Likely Loss of Other Assets

Tree		Well		Other Category I (Specify) Individual Assets	
No.	Species	No.	Type	No.	

**38. Participation in economic activities of family members**

S.No.	Economic/Non-economic Activities	Male	Female	Both
1	Cultivation			
2	Allied Activities (Dairy, Poultry, Sheep rearing, etc.)			
3	Collection and Sale of forest products			
4	Trade & Business			
5	Agricultural Labor			
6	Non Agricultural Labor			
7	HH Industries			
8	Service			
9	Households Work			
10	Collection of Water			
11	Collection of Fuel			
12	Others (Specify):			

**38. Decision making and participation at Household Level**

Sl. No.	Subject	Male	Female	Both
1	Financial matter			
2	Education of child			
3	Health care of child			
4	Purchase of assets			
5	Day to day household activities			
6	On social function and marriages			
7	Women to Earn for Family			
8	Land and property			
9	Others			

**39. Women Participation at Community level**

1	Do women of the household participate in decision making processes at community level	Yes- 1 No- 2	
2	Is any member of the household a member or office bearer of village / block / zilla panchayat? Yes – 1; No – 2; If yes whether such member is male or female?	Male	Female
3	Is any women member of the household works as Anganwadi worker or ANM?	Yes	No
4	Is any household member also a member of any self help groups? Yes - ; No -2 If yes, whether male or female?	Male	Female
5	If yes, is that SHG still active?	Yes	No

**40. Employment opportunity in the area**

1. Seasonal 2. Employed throughout the Year 3. None

**41. Do family members migrate for work**

1. Yes 2. No, if no, skip the table

S. No.	Type of Work	In Rs. Per year	Do men migrate for work outside the village Daily -1 Seasonal - 2 Long term – 3 No - 4	Do women also migrate for work outside the village Daily -1 Seasonal - 2 Long term – 3 No - 4
1	Agriculture			
2	Shopkeeper/Business (including petty business)			
3	Employer (industrialist/Factory/Mill owner, etc)			
4	Government Service			
5	Private Service			
6	Wage Labour (Agriculture)			
7	Wage Labour (Non Agriculture)			
8	Self employed (insurance, finance, doctor, engineer, lawyer)			
9	Not employed (income recipient such as retired, remittance, property rent, bank interest, etc)			

S. No.	Type of Work	In Rs. Per year	Do men migrate for work outside the village Daily -1 Seasonal - 2 Long term – 3 No - 4	Do women also migrate for work outside the village Daily -1 Seasonal - 2 Long term – 3 No - 4
10	Household work			
13	Others (specify )			
	Total			

#### 42. Quality of Life (Consumption Pattern)

Kindly indicate the consumption/expenditure on different items in last one year

Sl. No.	Particulars	Monthly Expenditure in Rs.	Rank them from highest to lowest
1	Food		
2	Agriculture		
3	Housing		
4	Cooking Fuel		
5	Clothing		
6	Health		
7	Education		
8	Transport		
9	Communication		
7	Social functions		
	Others		

**43. Loan and Indebtedness**

<b>1</b>	Have you taken any loan? 1-Yes, 2-No	
<b>2</b>	Who has taken the loan? 1. Head of the HH; 2. Spouse; 3. Son; 4. Daughter in law; 5.Head and spouse together; 6. Son and Head of the HH; 7. Daughter in law and Mother in law; 8. Other.....	
<b>3</b>	If yes, tell us sources of loan: 1-Bank, 2-NGO, 3-Money lender, 4-Relative/friend, 5- SHG; 6. Others (specify.....)	
<b>4</b>	If yes, Amount of loan (in Rs.)	
<b>5</b>	Could you please tell us the purpose of loan? 1-Productive investment, 2-Purchasing durables, 3-Meeting up emergencies, 4-Marrying of children, 5- Paying off loan, 6-Others (specify.....)	

**44. Access to facilities**

<b>Code</b>	Distance of following facilities/amenities from the location of interview?	Approx. km	Mode to access	Frequency	Trips made by male members	Trips made by female members
1	Primary School					
2	Secondary School					
3	College					
4	Regular Market					
5	Commonly visited health service place					
6	Hospital					
7	District Office					
8	Block Office					

**Mode:** Walk-1; Cycle-2; Personal transport-3; Public transport-4;

**Frequency:** Daily-1; Weekly-2; Monthly-3; Very Rare-4;



**45. Health Seeking Behaviour**

<b>1</b>	Has any of your family members suffered from any disease during last 12 months? 1-Yes, 2-No, 3-Don't Know	If yes, who suffered:	Code : Men – 1, Women - 2 Both- 3, Boy child- 4 Girl child – 5, Both children - 6
<b>2</b>	If yes, please specify type of disease?		
<b>3</b>	Type of treatment taken:		1-Allopathic Government, 2-Allopathic Private, 3-Allopathic Govt. & Private both, 4- Homeopathy, 5- Ayurved /Unani, 6- Faith healers; 7- quacks; 8- No Treatment, 9-Others (specify.....)
<b>4</b>	Which is the nearest formal medical facility available? PHC – 1; CHC- 2; District Hospital – 3; Private clinic – 4; Private Hospital – 5; Others - 6		
<b>5</b>	Did you avail any health/medical facility (like medicine, routine check-up, advice from doctor etc.) during the last pregnancy?	Yes - 1 No - 2 Has not been pregnant yet - 3	If coded 1 or 3 skip the next question
<b>6</b>	If no, who attended while giving birth to the baby? (Multiple responses possible)	Females neighbour - 1 relatives and friends - 2 Mother-in-law - 3 Sister-in-law - 4 Others specify - 5	
<b>7</b>	Have you heard about HIV/AIDS:	Yes 1; No - 2	
<b>8</b>	If yes, what is the source? Newspaper – 1; TV- 2; radio- 3; NGO camp– 4; Govt. camp – 5;		

Signature of a person Answering the Survey.....

(Name of the Investigator) Date: .....

(Signature of the investigator)

## **PART III**

### **EXTENT OF LOSS**

(NOT TO BE ASKED BUT TO BE ASSESSED BY THE INVESTIGATOR)

1. Losing Total House
2. Losing Partial House
3. Losing Total House and part of Plot (Aangan or Courtyard)
4. Losing Total Plot and Total House
5. Losing Total Plot and Partial House
6. Losing Partial Plot
7. Losing Total Commercial Structure
8. Losing Partial Commercial Structure
9. Losing Total Commercial Structure and Partial Plot
10. Losing Total Commercial Structure and Total Plot
11. Losing Partial Commercial Structure and Plot
12. Losing Total House and Total Commercial Structure
13. Losing Total House, Total Commercial Structure and Total Plot
14. Losing Total House, Total Commercial Structure
15. Losing Total House, Partial Commercial Structure and Part of Plot
16. Losing Partial House, Partial Commercial Structure and Part of Plot
17. Losing Total House and Partial Commercial Structure
18. Losing Total Commercial Structure and Part of House
19. Losing Total Boundary Wall
20. Losing Partial Boundary Wall
21. Losing Total Agricultural Land
22. Losing Partial Agricultural Land
23. Losing Total Cattle Shed
24. Losing Part of Cattle Shed
25. Losing Water bodies
26. Losing Total Livelihood for Commercial Tenant
27. Others (Specify)

#### **Status of Occupier of affected property**

1. **Status of Occupier** (*Tick in the appropriate box*)

Owner	Legal Tenant/sharecropper	Non-title Holders		Vacant
		Squatter	Encroacher	

2. Since how long your family has been using this property (in years)

\_\_\_\_\_

3. Do you possess a documentary proof

1. Yes

☐

2. No.

☐

4. If yes, Type of documentary proof of occupation of affected property

Ration card no \_\_\_\_\_ Voter IC no \_\_\_\_\_  Receipt/Bill  Bank/A/c

5. Land **Ownership** (Tick under appropriate type and enter the no. of households under the same)

	Single	Joint	Trust	Community	Government	Forest	Unclear (specify)
5.1 Type of ownership							

	Male	Female
5.2 Ownership by Gender ( if private)		

6. Does the family have legal document to prove ownership of

Structure 1. Yes  2. No.  RTC No.  Sub No.

land 1. Yes  2. No.  RTC No.  Sub No.

(to be asked only to the owner)

(If yes, ask for the legal document and check with the Land Revenue Office)

## Measurements

### 2.1 Structure

	Offset From Existing Central Line		Offset from Edge of Asset up to Area Getting Affected	
	Land	Structure	Land	Structure
Starting Meter				
Ending Meter				
Width				
Total Area (in sq.m)				
No. of Floors (G, G+1, G+n)				

### 2.2 land

Sl. No.	Area	Total			Affected		
		Length	Width	Total Area (in sqm)	Length	Width	Total Area (in sqm)
1.	Built up area						
2.	Open Space						
3.	Total Area						

**2.3 Boundary Wall Details**

Sl. No.	Boundary / Compound Wall	Length	Total length affected (in sqm)
1.	Barbed wire fencing		
2.	Stone Dry Masonry		
3.	Brick / Stone Masonry		
4.	Mud Wall		
5.	Others (Specify)		

**2.4 Gate Details**

Sl. No.	Type of Gate	Length (in m)	Height (in m)
1.	M S		
2.	Wooden		
3.	Others		

**2.5 WATER SOURCES GETTING AFFECTED**

Sources (in No.)	User (use code)*	Units to be acquired
Dug Wells		
Tube Wells		
Supply Points		

\*[1.Domestic                      2.Agriculture                      3.Industrial                      4. Others (to be specified)]

**6 Diagram of the affected property**  
**(Rough diagram with dimension – Not to scale)**

(PHOTOGRAPH TO BE ATTACHED – STRUCTURE ALONG WITH HEAD OF HOUSEHOLD/ RESPONDENT)

In case the tenancy/ownership is under dispute (legal or otherwise) please make a short note below

Field Supervisor: \_\_\_\_\_ Date: \_\_\_\_\_  
\_\_\_\_\_

Endorsed by:

Revenue Officer: \_\_\_\_\_ Date: \_\_\_\_\_  
\_\_\_\_\_

MoRT&H / PWD Officer: \_\_\_\_\_ Date: \_\_\_\_\_  
\_\_\_\_\_

## **Annexure – 2.2**

---

### **Socio-economic Baseline Studies and Preparation of Resettlement & Rehabilitation Plan (RAP)**





**Detailed specification for Socio-Economic Baseline Studies (BSES)****And****Preparation of a Resettlements and Rehabilitation Action Plan (RAP)****I INTRODUCTION AND OBJECTIVES**

1. The improvements mostly include road rehabilitation with raising of formation levels, pavement strengthening, widening and realignment, where necessary.
3. Where the project will entail acquisition of land, structures and other assets, and/or cause displacement or loss of assets within the public Right of Way (ROW), the National Rehabilitation and Resettlement Policy, 2007 GOI and subsequent adoption thereof by U.P. Government with certain amendments applies. The project is under consideration for World Bank financing, and must therefore also be in compliance with the World Bank's policy on "Involuntary Resettlement" as described in Operational Directive 430.
4. It is the responsibility of the Borrower to prepare a plan which complies with the Government of India's, Government of UP's and the World Bank's policy guidelines and directives on land acquisition and involuntary resettlement. This Plan is referred to as a Resettlement and Rehabilitation Action Plan (RAP). The RAP will be prepared in two phases. The Government of U.P. and the World Bank will first agree on an appropriate Entitlement Framework, on the basis of which a detailed RAP will be developed.
5. The RAP has three main objectives
  - (a) to present the project area and the impacts of land acquisition for project civil works on the people who own properties to be acquired, live on the land to be acquired, and/or derive their income from the land or enterprises operating on the land to be acquired.
  - (b) to present the entitlement policy for compensation and assistance to people affected by the project.
  - (c) to present an action plan for delivery of the compensation and assistance outlined in the policy, to the persons identified as entitled to such assistance.
6. GOI, GoUP and World Bank policy is based on the principle that the population affected by the project should receive benefits from it, or at the very least not be worse off than before. Acquisition of land and other assets, both of private holdings and within the ROW, are integral part of project design and implementation. Undertaking a social impact assessment and preparing a RAP should be incorporated as part of the project design from the start, and undertaken in close coordination with environmental analysis, the Environmental action plan, and the engineering design and implementation.
7. The World Bank policy emphasizes that involuntary resettlement should be avoided or minimized where possible by exploring other alternative project designs. Therefore, the initial screening for social and environmental impacts should be part of the feasibility studies to determine the final selection of roads to be included in the project.
8. In cases where displacement, loss of assets, or other negative impacts of people are unavoidable, the project should assist the project Affected Persons (PAPs) with the means to improve their former living standards, income earning capacities, production levels or at least maintain the previous standards of living of those suffering losses.
9. Since a key principle is that no civil works should be undertaken on any stretch of road before land acquisition has been completed and compensation or assistance carried out according to the

RAP, it is essential that the planning and implementation of civil works be coordinated with the RAP.

10. Preparation of a RAP requires thorough understanding of social, economic and cultural factors influencing the lives of the adversely affected people. Detailed baseline studies need to be conducted, and a participatory approach through consultation with potentially affected persons and other stakeholders such as local NGOs, municipal authorities, etc is essential. Appropriate skills and experience to coordinate and implement this must be available within the responsible agencies.
11. In cases of impacts of indigenous communities, the World Bank's Operational Directive 4.20 on Indigenous People also applies. In such cases, the TOR requires the consultants to prepare the plans mandated by this directive, in addition to the other elements of the RAP. This planning will specifically include the consultation with and informed participation of the tribal population. The outcome of the consultation process should be the formulation of either an Indigenous People's Development Plan (IPDP) or a specific strategy to ensure that the affected tribal population benefits from the project activities. In the case of an IPDP, the information guidelines mandated by OD 4.20 should be followed.
12. The Terms of Reference for the work undertaken may be modified according to local contexts, subject to approval by the State Government and the World Bank.

## **II SCOPE OF WORK**

### **Social Impact Assessment**

13. The objectives of the Social Impact Assessments are
  - (a) to provide the minimum information on social impacts as part of the preliminary screening of road sections.
  - (b) to verify the legal boundaries of the Right of Way, document existing structures, land plots, and other physical assets within the ROW to establish a cut-off date for entitlements in accordance with the policy to be developed, and
  - (c) to provide the socio-economic baseline information required for preparation of the entitlement framework.
14. **Preliminary Screening:** The consultant shall make initial visits to all the different stretches of road under consideration for project. Coordinated with the other screening exercises being undertaken (environmental, techno-economic), an assessment shall be made of the potential magnitude of social impacts, Any major social impact issues such as large scale resettlement, dense urban clusters, and tribal population shall be identified. Stretches with no or minor social impacts shall be identified, and given priority in the selection of roads to be improved.
15. Following the selection of road stretches to be included in the project, a verification exercise is undertaken. The verification shall establish the legal boundaries of the Right of Way, and identified current usage of the land in terms of squatters, land encroachments, fixed and movable structures, trees and wells, etc. This shall be jointly verified by the (PWD) and the State's Department of Revenue, in the field, the information gathered should be reflected in maps and records, jointly verified by signature of the responsible senior (PWD) and Revenue officials. The following guidelines shall be followed.
  - (a) Where it is likely that dislocation of people will be required, suitable resettlement sites of government owned land in close proximity to the current locations of the affected persons should be recorded.
  - (b) All encroachments within the public ROW, as well as private holding of land and other assets in areas where it is probable that the corridor of impact will go shall be documented.

