

**GOVERNMENT OF INDIA
MINISTRY OF ROAD TRANSPORT AND HIGHWAYS
(MoRT&H)**

**GREEN NATIONAL HIGHWAYS CORRIDOR PROJECT
(GNHCP)**

**RESETTLEMENT POLICY FRAMEWORK (RPF)
including
TRIBAL DEVELOPMENT PLAN**

DECEMBER, 2019

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ABBREVIATIONS

BPL	Below Poverty Line
BSR	Basic Schedule of Rates
BPP	Bharatmala Pariyojana Projects
CE	Chief Engineer
CPR	Common Property Resources
CA	Competent Authority
DP	Displaced Person
DLRCC	District Level Replacement Cost Committee
EAP	Externally Aided Projects
EM	Entitlement Matrix
FGD	Focus Group Discussion
FSI	Floor Space Index
GBV	Gender Based Violence
GO	Governmental Order
GRM	Grievance Redressal Mechanism
GRC	Grievance Redressal Committee
Ha	Hectare
HH	Households
IPPF	Indigenous Peoples Planning Framework
IPDP	Indigenous Peoples Development Plan
MORTH	Ministry of Road Transport and Highways
M & E	Monitoring and Evaluation
NTH	Non-Title Holder
OP	Operational Policy
PAH	Project Affected Household
PAF	Project Affected Family
PAP	Project Affected Persons
PCU	Project Coordination Unit
PIU	Project Implementation Unit
PMC	Project Management Consultant
PWD	Public Works Department
RPF	Resettlement Policy Framework
R & R	Resettlement and Rehabilitation
RAP	Resettlement Action Plan
RAPIC	RAP Implementation Consultant
RFCTLARR Act, 2013	Right to Fair Compensation & Transparency in Land Acquisition, Rehabilitation and Resettlement, 2013
ROW	Right of Way
RRO	Resettlement & Rehabilitation Officer
SC	Scheduled Caste
SCHM	Suggestions and Complaints Handling Mechanism
SE	Superintending Engineer

ST	Scheduled Tribe
SDC	Social Development Cell
SIA	Social Impact Assessment
TDP	Tribal Development Plan
VCDP	Vulnerable Communities Development Plan
WB	World Bank

EXECUTIVE SUMMARY

1. The Ministry of Road Transport and Highway (MoRT&H), Government of India (GoI) has launched a National Green Highways Mission (NGHM) following the promulgation of 'Green Highways Policy' in September 2015, considering the importance of road network in economic growth, employment generation and poverty reduction on one hand and the need to reduce adverse effects of vehicular pollution, forest diversion and felling of trees on the other hand. The green corridors, relevant from both climate mitigation and adaptation perspective, are being seen as a solution to fulfill India's commitment for voluntary reduction of carbon emissions. The GoI plans to carry out plantation along the NHs with participation of the local communities, farmers, NGOs, private sector, government agencies and Forest Departments (state level). So far, more than 5,000 km of avenue plantation works worth INR 650 Crore (about USD 90 million) have been executed.
2. The Project Objective is to enhance the institutional capacity of MoRT&H in improving transport connectivity through adopting green and climate resilient construction methods for the National Highway network and implementing them in pilot sections of the Network. There are three proposed components of the project :
 - Component A: Green Highway Corridor Improvement and Maintenance
 - Component B: Institutional Capacity Enhancement
 - Component C: Road Safety
3. Initial Social Impact assessment are prepared for 4 (four) candidate roads i.e., 2 (two) in Andhra Pradesh, 1 (one) in Rajasthan and 1 (one) in Himachal Pradesh by the MoRTH and based on the surveys done for 4 roads of the 8 roads, and the preliminary estimates available for balance 4 roads, a total of 370 ha of private land will be acquired impacting about 2835 structures fully or partially, about 6513 households and 15547 project affected persons. It has also 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 market places. Upgrading of roads may require to be undertaken in the Tribal dominated areas in the project states of Andhra Pradesh.
4. On completion of the detailed engineering designs, a Social Impact Assessment (SIA) report and Resettlement Action Plan (RAP) are being prepared based on census and sample socio-economic survey of Project Affected People. SIA is undertaken in each road-project so as to determine the magnitude of displacement and prospective losses, identify vulnerable groups for targeting, ascertain costs of resettlement, and prepare a resettlement and rehabilitation program for implementation.
5. This Resettlement Policy Framework(RPF) is based on: Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act, 2013 (RFCTLARR); The National Highway Act 1956; Comprehensive guidelines issued by MORTH relating to LA under NH Act 1956 Dated 28th December 2017; Uttar Pradesh Direct Land Purchase Policy, 2015; The Provisions of the Panchayats (Extension to the Scheduled Areas) Act, 1996; World Bank Operational Policy for Indigenous People (OP-4.10), World Bank Operational Policy for Involuntary Resettlement (OP-4.12). Land will be acquired in accordance with provisions of The National Highway Act 1956, and while determining the compensation for land, the competent authority will be guided by the provisions of RFCTLARR Act, 2013.
6. An Entitlement Matrix (EM) has been developed, that summarizes the types of losses and the corresponding nature and scope of entitlements. Compensation and rehabilitation assistance to

various categories of losses based on the tenure and magnitude of impact has been provided. Additional assistance to vulnerable, reimbursement of stamp duty and registration charges to those who buy land/property with the compensation and assistance in the name of women, cash assistance for housing to physically displaced squatters are some of the provisions contained in the EM.

7. The replacement amount of structures and other properties affected shall be worked out on the BSR rates and will be approved by the District level Committee/PIU. Any grievance reported by the PAPs regarding their eligibility, replacement cost of affected assets and any other entitlements shall be addressed through the Grievance Redressal Committee.
8. A Replacement Cost Committee at district level will be constituted to fix the replacement cost of land in case of lands acquired through Direct Purchase method or Land lease, structures and other properties (trees, crops and other assets, tube well, hand pump, etc). The committee may be chaired by the District Collector/ Dy. Commissioner or his designated representative (not below the rank of SDM), Project Director-cum-Executive Engineer of the concerned PIU, District Agriculture Officer, Range Officer (Forest Department, if required), an independent certified valuer, Executive Engineer of the concerned District, elected representative (MLA) of the concerned area and Team Leader of RAP implementation agency.
9. The GRC will be constituted by the Project Authority with the aim to settle as many disputes as possible on LA and R&R through consultations and negotiations. There will be one GRC for each PIU. The GRC will comprise six members headed by a retired Revenue Officer/Social Welfare Officer not below Group I officer rank . Other members of the GRC will include the concerned Project Director-cum-Executive, a retired PWD Officer (not below the rank of Executive Engineer), RRO, representative of PAPs and Sarpanch (Elected Head of Village) of the concerned village.
10. Documents like RAP and the R&R policy shall be translated in Vernacular languages as applicable for the project states and disclosed through the MORTH and State PWDs websites. The documents available in public domain will include: Entitlement Matrix and RAP (summary in local language) and the list of eligible PAFs for various R&R benefits. All documents will be kept in MORTH HQ, State PWD and sub-project PIUs offices. As per Access to Information Policy of the WB all safeguard documents will also be available at the World Bank Portal. This RPF document shall also be disclosed both by MoRT&H and the World Bank.
11. This Resettlement Policy Framework will be updated as and when changes or amendments to the applicable laws and policies are made and based on implementation experience and lessons learnt.

I. Background

1. India's road network of 5.90 million kilometers is the second largest in the world and the densest¹ and carries 65 percent of freight traffic and 85 percent of passenger traffic. It comprises of the primary network of 116,000 km of National Highways (NH), the secondary network of 160,000 km of State Highways (SH) and Major and Other District Roads (MDR & ODR), and a tertiary network of Rural Roads. The responsibility for planning, construction and maintenance of the primary network lies with the central Ministry of Road Transport and Highways (MoRTH). In 1998, the Gol launched the NHDP covering 56,000 km of NH for development, spread across 7 phases. It is the biggest program (of value about \$50 billion) so far taken up by the MoRTH primarily through the National Highways Authority of India (NHAI), an independent entity under the aegis of the MoRTH. It also consisted of four/six laning of the Golden Quadrilateral (the highways connecting the four metros of Delhi, Mumbai, Chennai and Kolkata) and the North-South and East-West Corridors. As of March 2018, development of 30,000 km of NH has been completed, another 5,000 km of NH are close to completion and 6,400 km of NH are under implementation. Recently, in 2017, Gol launched the Bharatmala Pariyojana covering a length of 26,000 km length of Economic Corridors, 8,000 km length of Inter Corridors and 7,500 length of Feeder Routers. Besides these, 28 cities have been identified for Ring Roads; 125 choke points and 66 congestion points have been identified for their improvements. Further, in order to reduce congestion on proposed Corridors, enhance logistic efficiency and reduce logistic costs of freight movements, 35 locations have been identified for development of Multimodal Logistics Parks.
2. Considering the importance of road network in economic growth, employment generation and poverty reduction on one hand and the need to reduce adverse effects of vehicular pollution, forest diversion and felling of trees on the other, the MoRTH has launched a National Green Highways Mission (NGHM) following the promulgation of 'Green Highways Policy' in September 2015. The mission's objectives include developing a systematic framework for integrated green corridor development along NHs and building resilient ecosystems in form of green corridors for combating climate change effects through GHG sequestration. The green corridors, relevant from both climate mitigation and adaptation perspective, are being seen as the solution to fulfill India's commitment for voluntary reduction of carbon emissions. The Gol plans to carry out plantation along the NHs with participation of the local communities, farmers, NGOs, private sector, government agencies and Forest Departments (state level). So far, more than 5,000 km of avenue plantation works worth INR 650 Crore (about USD 90 million) have been executed.

II. Project Description

3. This operation is continuous to Bank supported ongoing project NHIIP. The present project in specific proposed to support the Government of India's (Gol) Bharatmala Pariyojana Program and ensure MoRTH's institutional capacity is strengthened in developing transport corridors that are efficient, green and resilient. It is proposed that the pilots that will be undertaken in the construction of highway corridors will support the R&D activities in development of green and resilient technologies that can be mainstreamed. Similarly, the city freight logistics pilot will support policy interventions on traffic demand management. To enhance coordination with other modes of transport like Railways and Inland Water ways, development of a freight flow model is proposed.

¹ At 1.66 km/sq km of area, which is higher than that of USA, China, Japan and Russia

4. Project Development Objective is to develop green and safe project National Highway corridors and enhancing the institutional capacity of Ministry of Road Transport and Highways in mainstreaming green technologies. The proposed Project will systematically institutionalize the development of green and safe NHs by implementing pilots, broadening the knowledge base and creating the capability to design, implement and maintain green and safe highways. The institutionalization process will be realized by: (a) mainstreaming in NH development, the green innovation aspects, namely: (i) enhancing efficient use of scarce natural resources, (ii) reducing GHG emissions from construction and maintenance of highways, and (iii) making the highways climate resilient; (b) enhancing the road safety management of NHs; and (c) building the policy framework for green highways development. Based on the foregoing, and in line with the PDO, this operation will have the following three components:

- **Component A: Green Highway Corridor Improvement and Maintenance (Total Cost: US\$ 1,001 million, including IBRD US\$ 423.95 million):** This component includes upgradation and maintenance for 5 years of about 781.3 km of selected existing National Highways in the states of Rajasthan, Himachal Pradesh, Uttar Pradesh and Andhra Pradesh as Green Highways and include pilots demonstrating resource efficiency, climate resilience, green and safety aspects. These highways will be designed and implemented as corridors to remove choke points and support seamless movement of traffic. The design and contract documents and the Environmental Management Plans that would be prepared for these pilot corridors could serve as models for the rest of the BPP.

This component will include (a) civil works for construction and maintenance; (b) consulting services for supervision during construction and maintenance periods; (c) consultants/non-governmental organizations to assist the MoRTH in the implementation of the Resettlement Action Plans; (d) consulting services for overall project management (Project Management Consultant); (e) a Technical Audit Consultancy for independent verification of Disbursement Linked Indicators and to perform an annual integrated performance audit covering, among others, engineering designs, management of social and environmental issues, quality assurance, and compliance with loan and contract conditions; (f) a Road User Satisfaction Survey consultant to carry out baseline, midterm, and end stage user satisfaction surveys to capture users' perception of the positive/negative changes that the project brings about; and (g) land acquisition, resettlement & rehabilitation, shifting of utilities, implementation of Environmental Management Plan, tree cutting, afforestation and agency charges. The loan would provide 50% of the construction cost of civil works and 80% of cost of construction supervision during the construction period, the Project Management Consultancy and the Technical Audit Consultancy. All the remaining costs will be met through the government funds.

- **Component B: Institutional Capacity Enhancement (Total Cost: US\$ 34.5 million, including IBRD US\$ 27.6 million):** This component will support capacity enhancement of MoRTH in its pursuit to conserve natural resources and improve climate vulnerability of National Highways network and reduce greenhouse gas (GHG) emissions from the transport sector, inter alia, by developing policies, guidelines and strategies, training, and mainstreaming the resource efficiency, climate resilience, green and safety aspects in the design, construction and maintenance of highways. This component will also support implementation of ERP solution in the MoRTH and its implementing agencies. This component will have the following six sub-components:

- (a) **Sub-component B1: Development of a Climate Adaptation Policy and guidelines and mainstreaming climate resilience in National Highways design and construction processes (Total US\$ 8 million, IBRD US\$ 6.4 million):** This sub-component will support disaster risk and impact assessment of about 5,000 km of the NH network, preparation of a Climate Adaptation Policy, updating key standards and manuals, and mainstream climate resilience in project design and implementation.
- (b) **Sub-component B2: Development of policy, regulation and systems to reduce emissions from transport services (Total US\$ 2 million, IBRD US\$ 1.6 million):** This involves undertaking a study to map the freight volume and movement pattern on the entire NH network and identify constraints for efficient use of trucks, designing physical and digital freight management platforms for freight consolidation and interoperability, and recommend complementary innovative logistics solutions as well as transport operators' and regulators' coordination mechanism.
- (c) **Sub-component B3: Research and Development and mainstreaming resource efficiency and green solutions in National Highways design and construction processes (Total US\$ 18.5 million, IBRD US\$ 14.8 million):** This sub-component will support systematic monitoring and evaluation, and documentation of results of the pilot works undertaken in the project for a period of 5 years through reputed educational/research institutions or universities and inputs provided for updating relevant standards and manuals.
- (d) **Sub-component B4: Development of guidelines and model documents for mainstreaming green and safe highways (Total US\$ 1 million, IBRD US\$ 0.8 million):** This sub-component will support identifying gaps and documenting good practices in the design, implementation and maintenance stages for mainstreaming green and safe highways and preparation of documents such as the template Terms of Reference for design and supervision of construction, bidding documents and project management process of the EPC contracts including options for involvement of private sector in innovations in the design and construction aspects.
- (e) **Sub-component B5: Mainstreaming green and safe highways initiatives in the development of highways (Total US\$ 2.5 million, IBRD US\$ 2 million):** This sub-component will support MoRTH in mainstreaming green and safe initiatives by replicating these in about 2,500 km of non-project highways in NH network.
- (f) **Sub-component B6: Implementing ERP solution in MoRTH and its implementing agencies (Total US\$ 2.5 million, IBRD US\$ 2 million):** This sub-component will support implementation of ERP in MoRTH and its implementing agencies, which are currently ongoing under the National Highways Interconnectivity Improvement Project, upon its closure.
- **Component C: Road Safety (Total Cost: US\$ 59 million, including IBRD US\$ 47.2 million):** This component will support capacity enhancement of the MoRTH in road safety management inter alia in the areas of crash database, operationalization of the lead agency for road safety, strengthening safety enforcement and emergency medical response on the National Highways, capacity building and training. This component will have the following four sub-components:

- a. **Sub-component C1. Support to the Integrated Road Accident Database Management System and the National Highway Safety System (Total US\$ 37.5 million, IBRD US\$ 30 million):** This sub-component will support the ongoing road safety activities under the National Highways Interconnectivity Improvement Project, upon its closure, in development and implementation of (a) the Integrated Road Accident Database Management System for recording and analysis of road accidents, (b) the National Highway Safety System for road safety enforcement, and (c) updating codes and manuals.
- b. **Sub-component C2. Support to operationalization of the National Road Safety Board (Total US\$ 3 million, IBRD US\$ 2.4 million):** This sub-component will support the operationalization of the National Road Safety Board, and support its activities in the initial startup phase, through expert support as part of an interim secretariat. The activities will include (a) monitoring and evaluation, (b) drafting of rules for the MVAA, and (c) data analysis and recommendations.
- c. **Sub-component C3. Strengthening highway patrol and emergency response along the project corridors (Total US\$ 16.5 million, IBRD US\$ 13.2 million):** This sub-component will support establishment of combined enforcement and emergency response outposts at critical locations to improve enforcement and post-crash care. These outposts will be equipped with patrol vehicles, advanced life-saving ambulances, cranes, tow trucks, communication system, and surveillance and other enforcement equipment to deter speeding, drink driving and other risky user behaviors.
- d. **Sub-component C4: Capacity building & training (Total US\$ 2 million, IBRD US\$ 1.6 million).** This sub-component will support training and capacity building of the officials of MoRTH, implementing agencies of MoRTH, and the NRSB in road safety management, crash investigation, safety audit, and monitoring and evaluation.

Table 1. The list of roads identified for the development under the Project are given below:

State	NH No.	Stretch	Length (in KM)	Districts
Himachal Pradesh	NH-707	Poanta Sahib-Gumma-Fediz	104.70	Sirmaur, Shimla
Himachal Pradesh	NH-70	Hamirpur-Mandi	109.41	Hamirpur, Mandi
Rajasthan	NH-158	Ras-Beawar-Mandal	116.75	Pali, Ajmer, Rajsamand, Bilwara
Andhra Pradesh	NH-516E	Bowdara-Vizianagram	26.94	Vishakhapatnam, Vijaynagaram
Andhra Pradesh	NH-516E	Paderu-Araku	49.37	Vishakhapatnam
Andhra Pradesh	NH-516E	Koyyuru-Paderu	133.43	Vishakhapatnam
Uttar Pradesh	NH-730C & NH-731K	Bewar-Pilibhit	183.43	Mainpuri, Faroukhabad, Shahjahanpur, Pilibhit
Uttar Pradesh	NH-92	Bewar-Etawah	57.35	Etawah
Total			781.38	

III. Key social issues and likely adverse impacts

5. The proposed sub-project roads are located across the said **4 (four) States** with varying geo-climatic conditions and are exposed to varying degrees of environmental risks. The environmental issues, including vulnerability to climate risks such as heavy rainfall, landslides etc. and the adaptive capacities to manage them also varies. Some of the proposed upgrading works are likely to be carried out in tribal dominated areas and through settlement sections. The proposed green roads approach would consider resource efficiency and sustainability measures from a menu of options such as pavement recycling, use of local materials, use of innovative materials and techniques such as soil stabilisation etc., avenue plantations along the corridor for creating carbon sink, soil and water conservation and new/alternative technologies, as suited to local needs and challenges. Also the project intends to support capacity building initiatives and studies for further investment in four areas, viz., climate resilience, resource efficiency, efficient logistic movement and road safety.
6. Initial Social Impact assessment are prepared for **4 (four) candidate roads i.e., 2 (two) in Andhra Pradesh, 1 (one) in Rajasthan and 1 (one) in Himachal Pradesh** by the MoRTH. Right of Way (RoW) details were collected from the concerned authorities (State PWD) and were verified with revenue records. Details of the **4 (four)** candidate roads are given in Table 2:

Table 2. Details of the 4 (four) candidate roads

Sl. No.	Packages	Stretch	Length
Andhra Pradesh	NH-516E	Bowdara-Vizianagaram	26.94 KM
Andhra Pradesh	NH-516E	Paderu-Araku	49.37 KM
Himachal Pradesh	NH-707	Paonta Sahib-Gumma-Fediz	104.7 KM
Rajasthan	NH-158	Ras-Beawar-Asind-Mandal	116.75 KM