- (d) Assets both within and outside of the ROW such as structure, land holdings, tree and wells, etc shall be recorded on strip maps, and be numbered in each named settlement and administrative unit.
  - (e) The information gathered shall be recorded on strip maps, and if possible computerized Photography and/or video recordings should be used to document existing structures and land holdings, and circumstances for identification and planning.
- 16. Following this a public notification of the intent to undertake a project shall be issued, in accordance with the legal requirements of the State. This represents the cut-off date for entitlements under the project. Only those people with land or other assets identified as existing prior to this date will be entitled to support under the project. This is to prevent land invasions, erection of new structures for speculation purposes, and other attempts at false claims. The consultants shall assist the appropriate authorities in undertaking this work.
- 17. **Socio-economic baseline information:** This will be collected by means of a sample socio-economic survey, of the pre-selected roads. The survey shall gather information on the various categories of losses and other adverse impacts likely under the project. The losses shall be categorized according to type. These losses will vary based on the local context. They may include but not be limited to
  - (a) loss of land and other productive resources such as trees.
  - (b) loss of structures, temporary or fixed, within or outside of ROW.
  - (c) loss of access to public services (roads, water supply, schools, medical facilities, shops).
  - (d) loss of customers and supplies.
  - (e) loss of fishing, grazing, or forest areas.
  - (f) loss of access to common property resources, and
  - (g) Disruption of social, cultural, religious, or economic ties and networks.
- 18. Furthermore, the sample socio-economic survey shall identify potentially affected populations, with special attention to vulnerable groups such as indigenous/tribal populations, scheduled castes, landless households, and women-headed households. It shall include but not be limited to
  - (a) demographic characteristics (ages, sex, numbers, and categories of affected people)
  - (b) ethnic/tribal/caste composition of the population, and settlement pattern by ethnic/tribal/caste groups.
  - (c) main forms of livelihood including specification of the resource base, seasonal and permanent use of resources including land based or salaried employment for different household members, labor mobility, the importance of informal networks and labor exchange patterns and the potential impact of disrupting these patterns, and
  - (d) if any persons have already been displaced, information on them should be collected for two time periods at the time of displacement and at present
- 19. As part of the sample socio-economic survey, an assessment shall also be made of what the likely replacement value of the various assets lost is based on the following considerations
  - (a) entitlements to affected persons shall be based on replacement value rather than registered land prices etc. which tend to be undervalued.
  - (b) this assessment is also important as a means of preventing inflated claims to compensation.
  - (c) as part of this assessment, consultations and discussions shall be held with a representative number to the different categories of affected persons, to assess their views on what

- constitutes fair compensation or assistance, their preferences for resettlement actions, and reactions towards the project and
- (d) a suitable methodology shall be developed to classify different types of assets, and the measurements taken to determine quantities of losses, i.e different types of land, tree, crops, structures, businesses etc, and the unit of measurement such as area of land, number of trees, floor area or other measurements for houses etc.
20. The sample survey shall form the basis for the full base line socio-economic survey to be undertaken subsequently of all PAPs. By conducting if first for a sample population, it may be modified and improved prior to undertaking the full survey.
  21. **Reporting.** The findings from the Social Impact Assessment shall be presented in a report. This shall include
    - (a) assessment of current land acquisition practices, their appropriateness and potential impacts for this project.
    - (b) estimates of the type of losses expected as a result of the project, broken up in categories of cultivated, homestead, enumeration of structures, trees and other assets
    - (c) identification of the categories of affected persons, bases on the identified losses, and estimates of their numbers.
    - (d) it is important to analyze the data in such a way that the report captures the likelihood that some persons may lose different kinds of assets. Therefore, the number under each category is not mutually exclusive and in identifying different person's losses and entitlements, provision must be made for recording and compensation for more than one. Kind off loss and
    - (e) the status of squatters and encroachers within the public Right of Way.
  22. Based on this information the consultants shall prepare a draft Entitlement Framework, which will form part of the agreement between the State Government and the Bank. The following considerations are essential
    - (a) the framework will be adopted as policy for this project, and will have an objective to provide a basis for development of more general, sectoral policy for social impacts and resettlement within the State's road infrastructure sub-sector.
    - (b) the entitlement framework shall be prepared by the consultants. However , its is essential that this be done in close consultation with the agencies responsible for the subsequent implementation of the Resettlement Action Plan, to ensure full understanding and agreement on the issues.
    - (c) the framework should be placed within the legal context of India and the State and the Bank's Operational Directive 4.30 must be adhered to, if there is a divergence between domestic law and practice, and the World Bank's Directives, this should be clearly identified and analyzed before the framework is finalized. If necessary, consultation between the Bank and the State authorities should be held to arrive at a framework acceptable to both.
    - (d) a key consideration should be to develop a methodology to document to what extent the objectives are achieved. Indicators should be developed which can be used for systematic monitoring and comparison with the baseline data over time.
    - (e) as a general principle, there ought to be more than one option offered to PAPs within each category of impact. The entitlement framework should analyze these options, the risks and benefits of each, and how to implement the various programs in a transparent manner.
    - (f) Wherever possible, land for land ought to be a priority. Cash compensation should only be undertaken when it can be clearly documented that land for land or other types of assistance

are not available. If cash payments are made, special arrangements should be made to assist the most vulnerable in making productive use of the money. The entitlement framework should also describe how payments can be made in a transparent manner, for example by doing it publicly with independent verification.

- (g) the entitlement framework shall specify the period of notification about acquisition of assets, and establish that no civil works may start on a stretch of road before the Resettlement Action Plan has been implemented there. This is a key principle, and must be taken account of when awarding contracts for civil works. Improper or delayed implementation of the RAP may lead to costly delays in civil works.
- (h) As the project will work in different areas at different time, the framework and RAP should be prepared in such a way that people's assets are not acquired many months or years before actual work starts. The framework should therefore also contain provisions as how the compensation and assistance levels may be re-evaluated and adjusted in case of price increases. Such reassessment should be done at least on an annual basis, ideally on a six-monthly basis.

23. The framework shall be presented in a tabular form

Type of Loss	Entitled person	Entitlement	Implementation Issues/Guidelines	Organizations Responsible

#### **Preparation of Resettlement Action Plan**

24. The information collected during the Social Impact Assessment shall form the basis for preparing a Resettlement and Rehabilitation Action Plan (RAP). The RAP should contain at a minimum the following section
- (a) Summary findings from the Social Impact Assessment
  - (b) Entitlement framework.
  - (c) Data on expected impacts and numbers and categories of affected persons.
  - (d) Institutional arrangements,
  - (e) Implementation procedures
  - (f) Consultation and participation arrangements, of RAP and other stakeholders including grievance procedures.
  - (g) Budget and costs,
  - (h) Timetable of activities, with Gantt charts showing the various elements of the plan, coordination of land with road design, contracting, and construction, and
  - (i) Monitoring and evaluation of land acquisition and resettlement process.
25. In preparing the RAP, the likely alignment and corridor of impact for the roads to be improved shall be determined. This shall be done as a joint exercise, coordinating the various design aspects of the project (engineering, environmental, socio-economic). The corridor of impact is defined as the width required for the improved road and the civil works necessary to construct it, including the new pavements, shoulders, support slopes, and necessary safety zone. People who live or have assets outside of this corridor of impact and who will not be affected by the project will not be considered as PAPs and will not be entitled to compensation of other forms of assistance. The following considerations are important.

- (a) The identification of the corridor of impact shall be undertaken as a joint exercise between the planners responsible for engineer design environmental assessment, and social impact and R&R planning.
  - (b) Public consultation shall be undertaken, to determine what local people consider to be the best alignment for the improved road.
  - (c) The corridor of impact will normally fall within the existing Right of Way, but the study shall assess where private land acquisition may be required.
  - (d) It is likely that the exact road alignment and therefore the corridor of impact may shift following detailed engineering designs. The purpose of this early estimate is to get as complete a picture as possible of the expected scope of land acquisition required, number of PAPs categories and entitlements, and budgets and time frame required for the implementation of the Resettlement Action Plan. However, this shall be updated and corrected as required following the final engineering designs.
  - (i) the land acquired should be the minimum needed to improve and upgrade the existing road alignment to the defined technical standard,
  - (ii) lower value land should be acquired where possible
  - (iii) wherever possible, the alignment should be designed so as to avoid acquiring buildings in which permanent businesses operate.
  - (iv) re-alignments should only be done where it is necessary for safety reasons or when it is preferable for environment reasons or because it has less asset acquisition impact.
26. Based on the agreed entitlement framework, the full baseline socio-economic survey and a joint on-site verification shall take place for the total length of highways to be improved. The baseline socio-economic survey shall be conducted within the corridor of impact.
27. The survey shall be full census of all entitled persons and a baseline socio-economic survey. It shall uniquely identify all entitled persons under the policy. The survey shall use the methodology developed for the sample survey undertaken earlier, and provide the data for an overall estimate of total numbers of people affected, assets to be acquired by the project, and scope of resettlement and rehabilitation measures to be taken. The joint on-site verification will determine the precise nature and quantity of assets to be acquired and the losses to be compensated.
28. The consultants shall advise the project authorities about the best way to coordinate this activity. The following considerations are important.
- (a) the survey and verification should be done jointly by representatives of the project authorities and the PAPs and other authorities such as local revenue officials, as appropriate based in local rules.
  - (b) during this survey, the PAPs shall be explained the likely impact of the project authorities and presented with a copy the entitlement framework in his/her local language.
  - (c) the assets to be acquired shall be tabulated, bearing in mind that each PAP may have losses in more than one category. The compensation or assistance he/she is entitled to shall be clearly explained, as well as the likely timetable for when the acquisition is likely to take place.
  - (d) Where different options have been developed, these shall be explained along with the likely risks involved. Wherever possible, the principal of high vulnerability/ low risk should be followed i.e. those among the PAPs identified as particularly vulnerable should be encouraged to choose the assistance or compensation that offers the least risk. This choice shall not be made on the spot, but provision should be made in the RAP for further consultation, and sufficient time should be given to the PAPs to make their choices.
  - (e) the table of likely losses and types of entitlements shall be verified by the three parties present, and signed by each of them. The PAP shall be given a copy this will serve as proof

of his status as PAP, and each PAP should be given a unique identification code. Other measures such as identity cards may be considered if necessary.

- (f) this information should be coded and computerized, and updated as required following finalization of the data. Developing a data base to track PAPs entitlement and compensation of assistance given should be considered to ensure accurate and efficient implementation of the RAP.
- (g) it should be made clear to the PAP that if the final road design and the choice of alignment mean that he/she is no longer within the corridor of impact, no compensation will be given.
- (i) the PAP shall also be informed about the mechanism set up for grievance procedures.
- (j) provision should be made for how missing data can be collected later, and other mechanisms for information sharing and local participation should also be developed.
- (k) undertaking the baseline socio-economic survey and joint verification is a time consuming exercise. People are not always available, and it may be difficult to coordinate the movements of local government officials with the project authorities. It is therefore essential to allow sufficient time for the survey and verification before any civil work start, and to coordinate the planning of the different project components.
- (l) Summary information shall be tabulated based on districts, with length of road, land to be acquired (cultivated and homestead listed separately), temporary and permanent buildings, and number of households and total persons affected (broken down by gender by gender and other relevant categories such as major/minors tribal's, etc.)

29. **Institutional Arrangements.** Responsibilities for implementation of various parts of the RAP should be clearly delineated

- (a) while elements of the plan may be undertaken by other institutions (for example by contracting with NGOs to facilitate R & R , awareness raising and income-generating activities the overall coordination and capacity to monitor the project should be maintained by the PWD as the main responsible agency.
- (b) for task involving coordination among different agencies of government of community organization, appropriate mechanisms should be identified and established. The organizational structure and type of skills required should be creating a joint task force or steering committee with representatives of different agencies involved as well as from local government and representatives of the PAPs should be explored.
- (c) Appropriate monitoring and evaluation arrangements should be developed. It should be the responsibility of the implementing agency to systematically monitor the progress of the RAP, and analyze and report on its impacts compared with the baseline data. Suitable indicators should be developed for this. Independent evaluation or supervision should be provided for, and guidelines prepared for how this is to be undertaken.
- (d) A grievances and appeals mechanism should be evolved.
- (e) It is essential to document the institutional capacity of the agency or agencies responsible for implementing the RAP. Where institutional capacity is yet to be developed or identified, a realistic plan shall be presented for how this is to be achieved, bearing in mind likely constraints and delays.

30. Assessment of institutional capacity will be a key factor in the appraisal of the RAP

31. Following agreement on an entitlement framework, a summary publication with project description, estimates of land acquisition losses and entitlements, both in English and local languages, should be prepared. This is to be distributed among the local communities and to other stakeholders.





## **Annexure – 5.1**

---

### **Details of Census and Socio-economic Survey**



Uttar Pradesh Core Road Network Development Project																														
Details of Census and socio-economic Survey Garautha – Chirgaon Road (SH-42)																														
Sl.No.	Census Survey Code	General					Status of Ownership	Details of Structures						Social Status of Household family														Remarks		
								Type of Structure	Type of Loss	Distance from CL in (M)	Measurement of Structure			Social Category	Religious Category	Vulnerability Status		Name of the Owner	Relation with HoH	Sex (M/F)	Age	No. Of Families	Marital Status	Educational Qualification	Usual Activity	Main Occupation	Monthly Income		Other Occupation	Monthly Income
		Length	Width	Total affected Area of structure (in Sq Mtr.)	1. SC 2. ST 3. OBC 4. General 5. Others	1. Muslim 2. Hindu 3. Other (specify)					1. Vul	Base of Vulnerability																		
1	HR/LS/SHL/K-1	Jahnsi	Garautha	Sheela	123+00	1	4	1	1	6.3	NA	NA	NA	4	2	1	WHH	Ram Kali Sharma W/o Jugal Kishor	Self	F	60	4	1	1	1	5	3000			
																		Jugal Kishor	Husband	M	65		1	3	2					
																		Brijesh	Son	M	40		1	6	1					
																		Rekha Devi	DIL	F	38		1	1	1					
																		Kamlesh	Son	M	35		2	4	1					
																		Akhilesh	Son	M	30		1	6	1					
																		Malti	DIL	F	28		1	3	5					
2	HR/LS/SHL/E/Res-2	Jahnsi	Garautha	Sheela	123+200	1	2	1	2	6.6	10	1.55	15.5	3	2	1	Caste	Gaya Prasad S/o Dhani ram	Self	M	55	2	5	1	1	3	7000			
																		Dinesh	Son	M	30		1	1	1					
																		Phoolmati	DIL	F	28		1	1	5					
																		Aman	GS	M	10		2	3	6					
																		Manish	GS	M	8		2	2	6					
																		Akhilesh	Son	M	25		2	1	1					
3	HR/RS/SHL/E/OTH-1	Jahnsi	Garautha	Sheela	123+200	2	2	2	5	7.5	4.5	2	9	4	2	1	BPL	Gajraj Singh S/o Late Chande Singh	Self	M	50	1	1	4	1	2	10000			
																		Bhagawti	Wife	F	45		1	3	5					
																		Lokendra	Son	M	20		2	5	6					
																		Sheetal	Daughter	F	18		2	4	6					
																		Prahlad	Son	M	12		2	4	6					
4	HR/RS/SHL/E/OTH-1(A)	Jahnsi	Garautha	Sheela	123+205	2	2	2	5	7.5	4.5	2.2	9.9	4	2	1	BPL	Malkhan Singh S/o Late Chande Singh	Self	M	55	2	1	2	2					
																		Ram Kunwar	Wife	F	50		1	1	5					
																		Karan Singh	Son	M	30		1	4	1	4	5000			
																		Rekha Devi	DIL	F	25		1	3	5					
																		Pranjali	GD	F	8		2	2	6					
																		Raj	GS	M	3		2	1	7					
5	HR/LS/SHL/E/Res-3(A)	Jahnsi	Garautha	Sheela	123+215	1	2	3	2	5.1	6.5	1.5	9.75	4	2	1	BPL	Munni Singh S/o Raj Bahadur Singh	Self	M	52	1	1	5	1	1	3000			
																		Savitri Devi	Wife	F	48		1	3	5					
																		Narendra	Son	M	24		2	6	6					
6	HR/LS/SHL/E/Res-3	Jahnsi	Garautha	Sheela	123+220	1	2	2	2	5.1	6.5	3	19.5	4	2	1	BPL	Raghu Raj S/o Raj Bahadur	Self	M	48	1	1	5	1	1	3000			
																		Anita Singh	Wife	F	45		1	3	1					
																		Devendra Singh	Son	M	18		2	4	6					
7	HR/LS/SHL/E/Res-4	Jahnsi	Garautha	Sheela	123+230	1	2	1	2	6.8	3.3	2.4	7.92	4	2	1	BPL	Dev Singh S/o Imrat Singh	Self	M	42	2	1	4	1					
																		Ganeshi Kunwar	Wife	F	40		1	3	5	1	3000			
																		Ankit Kumar	Son	M	18		2	4	6					
																		Sachin	Son	M	15		2	3	6					
																		Maohini	Daughter	F	10		2	3	6					
																		Karan Singh	Brother	M	30		2	3	1	1	3000			
																		Bhan Kunwar	Mother	F	75		5	2	2					
8	HR/LS/SHL/E/OTH-5	Jahnsi	Garautha	Sheela	123+240	1	2	2	5	4.9	9	5.1	45.9	4	2	1	BPL	Akhilesh S/o Ram Dass	Self	M	43	2	1	5	1	1	3000			

Uttar Pradesh Core Road Network Development Project																																	
Details of Census and socio-economic Survey Garautha – Chirgaon Road (SH-42)																																	
Sl.No.	Census Survey Code	General					Status of Ownership	Details of Structures						Social Status of Household family														Remarks					
								Type of Structure	Type of Loss	Distance from CL in (M)	Measurement of Structure			Social Category	Religious Category	Vulnerability Status		Name of the Owner	Relation with HoH	Sex (M/F)	Age	No. Of Families	Marital Status	Educational Qualification	Usual Activity	Main Occupation	Monthly Income		Other Occupation	Monthly Income			
		1. Titleholder 2. Encroacher 3. Squatter 4. Kiosk .Tenant 5	Temporary (1) Semi-Permanent (2) Permanent (3)	Commercial (1), Residential (2), Rest + Comm (3) Boundary Wall ( 4 ) Other (5)	Length	Width					Total affected Area of structure (in Sq Mtr.)	1. SC 2. ST 3. OBC 4. General 5. Others	1. Muslim 2. Hindu 3. Other (specify)			1. Vul	Base of Vulnerability																
		District	Tehsil	Village	Km / Chainage	Side 1. Left 2. Right																											
																				Sheela Devi	Wife	F	40		1	3	5						
																				Monu	Son	M	18		2	4	6						
																				Yogendra	Son	M	14		2	3	6						
																				Laxmi Devi	Mother	F	70		5	1	2						
9	HR/LS/SHL/E/OTH-6	Jahnsi	Garautha	Sheela	123+240	1	2	2	5	5.6	4.55	4.4	20.02	4	2	2				Raja Singh S/o Late-Harpal Singh	Self	M	70	3	1	4	1	2	15000				
																				Kusum	Wife	F	65		1	3	5						
																				Pratap Singh	Son	M	40		1	7	1						
																				Jyoti	DIL	F	35		1	6	1						
																				Bholu	GS	M	18		2	5	6						
																				Deep	GS	M	19		2	3	6						
																				Bittu	GS	M	8		2	5	6						
																				Jitendra Singh	Son	M	35		1	6	1						
																				Prem Kumar	DIL	F	30		1	6	1						
																				Anmol Singh	GS	M	1		2	1	7						
10	HR/LS/SHL/E/OTH-6(A)	Jahnsi	Garautha	Sheela	123+245	1	2	2	5	5.6	4.55	4.4	20.02	4	2	2				Sakendra Singh S/o Late Jagnandan	Self	M	35	1	1	6	1	4	16000				
																				Suman	Wife	F	30		1	6	5						
																				Harsh Singh	Son	M	10		2	3	6						
																				Mujham	Son	M	5		2	2	6						
11	HR/LS/SHL/E/OTH-6(B)	Jahnsi	Garautha	Sheela	123+245	1	2	2	5	5.6	4.55	4.4	20.02	4	2	2				Mahendra S/o Late-Jagbhan Singh	Self	M	40	1	1	6	1	2	10000				
																				Suman Devi	Wife	F	35		1	5	5						
																				Mona Devi	Daughter	F	18		2	5	6						
																				Manu Singh	Son	M	15		2	4	6						
																				Aditya Singh	Son	M	12		2	3	6						
12	HR/LS/SHL/E/OTH-6(C)	Jahnsi	Garautha	Sheela	123+250	1	2	2	5	5.6	4.55	4.4	20.02	4	2	2				Jagbhan Singh S/o Late-Harpal Singh	Self	M	67	3	1	4	1	2	15000				
																				Ram Skhi	Wife	F	60		1	1	5						
																				Dipendra	Son	M	22		1	6	1						
																				Priyanka	DIL	F	20		1	3	1						
																				sakendra	Son	M	21		1	6	1						
																				Santoshi	DIL	F	19		1	4	1						
																				Pawan Singh	Son	M	12		2	3	6						
13	HR/LS/SHL/E/Res-7	Jahnsi	Garautha	Sheela	123+270	1	2	1	2	5.4	3.7	3	11.1	4	2	1	BPL		Amar Singh S/o Imrat Singh	Self	M	40	1	1	4	1	1	3500					
																				Vimla Devi	Wife	F	37		1	2	1						
																				Angad Singh	Son	M	18		2	4	6						
																				Shivam	Son	M	15		2	3	6						
																				Satyam	Son	M	12		2	2	6						
14	HR/RS/CML/K-1	Jahnsi	Garautha	Chauthe Meel Chauraha	124+550	2	4	1	1	4.7	NA	NA	NA	3	2	1	Caste		Heera Lal S/o Ram Dayal	Self	M	28	1	1	4	1	5	3000					
																				Mamta	Wife	F	25		1	1	1						
																				Pradeep	Son	M	6		2	2	6						

Uttar Pradesh Core Road Network Development Project																															
Details of Census and socio-economic Survey Garautha – Chirgaon Road (SH-42)																															
Sl.No.	Census Survey Code	General					Status of Ownership	Details of Structures						Social Status of Household family														Remarks			
								Type of Structure	Type of Loss	Distance from CL in (M)	Measurement of Structure			Social Category	Religious Category	Vulnerability Status		Name of the Owner	Relation with H/H	Sex (M/F)	Age	No. Of Families	Marital Status	Educational Qualification	Usual Activity	Main Occupation	Monthly Income		Other Occupation	Monthly Income	
		Length	Width	Total affected Area of structure (in Sq Mtr.)	1. SC 2. ST 3. OBC 4. General 5. Others	1. Muslim 2. Hindu 3. Other (specify)					1. Vul	Base of Vulnerability																			
							1. Titleholder 2. Encroacher 3. Squatter 4. Kiosk ,Tenant 5	Temporary (1) Semi-Permanent (2) Permanent (3)	Commercial (1), Residential (2), Rest + Comm (3) Boundary Wall ( 4 ) Other (5)									Prince	Son	M	4		2	1	7						
15	HR/LS/CML/K-1	Jahnsi	Garautha	Chauthe Meel Chauraha	124+560	1	4	1	1	4.7	NA	NA	NA	3	2	1	Caste	Siayaram S/o Bhagwan Das	Self	M	48	1	1	2	1	5	3000				
																		Annu	Wife	F	40		1	1	5						
																		Pravin	Son	M	20		2	5	6						
																		Mukesh	Son	M	18		2	4	6						
16	HR/LS/CML/K-2	Jahnsi	Garautha	Chauthe Meel Chauraha	124+570	1	4	1	1	6.9	NA	NA	NA	3	2	1	Caste	Anil S/o Jairam	Self	M	35	1	1	1	1	5	3000				
																		Rani Devi	Wife	F	32		1	4	1						
																		Anuj	Son	M	15		2	4	6						
																		Roshni	Daughter	F	14		2	3	6						
																		Gopal	Son	M	12		2	3	6						
17	HR/LS/CML/K-3	Jahnsi	Garautha	Chauthe Meel Chauraha	124+580	1	4	1	1	6.8	NA	NA	NA	3	2	1	Caste	Ravindra S/o Chhakkil Lal	Self	M	32	1	1	3	1	5	3000				
																		Sarita	Wife	F	30		1	2	5						
																		Neeraj	Son	M	10		2	2	6						
																		Satyendra	Son	M	7		2	2	6						
18	HR/RS/CML/K-2	Jahnsi	Garautha	Chauthe Meel Chauraha	124+580	1	4	1	1	5.7	NA	NA	NA					Suresh S/o Banmali	Self	M		1									
19	HR/LS/GSR/K-4	Jahnsi	Garautha	Gur Sarain Town	130+530	1	4	1	1	5.4	NA	NA	NA	4	2	2		RamaKant Gupta S/o Suraj Prasad	Self	M	43	1	1	4	1	5	3000				
																		Pushpa Devi	Wife	F	40		1	3	5						
																		Pradeep	Son	M	19		2	5	6						
																		Prince	Son	M	17		2	5	6						
20	HR/LS/GSR/K-5	Jahnsi	Garautha	Gur Sarain Town	130+532	1	4	1	1	6	NA	NA	NA					Prem Narayan S/O Kishori Saran	Self	M		1									
21	HR/RS/GSR/SQ/Com-1	Jahnsi	Garautha	Gur Sarain Town	130+535	2	3	1	1	6.5	3.5	3.5	12.25	3	1	1	Caste	Raju S/o Kille	Self	M	22	2	1	1	3	3	6000				
																		Rehana	Wife	F	20		1	1	5						
																		Alfiya	Daughter	F	1		2	1	7						
																		Kille	Father	M	60		1	3	2						
																		Sayra	Mother	F	55		1	1	5						
																		Zeeshan	Brother	M	18		2	1	2						
22	HR/RS/GSR/K-2	Jahnsi	Garautha	Gur Sarain Town	130+660	2	4	1	1	4	NA	NA	NA	1	2	1	Caste	Harvansh Kumar S/o Ram Kishor	Self	M	28	1	1	4	1	5	3000				
																		Asha Devi	Wife	F	35		1	2	5						
																		Vivek Kumar	Son	M	12		2	2	6						
23	HR/RS/GSR/K-4	Jahnsi	Garautha	Gur Sarain Town	130+670	2	4	1	1	4.6	NA	NA	NA	3	2	1	Caste	Sahdev S/o Maan Singh	Self	M	24	1	1	5	1	5	3000				
																		Neetu	Wife	F	21		1	4	1						
																		ananya	Daughter	F	2		2	1	7						
24	HR/RS/GSR/K-5	Jahnsi	Garautha	Gur Sarain Town	130+670	2	4	1	1	4.5	NA	NA	NA	3	2	1	Caste	Mani Ram S/o Ram Prasad	Self	M	32	1	1	3	1	5	3000				
																		Ram Rati	Wife	F	28		1	2	5						
																		Raksha	Daughter	F	9		2	2	6						
																		Ankit	Son	M	7		2	2	6						
25	HR/RS/GSR/K-6	Jahnsi	Garautha	Gur Sarain Town	130+675	2	4	1	1	6	NA	NA	NA	3	2	1	Caste	Baladin S/o Ram Prasad	Self	M	28	1	1	2	1	5	3000				

Uttar Pradesh Core Road Network Development Project																																	
Details of Census and socio-economic Survey Garautha – Chirgaon Road (SH-42)																																	
Sl.No.	Census Survey Code	General					Status of Ownership	Details of Structures					Social Status of Household family															Remarks					
								Type of Sructure	Type of Loss		Measurement of Structure			Social Category	Religious Category	Vulnerability Status		Name of the Owner	Relation with HoH	Sex (M/F)	Age	No. Of Families	Marital Status	Educational Qualification	Usual Activity	Main Occupation	Monthly Income		Other Occupation	Monthly Income			
		Temporary (1) Semi-Permanent (2) Permanent (3)	Commercial (1), Residential (2), Rest + Comm (3) Boundary Wall ( 4 ) Other (5)	Distance from CL in (M)	Length	Width					Total affected Area of structure (in Sq Mtr.)	1. SC 2. ST 3. OBC 4. General 5. Others	1. Muslim 2. Hindu 3. Other (specify)			1. Vul	Base of Vulnerability																
		District	Tehsil	Village	Km / Chainage	Side 1. Left 2. Right	1. Titleholder 2. Encroacher 3. Squatter 4. Kiosk ,Tenant 5																										
																			Maan Kunwar	Wife	F	25		1	3	1							
																			Ramjeet	Son	M	9		2	2	6							
																			Muskan	Daughter	F	7		2	2	6							
26	HR/RS/GSR/K-7	Jahnsi	Garautha	Gur Sarain Town	130+740	2	4	1	1	6.6	NA	NA	NA	1	2	1	Caste	Chaturbhuj S/o Khumaan	Self	M	55	2	1	2	1	5	12000						
																			Munni	Wife	F	52		1	3	5							
																			Manish	Son	M	22		2	2	1							
																			Akhilesh	Son	M	20		2	2	1							
																			Mukesh	Son	M	18		2	2	1							
27	HR/LS/GSR/SQ/Com-9	Jahnsi	Garautha	Gur Sarain Town	130+815	1	3	1	1	7.2	4.5	2.8	12.6	4	2	2		Kalicharan S/o Shiv Deen	Self	M	50	1	1	1	1	5	3000						
																			Ram Devi	Wife	F	46		1	1	5							
28	HR/RS/GSR/K-8	Jahnsi	Garautha	Gur Sarain Town	130+900	2	4	1	1	7.5	NA	NA	NA	1	2	1	Caste	Maresh S/o Ram Charan	Self	M	35	1	1	6	1	5	4000						
																			Rajni	Wife	F	30		1	4	5							
																			Rishabh	Son	M	10		2	3	6							
																			Khushi	Daughter	F	9		2	3	6							
																			Anurag	Son	M	7		2	2	6							
29	HR/LS/GSR/K-10	Jahnsi	Garautha	Gur Sarain Town	130+900	1	4	1	1	7.7	NA	NA	NA	1	2	1	Caste	Jai Karan S/o Jeevan	Self	M	22	1	2	4	1	5	2000						
30	HR/LS/GSR/K-11	Jahnsi	Garautha	Gur Sarain Town	130+920	1	4	1	1	7.7	NA	NA	NA	4	1	2		Gudde S/o Karim Bux	Self	M	52	3	1	3	1	5	3000						
																			Kaiser Jaha	Wife	F	50		1	2	5							
																			Shabnam	Daughter	F	22		2	2	5							
																			Shanu	Son	M	20		2	2	2							
																			Shanno	Daughter	F	18		2	3	5							
																			Shamu	Son	M	16		2	7	2							
31	HR/LS/GSR/K-12	Jahnsi	Garautha	Gur Sarain Town	130+995	1	4	1	1	6.8	NA	NA	NA	1	2	1	Caste	Dabbu S/o Babu	Self	M	36	1	1	1	1	5	4000						
																			Guddi	Wife	F	32		1	1	5							
																			Gaurav	Son	M	15		2	4	6							
																			Kajal	Daughter	F	12		2	3	6							
																			Saurabh	Son	M	10		2	3	6							
32	HR/LS/GSR/E/BW-16	Jahnsi	Garautha	Gur Sarain Town	131+480	2	2	1	4	6.3	7.20	NA	NA	3	2	1	Caste	Kashi Ram S/o Janki Prasad	Self	M	45	3	1	2	1	3	3000						
																			Savitri Devi	Wife	F	42		1	3	5							
																			Sushil	Son	M	21		2	6	6							
																			Babita	Daughter	F	18		2	4	6							
33	HR/LS/GSR/E/Abnd-17	Jahnsi	Garautha	Gur Sarain Town	131+488	1	2	1	5	5.5	11	2.5	27.5	3	2	1	Caste	Dayaram S/o Janki Prasad	Self	M	50	3	1	4	1	2	6000						
																			Bhagvati Devi	Wife	F	48		1	1	5							
																			Kishun	Son	M	30		1	2	1							
																			Foola	DIL	F	28		1	1	5							
																			Jitu	GS	M	2		2	1	7							
																			Amrita	GD	F	1		2	1	7							
																			Rajesh	Son	M	23		1	2	1							