7. Based on the surveys done for 4 roads of the 8 roads, and the preliminary estimates available for balance 4 roads, a total of 370 ha of private land will be acquired impacting about 4334 structures fully or partially, about 9958 households and 39831 project affected persons. It has also 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 market places. Upgrading of roads may require to be undertaken in the Tribal dominated areas in the project states of Andhra Pradesh.
8. Specifically, the following adverse social impacts were observed:
 - Loss of fertile agricultural land;
 - loss of structures used for residential, commercial and other purposes and associated loss of livelihood i.e., 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, squatters and encroachers;
 - Loss of common property resources such as religious places, Samadhi, graveyard, cremation places, water resources, village gates, passenger shelters, etc.;
 - Restriction of movement for pedestrians and cyclists
 - Likelihood of increased accidents due to road widening;
 - Impacts on tribal population though in small number in certain project roads;
 - Possibility of gender-based violence arising from influx of migrant labor particularly in states such as Himachal Pradesh; and
 - Possibilities of forced and child labor issues
 - Likelihood of spread of HIV/AIDS among construction workers and road side community.
9. The Initial Social Impact Assessment (SIA) of the candidate roads analysed the overall socio-economic characteristics of likely project affected persons based on sample socio-economic survey. In all the candidate roads, it has been observed that mostly the people likely to be affected by the project constitute poor and other vulnerable groups. Main sources of income include agriculture and small business enterprise. Further, majority of the potential sub-project roads pass through less developed habitations/places of the respective states where infrastructure facilities and also access to educational centres, health services, etc. are comparatively poor.

MoRTH-NHIIP-RPF

10. The World Bank supported NHIIP project with similar social issues is already under implementation by MoRTH in 5 (five) states and the Project has well developed social safeguard systems (RPF) which is under implementation. MoRTH and the PIUs thus has gained considerable experience in implementing the social safeguard systems. The RPF for GNHCP is developed based on the implementation experiences of NHIIP, socio economic surveys conducted for GNHCP in four project states and considered all the latest legal and policy developments relating to land and R&R in the country.

IV. Applicable legal and regulatory framework and Bank's Operational Policies

11. Applicable acts, notifications, and policies relevant in the context of the project are discussed below at **Table 3**. The Project Authority (MoRTH) will ensure that project activities implemented are consistent with the national, state, local regulatory/legal framework.

Table 3. Applicable acts, notifications, and policies relevant

Sl. No.	Acts, notifications and policies	Relevance to this project	Applicability
<i>National and State Acts and Policies</i>			
1	National Highways Act, 1956	Land required for the project shall be acquired as per the provisions of this act.	Applicable to all sub-projects.
2	Right to Fair and Compensation	The act provides for a transparent process and fair compensation in land acquisition for public purpose and provides for rehabilitation and resettlement of land owners	Applicable to all sub-projects.

Sl. No.	Acts, notifications and policies	Relevance to this project	Applicability
	Transparency in Land Acquisition, Rehabilitation and Resettlement Act, 2013 (RFCTLARR)	and those affected by land acquisition. It comprises four schedules that provide the minimum applicable norms for compensation based on market value, multiplier and solatium; resettlement and rehabilitation (R&R) entitlements to land owners and livelihood losers; and facilities at resettlement sites for displaced persons, besides providing flexibility to states and implementing agencies to provide higher norms for compensation and R&R.	
3	Comprehensive guidelines issued by MORTH relating to LA under NH Act 1956 Dated 28 th December 2017	Notification provides comprehensive guidelines relating to application of provisions of RFCTLARRA for lands acquired using NH Act 1956	Applicable to all sub-projects.
4	The Street Vendors (Protection of Livelihood and Regulation of Street Vending) Act, 2014.	The Act aims to protect the livelihood rights and social security of urban street vendors in the country and thereby aid poverty alleviation efforts of the Government. The Act aims at fostering a congenial environment for the urban street vendors to carry out their activities without harassment from any quarter. It also provides for regulation of urban street vending and is uniformly and mandatorily applicable to all the States and Union Territories. Act will be relevant as many of the proposed activities such as network expansion, station development may lead to potential impacts on the livelihood of these vendors.	Applicable to all sub-projects.
5	Uttar Pradesh Direct Land Purchase Policy, 2015	Government of Uttar Pradesh has issued a Direct Land Purchase Policy in March 2015 with an objective of reducing the time and effort in procuring land through formal acquisition process. The land purchase policy is applicable for the state departments, autonomous bodies, development authorities, industrial authorities, different departments and PPP projects.	Applicable to all sub-projects in the state of Uttar Pradesh
6	The Provisions of the Panchayats (Extension to the Scheduled Areas) Act, 1996	One of the important provisions of this act states “the Gram Sabha or the Panchayats at the appropriate level shall be consulted before making the acquisition of land in the Scheduled Areas for development projects and before re-settling or rehabilitating persons affected by such projects in the Scheduled Areas.	Applicable to “Scheduled Areas” specifically to sub-projects in Andhra Pradesh
7	The Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Act, 2006	This law provides for recognition of forest rights to Scheduled Tribes in occupation of the forest land prior to 13.12.2005 and to other traditional forest dwellers who are in occupation of the forest land for at least 3 generations i.e. 75 years, up to maximum of 4 hectares. These rights are heritable but not alienable or transferable.	Applicable specifically to sub-projects in Andhra Pradesh

Sl. No.	Acts, notifications and policies	Relevance to this project	Applicability
8	Environmental protection Act, 1986 and subsequent amendments	The Act provides for mandatory public consultation for all listed projects and activities requiring prior Environmental Clearance (EC) and includes road and highways requiring further land acquisition. The Public Consultation shall ordinarily have two components comprising of:- (a) a public hearing at the site or in its close proximity- district wise, to be carried out in the manner prescribed, for ascertaining concerns of local affected persons; (b) obtain responses in writing from other concerned persons having a plausible stake in the environmental aspects of the project or activity.	Applicable to all sub projects requiring prior EC clearance
9	The Right to Information Act, 2005	The Act provides for setting out the practical regime of right to information for citizens to secure access to information under the control of public authorities, in order to promote transparency and accountability in the working of every public authority, the constitution of a Central Information Commission and State Information Commissions and for matters connected therewith or incidental thereto.	Applicable to the project as a whole.
World Bank policies and guidelines			
10	World Bank OP 4.12 – Involuntary Resettlement	The project entails land acquisition though, at a low scale for widening, realignments, junction improvements, bypasses etc. It would also adversely affect structures used for various purposes, livelihood of people (mainly earning their livelihood by means of petty shops and providing various services). Many of them have been operating from the government land. Thus both title holders and non-title holders alike would be affected as a consequence of the project.	Applicable to all sub-projects.
11	OP 4.10 – Indigenous Peoples	It has been found that Indigenous/ Tribal people would also be affected in some of the sub-projects whereas in some other sub-projects though tribal people would not be directly affected but are within the immediate influence zone of the sub-projects.	Applicable to all sub-projects
12	World Bank's Guidance note on managing the risks of adverse impacts on communities from temporary project induced labor influx, 2016	The document provides guidelines to address issues and risks arising from influx of migrant labor leading to gender-based violence, forced labor etc.	Applicable to all sub projects
13	World Banks Good Practice Note – Recommendations for Addressing Gender Based Violence in	The document provides guidance on on prevention and mitigation of GBV and SEA due to the Project related activities	Applicable to all sub projects

Sl. No.	Acts, notifications and policies	Relevance to this project	Applicability
	Investment Project Finance involving major civil works		
14	Bank Policy – Access to Information	The policy governs the public accessibility of information in the Bank's possession. The Bank allows access to any information in its possession that is not on a list of exceptions. Documents such as RPF, all SIA and RAPs will be disclosed both by the borrower and Bank.	Applicable to all sub projects

V. Comparative Analysis of key national, state and Bank policies

12. For the purpose of development, maintenance, and management of national highways, a special law, The National Highways Act (NH Act), 1956 has been promulgated in India. This act provides for acquiring land through a “competent authority”, which means any person or authority authorized by the Central Government by notification in the official Gazette to perform functions of the competent authority for such areas as may be specified in the notifications. For land acquisition (LA), the Act defines the various procedures as (i) section 3A—intention of Central Government to acquire land, (ii) 3B—power to enter for survey, (iii) 3C – hearing of objections, (iv) 3D – declaration of acquisition, (v) 3E- power to take possession, (vi) 3F- power to enter into the land where land has vested in the central government, (vii) 3G – determination of compensation, and (viii) 3H – deposit and payment of the amount. The Act requires that the processes must be completed within a year from 3A to 3D. The Act covers only legal titleholders and provides for compensation based on (i) market value of the land; (ii) additional payments for trees, crops, houses, or other immovable properties; and (iii) payments for damage due to severing of land, residence, or place of business. Land acquisition in this project will be carried out under the NH Act. 1956.
13. A comparison between RFCTLARR Act, UP Direct Purchase Policy 2015 and World Bank's Operational policies that provides gap-filling measures reflected in the entitlement matrix is presented as Annexure 2. These are summarized below:
 - The Act, like provisions of OP 4.12, require SIAs for projects involving land acquisition with elaborate process of consultation at every notification stage. It also expands compensation coverage of the principal act by requiring that the value of structure, trees, plants, or standing crops damaged must also be included and the solatium being 100 percent of all amounts inclusive. The Act similar to World Bank, requires compensation to be paid, prior to project taking possession of any land and provide R&R support including transitional support and moving allowances.
 - Act in its computation of compensation for structures takes depreciation into account and is not explicit about providing replacement cost of structures, though presumably the provision of 100% solatium will help arrive at replacement cost of structures or higher.