Uttar Pradesh Core Road Network Development Project																																	
Details of Census and socio-economic Survey Garautha – Chirgaon Road (SH-42)																																	
Sl.No.	Census Survey Code	General					Status of Ownership	Details of Structures					Social Status of Household family															Remarks					
								Type of Structure	Type of Loss	Distance from CL in (M)	Measurement of Structure			Social Category	Religious Category	Vulnerability Status		Name of the Owner	Relation with HoH	Sex (M/F)	Age	No. Of Families	Marital Status	Educational Qualification	Usual Activity	Main Occupation	Monthly Income		Other Occupation	Monthly Income			
		1. Titleholder 2. Encroacher 3. Squatter 4. Kiosk ,Tenant 5	Temporary (1) Semi-Permanent (2) Permanent (3)	Commercial (1), Residential (2), Rest + Comm (3) Boundary Wall ( 4) Other (5)	Length	Width					Total affected Area of structure (in Sq Mtr.)	1. SC 2. ST 3. OBC 4. General 5. Others	1. Muslim 2. Hindu 3. Other (specify)			1. Vul	Base of Vulnerability																
		District	Tehsil	Village	Km / Chainage	Side 1. Left 2. Right																											
																				Geeta	DIL	F	21		1	1	1						
																				Prachi	GD	F	2		2	1	7						
																				Aditya	GS	M	1		2	1	7						
34	HR/RS/GSR/E/Res-9	Jahnsi	Garautha	Gur Sarain Town	131+710	2	2	1	2	6.8	6.4	1.5	9.6	1	2	1	Caste	BrijLal S/o Nanhu Basor	Self	M	63	5	1	4	1	2	12000						
																			Kasturi	Wife	F	60		1	1	5							
																			Anil	Son	M	41		1	5	1							
																			Mehnda	DIL	F	40		1	1	5							
																			Dhirendra	GS	M	23		2	7	6							
																			Jag Mohan	Son	M	36		1	7	1							
																			Gyan	DIL	F	32		1	1	5							
																			Abhilekh	Son	M	32		1	1	1							
																			Sushma	DIL	F	30		1	1	5							
35	HR/RS/GSR/E/Abnd-10	Jahnsi	Garautha	Gur Sarain Town	131+760	2	2	1	5	7.3	4	2.7	10.8	1	2	1	Caste	Suresh Kumar S/o Khuvi	Self	M	45	1	1	7	1	3	4000						
																			Saroj Devi	Wife	F	42		1	1	5							
																			ChandraKant	Son	M	18		2	4	6							
																			Krishna Kant	Son	M	10		2	2	6							
																			Chanchal	Son	M	6		2	2	6							
36	HR/RS/GSR/E/Res-11	Jahnsi	Garautha	Gur Sarain Town	131+780	2	2	1	2	5.3	2	3.36	6.72	1	2	1	Caste	Rati Ram S/o Khadore	Self	M	72	3	1	6	2								
																			Chandrani	Wife	F	68		1	1	2							
																			Ram Lakhani	Son	M	47		1	6	1	1	20000					
																			Ram Sakhi	DIL	F	44		1	1	5							
																			Mahendra Kumar	Son	M	34		1	6	1							
																			Sarita Devi	DIL	F	30		1	6	5							
37	HR/RS/GSR/E/Res-12	Jahnsi	Garautha	Gur Sarain Town	131+900	2	2	1	2	7.4	4	4.2	16.8	1	2	1	Caste	Manoj S/o Sitaram	Self	M	30	1	1	1	1	3	3000						
																			Mamta	Wife	F	27		1	1	5							
																			Manmika	Daughter	F	2		2	1	7							
38	HR/LS/BGR/K-2	Jahnsi	Tehrauli	Baghaira	146+870	1	4	1	1	6	NA	NA	NA	3	2	1	Caste	Tulsi Das S/o Late-Dhhadkole	Self	M	45	2	1	4	3	5	3000						
																			Suman	Wife	F	42		1	3	5							
																			Ajay	S	M	19		2	6	6							
																			Kalpana	D	F	18		2	5	6							
39	HR/RS/BGR/K-1	Jahnsi	Tehrauli	Baghaira	146+890	2	4	1	1	8.5	NA	NA	NA	3	2	1	Caste	Pancham S/o Badri Nath	Self	M	26	2	2	3	1	5	5000						
																			Badri Nath	Father	M	50		1	5	1							
																			Ubora	Mother	F	48		1	3	5							
40	HR/RS/BNR/K-1	Jahnsi	Tehrauli	Bangri Bangra	152+800	2	4	1	1	5.4	NA	NA	NA	3	2	1	Caste	Vijay Kumar S/o Ghana Ram	Self	M	28	1	1	1	4	3	5	3000					
																			Abhilasha	Wife	F	26		1	3	5							
																			Himanshu	S	M	8		2	2	6							
																			Himani	D	F	6		2	2	6							
																			Ganesh	S	M	1		2	1	7							

### Details of Census and socio-economic Survey Garautha - Chirgaon Road (SH-42)

Page 6 of 10

Uttar Pradesh Core Road Network Development Project																															
Details of Census and socio-economic Survey Garautha – Chirgaon Road (SH-42)																															
Sl.No.	Census Survey Code	General					Status of Ownership	Details of Structures					Social Status of Household family														Remarks				
								Type of Structure	Type of Loss		Measurement of Structure			Social Category	Religious Category	Vulnerability Status		Name of the Owner	Relation with HoH	Sex (M/F)	Age	No. Of Families	Marital Status	Educational Qualification	Usual Activity	Main Occupation		Monthly Income	Other Occupation	Monthly Income	
		1. Titleholder 2. Encroacher 3. Squatter 4. Kiosk ,Tenant 5	Temporary (1) Semi-Permanent (2) Permanent (3)	Commercial (1), Residential (2), Rest + Comm (3) Boundary Wall (4) Other (5)	Distance from CL in (M)	Length					Width	Total affected Area of structure (in Sq Mtr.)	1. SC 2. ST 3. OBC 4. General 5. Others			1. Muslim 2. Hindu 3. Other (specify)	1. Vul														Base of Vulnerability
50	HR/LS/BNR/K-5	Jahnsi	Tehrauli	Bangri Bangra	153+050	1	4	1	1	8.5	3	1.5	4.5	4	2	1	BPL	Mohit S/o Ashok Kumar	Self	M	26	2	1	4	3	5	2500				
																		Jyoti	Wife	F	22		1	3	5						
																		Deepak	Son	M	1		2	1	7						
51	HR/LS/BNR/E/OTH-6	Jahnsi	Tehrauli	Bangri Bangra	153+090	1	2	1	5	7.2	1.4	2.8	3.92					Vijay Pal S/o Govind Pal	Self	M		1									
52	HR/LS/BNR/K-7	Jahnsi	Tehrauli	Bangri Bangra	153+200	1	4	1	1	5.3	NA	NA	NA	3	2	1	BPL	Rakesh S/o Hardayal	Self	M	40	1	1	3	1	5	4000				
																		Meera Devi	Wife	F	38		1	2	5						
																		Laxmi	Daughter	F	16		2	4	6						
																		Kamlesh	Son	M	12		2	2	6						
																		Hasmukhi	Daughter	F	10		2	2	6						
																		Radha	Daughter	F	8		2	2	6						
53	HR/RS/BNR/K-7	Jahnsi	Tehrauli	Bangri Bangra	153+275	2	4	1	1	5.8	NA	NA	NA	1	2	1	Caste	Kamlesh S/o Ram Sahai	Self	M	30	1	1	3	1	5	3000				
																		Rati	Wife	F	28		1	1	5						
																		Rakhi	Daughter	F	12		2	3	6						
																		Ankit	Son	M	10		2	2	6						
54	HR/RS/BNR/E/Res-8	Jahnsi	Tehrauli	Bangra Bangri	153+295	2	2	2	2	6.5	4	1.3	5.2	3	2	1	Caste	Chandra Bhan S/o DeenPal	Self	M	48	2	1	4	1	2	6000				
																		Kusuma Rani	Wife	F	45		1	3	5						
																		Dipendra	Son	M	22		2	6	1						
																		Gajendra	Son	M	20		2	6	2						
55	HR/RS/RMP/K-1	Jahnsi	Tehrauli	Rampura	155+170	2	4	1	1	7.6	NA	NA	NA	1	2	1	Caste	Raghuvar Dayal S/O Hardas	Self	M	61	1	1	2	1	5	2000				
																		Ram Kali	Wife	F	60		1	1	5						
56	HR/LS/RP/K-1	Jahnsi	Tehrauli	Rampura	155+200	1	4	1	1	6.1	NA	NA	NA	3	2	1	Caste	Laxman Pd S/o Ganesh Sahu	Self	M	70	1	1	2	1	5	4000				
																		foola Devi	Wife	F	65		1	1	5						
57	HR/RS/LGG/K-1	Jahnsi	Tehrauli	Luhar Ganw Ghat	158+000	2	4	1	1	5.4	NA	NA	NA	3	2	1	Caste	Udal Parihar S/o Daya Lal	Self	M	50	2	1	1	3	5	4500				
																		Ram Devi	Wife	F	45		1	1	5						
																		Savita	D	F	18		2	3	5						
58	HR/RS/LGG/K-2	Jahnsi	Tehrauli	Luhar Ganw Ghat	158+280	2	4	1	1	7.8	NA	NA	NA	3	2	1	Caste	Bhagwan Das S/o Ghanshyam	Self	M	25	1	1	3	1	5	2500				
																		Malti	Wife	F	22		1	1	5						
																		Khushi	Daughter	F	3		2	1	7						
																		Shubhi	Daughter	F	1		2	1	7						
59	HR/RS/LGG/Sq/Com-2	Jahnsi	Tehrauli	Luhar Ganw Ghat	158+300	2	3	1	1	4.6	3.5	2.4	8.4	3	2	1	Caste	Desh Raj S/o Mathura Prasad	Self	M	67	1	1	2	1	3	3000				
																		Rama Devi	Wife	F	62		1	1	5						
60	HR/LS/LGG/E/Res-1	Jahnsi	Tehrauli	Luhar Ganw Ghat	158+350	1	2	2	2	7.5	12	1.8	21.6	3	2	1	Caste	Sant Ram S/o Dayaram	Self	M	55	3	1	1	1	1	4000				
																		Phool Wati	Wife	F	50		1	1	5						
																		Suman	DIL	F	28		5	1	5						
																		Avdhesh	Son	M	25		1	1	1						
																		Archna	DIL	F	22		1	1	5						
																		Vivek Kumar	GS	M	2		2	1	7						
61	HR/LS/LGG/SQ/Res-2	Jahnsi	Tehrauli	Luhar Ganw Ghat	158+390	1	3	1	2	7.5	4	2.5	10	3	1	1	BPL	Rahish S/o Ahmad	Self	M	38	1	1	2	1	3	4000				

Uttar Pradesh Core Road Network Development Project																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																					
Details of Census and socio-economic Survey Garautha – Chirgaon Road (SH-42)																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																					
Sl.No.	Census Survey Code	General					Status of Ownership	Details of Structures						Social Status of Household family															Remarks																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																								
								Type of Structure	Type of Loss		Measurement of Structure			Social Category	Religious Category	Vulnerability Status																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																					

Uttar Pradesh Core Road Network Development Project																																
Details of Census and socio-economic Survey Garautha – Chirgaon Road (SH-42)																																
Sl.No.	Census Survey Code	General					Status of Ownership	Details of Structures						Social Status of Household family														Remarks				
		District	Tehsil	Village	Km / Chainage	Side 1 Left 2 Right		Type of Structure	Type of Loss	Measurement of Structure			Social Category	Religious Category	Vulnerability Status		Name of the Owner	Relation with Host	Sex (M/F)	Age	No. Of Families	Marital Status	Educational Qualification	Usual Activity	Main Occupation	Monthly Income	Other Occupation		Monthly Income			
										Length	Width	Total affected Area of structure (in Sq Mtr.)			1. SC 2. ST 3. OBC 4. General 5. Others	1. Muslim 2. Hindu 3. Other (specify)														1. Vul	Base of Vulnerability	
							1. Titleholder 2. Encroacher 3. Squatter 4. Kiosk ,Tenant 5	Temporary (1) Semi-Permanent (2) Permanent (3)	Commercial (1), Residential (2), Rest + Comm (3) Boundary Wall ( 4 ) Other (5)	Distance from CL in (M)								Baby	Son	M	1		2	1	7							
72	HR/RS/RMN/E/Com-6	Jahnsi	Month	Ram Nagar	160+405	2	2	1	1	7.1	18.5	1.80	33.3					Vinod Nayak s/o Paras Nath Nayak	Self	M		1										
73	HR/LS/RMN/SQ/Com-1	Jahnsi	Month	Ram Nagar	160+415	1	3	1	1	7.9	3.5	1.2	4.2	3	2	1	Caste	Seeta Ram S/o Gutiya	Self	M	63	1	1	2	1	5	3000					
																		Lalita	Wife	F	58		1	1	5							
74	HR/RS/RMN/K-	Jahnsi	Month	Ram Nagar	160+430	2	4	1	1	6.6	NA	NA	NA					Closed	Self	M		1										
75	HR/LS/RMN/K-2	Jahnsi	Month	Ram Nagar	160+435	1	4	1	1	6.6	NA	NA	NA	3	2	1	Caste	Gopal Das S/o Kalika Prasad	Self	M	27	1	1	3	1	5	3000					
																		Seema	Wife	F	25		1	3	5							
																		Neetu	Daughter	F	3		2	1	7							
																		Vivek Kumar	Son	M	2		2	1	7							
																		Pratigya	Daughter	F	1		2	1	7							
76	HR/RS/RMN/K-8	Jahnsi	Month	Ram Nagar	161+600	2	4	1	1	9.3	NA	NA	NA					Iqbal S/o Fateh Ullah (Close)	Self	M		1										
77	HR/LS/SYA/K-1	Jahnsi	Month	Siya	165+200	1	4	1	1	6	NA	NA	NA	4	2			Parshu Ram S/o Ghana Ram	Self	M	50	2	1	3	3	5	3000					
																		Parvati	Wife	F	45		1	1	5							
																		Lavkush	S	M	18		2	5	6							
																		Balram	S	M	10		2	3	6							
																		Ghana Ram	Father	M	78		5	2	2							
78	HR/RS/SYA/K-1	Jahnsi	Month	Siya	165+250	2	4	1	1	6.8	NA	NA	NA	3	2	1	Caste	Suneel S/o Dev Singh	Self	M	27	1	1	3	1	5	3000					
																		Sakshi	Wife	F	25		1	1	5							
																		Prince	Son	M	7		2	2	6							
																		Anmol	Son	M	5		2	1	7							
																		Jigar	Son	M	2		2	1	7							
79	HR/LS/SYA/E/Res-2	Jahnsi	Month	Siya	165+260	1	2	1	5	7.7	6	2.3	13.8					Suresh Kumar S/o Mata Deen	Self	M		1										
80	HR/RS/SYA/E/Res-2	Jahnsi	Month	Siya	165+270	2	2	1	5	8.6	8	1.4	11.2					Ganeshi Lal S/o Raghuvr	Self	M		1										
81	HR/LS/SYA/K-3	Jahnsi	Month	Siya	165+280	1	4	1	1	7.5	NA	NA	NA	1	2	1	Caste	Radha Charan S/o Narayan Das	Self	M	42	2	1	2	1	5	4000					
																		Santoshi	Wife	F	38		1	1	5							
																		Aakash	Son	M	20		2	4	6							
																		Vikas	Son	M	17		2	3	6							
																		Raja Bai	Mother	F	70		5	1	2							
82	HR/RS/SYA/E/BW-3	Jahnsi	Month	Siya	165+280	2	2	1	4	8.5	6.50	NA	NA	3	2	1	Caste	Dileep S/o Late- Ghan Shyam	Self	M	25	2	1	3	1	3	6000					
																		Kishna	Wife	F	22		1	3	5							
																		Piyush	Son	M	2		2	1	7							
																		Dipu	Brother	M	20		2	3	1							
																		Chanda	Mother	F	50		5	2	2							
83	HR/RS/SYA/E/OTH-4	Jahnsi	Month	Siya	165+290	2	2	2	5	7.1	3.5	2.9	10.15	3	2	1	Caste	Suresh Kumar S/o Chhakki lal	Self	M	40	1	1	5	1	2	3000					
																		Ram Msri	Wife	F	38		1	2	5							
																		Amit	Son	M	18		2	5	6							
																		Ashish	Son	M	10		2	3	6							
84	HR/LS/SYA/K-4	Jahnsi	Month	Siya	165+310	1	4	1	1	6.6	NA	NA	NA	1	2	1	Caste	Raju Alias Harikant S/o Lalata Pd.	Self	M	30	1	1	5	1	5	3000					

Uttar Pradesh Core Road Network Development Project																															
Details of Census and socio-economic Survey Garautha – Chirgaon Road (SH-42)																															
Sl.No.	Census Survey Code	General					Status of Ownership	Details of Structures						Social Status of Household family														Remarks			
								Type of Structure	Type of Loss		Measurement of Structure			Social Category	Religious Category	Vulnerability Status		Name of the Owner	Relation with HoH	Sex (M/F)	Age	No. Of Families	Marital Status	Educational Qualification	Usual Activity	Main Occupation	Monthly Income		Other Occupation	Monthly Income	
		Temporary (1) Semi-Permanent (2) Permanent (3)	Commercial (1), Residential (2), Rest +Comm (3) Boundary Wall ( 4 ) Other (5)	Distance from CL in (M)	Length	Width					Total affected Area of structure (in Sq Mtr.)	1. SC 2. ST 3. OBC 4. General 5. Others	1. Muslim 2. Hindu 3. Other (specify)			1.Vul	Base of Vulnerability														
		District	Tehsil	Village	Km / Chainage	Side 1 Left 2. Right	1. Titleholder 2. Encroacher 3. Squatter 4 Kiosk .Tenant 5											Meena Devi	Wife	F	27		1	6	5						
																		Vansh	Son	M	1		2	1	7						
85	HR/LS/SYA/K-5	Jahnsi	Month	Siya	165+325	1	4	1	1	5.1	NA	NA	NA	1	2	1	Caste	Ashok Kumar S/o Raghuvr	Self	M	50	2	1	5	1	5	2500				
																		Mamata Devi	Wife	F	48		1	3	5						
																		Rekha	Wife	F	40		1	4	5						
																		Durgesh	Son	M	21		2	6	6						
																		Sarvesh	Son	M	18		2	5	6						
86	HR/RS/SYA/E/OTH-7	Jahnsi	Month	Siya	165+375	2	2	1	5	7.8	2	1.2	2.4	1	2	1	Caste	Basore Lal S/o Parsu	Self	M	70	1	1	1	1	1	2000				
																		Raj Kumari	Wife	F	65		1	1	5						
87	HR/RS/SYA/K-8	Jahnsi	Month	Siya	165+380	2	4	1	1	8	NA	NA	NA	1	2	1	Caste	Panchu S/o Late Mangli	Self	M	60	1	1	3	1	5	2000				
																		Imirti	Wife	F	55		1	1	5						
88	HR/RS/SYA/E/Res-9	Jahnsi	Month	Siya	165+400	2	2	2	2	6.3	25	2.5	62.5	1	2	1	Caste	Nathu Ram S/o Shamli	Self	M	36	1	1	6	3	3	6000				
																		Urmila Devi	Wife	F	33		1	1	5						
																		Ajay	S	M	21		2	6	6						
																		Dinesh	S	M	18		2	4	2						
																		Kiran	D	F	16		2	6	6						
89	HR/LS/SYA/Sq/Com/2	Jahnsi	Month	Siya	165+900	1	3	1	1	5.6	3.5	4	14	3	2	1	BPL	Balram S/o Chaturbhuj	Self	M	40	1	1	3	3	3	3000				
																		Rekha	Wife	F	36		1	1	5						
90	HR/LS/SYA/K-6	Jahnsi	Month	Siya	165+920	1	4	1	1	8	NA	NA	NA	4	2	2		Ram Swaroop S/o Late-Laxman	Self	M	63	1	1	4	1	5	3000				
																		Prakash Devi	Wife	F	60		1	1	5						

## **Annexure – 5.2**

---

### **List of Affected Community Property Resources (CPR) including Schools and Temple/Religious Structures**





<b><i>Uttar Pradesh Core Road Network Development Project</i></b>								
<b><i>Details of Affected Community Property Resources (CPR) Hamirpur-Rath-Gursahayganj-Jhansi Road (Section Garautha-Chirganw SH-42)</i></b>								
<b>General</b>			<b>Distance from CL in (M)</b>	<b>Measurement of Structure</b>			<b>Type of CPRs</b>	<b>Remarks</b>
<b>Sl.No.</b>	<b>Km / Chainage</b>	<b>Side 1. Left 2. Right</b>		<b>Length</b>	<b>Width</b>	<b>Total affected Area of structure (in Sq Mtr.)</b>		
1	123+300	1	7.5	2.5	2.5	6.25	Community Well	
2	124+500	2	9.7	12.50			Boundary Wall of Hanuma ji Temple	
3	126+300	1	8	3	2	6.00	Shrine	
4	131+965	2	7.7	2.8	2.3	6.44	Shrine	
5	131+990	1	8	2.5	2	5.00	Shrine	
6	143+400	1	9	3	1	12.50	Shrine	
7	167+200	1	4	2	1.9	3.80	Shrine	



## **Annexure – 5.3**

---

### **List of Affected Hand Pumps**



## Uttar Pradesh Core Road Network Development Project

### Details of Affected Hand Pump (HP) Hamirpur-Rath-Gursahayganj-Jhansi Road (Section Garautha-Chirganw SH-42)

General			Distance from CL in (M)	Hand Pump	Remarks
Sl.No.	Km / Chainage	Side 1. Left 2. Right			
1	123+120	1	7.5	HP	
2	123+150	1	7	HP	
3	123+310	1	5.7	HP	
4	124+500	2	7.8	HP	
5	126+900	2	5	HP	
6	128+900	2	7.5	HP	
7	129+200	2	7	HP	
8	129+700	2	7.5	HP	
9	129+980	2	6.5	HP	
10	131+450	1	6.3	HP	
11	131+850	2	5.8	HP	
12	131+915	1	7.5	HP	
13	131+920	2	7	HP	
14	131+970	2	8	HP	
15	134+500	2	7.5	HP	
16	135+550	2	6.5	HP	
17	135+800	2	8	HP	
18	138+860	2	7.5	HP	
19	140+500	1	8	HP	
20	143+000	2	8.6	HP	
21	143+400	2	7	HP	
22	153+150	1	8.2	HP	
23	153+250	1	4.6	HP	
24	155+050	2	6.5	HP	
25	155+190	1	4.5	HP	
26	157+800	2	8.1	HP	
27	158+410	1	8.4	HP	
28	158+580	2	6.3	HP	
29	165+100	2	8	HP	
30	167+300	2	4.4	HP	
31	167+435	1	4.2	HP	
32	167+775	2	7	HP	
33	167+845	2	5.9	HP	



## **Annexure – 6.1**

---

### **Public Consultation Questionnaire**





## **Public Consultations**

### **Village/Settlement Level Questionnaire**

1. How old this Settlement?
2. What is the major Problem in your area?
3. If road is improved your status will improved?
4. Do you feel it will increase Accident?
5. What is your present Drainage Pattern?
6. Is there any water lodged area in your Vicinity?
7. Do you have any Idea this Road Improvement to be done through World Bank Loan Assistance?
8. From which source do you know your road is to be improved?
9. Tell us what benefit you may get due to Improvement of this Road?

## **Public Consultations**

### **Institute Level Questionnaire**

1. Year of Construction?
2. How many people gathering daily?
3. Proper Sating Arrangements is Available?
4. Drinking water facilities is available in your area?
5. How many institutes do you have in your area?
6. How you people buy daily commodities from local Market/Weekly Market or / nearby Market?
7. Is there any Fair Organized in your Area? If yes
  - a. When-----
  - b. For how many Days-----

## **Annexure – 6.2**

---

### **Consultation with there Views and List of Participants**



## INVITATION LETTER FOR PUBLIC CONSULTATION

### 1. Shila Village (Km 123.000)

#### कार्यालय अधिशाषी अभियन्ता

विश्व बैंक खण्ड, लोक निर्माण विभाग  
झांसी।

पत्रांक

दिनांक : 15/3/2014

सेवा में

ग्राम प्रधान/ग्राम विकास /पंचायत अधिकारी /लेखपाल

ग्राम .....  
जिला झांसी।

**विषय :-** हमीरपुर राठ-गरौठा गुरसराय, चिरगांव (राज्य मार्ग सं० 42) के चौड़ी करण व उच्चीकरण के कार्य से पर्यावरण पर पड़ने वाले प्रभावों के अध्ययन/सामाजिक व भूमि सम्बन्धी समस्याओं के सम्बन्ध में।

महोदय,

आपको अवगत कराना है कि हमीरपुर- राठ- गरौठा- गुरसराय- चिरगांव राज्य मार्ग सं-42 के चौड़ीकरण व उच्चीकरण का कार्य विश्व बैंक के वित्त पोषण से लोक निर्माण विभाग, उ०प्र० द्वारा कराया जाना प्रस्तावित है। इस कार्य के सम्बन्ध में विश्व बैंक के मानकों के अनुसार पर्यावरण एवं अन्य उपरोक्त विषयक से सम्बन्धित जानकारी व अध्ययन हेतु, मै० एजिस इण्डिया कन्सल्टिंग इंजी० प्रा० लि० को लो०नि०वि० मुख्यालय, लखनऊ द्वारा अधिकृत किया गया है। अतः आपसे अनुरोध है कि मैं मै० एजिस इण्डिया कन्सल्टिंग इंजी० प्रा० लि० के प्रतिनिधियों को पर्यावरण एवं अन्य उपरोक्त विषयक के सम्बन्ध में जन सलाह एवं जानकारी हेतु आवश्यक सहयोग प्रदान करने का कष्ट करें।

अधिशाषी अभियन्ता

विश्व बैंक खण्ड, लो०नि०वि०, झांसी।

प्रतिलिपि : निम्न को सूचनार्थ एवं आवश्यक कार्यवाही हेतु प्रेषित।

1. अधीक्षण अभियन्ता, विश्व बैंक परियोजना, वृत्त कानपुर, लो०नि०वि०।
2. सम्बन्धित तहसीलदार, जनपद झांसी।
3. सम्बन्धित खण्ड विकास अधिकारी, जनपद झांसी।
4. मै० एजिस इण्डिया कन्सल्टिंग इंजी० प्रा० लि०, 12/6 सैफरान स्क्वायर, द्वितीय तल, सेक्टर-35 दिल्ली - मथुरा रोड, फरीदाबाद- 121003 (हरियाणा)।

रघुशंकर

18/3/14

अधिशाषी अभियन्ता

विश्व बैंक खण्ड, लो०नि०वि०, झांसी।

**2. Baghera Village (Km 146.900)****कार्यालय अधिशाषी अभियन्ता**विश्व बैंक खण्ड, लोक निर्माण विभाग  
झांसी।

पत्रांक - 21/14

दिनांक : 15/9/2014

सेवा में

ग्राम प्रधान / ग्राम विकास / पंचायत अधिकारी / लेखपाल  
ग्राम .....  
जिला झांसी।

**विषय :-** हमीरपुर राठ-गरौठा गुरसराय, चिरगांव (राज्य मार्ग सं० 42) के चौड़ी करण व उच्चीकरण के कार्य से पर्यावरण पर पड़ने वाले प्रभावों के अध्ययन/सामाजिक व भूमि सम्बन्धी समस्याओं के सम्बन्ध में।

महोदय,

आपको अवगत कराना है कि हमीरपुर- राठ- गरौठा- गुरसराय- चिरगांव राज्य मार्ग सं-42 के चौड़ीकरण व उच्चीकरण का कार्य विश्व बैंक के वित्त पोषण से लोक निर्माण विभाग, उ०प्र० द्वारा कराया जाना प्रस्तावित है। इस कार्य के सम्बन्ध में विश्व बैंक के मानकों के अनुसार पर्यावरण एवं अन्य उपरोक्त विषयक से सम्बन्धित जानकारी व अध्ययन हेतु, मै० एजिस इण्डिया कन्सल्टिंग इंजी० प्रा० लि० को लो०नि०वि० मुख्यालय, लखनऊ द्वारा अधिकृत किया गया है। अतः आपसे अनुरोध है कि मैं मै० एजिस इण्डिया कन्सल्टिंग इंजी० प्रा० लि० के प्रतिनिधियों को पर्यावरण एवं अन्य उपरोक्त विषयक के सम्बन्ध में जन सलाह एवं जानकारी हेतु आवश्यक सहयोग प्रदान करने का कष्ट करें।