- Cut-off date for determining the compensation and entitlements and assistance to all those who are affected by the project irrespective of the ownership of titles. According to the RFCTLARR Act, the cut-off date for assistance to those depending on affected private lands is three years preceding the acquisition and for the titleholders it is the date of notification under the said Act. To bring this RPF in line with World Bank requirements, RPF mandates that while in the case of land acquisition, the date of issue of public notice of intended acquisition under Section 3(A) under the Act will be treated as the cut-off date for title holders. In case of non-titleholders such as squatters and encroachers, cut-off date will be the start date of the census survey. In case of all affected non-title holders, suitable compensation (ex-gratia payments) for loss of assets and R&R assistance is proposed in the entitlement matrix.
- Also similar to provisions laid down in RFCTLARR Act 2013, World Bank safeguards policy requires consultation with PAPs during planning and implementation of resettlement action plan, Tribal Development Plan and Vulnerable Communities Development Plan and public disclosure of drafts.
- In Uttar Pradesh Direct Purchase Policy, the Land compensation under direct land purchase policy is like RFCTLARR Act 2013, i. e, the latest circle rate is considered and multiplied with 1 or 2 times in urban or rural areas respectively and 100% solatium is added to arrive at the final compensation. However, there is a gap in asset valuation and resettlement assistance. In case of asset valuation, 100% solatium is not added and no resettlement assistance is provided incase where there is a physical displacement. There is also a gap in case of those who loose land, the lump sum payment of INR 5, 00,000 towards livelihood loss is not extended.
- Further, one of the important provisions of PESA Act is that the consent of Gram Sabha or the Panchayats at the appropriate level shall be obtained before making the acquisition of land in the Scheduled Areas for development projects. The World Bank OP 4.10 emphasizes “a process of free, prior, and informed consultation with the affected Indigenous People’s communities at each stage of the project, and particularly during project preparation, to fully identify their views and ascertain their broad community support for the project.
- In the event of any conflict or inconsistency between the provisions of this RPF and the provisions of World Bank’s Operational policy, 4.12 on involuntary resettlement, the provisions of the World Bank policy shall prevail.

VI. Principles and Scope of RPF

- 14.** The Resettlement Policy Framework for the GNHCP has been prepared based on the findings of Initial Social Impact Assesment Report and review of applicable legal and policy framework discussed above. The framework bridges the above-mentioned gaps to conform to the provisions of World Bank’s operational policies related to Involuntary Resettlement and Indigenous Peoples. This policy framework will help expedite the process and facilitate consistent preparation of social management plans which will include RAPs and TDPs (as required) across all project roads in different states. It lays down the principles and procedures for management of social impacts caused by the project and guide the social impact assessment and preparation of mitigation plans including Resettlement Action Plans and Tribal Development Plans for the project. It brings together and built upon the current good practices in terms of procedures to address more systematic and institutional issues; and establish institutional arrangements at project, state and central level (MoRTH) for the implementation of social management plans including RAP and TDP.

This Framework shall apply to all project roads under GNHCP whether partly or fully funded by World Bank during the entire period of loan assistance. Overall objective of this Framework is to guide the preparation and implementation of GNHCP.

15. Based on the above analysis of Government statutes and the World Bank policy, the following resettlement principles will be adopted to this project:

- **Screen** the project early on to identify past, present, and future involuntary resettlement impacts and risks. Determine the scope of resettlement planning through a census and socio-economic survey of displaced persons, including a gender analysis, specifically related to resettlement impacts and risks. Take due precautions to minimize disturbance to human habitations, tribal areas and places of cultural significance. Measures to avoid and minimize involuntary resettlement impacts include the following: (i) explore alternative alignments which minimize impacts, (ii) ensure the appropriate technology is used to reduce land requirements, (iii) modify the designs, cross sections, and geometrics of components to maximize the RoW and ensure involuntary resettlement is avoided or minimized.

Where displacement is unavoidable, improve, or at least restore, the livelihoods of all displaced persons through; (i) land-based resettlement strategies, where possible, when affected livelihoods are land based, and when loss of land is significant, or cash compensation at replacement cost for land when the loss of land does not undermine livelihoods, (ii) prompt replacement of assets with access to assets of equal or higher value, and (iii) prompt compensation at full replacement cost for assets that cannot be restored.

- **Ensure** that displaced persons without titles to land or any recognizable legal rights to land are eligible for resettlement assistance and compensation for loss of non-land assets at replacement value.
- **Improve** the standards of living of the displaced poor and other vulnerable groups, including women, to national minimum standards or standard before displacement whichever is higher.
- **Carry out** meaningful consultations with displaced persons, host communities, and concerned agencies/departments. Inform all displaced persons of their entitlements and resettlement options. Ensure their participation in planning, implementation, and monitoring and evaluation of resettlement programs. Pay attention to the needs of vulnerable groups, especially those below the poverty line, the landless, the elderly, women and children, and indigenous peoples, and those without legal title to land, and ensure their participation in consultations.
- **Prepare** a Social Impact Assessment (SIA) and Resettlement Action Plan (RAP) elaborating on the entitlements of displaced persons, the income and livelihood restoration strategy, institutional arrangements, monitoring and reporting framework, budget, and time-bound implementation schedule.
- **Identify vulnerable families** will be identified and provided additional support in their efforts to improve their living standards.
- **Disclose** a draft resettlement action plan, including documentation of the consultation process in a timely manner, in an accessible place and a form and language(s) understandable to displaced persons and other stakeholders. Disclose the final resettlement action plan and its updates to displaced persons and other stakeholders.

- **Pay** compensation and provide all resettlement entitlements before physical or economic displacement and before commencement of civil works in that stretch of the sub-project. Implement the resettlement plan under close supervision throughout project implementation.
- **Establish** an accessible grievance redressal mechanism to receive and facilitate resolution of the concerns of displaced persons within stipulated time-frames.
- **Monitor** and assess resettlement outcomes, their impacts on the standard of living of displaced persons, and whether the objectives of the resettlement plan have been achieved by considering the baseline conditions and the results of resettlement monitoring.

VII. Definitions

16. In this Resettlement Policy Framework, following terms shall mean as described below, unless the context requires otherwise,

- **Affected family:** A family – (i) whose land or other immovable property has been acquired (ii) a family who does not own any land but a member of such family whose primary source of livelihood stand affected by the acquisition of land who may be a agricultural laborer, tenants, artisans or may be working in the affected area for three years prior to the acquisition of land
- **Agricultural Land:** land used for: (i) agriculture or horticulture; (ii) dairy farming, poultry farming, pisciculture, sericulture, seed farming, breeding of livestock or nursery growing medicinal herbs; (iii) raising of crops, trees, grass or garden produce; and (iv) land used for the grazing of cattle.
- **Agricultural labourer:** means a person primarily resident in the affected area for a period of not less than five years immediately before the declaration of the affected area, who does not hold any land in the affected area but who earns his livelihood mainly by manual labour on agricultural land therein immediately before such declaration and who has been deprived of his livelihood;
- **Assistance:** All support mechanisms such as monetary help, services, trainings or assets given to Project Affected Persons/Project Affected Families constitute assistance in this project.
- **Below poverty line (BPL) or BPL family:** means below poverty line families as defined by the Planning Commission of India, from time to time and those included in the BPL list for the time-being in force;
- **Commissioner** means the Commissioner for Rehabilitation and Resettlement appointed under sub-section (I) of section 44 of RFCTLARR Act 2013;
- **Compensation:** Compensation refers to: i) restitution made to property under Sec 26-30 as per provisions laid down in RFCTLARR Act 2013; ii) land taken on lease under Bihar Raiyat Land Lease Policy, 2014
- **Corridor of impact (COI):** Refers to the minimum land width required for construction including embankments, facilities and features such as approach roads, drains, utility ducts and lines, fences, green belts, safety zone, working spaces etc. Additional land width would be acquired/purchased or taken on temporary lease if the Corridor of Impact extends beyond the available Right of Way;
- **Cut-off Date:** For title holders, the date of notification under Section 3(A) of the NH Act 1956 will be treated as the cut-off date, and for non-titleholders the start date of project census survey for that sub-project will be the cut-off date. Note: In case of longer alignments with possibilities of change in route alignment, project authorities may establish two cut off dates for two different sections.

- **Displaced family** means any family, who on account of acquisition of land has to be relocated and resettled from the affected area to the resettlement area;
- **Encroacher:** Any person illegally occupying public property by extending their land boundary or a portion of their building onto the existing government land or RoW is an encroacher.
- **Entitled Person (EP):** Entitled Person includes all those who qualify for, or are entitled to, compensation / assistance since being impacted by the project. The basis for identification of Entitled Persons (EP) in the project will be the cut-off date (for NTH) and first notification for land acquisition (for TH).
- **Kiosk:** A kiosk is a booth/stall/cabin/cubicle made of wood or iron or any other building material which could be shifted to another location as a single unit without much damage and is used for carrying out petty business/ commercial activities and has been in operation/existence prior to cut off date;
- **Landowner:** A person who is an allottee or a grantee of any land under any scheme of the Government under which such allotment or grant is to mature into ownership, who has mortgaged his land (or any portion thereof) or who has permanent rights and interest in land;
- **Non-agricultural labourer:** means a person who is not an agricultural labourer but is primarily residing in the affected area for a period of not less than five years immediately before the declaration of the affected area and who does not hold any land under the affected area but who earns his livelihood mainly by manual labour or as a rural artisan immediately before such declaration and who has been deprived of earning his livelihood mainly by manual labour or as such artisan in the affected area;
- **Marginal Farmer:** A cultivator with an un-irrigated land holding up to one hectare or irrigated land holding up to one-half hectare;
- **Market value** means the value of land determined in accordance with section 26;
- **Major Impacts:** A PAP losing (i) residence, (ii) business; (iii) livelihood; (iv) or becoming landless, small, marginal farmer after acquisition;
- **Minor Impact:** A PAP suffering minor impact is one who is affected to a lesser degree than the major impacts defined above.
- **Minimum Wages** means the minimum wage of a person for his/her services/labor by type of trade per day as established by the respective State Government considering the cost of living of the Project State
- **Non-Perennial Crop:** Any plant species, either grown naturally or through cultivation that lives for a season and perishes with harvesting of its yields has been considered as a non-perennial crop in the project. For example, paddy, sugarcane, groundnut, etc.
- **Non-titleholder:** Affected persons/families/ households with no legal title to the land, structures and other assets adversely affected by the project. Non-titleholders include encroachers, squatters, etc.;
- **Notification:** means a notification published in the Gazette of India;
- **Occupier:** means a member of a Scheduled Tribes community in possession of forest land prior to the 13th day of December, 2005;
- **Project displaced person (PDP):** Any tenure holder, tenant, Government lessee or owner of other property, or non-titleholder who on account of the project has been involuntarily displaced from such land including plot in the abadi or other property will be considered as PDP. A displaced will always be a PAP but all PAP may not be PDP;
- **Project affected household (PAH):** A social unit consisting of a family and/or non-family members living together, and is affected by the project negatively and/or positively;