अधिशाषी अभियन्ता

विश्व बैंक खण्ड, लो०नि०वि०, झांसी।

प्रतिलिपि : निम्न को सूचनार्थ एवं आवश्यक कार्यवाही हेतु प्रेषित।

1. अधीक्षण अभियन्ता, विश्व बैंक परियोजना, वृत्त कानपुर, लो०नि०वि०।
2. सम्बन्धित तहसीलदार, जनपद झांसी।
3. सम्बन्धित खण्ड विकास अधिकारी, जनपद झांसी।
4. मै० एजिस इण्डिया कन्सल्टिंग इंजी० प्रा० लि०, 12/6 सैफरान स्क्वायर, द्वितीय तल, सेक्टर-35 दिल्ली - मथुरा रोड, फरीदाबाद- 121003 (हरियाणा)।

प्रार्थना  
जयराज सिंह  
16/09/14

अधिशाषी अभियन्ता  
विश्व बैंक खण्ड, लो०नि०वि०, झांसी।

**3. Siya Village (Km 166.000)****कार्यालय अधिशाषी अभियन्ता**विश्व बैंक खण्ड, लोक निर्माण विभाग  
झांसी।

पत्रांक

दिनांक : 15/9/2014

सेवा में

ग्राम प्रधान/ग्राम विकास/पंचायत अधिकारी/लेखपाल  
ग्राम ~~झांसी~~ / ~~झांसी~~  
जिला झांसी।

**विषय :-** हमीरपुर राठ-गरौठा गुरसराय, चिरगांव (राज्य मार्ग सं० 42) के चौड़ी करण व उच्चीकरण के कार्य से पर्यावरण पर पड़ने वाले प्रभावों के अध्ययन/सामाजिक व भूमि सम्बन्धी समस्याओं के सम्बन्ध में।

महोदय,

आपको अवगत कराना है कि हमीरपुर- राठ- गरौठा- गुरसराय- चिरगांव राज्य मार्ग सं-42 के चौड़ीकरण व उच्चीकरण का कार्य विश्व बैंक के वित्त पोषण से लोक निर्माण विभाग, उ०प्र० द्वारा कराया जाना प्रस्तावित है। इस कार्य के सम्बन्ध में विश्व बैंक के मानकों के अनुसार पर्यावरण एवं अन्य उपरोक्त विषयक से सम्बन्धित जानकारी व अध्ययन हेतु, मै० एजिस इण्डिया कन्सल्टिंग इंजी० प्रा० लि० को लो०नि०वि० मुख्यालय, लखनऊ द्वारा अधिकृत किया गया है। अतः आपसे अनुरोध है कि मैं मै० एजिस इण्डिया कन्सल्टिंग इंजी० प्रा० लि० के प्रतिनिधियों को पर्यावरण एवं अन्य उपरोक्त विषयक के सम्बन्ध में जन सलाह एवं जानकारी हेतु आवश्यक सहयोग प्रदान करने का कष्ट करें।

अधिशाषी अभियन्ता

विश्व बैंक खण्ड, लो०नि०वि०, झांसी।

प्रतिलिपि : निम्न को सूचनार्थ एवं आवश्यक कार्यवाही हेतु प्रेषित।

1. अधीक्षण अभियन्ता, विश्व बैंक परियोजना, वृत्त कानपुर, लो०नि०वि०।
2. सम्बन्धित तहसीलदार, जनपद झांसी।
3. सम्बन्धित खण्ड विकास अधिकारी, जनपद झांसी।
4. मै० एजिस इण्डिया कन्सल्टिंग इंजी० प्रा० लि०, 12/6 सैफरान स्क्वायर, द्वितीय तल, सेक्टर-35 दिल्ली - मथुरा रोड, फरीदाबाद- 121003. (हरियाणा)।

पं०

17.9.2014

अधिशाषी अभियन्ता

विश्व बैंक खण्ड, लो०नि०वि०, झांसी।

## PHOTOGRAPHS OF PUBLIC CONSULTATION

### 1. Shila Village (Km 123.000)



### 2. Baghera Village (Km 146.900)



### 3. Siya Village (Km 166.000)





**Proceedings of the stakeholders' workshop on Environmental and Social Management Framework (ESMF) for screening of the projects under Uttar Pradesh Core Road Network development Programme held on Nov.07,2014**

## **Participants**

Apart from the Senior Officers of UP PWD, Experts from Egis Consultant and the World Bank, State level Officers of Rural Development Department; Forest & Environment Department attended the Workshop along with field level officers from the UP PWD. An important feature of the Conference was participation of different Stakeholders like Project affected persons of the proposed roads and Community leaders from the project area of District Hamirpur.

## **Presentation by Mr. J.P. Jain, CE,- on features and steps Involved in ESMF**

Mr. J.P. Jain Chief Engineer, Chief Engineer, World Bank Project (Roads), UP PWD gave a presentation on preparedness of the State and procedures followed for Environmental and Social Screening of the sub-projects. He further explained the steps taken for Social & environmental screening of the projects. He stressed that the ESMF is an essential ingredient aligned with the project cycle and is to be followed through the entire project cycle such as; Site identification, Screening & review, Implementation of EMP, Monitoring and outcomes. He also explained the key steps involved in the screening process as:

Step 1: Ascertain presence of any environmentally sensitive areas

Step 2: Confirm applicability of regulations

Step 3: Conduct reconnaissance site visits

Step 4: Revisit the screening check list and ascertain outcomes

Step 5: Determine the requirement of an EIA / SIA study & its scope and other applicable rules /regulations and clearances

Step 6: If EIA/SIA is required, then:

- Prepare ToR for EIA / SIA studies and appoint Environment and Social Management Consultants
- Conduct EIA / SIA as per the scope defined in the ToR along with preparation of the detailed DPR documents.

Step 7: Check for applicable NOC / Clearances from MoEF/ State PCB's etc as applicable

Step 8: Ensure integration of EMP measures (as applicable) with bid documents and contract provisions.

Step 9: Project implementation and monitoring to ensure EMP / RAP implementation

Mr. Vinod Kumar one of the PAP from village Muskra under Hamirpur Rath road shared his observation that being the market area, speed restriction should be placed before the starting of the market and end of the market. He suggested that no bypass should be proposed at Village Muskara as hundreds of people livelihood is concerned with this market.

Mr. Imam Khan one of the PAP from village Rath under Hamirpur Rath road demanded a bypass from chainage 76+500 to avoid mass dismantle of the Rath market. He was supported by other PAPs (Updesh Kumar, Vinay Kumar & Shikeel Alam) of the same area.

Mr. Ramesh Chand Gupta one of the PAP from village Rath under Hamirpur Rath road shared that the available width between chainage 76+500 to 78+400 where market for Rath is located, the available ROW is 8 m only. He strongly recommended for a bypass or to minimize the impact on residential & commercial buildings.

Ganesh Kumar, PAP of Muskra village wanted to know the compensation fixed for squatters & kiosks. During the question Answer session, Dr Kaul explained him that entitlement under Resettlement & rehabilitation policy framed for this project is as :

All squatters other than Kiosks will be given shifting allowance of Rs 50,000 per family as one time grant for a permanent structure and Rs. 30,000 for a semi-permanent structure and Rs. 10,000 for a temporary structure.

In case of Kiosks, only Rs. 5000 will be paid as one time grant.

Dr, Sudesh Kaul, Social Specialist, in his remarks opined that ESMF is a scientific approach to guide the executing agency in the field. It helps implementation of Country's policies on different issues like R&R Policies..

In concluding remarks, Mr Sunil .Bhasin, Project Director UP PWD hoped that the preparatory works including those relating to ESMF will be completed by Government of Uttar Pradesh in time. He called upon the officers of the line Departments to monitor the field activities of the consultant in the field. As regards the design of roads; he suggested that cost is not a factor for creating a durable asset. Yet, the design may be finalized in consultation with the World Bank. He thanked all the participants including officers from UP PWD and World Bank, Project affected persons (PAPs) and field officers for their active participation in the workshop.

The workshop ended with vote of thanks to the Chair and the participants

**List of the invites for attending the ESMF Work Shop**

- 1 Chief Conservator of forest
- 2 Chief Conservator of forest, Nodal Officer
- 3 District Magistrate-Hamirpur
- 4 District Magistrate -Badaun
- 5 District Magistrate-Sambal
- 6 District Magistrate-Shahjahanpur
- 7 District Magistrate-Jhansi
- 8 Divisional officer-Hamirpur
- 9 Divisional officer-Jhansi
- 10 Divisional officer-Badaun
- 11 Divisional officer-Sambal
- 12 Divisional officer-Shahjahanpur
- 13 Mr. J.P Jain Chief Engineer World Bank Lucknow
- 14 Sathish Kumar S.E World Bank, Muradabad
- 15 Vinod Kumar Lakhera - PAP from Hamirpur
- 16 Updesh Kumar - PAP from Hamirpur
- 17 Vinay Kumar - PAP from Hamirpur
- 18 Raheel ahmed - PAP from Hamirpur
- 19 S.K Goyal S.E World Bank Kanpur
- 20 Ganesh Kumar - PAP from Gola
- 21 Imam Khan - PAP from Hamirpur
- 22 Ramsh Chandra Gupta - PAP from Muskhura Village
- 23 A.K Diwakar E.E World Bank Kanpur
- 24 Sanjay Gupta E.E World Bank Lucknow
- 25 Nirdhosh Kumar Suman E.E World Bank Hamirpur
- 26 Salil Kumar Yadhav E.E World Bank PWD Lucknow
- 27 Matwor Rao
- 28 R.D Pal A.E World Bank Sitapur
- 29 B.C Mishra A.E World Bank Aligarh
- 30 Kamlesh Kumar A.E World Bank Aligarh
- 31 Shushil Kumar A.E World Bank Lucknow
- 32 Ram Kumar A.E World Bank Lucknow
- 33 R.J Prasad E.E World Bank Sitapur
- 34 Ashok Kumar E.E World Bank Lucknow
- 35 Uma Shenkar S.E World Bank Lucknow
- 36 Shashikanth S.E PWD Lucknow
- 37 R.K. Singh E.E
- 38 Sunil Bhasin S.E
- 39 Anurag Ashtana EE
- 40 J.P.Singh,A.E
- 41 I.A Siduqi-Egis Social
- 42 R.K. Mishra A.E

- 43 Santosh Kumar Tripathy, A.E
- 44 Harimani Verma A.E
- 45 Sudesh Kaul Egis Social
- 46 Atul Mishra Egis Social
- 47 Ravindra Kumar Singh Egis Project Manager
- 48 Praveen Tiwari
- 49 Gaurav D Jhoshi Envermental Specialist World Bank
- 50 Rajeev Gupta, Egis Dy.Team Leader
- 51 Vishnoi, ENC
- 52 Vikram Singh Social Officer
- 53 Neeraj Kashyap
- 54 Satpal Verma A.E
- 55 S.S Deepak Envermental Specialist

## Photograph During Public consultations













## **Annexure – 8.1**

---

### **Village-wise Number of Eligible PAPs for Income Restoration**



<b>Village Details of Eligible PAPs for Income Restoration Activity of the project Road Hamirpur-Rath-Gursahayganj-Jhansi Road (Section Garautha-Chirganw SH-42)</b>				
Sl. No.	Chainage		Village Name	No. of PAPs eligible for Income Restoration Activity
	From	To		
1	122.300	123.700	Sheela	13
2	124+500	124+500	Chauthe Meel Chauraha	4
3	129.300	134.300	Gursarai	15
4	147.800	154.450	Bangri Bangra	15
5	155.300	155.750	Rampura	1
6	157.500	159.000	Luhar Ganw Ghat	8
7	161.100	163.200	Ramnagar	8
8	163.000	167.150	Siya	8
Total				72



## **Annexure – 9.1**

---

### **The Terms of Reference for Hiring NGO for Implementation of RAP**



**Uttar Pradesh CORE ROAD NETWORK DEVELOPMENT PROJECT**  
**Implementation of Resettlement Action Plan**  
**TERMS OF REFERENCE FOR FACILITATING NGOs**

**1. BACKGROUND OF THE PROJECT**

- 1.1 The Government of Uttar Pradesh has requested the World Bank through Government of India to provide assistance for improvement of the Core Road Network of the state.
- 1.2 The state has a road network of 299,604 km, out of which 174,451 km are under the U.P.P.W.D. The roads under U.P.P.W.D. comprise 7,550 km of National Highways (NHs), 7,530 km of State Highways (SHs), 7,264 km of Major District Roads (MDRs), 39,245 km of Other District Roads (ODRs) and 118,166 km of Village Roads. Only about 60% of SHs are double lane. In the entire state 62% of MDRs and 83% of ODRs have widths less than 7 m.
- 1.3 A strategic option study carried earlier in 1996 indicated that the state lacked in terms of good quality roads compared to many other states of the country in terms of traffic capacity and road condition and a strategic core road network was identified for improvement. Based on that study, the U.P. State Roads Project-II was completed in the year 2010, wherein almost 2,600 km of roads out of the network were upgraded or rehabilitated with World Bank assistance.
- 1.4 It is amply clear in view of the emerging traffic trends that there is an urgent need for further improving the road network of the state and redefining the core road network from time to time. Keeping this in mind a study to prepare a road network master plan of the state was under way, wherein the consultants have identified an updated Core Road Network for the state comprising:

National Highway	7,550 km
State Highways	7,530 km
Major District Roads	5,761 km
Other District Roads	3,254 km
<b>Total</b>	<b>24,095 km</b>

- 1.5 The Government of Uttar Pradesh has a long-term program to improve the Core Road Network (CRN) and, as part of this program, has applied for a financial assistance from the World Bank for developing the Uttar Pradesh Core Road Network Development Project (UPCRNDP) – hereinafter referred as “the Project”. Although National Highways are an integral and significant part of Core Road Network, their widening/strengthening and maintenance activities are carried out through the resources of the Government of India (GoI). Therefore the entire 7,550 km length of National Highways within the state has not been included in the UPCRNDP. Instead the project will focus on remaining part of the CRN.
- 1.6 Uttar Pradesh Core Road Network Development Project (UPCRNDP) will envisage approximately upgradation of 1000 km. of State Highways and a Bridge over river Sharda at Pachperighat in district Lakhimpur-kheri. Government of UP has identified 30% civil works under UPCRNDP as follows:

S. No.	Name of Road/Bridge	Length (km.)
1	Hamirpur-Rath-Gursahayganj-Jhansi Road (SH-42) (Ch. 0.000 to Ch. 168.000 km)	168
2	Gola-Shahjahanpur Road (SH-93 (Ch. 0.000 to Ch. 59.000 km)	59
3	Utraula-Faizabad Road (SH-9) (Ch. 0.000 to Ch. 59.000 km)	59
4	Lipulekh-Bhind Road (In district Farrukhabad & Mainpuri) (SH-29) (Ch. 524.000 to 577.000 km)	54

S. No.	Name of Road/Bridge	Length (km.)
5	Badaun-Bilsi-Bijnaur Road (SH-51) (Ch. 58.500 to 137.500 km)	79
6	Bridge over river Sharda at Pachperighat in district Lakhimpur-Kheri	--

Rest of the 70% civil works are to be finalized by Project Management Consultant on board from 08-08-2014 from the following list:

S. No.	Name of Road/Bridge	Length (km.)
1	Etah-Tundla Road (SH-31) (Ch. 0.000 to 58.000 km)	58
2	Panipat-Khatima Road (SH-12) (Ch. 131.000 to Ch. 170.000 km)	40
3	Moradabad-Haridwar-Dehradoon Road (SH-49) (Ch. 37.000 to Ch. 74.000 km)	36
4	Pilibhit-Puranpur-Lakhimpur-Balrampur-Basti Road (SH-26) (Ch. 376.000 to Ch. 422.000 km.)	49
5	Panipat-Khatima Road (SH-12) (Ch. 18.000 to Ch. 130.000 km.)	113
6	Bijnaur-Chajlait Road (SH-76) (Ch. 0.00 to Ch. 65.000 km)	65
7	Hamidpur-Kuchesar Road (SH-100) (Ch. 1.000 to Ch. 36.000 km)	36
8	Chandausi-Devai-Aligarh-Agra Road (SH-39) (Ch. 194.000 to Ch. 274.000 km)	81

The total estimated cost of the project is Rs. 3500 crore. This is evident from the above two list of works that works are likely to be scattered all along the UP.