- **Project affected area:** Refers to the area of village or locality under a project for which land will be acquired under NH Act 1956 through declaration by Notification in the Official Gazette by the appropriate Government or for which land belonging to the Government will be cleared from obstructions;
- **Project affected person (PAP):** Any tenure holder, tenant, Government lessee or owner of other property, or non-titleholder who on account of the project has been affected from such land including plot in the *abadi* or other property in the affected area will be considered as PAP;
- **Project:** Project refers to the GREEN NATIONAL HIGHWAY CORRIDOR PROJECT, funded by the World Bank and implemented by MORTH, GOI.
- **Perennial Crop:** Any plant species that live for years and yields its products after a certain age of maturity is a perennial crop. Generally, trees, either grown naturally or horticulturally and yield fruits or timber have been considered as perennial crop in the project. For example, tamarind, coconut, mango, teak, neem etc. are perennial crops.
- **Persons losing their livelihood:** Persons losing their livelihood are individual members of the DHs, who are at least 18 years of age and are impacted by loss of primary occupation or source of income.
- **Private Property Owners:** Private property owners are persons who have legal title to structures, land or other assets.
- **Permanent Buildings or Pucca Structure:** Buildings of a permanent construction type with reinforced concrete.
- **Replacement Cost:** A replacement cost/value of any land or other asset is the cost/value equivalent to or sufficient to replace/purchase the same land or other asset; and has been provided in the Entitlements;
- **Resettlement Area** means an area where the affected families who have been displaced because of land acquisition, are resettled by the project authority/appropriate Government;
- **Residual Land:** Residual land can be defined as the remaining portion of land left with the owner of the holding after acquisition of land by the project.
- **Small Farmer:** A cultivator with an un-irrigated land holding up to two hectares or with an irrigated land holding up to one hectare, but more than the holding of a marginal farmer.
- **Semi-Permanent Building or structure:** Buildings of a semi-permanent type with tiled roof and walls not of concrete or permanent brickwork.
- **Severance of Land:** Severance of land can be defined as division of a land holding caused due to acquisition of land mainly for laying new project alignment, such as a bypass or a re-alignment.
- **Scheduled Areas** means the Scheduled Areas as defined in section 2 of the Provisions of the panchayats (Extension to the Scheduled Areas) Act, 1996;
- **Squatter:** A person who has settled on public/government land, land belonging to institutions, trust, etc. and or someone else's land illegally for residential, business and or other purposes and/or has been occupying land and building/asset without authority;
- **Tenant:** A person who holds/occupies land-/structure of another person and (but for a special contract) would be liable to pay rent for that land/structure. This arrangement includes the predecessor and successor-in-interest of the tenant but does not include mortgage of the rights of a landowner or a person to whom holding has been transferred; or an estate/holding has been let in farm for the recovery of an arrear of land revenue; or of a sum recoverable as such an arrear or a person who takes from Government a lease of unoccupied land for the purpose of subletting it;

- **Temporary Building/Kutcha structure:** Temporary building or structure means a temporary type of structure, which includes buildings with roofs constructed of thatch, galvanized iron or asbestos.
- **Titleholder-** A PAP/PAF/PAH who has legal title to land, structures and other assets in the affected zone.
- **Women Headed Household (WHH):** A household that is headed by a woman and does not have an adult male earning member is a Woman Headed Household. This woman may be a widowed, separated or deserted person.
- **Vulnerable group:** This includes Scheduled Caste (SC), Scheduled Tribe (ST), family/household headed by women/female, disabled, handicapped, BPL, and persons above the age of 65 years irrespective of their status of title (ownership). Vulnerable groups would also include those farmers who (after acquisition of land) become small/marginal farmers and also qualify for inclusion in BPL. For such cases, total land holding of the landowner in that particular revenue village will be considered in which land has been acquired;

VIII. Entitlement Matrix

17. Under this Resettlement and Rehabilitation Policy adopted for the project, several categories of project affected persons are recognized with varying eligibility for the compensation and assistance packages in the entitlement matrix below. This entitlement matrix has been developed in accordance with the basic principles adopted in the RPF and analysis of initial identification of project impacts. In case where a State Government through any Act or Gazette Notification or as approved by any authority of State Government (duly authorized for the purpose) as per their approved procedure has fixed a rate for compensation of land and is higher than the provisions under the project, the same may be adopted by the Competent Authority in determining the compensation for land.
18. Similarly, in case where a State Government through any Act or Gazette Notification or as approved by any authority of State Government (duly authorized for the purpose) as per their approved procedure has fixed a rate for resettlement and rehabilitation assistance and is higher than the provisions under the project, the same may be adopted by the Project Authority.
19. In accordance with the principles of this Resettlement Policy Framework, all displaced households and persons will be entitled to a combination of compensation packages and resettlement assistance depending on the nature of ownership rights on lost assets and scope of the impacts including socio-economic vulnerability of the displaced persons and measures to support livelihood restoration if livelihood impacts are envisaged. The displaced persons will be entitled to the following five types of compensation and assistance packages:
 - a) Compensation for the loss of land, crops/ trees at their replacement cost;
 - b) Compensation for structures (residential/ commercial) and other immovable assets at their replacement cost;
 - c) Alternative housing in case of physical displacement;
 - d) Assistance in lieu of the loss of business/ wage income and income restoration assistance;
 - e) Assistance for shifting and provision for the relocation site (if required), and
 - f) Rebuilding and/ or restoration of community resources/facilities.

20. An Entitlement Matrix has been developed as shown in **Table 4**, summarizing the types of losses and the corresponding nature and scope of entitlements; and follows National, State laws and World Bank OPs. Entitlement matrix presents the entitlements corresponding to the type and level of impact on the AFs in the following order.

- a) Impact to private property (title holders) consisting of: (i) loss of private land; (ii) loss of private residential structure; (iii) loss of private commercial structure; (iv) impact to tenants (residential / commercial / agricultural) of title holders; and (v) impact to trees, standing crops, etc.;
- b) Impact to Non-title holders consisting of: (i) impact to squatters; and (ii) impact to encroachers;
- c) Loss of employment to agricultural and non-agricultural workers/employees;
- d) Additional assistance to vulnerable DPs; and
- e) Unforeseen impacts.

Table 4: Entitlement Matrix

Sl. No.	Impact	Entitled Unit	Entitlement Details
A. Loss of Private Agricultural, Home-Stead & Commercial Land			
1	Loss of Land (agricultural, homestead, commercial or otherwise) within the Corridor of Impact (COI)	Titleholder/owner/families with traditional land right/occupiers	<p>For all land acquired under NH Act; Compensation/lease amount shall be calculated and payable in accordance with Sections 26 to 30 and Schedule I of RFCTLARR Act 2013</p> <p>i. Partial Impact on Land: In case only part of any land plot is affected, and its owner desires the whole plot be acquired on grounds that the plot has become uneconomic or has been severed due to LA (under Section 94 and Note C), the competent authority can award compensation for remaining part of the plot or award 25% of actual value upto of the remaining land holding as additional compensation, allowing the owner to retain the remaining land plot, if agreeable.</p> <p>For all land acquired under NH Act; or direct purchase or acquisition of missing land parcels/plot (MoRT&H circular date 28th Decemebr, 2017), Rehabilitation and Resettlement Assistance shall be as follows (Schedule II of Act 2013):</p> <p>ii. If as a result of land acquisition, the land owner becomes landless or is reduced to the status of a “small” or “marginal” farmer, assistance amount of Rs. 6 lakhs</p> <p style="text-align: center;">OR</p> <p>annuity policies that shall pay not less than two thousand rupees per month for each affected land owner for twenty years with appropriate indexation to the Consumer Price Index for Agricultural Labourers.</p> <p>iii. Each land owner shall be given a one-time "Resettlement Allowance" of Rs. 60,000/- only.</p>

Sl. No.	Impact	Entitled Unit	Entitlement Details
			iv. 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
B. Loss of Private Structures (Residential/Commercial)			
2	Structure within the Corridor of Impact (Col)	Title Holder/ Owner	i. Compensation in accordance with Sections 26 to 30 and Schedule I of RFCTLARR Act 2013 ii. Right to salvage material from affected structures iii. Three months advance notice to vacate structure iv. For those losing cattle shed, a one-time assistance of Rs. 28,000/- would be payable v. For each affected family of an artisan or self-employed or own non-agricultural land, that is displaced and must relocate, a one-time assistance of Rs. 28,000/- would be payable; and vi. One-time subsistence grant of Rs. 40,000/- for each displaced family who are displaced and require to relocate; vii. One-time financial assistance of Rs. 60,000/- for each displaced family towards shifting/transportation cost for shifting of the family, building materials, belongings and cattle viii. Refund of stamp duty and registration charges for purchase of new alternative houses/shops at prevailing rates on the market value as determined. Alternative houses/shops must be bought within a year from the date of payment of compensation ix. For a house lost, a constructed house shall be provided as per the Indira Awas Yojana Specifications or equivalent cost of the constructed house in lieu, shall be payable. x. <u>In case of partial impact</u> , 25% additional award to be paid on compensation award for the affected part of the structure to enable damage repair where the owner/occupier of his/her own will, interested to retain the remaining part of the structure, provided the unimpaired continuous use of the such structure is possible without hazards
3	Structure within the Corridor of Impact (Col)	Tenants/ Lease Holders	i. Registered lessees will be entitled to an apportionment of the compensation payable to structure owner as per applicable local laws. ii. One-time financial assistance of Rs. 60,000/- as transportation and relocation assistance. iii. Three months notice to vacate structures.
C. Loss of Trees and Crops			
4	Standing Trees, Crops within the	Owners and beneficiaries (Registered/ Un-registered tenants, contract cultivators, leaseholders)	i. Cash compensation as estimated under Section 29(3) of Act to be paid at the rate estimated by: <ul style="list-style-type: none"> • The Forest Department for timber trees