## 2. OBJECTIVES OF THE ASSIGNMENT

2.1 The main objective of the NGO consultancy is to facilitate the affected community in their resettlement and rehabilitation processes and help UP PWD in the implementation of RAP. Specifically, the main tasks of the selected NGO would be as follows:

- Assist PMC consultants in identification of PAPs
- Assist UP PWD/Project in **undertaking information, education and communication** (IEC) campaigns in the project areas to inform about the project and proposed measures.
- **Educate PAPs** regarding their likely losses due to the project, their entitlements as per the Resettlement policy of UP PWD and the obligations under the RAP.
- Ensure that **PAPs get the compensation** for the loss of their land and other assets at the prevailing market value. At the same time, it is important to ensure that PAPs receive their full entitlements under the RAP and use them productively. Where options are available, the NGO shall provide advice to PAPs on the relative benefits of each option.
- **Assist the physically displaced PAPs in their relocation** including counselling and coordination with the local authorities, particularly on housing and infrastructure in the places where PAPs will be relocated.
- **Assist PAPs in their economic rehabilitation** including counselling and coordination with the local authorities, particularly those implementing the government schemes for the socio-economic upliftment of the affected communities.
- Assist PAPs in the **redress of their grievances** through the system implemented as part of the RAP. In this regard, inform PAPs about the functional aspects of various committees set up by the project/ District Administration and assist them in benefiting from such institutional mechanisms.



- Assist UP PWD / Project in ensuring **social responsibilities of the project**, such as compliance with the labour laws, prohibition of child labour, HIV/AIDS and gender issues.
- **Any other relevant task** that would be assigned by the project during the course of the consultancy period

### 3. SCOPE OF WORK

3.1 The NGO will be one of the stakeholders in the entire project cycle with primary responsibility of facilitating the implementation of RAP and help UP PWD in mitigating the adverse impacts of the project. This necessarily requires the selected NGO to only work with PAPs but also interface between the local communities of the project area and UP PWD. At the same time, NGO will function as a link between the UP PWD and the District Administration and relevant government agencies. The NGOs shall remain responsible for the development of a comprehensive livelihood system and facilitate PAPs to take advantage of the options available (as per the RAP). More detailed scope of work is provided in the following sections.

#### 3.2 Administrative Responsibilities

- Develop rapport with the Project authority, project staff as well as with the head quarter level Social and Environmental Cell of the UP PWD. This will be achieved through regular meetings and attending reviews carried out by the Project/UP PWD.
- Assist UP PWD in ensuring compliance with the safety, health and hygiene norms; gender mainstreaming and actions proposed for HIV/AIDS and Child labour awareness/prevention campaign.
- Report to the project office at district level on a monthly basis. The report should include physical and financial progress both in terms of quantitative and qualitative reporting. The report should prominently feature the problems and issues addressed and tackled with the PAPs and the solutions found. The report should have a separate chapter covering the gender issues, their problems and what has been done (within the framework of the RAP) to ensure their participation in decision making as well as the options made available for them to access economic opportunities, marketing and credit. The report should clearly include the number of field units made by the NGO's staff and the outcome of consultation with the people.
- NGO shall also produce quarterly process documentation report for UP PWD head quarter at Lucknow.

### 4. Responsibility of implementation of the RAP will include:

#### 4.1 Undertake IEC Campaigns

Undertake a public information campaign at the commencement of the project as well as continuing through project implementation to inform the affected communities of

- i. The need for land acquisition
- ii. The reasons and need for eviction of displaced households; and
- iii. The likely consequences of the project on the community's livelihood
- iv. Proposed mitigation measures.

Thus the NGOs shall establish rapport with the PAPs, consult them, provide them information about the respective entitlements as proposed under the RAP and distribute identity cards to the eligible PAPs.

## 4.2 Verify Social Assessment Results

- Undertake a verification exercise of PAPs identified in the SIA Report to check the validity of the information on the affected and eligible families including the individual losses. This activity will be simultaneously carried out while PMC consultants will be carrying out census survey.
- Based on the above verification exercise, the NGO shall prepare a list of PAPs eligible for R&R assistance and relocation, enlisting their entitlement as per the Policy and RAP after verification. The NGO shall display the list of eligible PAPs in prominent public places like Panchayat office or village school or any other public place in the vicinity.
- During the verification of the eligible PAPs, the NGO shall ensure that each of the PAPs is contacted and consulted either in groups or individually. The NGO shall specially ensure consultation with the women headed families.
- Participatory methods should be applied in assessing the needs of the PAPs, especially, with regard to the vulnerable group. The methods of contact may include (i) village level meetings (ii) gender participation through group interactions (iii) individual meetings and interactions.
- Based on the final list of PAPs, NGOs will help the Project to prepare Identity Cards for individual PAPs and distribute it to them.
- Prepare micro plan for each PAP and get it approved from competent authority

## 4.3 Land Acquisition and Counselling PAPs

- Assist project in arriving at land cost for private negotiation
- Facilitate private negotiation with the land owners
- Explain to the PAPs, the need for land acquisition, the provisions of the policy and the entitlements under the RAP
- Help project in disbursement of compensation in timely manner
- Hold specific discussions with the vulnerable groups of the affected community and help them understand their losses and entitlements
- Distribute the copy of approved project specific Resettlement & Rehabilitation Policy and the translated version of the policy (into Hindi) to each and every PAF which would help them understand their entitlements and decide on their R&R options
- Disseminate information to the PAPs on the possible consequences of the project on the community's livelihood systems and the option available.
- Help PAPs in making decisions and finalizing their option with regard to relocation and income restoration measures.
- Help PAF to enter in to a written agreement with /UP PWD as an acceptance to the R&R options.

## 4.3. Disbursement of R&R Assistance

- Determine the R&R alternatives opted by PAPs and accordingly document their R&R entitlements (for each PAF) on the basis of the RAP. In case of discrepancies, the NGO shall try to resolve it in consultation with the UP PWD on the basis of policy guidelines and if necessary, pursue the matter through the grievance redress mechanism.
- Assist the project in ensuring a smooth transition during the relocation of the displaced families. In close consultation with the PAPs, the NGO shall inform the UP PWD about the shifting dates agreed with the PAPs in writing and the arrangements (to be made by the Project) desired by the PAPs with respect to their relocation.

- Assist the PAPs in opening a joint bank accounts explaining the implications, the rules and the obligations of a joint account, and how she / he can access the resources she / he is entitled to.
- Ensure proper utilization of the R&R support provided to PAPs and help restore their lost income/assets.
- Identify means and accordingly advise the UP PWD to disburse the entitlements to the eligible persons / families in a manner that is transparent.

#### **4.4 Address Grievances of PAPs**

- The NGO shall ensure that PAF's representatives are nominated in the Grievance Redress Committee (GRC) and also a suitable person from its own staff to be a member of the GRC.
- The NGO shall make PAPs aware of the availability of GRC and the grievance redress procedures. Organize training for PAPs on the procedures to file a grievance application and to confirm that a statement of claim from the concerned PAF accompanies each grievance application. In this regard, the NGO shall help PAPs in filing their grievances and also in clearing their doubts about the procedure as well as the context of the GRC award.
- The NGO shall record the grievance and bring the same to the notice of the GRC within a reasonable time (at least within 15 days) after receiving the grievance from the PAPs. It shall submit a draft resolution with respect to the particular grievance of the PAF, suggesting multiple solutions, if possible, and deliberate on the same in the GRC meeting through the NGO representation in the GRC.
- The NGO shall accompany PAPs to the GRC meeting on the decided date, help them express his / her grievance to GRC members. The NGO will inform the PAPs of the decision taken by the GRC within 3 days of receiving a decision from the GRC (The time frame for the GRC to take a decision is 45 days).

#### **4.5 Assist Displaced Families in Their Relocation**

- Obtain PAPs' choice in terms of (i) site for relocation; (ii) identification of land for alternate housing; (iii) shifting plan and arrangements; (iv) resettlement assistance utilization plan; (v) community asset building plan; and (vi) institutional arrangements for maintenance of the community assets developed by the project for resettlers.
- Assist PAPs in accessing government housing program (particularly for vulnerable groups) and in accessing institutional housing construction loans.
- Guide PAPs in the construction of houses using locally available construction material, in procuring quality construction material at reasonable prices and check exploitation by vested interests.

#### **4.6 Assist PAPs in Their Economic Rehabilitation**

- Define, evolve and implore alternative methods of livelihood using the local skill, resources and opportunities available both in the project and outside. Help the PAPs in realizing and optimizing the indigenous technology knowledge through the use of local resources.
- Assist PAF, interested in land-based economic rehabilitation, in identifying suitable land for continuing with agriculture. This will require a survey of land market in the area, both for identification of land and negotiating price. Land based economic rehabilitation for tribal PAPs is an essential feature of the R&R policy agreed for the project.
- Inform eligible PAPs about various economic opportunities available with UP PWD such as employment (including with contracting agencies); allotment of shops/kiosks, award of petty contracts, vehicle hiring; PCO/internet kiosk; news paper vending; etc. NGO shall also help PAPs and local people in the formation of cooperatives and facilitate in their registration.

Coordinate with the project staff to ensure that these cooperatives get contracts from the project on a preferential basis.

- Undertake a training need assessment for PAPs, particularly on the activities opted by PAPs for their economic rehabilitation. Organize training programs on various income generation activities.
- Coordinate the training and capacity building program with the project and relevant government and non-government training agencies and ensure that skill level of PAPs is upgraded to help them in their income restoration process. This will include the training to be given to members of the self-help group in accounting, record maintenance, skill acquisition in the chosen enterprise and marketing etc. This will also include training to the members of the labour cooperatives.
- Establish linkages with the district administration for ensuring that the PAPs get access to public sector schemes available for the socio-economic development of the people, particularly those belonging to vulnerable sections. Similar efforts need to be made for the PAPs interested in availing institutional credit for scaling the operation of economic schemes. The focus for this component of the NGO's work shall be the vulnerable PAPs for their income restoration. The NGO shall maintain a detailed record of such facilitation.

#### **4.7 Inter-agency Linkages for Income Restoration and Other R&R Support**

- Develop good rapport with the local financial institutions and facilitate PAPs to access credit at acceptable terms and conditions.
- Work closely with local Government agencies and District Administration to ensure dovetailing their socio-economic development programs and help enrolling PAPs in their development schemes, particularly for housing and improving the economic the economic status of PAPs.
- Coordinate with the local Training institutes for imparting skill and management of training programs for enterprise development.
- Identify and work with marketing agencies and ensure forward and backward linkages to the economic activities opted by PAPs.

#### **4.8 Assisting UP PWD in its Social Responsibility**

- As part of social responsibility, UP PWD might plan and implement a number of programs focused on the socioeconomic development of the communities in the project area. The facilitating NGO will help UP PWD to plan this component in such way that it meets the requirement of the local population (including the affected community) as well as to ensure that such activities help in their socioeconomic development.
- Undertake IEC campaign and media/advertisement in collaboration with line agencies (such as National AIDS Control Organization and Uttarakhand State AIDS Control Society) local NGOs and international donor agencies active in the State. Besides NGO needs to ensure that signage / hoardings are available at suitable locations in and around the project area. There is also a need to link the HIV/AIDS and other sexually transmitted diseases with the medical facilities available in the area. In this regard, focussed attention is required on labour camps of the project and flow of new population in the project area. The NGO shall assist the UP PWD to implement these measures, including collaborating with the line agencies.
- The NGO shall assist UP PWD to ensure that the contractors are abiding by the applicable laws, concerning women's and the child labour issues, parity in wages, control of HIV/AIDS, etc. Any divergence from women's and child labour issues should be brought to the notice of the HQ level Social Development Specialist and Project Director of UP PWD.

### **5. Monitoring and Evaluation**

- 5.1 The implementation of RAP requires regular monitoring – both internal and external monitoring. The NGO involved in the implementation of the RAP will not only monitor the implementation and

collect the required information, it should also provide the required information and documents for both internal and external monitoring. To this end, the contracted NGO shall keep proper documentation of its work and the R&R processes employed in RAP implementation. The NGO will be responsible for the upkeep and updating of such data/information and relevant documents regularly. The documents shall include photographs and videotapes of the pre-intervention, intervention and post intervention scenario of all R&R measures undertaken in the area.

## **6. Reporting System**

6.1 The NGO selected for the assignments shall be responsible to

- Prepare and submit an inception report within three weeks on signing up of the contract, detailing the plan of action, manpower deployment, time schedule, detailed methodology and a withdrawal plan at the end of the period of contract. The withdrawal plan shall be detailed and shall reflect how the PAPs/local communities will maintain the assets created and transferred to the PAPs.
- Prepare monthly progress reports to be submitted to the Project/UP PWD indicating the weekly progress and its synchronization with the project construction schedule. Prepare any other report as required by the Project.
- Collect data required on monitoring of RAP implementation and on selected impact indicators at monthly frequency.
- Submit a completion report at the end of the contract period summarizing the actions taken during the project, the methods and personnel used to carry out the assignment, a summary of supports / assistance given to the PAPs and lessons drawn.
- Submit all other reports / documentation as described in the terms of reference.

6.2 All progress reports shall include data on input and output indicators as required by the Project. Documentation should be in writing as well as in photographs, videotapes etc. taken during the assignment which should be submitted to the Project long with the reports. Accounts on expenditure, office administration, training and other heads shall be submitted in the form of quarterly reports and final report along with the completion report.

6.3 The NGO shall document in full details the consultation / counselling processes, the process of identification of the resettlement sites (if found necessary) and a full description of the training imparted (or facilitated) as part of the assignment. These documents shall be submitted to the UP PWD as annual reports.

## **7. Conditions of Services**

7.1 The NGO shall ensure that the RAP is implemented on an effective and proper manner. The prime responsibility of the NGO shall be to ensure that each and every eligible PAF receive appropriate and due entitlement (within the R&R policy of UP PWD). Additionally, the NGO shall help the UP PWD in all other matters deemed to be required to implement the RAP in its spirit and entirety. All documents created, generated or collected during the period of contract in carrying out the services under this assignment will be the property of the UP PWD. No information gathered or generated during and in carrying out this assignment shall be disclosed by the NGO without the explicit permission of the UP PWD.

7.2 In order to carry out above tasks, NGO staff (responsible for RAP implementation) will have to be stationed in the project area. While the NGO will have its office at Lucknow, its team members will be stationed in project corridors. Besides contacting PAPs on an individual basis to regularly update the baseline information, group meetings and Gram Panchayat (village level or habitation level in case of urban or peri urban areas) meetings will be conducted by the NGOs on a regular basis. The frequency of such meetings will depend on the requirements of the PAPs but should occur at least once a month to allow the PAPs to remain up to date on project development.

NGO will encourage participation of individual PAPs in such meetings by discussing their problems.

## **8 Time Frame for Services**

- 8.1 The NGOs will be contracted initially for a period of Thirty six months from the date of their appointment. This contract can be renewed, on mutual agreement, for another year based on the performance of the selected NGO to the satisfaction of the Project/UP PWD.

## **9 Data, Services and Facilities to be provided by the Client**

- 9.1 The UP PWD will provide the NGO copies of the social assessment report, RAP, R&R policy, the list of the PAPs, the land acquisition plan and any other relevant reports/data prepared by the Social Assessment Consultants.
- 9.2 All facilities and support required in the performance of the assignment. shall be extended to the NGO.

## **10. Staff Requirement**

- 10.1 The NGO team will have the following staff.

<b>S. No.</b>	<b>Position</b>	<b>No. of Positions</b>	<b>Qualification</b>
1.	Team Leader	1	The Team Leader should be a post-graduate, preferably in social sciences, and should have experience of working in road sector projects and specifically in state or national highways. S/he should have about 5 years experience in implementing R&R and rural development works. S/he should have held management position in previous assignments should possess participatory management skills and must have good knowledge of the local language. Experience of working in conflict situation is preferred.
2.	R&R Expert	1	Should be at least a graduate in social sciences. S/he should have about 5 years of working experience of which about 2 years in road sector. Should have specific experience in R&R of road projects. Should have sound understanding of the land acquisition process and experience in participatory management. Knowledge of local language is a desirable qualification. Experience of working in other linear projects is preferred.
3.	Documentation Specialist	1	Should be at least Graduate in Social Sciences and have about 5 years working experiences of which 2 years in either R&R or Rural Development Projects in documenting the implementation processes. Should have adequate knowledge of handling large scale database and qualitative survey techniques. Should have participated in awareness campaigns of HIV/AIDS and Child Labour in previous projects.
4.	Livelihood expert	4	Should be at least Post Graduate in Social Sciences and have about 5 years working experiences of which 2 years in either R&R or Rural Development Projects. Should have adequate knowledge of various poverty alleviation schemes of state and central government. Should have knowledge about the local area, its people and socio-political set up.

- 10.2 The organization will deploy a 'technical support' team to work at the site. Knowledge of local language is necessary qualification. Administrative staff will not be considered as 'technical support' professionals. The support staff should have one qualified accounts professional who shall be responsible for maintenance of not only internal accounts of the NGO, but also the disbursements made to the PAPs under different heads as per the approved R & R policy.
- 10.3 The accounts of NGO will be subjected to internal audit by UP PWD on half yearly basis.

## **Annexure – 11.1**

---

### **The Terms of Reference for Hiring M&E Consultant and End Term Evaluation**





## **TERMS OF REFERENCE FOR CONCURRENT MONITORING AND MIDTERM EVALUATION**

### **1 AIM, OBJECTIVES AND SCOPE OF WORK**

The aim of the monitoring is not only to ensure smooth implementation of the R&R program, but also to ensure that NGOs have followed the steps provided in RAP and approved policy of the project authority. The periodic evaluation will provide an assessment of RAP implementation to enable timely adjustments of implementation setup and also to verify whether the objectives of resettlement have been achieved or not. To achieve this aim, objectives of the project are:

- to ensure timely implementation of Resettlement Action Plan (RAP) without deviation
- to assess whether the implementation of the RAP is as per the R&R policy and RAP document
- to evaluate whether the outcome of the social development objectives of the project are being achieved with respect to
  - those who have been physically resettled (displaced families)
  - those who have been assisted in re-establishing their income
  - those who have lost their land
  - functioning of reconstructed common property resources

### **2 SCOPE OF WORK**

The scope of work for consultants would be:

#### **2.1 Concurrent Monitoring**

- a) To develop methodology and formats for concurrent monitoring
- b) To ensure that deployment of professionals by NGO is as agreed in their technical proposal.
- c) Based on available information, prepare baseline monitoring indicators
- d) To provide on the job training to NGO and PWD project staff and guide them on RAP implementation
- e) To ensure that PWD / NGO adheres to the agreed time-plan during implementation
- f) To ensure proper documentation by PWD / NGO *inter alia* (i) documentation of socioeconomic data; (ii) preparation of micro plans; (iii) documentation of consultations; (iv) documentation of GRC meetings; (v) NGO's monthly progress reports; and (vi) skill mapping and income restoration activities
- g) Field-checking of the delivery of the (i) preparation and adequacy of resettlement sites; (ii) adequacy and quality of houses in resettlement sites; (iii) IRP and strategy in terms of adequacy and potential income level; (iv) various trainings, including process adopted for training needs assessment, selection of trainees, trades selected for training, selection process of master trainer or training agency; (v) identification and rehabilitation (including assistance) of vulnerable groups in line with the entitlement framework; (vi) identification of relocation sites for PAPs and CPRs; and (vii) relocation of PAPs
- h) Survey among sample PAPs to assess their knowledge and concerns regarding the resettlement process, entitlements, and rehabilitation process.
- i) Observe public consultations for PAPs; review the documentation of consultations held by implementing NGO; identification of gaps (if any) and suggest remedial measures (defined format for documentation).

- j) Observe the functioning of the resettlement operation at all levels in order to assess its effectiveness and compliance with RAP.
- k) Check the type of grievance issues and the functioning of grievance redress mechanisms by reviewing appeals at all levels and interviewing aggrieved PAPs.
- l) Advise PWD regarding possible improvements in RAP implementation.
- m) To validate and sign off monthly progress report submitted by NGO and PWD (Results of validation should come in the progress report)
- n) To conduct consultation with PAPs in order to validate progress report
- o) To ensure that compensation and R&R assistance is paid prior to physical possession of land and structure

## 2.2 Midterm Evaluation

The consulting agency (CA) shall undertake mid-term Evaluation of the R&R components of the project. The midterm evaluation primarily focuses on the effectiveness of the processes adopted for implementation and extent of implementation and its relative completeness. It shall include but not limited to the following aspects:

- The process of implementation of the RAP;
- Consultations;
- Transparency;
- Delivery of the R&R services within the timeframe;
- The grievance redress processes and systems;
- Compensation disbursement and assistance;
- Relocation;
- Rehabilitation, which includes restoration of livelihood;
- Training of staff of the PWD and the PAPs;
- Institutional arrangement and capacity to implement the RAP.
- Gender sensitivity and empowerment (decision making power at household and community level)
- To assess whether the compensation and resettlement assistances provided were sufficient for short term income restoration
- Utilisation pattern of compensation and assistances
- Quality of resettlement sites including civic amenities provided
- Benefits accrued to PAPs and difficulties encountered
- HIV/AIDS prevention awareness especially in labour camps and habitation close to labour camps- the relocated Haat village

The CA shall undertake an assessment of people's perception about the processes adopted for implementation of the RAP including about the (a) compensation and/or assistance received; (b) new relocation sites; (c) relation with the host communities; (d) grievance redress committees; and (e) the services of the NGO and PWD

## 3 SAMPLING

The consultants shall take at least 50 percent of the total affected households as sample size for concurrent monitoring and at least 25% of the total households for impact evaluation. The distribution of households for both concurrent monitoring and impact evaluation should be proportionate to the number of households in different categories of impact. In case of host population, consultant must consult at least 10% of the total host population.

## 4 CONSULTANTS' TEAM

Consultant shall provide following experts to carry out the assignment:

Position	No. of Positions	Deployment Period	Qualification
<b>Key Professionals</b>			
Resettlement Expert cum Team Leader	1	10 months	The Team Leader should be a post-graduate, preferably in social sciences, and should have experience of working in World Bank projects. S/he should have about 7 years experience in implementing R&R and rural development works. S/he should have held management position in previous assignments should possess participatory management skills and must have good knowledge of the local language. The team leader should have working knowledge of land acquisition process.
Income Restoration Expert	1	6 months	Should be at least a post graduate in social sciences. S/he should have about 5 years of experience in R&R or rural development projects. Should have sound understanding of the working of SHGs; income restoration schemes / options and experience in participatory management. Knowledge of local language is a desirable qualification.
<b>Support Professionals</b>			
Research Associate	1	12 months	Should be at least a post graduate in social sciences. S/he should have about 2 years of experience in R&R or rural development projects. Should have sound understanding of the working of SHGs; income restoration schemes / options and experience in participatory management. Knowledge of local language is a desirable qualification.
Research Investigators and Facilitators*			Should be at least graduate in social science. Should be able to speak the local language and should have knowledge of the local area, its people and socio-political set up.

The curriculum vitae of key professionals will be evaluated.

\*as per consultants' own understanding.

## 5 TIME FRAME FOR SERVICES

The consultancy firm will be contracted for a period of twenty four months from the date of their appointment.

## 6 DATA, SERVICES AND FACILITIES TO BE PROVIDED BY THE CLIENT

The PWD will provide the copies of the social assessment report, RAP, R&R policy, the list of the PAFs, the land acquisition plan and any other relevant reports/data prepared by the Social Assessment Consultants.

All facilities and support required in the performance of the assignment shall be extended to the consultants. PWD will provide office space to the consultants for the period of consultancy.

## 7 DELIVERABLES

The consultants shall provide following deliverables:

S. No.	Output	Timeframe
1	Inception Report – (will describe proposed approach, methodology, formats for field surveys, schedule of field work; and procedures proposed to be adopted for data collection.)	Within 30 days of signing of the contract
2	Monthly progress report	Every month for one year from the date of signing of contract
3	Quarterly process documentation	Every quarter for two years from the date of signing of the contract
4	Half yearly progress report	Every sixth month from the start of second year.
5	Midterm impact evaluation	At the end of 18 month from the date of signing of contract
6	Project Completion Report	At the end of 24 <sup>th</sup> month from the date of signing of contract

## TERMS OF REFERENCE FOR END TERM EVALUATION

### 1 AIM, OBJECTIVES AND SCOPE OF WORK

The **aim** of the project is provide an assessment of RAP implementation to enable timely adjustments of implementation setup and also to verify whether the objectives of resettlement have been achieved or not. To achieve this aim, **objectives** of the project are:

- to evaluate whether the outcome of the social development objectives of the project are being achieved with respect to
  - those who have been physically resettled (displaced families)
  - those who have been assisted in re-establishing their income
  - those who have lost their land
  - functioning of reconstructed common property resources

### 2 SCOPE OF WORK

The scope of work for consultants would be:

The consultants shall undertake an end-term Evaluation of the R&R components of the project. The end term evaluation mainly focuses on the outcomes of the implementation. It shall include but not limited to the following aspects::

- Assess whether the goal of the RAP to improve or restore the livelihood of the PAPs has been achieved;
- Assess the changes in the living standards and occupational pattern of the affected people as a result of acquisition of land for the project;
- Assess as to whether the consultations and participation of the people enabled better implementation of the RAP;
- Assess as to whether the vulnerable groups benefited from the project, and to what extent;
- Assess the effectiveness of the provisions of the RAP in the context of the diverse social and cultural groups;
- Assess the socio-economic impacts of the project on agriculture and the agrarian population in the vicinity of the project
- Assess the impact of the project specific measures to address the issues of (a) the quality of life of the PAPs; (b) health and hygiene; (c) gender sensitivity and empowerment; (d) sexually transmitted diseases (STDs) including HIV/AIDS; and (e) trafficking of women and children

The consultants shall undertake an assessment of people's perception about the processes adopted for implementation of the RP including about the (a) compensation and/or assistance received; (b) new relocation sites; (c) relation with the host communities; (d) grievance redress committees; (e) the services of the NGO and PWD.

### 3 SAMPLING

The consultants shall take at least 50 percent of the total affected households as sample size for the end term impact evaluation. The distribution of households for impact evaluation should be proportionate to the number of households in different categories of impact. In case of host population, consultant must consult at least 10% of the total host population.

### 4 CONSULTANTS' TEAM

Consultant shall provide following experts to carry out the assignment:

Position	No. Of Positions	Deployment Period	Qualification
Resettlement Expert cum Team Leader	1	1 month	The Team Leader should be a post-graduate, preferably in social sciences, and should have experience of working in World Bank projects. S/he should have about 5 years experience in implementing R&R and rural development works. S/he should have held management position in previous assignments should possess participatory management skills and must have good knowledge of the local language.
Income Restoration Expert	1	1 months	Should be at least a post graduate in social sciences. S/he should have about 5 years of working experience of which about 2 years in R&R or rural development projects. Should have sound understanding of the working of SHGs; income restoration schemes / options and experience in participatory management. Knowledge of local language is a desirable qualification.
Research Investigators and Facilitators	10	5 months (0.5months* 10 )	Should be at least graduate in social science. Should be able to speak the local language and should have knowledge of the local area, its people and socio-political set up.

The curriculum vitae of first two positions will be evaluated.

### 5 TIME FRAME FOR SERVICES

The consultancy firm will be contracted for a period of three months from the date of their appointment.

### 6 DATA, SERVICES AND FACILITIES TO BE PROVIDED BY THE CLIENT

The PWD will provide the copies of the social assessment report, RAP, R&R policy, the list of the PAFs, the land acquisition plan, midterm evaluation report and any other relevant reports/data prepared by the Social Assessment Consultants.

All facilities and support required in the performance of the assignment shall be extended to the consultants.

## 7 DELIVERABLES

The consultants shall provide following deliverables:

S. No.	Output	Timeframe
1	Inception Report – (will describe proposed approach, methodology, formats for field surveys, schedule of field work; results of pre-testing and procedures proposed to be adopted for data collection.)	Second week from the date of signing of the contract
2	Draft end term impact evaluation	10 <sup>th</sup> week from the date of signing of contract
3	Final End term impact evaluation	Within 15 days of receiving comments from the client

## 8 TERMS OF PAYMENT

S. No.	Time Frame	Cumulative Payment (% of total)
1	10% on signing of the contract	10
2	15% on submission of the inception report	25
3	60% on submission of the draft report	85
4	15% on approval of the final report	100





## **Annexure – 12.1**

---

### **RAP Implementation Schedule**



TIME SCHEDULE FOR IMPLEMENTATION OF RESETTLEMENT ACTION PLAN

S.No	Activities		PERIOD																								
	Main Activities	Sub-activities	-24	-23	-22	-21	-20	-19	-18	-17	-16	-15	-14	-13	-12	-11	-10	-9	-8	-7	-6	-5	-4	-3	-2	-1	
1	Appointment of IA and	Agreement between UPPPWD and NGO																									
	Activation of resettlement work	Training and orientation of field staff																									
2	Formation of Verification	Formation of Team/ Committee																									
3	Verification of Property	Team conducts Verification																									
		Authentication and approval																									
4	EPS	Identification of Individuals and total quantity of losses																									
	Cards	ID card preparation																									
		Distribution of ID card to EPS																									
5	Grievance Redressed Activities	Receipt of complaints from EPS																									
		Committee meetings																									
		Resolution of grievances																									
6	Disbursement of the Legal/Direct	Compensation under law paid by Collector																									
	Entitlement Package	Additional compensation paid by UPPWD in the presence of NGO																									
7	Disbursement of Entitlement Package for indirect losses	Additional compensation paid by UPPWD through NGO																									
8	Handover	All lands handed over to UPPWD																									