Sl. No.	Impact	Entitled Unit	Entitlement Details
	Corridor of Impact (Col)	& sharecroppers	<ul style="list-style-type: none"> The State Agriculture Extension Department for crops The Horticulture Department for fruit/flower bearing trees. <p>ii. Three months advance notice to project affected persons to harvest fruits, standing crops and removal of trees, or compensation in lieu as determined above.</p> <p>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.</p> <p>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</p>
D. Loss of Residential/ Commercial Structures to Non-Title Holders			
5	Structures within the Corridor of Impact (Col) or Govt. land	Owners of Structures or Occupants of structures (Encroachers, Squatters) identified as per Project Census Survey	<p>For loss of House</p> <ul style="list-style-type: none"> i. Compensation at PWD BSR without depreciation for structure ii. One-time resettlement allowance of Rs. 28,000 /- iii. Shifting/transportation assistance of Rs. 60,000/- iv. Encroachers shall be given three months' notice to vacate occupied land or cash assistance at replacement cost for loss of structures. v. Right to salvage the affected materials <p>For loss of shop</p> <ul style="list-style-type: none"> i. Compensation at PWD BSR without depreciation for structure ii. One-time subsistence grant of Rs. 40, 000/- iii. Oneitme rehabilitation grant of Rs. 28,000/- iv. Shifting/transportation assistance of Rs. 60,000/- v. Encroachers shall be given three months' notice to vacate occupied land or cash assistance at replacement cost for loss of structures. vi. Right to salvage the affected materials
F. Additional Support to Vulnerable Group			
6	Families within the Corridor of Impact (Col)	Vulnerable affected families	<ul style="list-style-type: none"> i. One-time Resettlement Allowance of Rs. 60,000/- ii. Training for skill development. This assistance includes cost of training and financial assistance for travel/conveyance and food. iii. Additional Subsistence Grant of Rs. 60,000/- for displaced families belonging to Scheduled Caste and Scheduled Tribe Category

Sl. No.	Impact	Entitled Unit	Entitlement Details
			iv. Displaced vulnerable households will be linked to the government welfare schemes, if found eligible and not having availed the scheme benefit till date.
G. Loss of Community Infrastructure/Common Property Resources			
7	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, will be done in consultation with community
H. Temporary Impact During Construction			
8	Land and assets temporarily impacted during construction	Owners of land and assets	i. Compensation for temporary impact during conversion e.g. diversion of normal traffic, damage to adjacent parcel of land/assets (crops, trees, structures, etc.) due to movement of heavy machinery and plant site ii. Contractor shall bear the cost of compensation of any impact on structure or land due to movement of machinery during construction or establishment of construction plant. iii. All temporary use of land outside ROW, would be done based on written approval/ prior approval landowner and contractor

Note: All unit costs are updated and revised based on Consumer Price Index for Agricultural laborer's (CPIAL's), April, 2019

21. There shall be no income tax deductions in line with Sec 96 of the RFCTLARR Act. In the event any deductions are made toward taxes, such amounts will have reimbursed.
22. All compensation and assistance will be paid to PAPs at least 1 month prior to displacement or dispossession of assets.
23. Compensation for Trees: Compensation for trees will be based on their market value. Loss of timber bearing trees will be compensated at their replacement cost and compensation for the loss of crops, fruit bearing trees will be decided in consultation with the Departments of Forest, Agriculture and Horticulture. In line with the provision of RFTFCTLARR Act 2013, 100% solatium will be added to the assessed value of the trees. Prior to taking possession of the land or properties, the compensation will be fully paid and affected persons will have the opportunity to harvest crops/trees within 15 days from the date of payment of compensation.
24. Even after payment of compensation, displaced PAPs would be allowed to take away the materials salvaged from their dismantled houses and shops and no charges will be levied upon them for the same. A notice to that effect will be issued intimating that PAPs can take away the materials so salvaged within 15 days of their demolition; otherwise, the same will be disposed by the project authority without giving any further notice. Trees standing on the land owned by the government will be disposed of through open auction by the concerned Revenue Department/ Forest Department.
25. Updating Units of Entitlement: All units of entitlement and assistances will be revised by MoRTH once in every two years based on Consumer Price Index for Agricultural Labourers (CPIAL) and communicated to all Project Implementation Units (PIUs) for making payment as per the revised

rates. The values/rates contained in this RPF will be applicable until March 31, 2021. The updating will be done in the month of March and will become effective from the 1st day of April of that year.

IX. Rehabilitation and Resettlement Award

- 26.** The PIU/District Administration will pass a separate Rehabilitation and Resettlement Award listing the names of displaced persons and their entitlements in accordance with this RPF. The same will be displayed in prominent places such as the office of Panchayat Offices/ Urban Local Bodies, District Collector Offices, Block development Offices, District Public Relations Offices (at the state and district levels), Project office, and any other relevant offices, etc.

X. Methodology for Census and Socio-Economic Survey

- 27.** For a good resettlement planning, implementation and monitoring it is important to collect quality census and baseline socio-economic data of PAPs. For this purpose, census and socio-economic surveys shall be conducted using structured questionnaire during the project preparation. These surveys shall be commenced after finalization of alignment.
- 28.** Broad information that would be collected through this census and socio-economic survey includes; details of family members, religion, social category, sources of income, occupation, land holdings, ownership and type of structures, property and assets owned, livestock size, details of losses of assets to the project, etc. These surveys shall be designed to ensure that only genuine persons are classified as project affected and the scope for frauds/ misrepresentations and opportunistic attempts to seek assistance is negated. The extent of impact on Common Property Resources shall be covered during these surveys. The sample census and socio-economic questionnaire is attached as **Annexure-4**
- 29.** The guidelines for filling census survey code, conducting census and socio-economic survey, videography of project stretch etc. are provided as **Annexure-5**.

XI. Process for preparation and approval of SIA and RAP

- 30.** On completion of the detailed engineering designs, a SIA and RAP shall be prepared based on a census of the Affected Persons (APs) and socio-economic survey of major impacted APs. SIA of the displaced persons will be undertaken in each sub-project so as to determine the magnitude of displacement and prospective losses, identify vulnerable groups for targeting, ascertain costs of resettlement, and prepare a resettlement and rehabilitation program for implementation. This RPF processes and provisions will be applied for preparation of any study undertaken with World Bank financing. The census and socio-economic surveys will comprise of the following tasks.
- a. **Screening of sub-Projects:** The sub-project shall be screened for social impacts based on the given designs for the proposed improvements envisaged. Built-up sections will be identified during screening requiring different treatment and accordingly suitable modifications to the design/alignment cross section/bypasses should be proposed to minimize social impacts. Further the screening exercise should identify all aspects that could lead to adverse environmental and social impacts and involuntary resettlement, regardless of the source of financing; from all activities that are necessary to achieve project objectives as set forth in the project documents; and iii) are carried out, or planned to be carried out, contemporaneously with the project. Identify presence of Indigenous Peoples that meet the four characteristics as outlined in the Operation

Policy 4.10 on Indigenous Peoples. *In light of the findings, clearly indicate if there is a need to prepare Indigenous Peoples Development Plan for every location specific investment.*

- b. **Census Survey:** The census and socio-economic surveys shall be carried out using a structured questionnaire to record the details of the present occupants within the Corridor-of-Impact (Col), the area required for the proposed improvements, and within the Right of Way (RoW), wherever RoW is greater than Col, in order to: (i) prevent further influx of persons within the Col/RoW; (ii) to assess the magnitude of impact to private assets; and (iii) to assess the extent of physical and/or economic displacement. The purpose of carrying out a census of inventory of assets beyond Col and within RoW, wherever RoW Col, is to facilitate PIU to update the SIA and RP, if design changes are made in the available RoW during civil works. In addition, focus group consultations with affected people and other stakeholders will be carried out and their feedback will be incorporated in the designs and safeguard documents.
- c. **Establish and inform Cut-off Date:** Following completion of the census survey, project authorities will notify the cut-off dates for both Titleholder and Non-Titleholders. The cut-off date for informal settlers will be the date of census survey and in case of title holders, the first notification for land acquisition. This date shall be considered as the date for declaring affected persons eligible to receive entitlements. No persons who move into the project area after determination of the 'Cut-off-date' will be eligible for any benefit. Appropriate measures will be put in place to prevent informal settlers moving into project area after the cut-off date.
- d. **Socio Economic Survey:** While census will be carried out for 100% of affected population, sample socio-economic surveys among severely affected people will be carried out to establish baseline socio-economic status and living standards which will become basis for measuring the changes in the living standards during the project implementation and end of the project implementation. The survey shall cover all impacted project affected people and the survey shall also collect gender-disaggregated data to address gender issues in resettlement. The socio-economic survey shall be carried out using a structured questionnaire, that would capture details of standard of living, inventory of assets, sources of income, level of indebtedness, profile of household members, health and sanitation, access to services and facilities, perceived benefits and impacts of the project and resettlement preferences for impacted households likely to be displaced. This information along with the census survey data would facilitate the preparation of a RAP to mitigate adverse impact.
- e. **Consultations and Focus Group Discussions (FGDs):** During the socio-economic survey, consultations and FGDs will be conducted with different impacted groups as well as other stakeholders will be conducted to ascertain their views and preferences. Based on the outcome of these consultations designs changes, if any are required, and mitigation measures will be incorporated. Consultations will include women and their concerns and reactions to the project will be addressed through appropriate mitigation plan. Other stakeholders indicatively include: implementation agencies likely to be involved with RAP implementation, women SHGs, if any, NGOs operational in the area.
- f. **Land Plan Schedule:** The right-of-way (RoW) shall be established based on revenue maps and field measurement books (FMB), which will be the basis for detailed design and wherever possible the RoW shall be restricted to available RoW to minimize land acquisition and resettlement impacts. Land Plan Schedule present details of the land parcels to be acquired for the project and will be used for issuing notifications as per land acquisition act or for Direct Purchase by District Administration from PAPs.

- g. **Resettlement Action Plan:** The RAP will be prepared based on the findings of the Land plan schedules, census/socio-economic survey and consultations. It will include the findings of Land plan schedules, census and socio-economic survey results of affected persons. The RAP will also include entitlements for different type of impacts, socio economic characteristics of the displaced persons, institutional mechanisms, implementation schedules, budgets, assessment of feasible income restoration mechanisms, development of resettlement sites and relocation, grievance redress mechanism, coordination of implementation in conjunction with civil works procurement and construction schedules and internal and external monitoring mechanisms. An outline of the RAP has been provided in **Annexure 1** and will be detailed as needed depending upon the magnitude and nature of impacts. The impacts and mitigation measures will be presented sub-project wise to coordinate with the procurement and construction schedules of the respective sub-projects. The RAPs will comply with the principles outlined in this RPF adopted for the project. The SIA and RAP for each sub-project will be reviewed by sub-project PIU, state level PCU and PMC, MORTH and by the World Bank and approved by MoRTH and disclosed on MoRTH's portal and the World Bank's portal prior, to invitation of bids for civil works. Disbursement of compensation payments and entitlements will be made prior to displacement and prior to handing over of the land parcels to civil work contractors.
- h. **Preparation of Micro Plan :** Micro plans shall be prepared for all the project affected individuals and common property resources based on the extent of impacts and the project entitlement Framework. The micro plan shall contain information on extent of loss under each category of loss, category of affected and due entitlements as per the eligibility criteria. A sample of Individual Micro plan for titleholder is provided as **Annexure-6**
31. The micro plan will be prepared by the NGO and submitted to Project Authority for approval. The Project Authority with or without involvement of the District Collector Office as applicable will approve the micro plan for disbursement of assistance to entitled persons. The assistance will be disbursed by cheque or by direct transfer to PAPs bank account. For non-titleholders however, the replacement amount of structures and other properties affected shall be worked out by the NGO based on the BSR rates and will be approved by the District level Committee PIU. Any grievance reported by the PAPs regarding their eligibility, replacement cost of affected assets and any other entitlements shall be addressed through the Grievance Redressal Committee. The structure and process of these committee is provided under section on Institutional arrangements.

XII. Tribal Development Framework

32. The objective is to design and implement projects in a way that fosters full respect for Indigenous Peoples' dignity, human rights, and cultural uniqueness and so that they: (a) receive culturally compatible, gender and inter-generationally inclusive social and economic benefits; and (b) avoid adverse effects during the development process, or if not feasible ensure that these are minimized, mitigated or compensated.
33. The term "Indigenous Peoples⁵" is used in a generic sense to refer to a distinct, vulnerable, social and cultural group possessing the following characteristics in varying degrees:
 - (a) self-identification as members of a distinct indigenous cultural group and recognition of this identity by others;

- (b) collective attachment to geographically distinct habitats or ancestral territories in the project area and to the natural resources in these habitats and territories⁷
- (c) customary cultural, economic, social, or political institutions that are separate from those of the dominant society and culture; and
- (d) an indigenous language, often different from the official language of the country or region.

34. The Constitution of India, Fifth Schedule (Article 244) provides for the administration and control of Scheduled Areas⁶ and Scheduled Tribes (areas and tribes needing special protection due to disadvantageous conditions).

35. The provisions of the Panchayats (Extension to the Scheduled Areas) Act, 1996 lays down process to be followed for acquisition of land in Scheduled V Areas. The Act under sub-section (1) of Section 4 provides for mandatory consultation with the Gram Sabha before any land acquisition proceedings can be undertaken. It further states that all Gram Sabhas in which even if one person is affected by the proposed project would have to be consulted before acquisition proceedings are initiated, by the procedure prescribed. Every Gram Sabha shall be competent to safeguard and preserve the traditions and customs of the people, their cultural identity, community resources and the customary mode of dispute resolution. The World Bank OP 4.10 emphasizes “a process of free, prior, and informed consultation with the affected Indigenous People’s communities at each stage of the project, and particularly during project preparation, to fully identify their views and ascertain their broad community support for the project.

38. GNHCP shall avoid adverse impact on such area to the extent possible. Where unavoidable, it will consult the concerned Gram Sabha/ Pachayat for obtaining their broad support and resolution for initiating land acquisition.

XIII. Issues / Concerns of Tribal Communities

39. The early consultations during initial impact assessment and screening, in tribal inhabited areas, following issues were identified related to tribal people in the project area. In order to have a more focused tribal development strategy, these issues have been grouped into (i) issues that are directly related to the project development for which measures will have to be taken up under the project to address them and (ii) issues which are outside the scope of the project but institutional collaboration could help the tribals in their development. These have been listed below:

40. Issues related directly to the development of the Project

- Loss of agriculture income
- Loss of employment of daily wagers in shops and eating places along the road
- Loss of shelter
- Lack of effective consultation
- Loss of community facilities
- Poor access to project information and benefits

- Seek employment opportunities through project
- Physical displacement

41. Other Issues:

- Low level of agriculture productivity
- Lack of employment opportunities
- Low income levels
- Poor health
- Low level of education
- High levels of debt

XIV. Tribal Development Strategy

42. Taking into account various provisions under government and World Bank policies to safeguard Schedule Tribes and development programs available to tribal communities, the following strategy has been developed to ensure that any adverse impacts due to the project development are addressed adequately and that measures are taken to ensure that tribal communities and the project area benefit from the project at par with other.

43. There will be loss of livelihood and shelter of Scheduled Tribe in selected stretches. Therefore specific strategies based on type of loss and nature and magnitude of impact on tribal have been formulated for those who are directly impacted and a general strategies associated with tribal backwardness is also prepared. Specific and general strategies related to STs, consultation strategy in tribal areas and steps for preparation and implementation of Tribal Development Plan in detail is provided at **Annexure-8**.

XV. Gender Strategy

Historically, the transport sector in India has offered limited employment opportunities for women. According to the International Labor Organization, transport is one of several sectors that has traditionally been regarded as having 'no place for women' (Turnbull, Lear and Thomas 2009). In 2005, 6.85 per cent of women were employed in the transportation sector in India compared to 19 per cent of men. Women face multiple challenges including accessing vocational/technical training specific to transport and logistics sector jobs. **Going beyond employment opportunities**, the benefits of improved roads, particularly for women in rural areas, include reduced travel time, greater mobility, and better access to basic facilities and services. With easier access, children will be motivated to go to school and girls' attendance and completion of secondary school should increase especially in difficult terrains such as Himachal Pradesh. Improved access to health centers should contribute to improved health outcomes, contributing to reduced incidence of child and maternal mortality. Improved roads are also a factor in increased household income when there are greater opportunities for business and trading, and local employment.

The gender actions are listed under three categories: 1) skilling, capacity building and potential employment opportunities for women-led collectives; 2) universal good design practices to improve access and 3) skilling and income diversification strategies focusing exclusively on affected women-headed households.

1. ***Skilling, capacity building and potential employment opportunities for women-led collectives:***
To promote micro-enterprises owned by women, the project, through state PIUs, will incentivize technical training of women-owned establishments in maintenance tasks associated with resilience enhancing measures. State PIUs will be directed by MoRTH to build capacity of women-led SHG groups in at least two states (Himachal Pradesh and Andhra Pradesh) to undertake maintenance tasks. Provision of skills training will adopt a holistic approach to include intensive technical as well as life skills training in digital, financial and legal literacy. Such trainings will be offered to women-led groups through collaboration with Industrial Training Institutes (government ITIs). 30% of the contracts for day-to-day maintenance such as slope-cutting, watering plantations, landscaping, etc. will be awarded to SHG groups.
2. ***Universal good design practices to improve access:*** Across feeder roads, the project will ensure that areas near habitations are well-lit, emergency phones are available at high-risk locations and hoardings are placed to dissuade eve-teasing, sexual harassment and help-line numbers are prominently displayed to register complaints against eve-teasers/bullies. Further, to enhance perceptions of safety amongst communities, state-PIUs will work with SHG groups in improvising roads and associated infrastructure (toilets for women, bus shelters) that connect secondary schools, primary health-care centers, from a safety perspective. State PIUs will conduct a users' satisfaction survey (midline and end-line) to monitor improvement in access to secondary schools, degree colleges, hospitals and 'travel for work' by women.
3. ***Skilling and income diversification strategies focusing exclusively on affected women-headed households:*** the state PIUs will work towards creating alternate livelihood and income diversification strategies for women-headed households amongst PAPs. This will be enabled through provision of short-term skill training in coordination with government training institutes and provision of small seed funds for starting micro-enterprises.

Steps to prepare gender plan for sub projects is detailed in **Annexure-9**

XVI. Institutional and Implementation Arrangements

44. The institutional arrangements to manage and implement Resettlement Action Plan & Tribal Development Plan/Vulnerable Communities Development Plan will be set up at three levels viz., Central, State and Sub-Project Level. These are presented below:
45. **Central Level:** At Central Level, the Chief Engineer (EAP), MoRTH, Govt. of India will be overall responsible for the implementation of RPF. CE (EAP) will have all delegated administrative and financial decisions with regard to implementation of the project as well as land acquisition, RAP including TDP/VCDP implementation. It will include further augmenting the capacity of MoRTH with regard to resettlement and rehabilitation and management of other social issues. CE (EAP) will be assisted by a team comprising EE designated as Social Officer and a suitable number of technical and secretarial staff. MoRTH also will engage a Social Development Specialist (SDS) either as individual consultant or through Project Management Consultant (PMC), to work with EAP and assist Social Officer. The EAP will be responsible for ensuring training, guidance, and recommendations for handling policy and implementation issues at the state and sub-project levels in compliance with RPF. The Social Development Specialist either individually or with PMC will provide policy and strategic assistance to EAP on social issues including land acquisition and

rehabilitation and resettlement. The designated Social Officer will be specifically responsible for implementation of RAP & TDP. The Social Officer will ensure that all social safeguards issues are complied with as per the RPF. The roles and responsibilities of the SDS would broadly include the following:

- i. Ensure adequate staffing at state and sub-project level to ensure timely implementation of RAP.
- ii. Guide and supervise in matters related to resettlement and rehabilitation & TDP to state and sub-project level offices.
- iii. Ensure preparation and disclosure of SIA, RAP including TDP/VCDP and Land Acquisition Plan for sub projects as per RPF.
- iv. Ensure free, prior and informed consultation with tribal families along the project and also ensure that sufficient supporting documentation is maintained.
- v. Co-ordinate with state government departments in matters related to implementation of RAP & TDP.
- vi. Interact with implementation agencies at state and sub-project level on a regular basis.
- vii. Undertake field visits as and when required.
- viii. Facilitate necessary help needed at site with regards to LA and R&R issues.
- ix. Compile data related to resettlement and rehabilitation & TDP activities received from field offices and update Chief Engineer (CE) and suggest suitable measures to be taken.
- x. Ensure budgetary provision for resettlement and rehabilitation of PAPs and relocation, rehabilitation and reconstruction of common property resources (CPRs) and implementation of & TDP.
- xi. Ensure timely release of budget for implementation of RAP&TDP.
- xii. Monitor implementation of RAP including TDP carried out by the agency through RRO at subproject level.
- xiii. Ensure third party audit of RAP & TDP implementation; and
- xiv. Perform other roles and responsibilities related to implementation of RAP including TDP as assigned by the CE (EAP) from time to time.

46. State Level: At State Level, a Land Acquisition cum Social Development Officer (LA cum SDO) would be appointed in the Project Coordination Unit (PCU) headed by Nodal Officer. Additional sociologist as individual consultant will also be engaged to assist LA cum SDO in states as required, particularly in states with larger share of sub projects such as Andhra Pradesh, Himachal Pradesh, Uttar Pradesh etc. The roles and responsibilities of the LA cum SDO would broadly include the following:

- i. Facilitate preparation and implementation of land acquisition and RAP including TDP in compliance with RPF;
- ii. Ensure consultation and stakeholder participation in finalisation of RAP including TDP;
- iii. Guide and supervise RAP including TDP implementation at sub-project level;
- iv. Interact with RAP implementation support agencies and undertake field visits for first-hand information;
- v. Co-ordinate with various government departments in matters related to implementation of RAP & TDP;

- vi. Check implementation of RAP including TDP/VCDP carried out by the agency from time to time by undertaking site visits and consultations with PAPs;
- vii. Facilitate and cooperate in third party audit of RAP & TDP implementation;
- viii. Guide and supervise the RAP implementing agency to roll out HIV prevention activities;
- ix. Ensure a well -functioning GRM including “confidential” handling of complaints relating to Gender Based Violence;
- x. Compile data on LA progress and RAP implementation activities received from field offices and update EAP, MoRTH and suggest suitable measures to be taken; and
- xi. Perform other roles and responsibilities related to implementation of RAP including TDP/VCDP as assigned by the EAP, MoRTH from time to time

47. Sub-Project Level: A Project Implementation Unit (PIU) comprising officials of State PWD will be constituted at subproject level and headed by the Superintending Engineer/ Executive Engineer – who will be designated as Project Director. The PIU will be responsible for the project execution including RAP & TDP/VCDP implementation. There will be a designated or appointed Resettlement & Rehabilitation Officer (RRO) at respective PIUs who will be responsible only for the implementation of RAP and TDP at site. Additional sociologist as individual consultant will also be engaged to assist RRO as required. RRO will assist Project Director at PIU in all matters related to resettlement and rehabilitation. The roles and responsibilities of the Resettlement and Rehabilitation Officer are as under:

- i. Ensure RAP including TDP implementation with assistance from implementation agency as per the time line agreed upon.
- ii. Interact with RAP implementation agency on a regular basis.
- iii. Undertake field visits with implementation agency from time to time.
- iv. Co-ordinate with district administration and other departments in matters related to implementation of R&R.
- v. Facilitate necessary help needed at site with regard to LA and R&R, HIV issues to implementation agency.
- vi. Ensure distribution of Resettlement and Rehabilitation Policy and entitlement matrix for the project to PAPs.
- vii. Ensure preparation and distribution of photo identity cards.
- viii. Ensure and attend meetings organised by implementation agency on thematic areas related to resettlement and rehabilitation policy and entitlements and awareness generation including aspects relating to GBV.
- ix. Ensure inclusion of PAPs who could not be enumerated during census but have documentary evidence to be included in the list of PAPs.
- x. Ensure preparation of identity cards, and approval from the PCU and distribution of the same to PAPs.
- xi. Ensure timely preparation of micro-plan from RAP implementation agency and approval from PCU.
- xii. Ensure disbursement of resettlement and rehabilitation assistance in a transparent manner.
- xiii. Participate in meetings related to resettlement and rehabilitation issues.
- xiv. Facilitate in opening of joint account of PAPs.

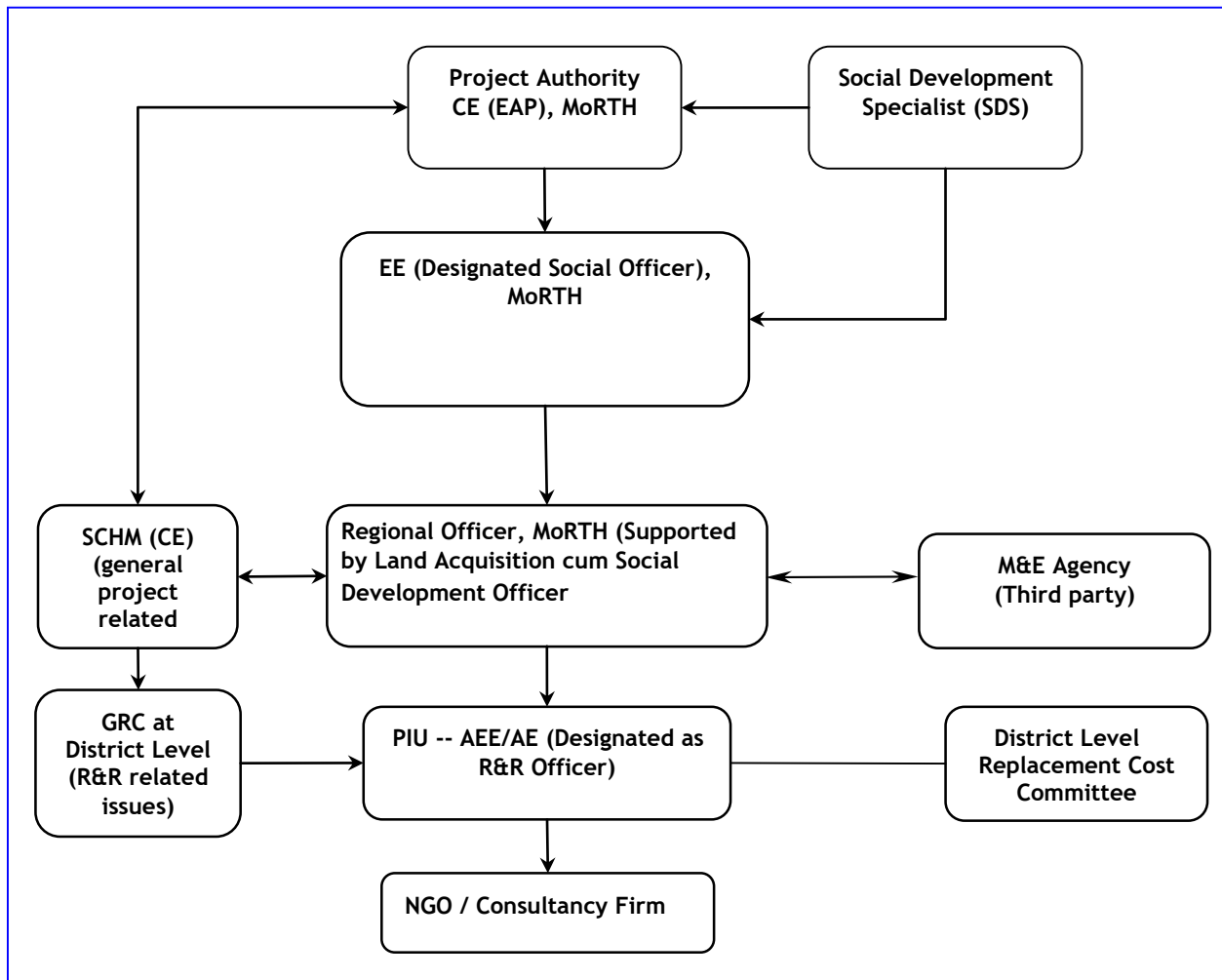
- xv. Ensure release of compensation and assistance before taking over the possession of land for start of construction work.
- xvi. Ensure relocation, rehabilitation and reconstruction of CPRs before dismantling through proper mechanism.
- xvii. Ensure development of resettlement sites, where required.
- xviii. Attend and participate in Grievance Redress Committee meetings for redressal of grievances of PAPs and other committees involving R&R matters,
- xix. Liaison with government and other agencies for inclusion of PAPs in employment and income generation programme/scheme.
- xx. Ensure that tribal families get equal opportunity to participate during implementation and become overall beneficiaries in the project.
- xxi. Prepare monthly progress report related to physical and financial progress of implementation of RAP including TDP & submit to PCU.
- xxii. Provide all necessary information and data related to R&R on monthly basis to designated Social Officer at Central Level through Project Director.
- xxiii. Carry out any other work related to resettlement and rehabilitation that may be entrusted from time to time by the PCU for compliance of R&R.

48. RAP Implementing Support Agency at Sub-Project Level: The Project Authority [CE(EAP), MoRTH To implement RAP for each of the sub-project, will engage the services of **NGOs/Consultancy firms** having experience in resettlement and rehabilitation issues. Broad roles and responsibilities of implementation agency would be as:

- i. The RAP implementation agency will be the main link between the Project Authority and PAPs,
- ii. Shall be responsible for verification of PAPs as prepared by the DPR consultants,
- iii. Undertake public information campaign along with RRO at the commencement of the RAP&TDP,
- iv. Develop rapport with PAPs,
- v. Distribute pamphlets of R&R Policy including Entitlement Matrix to PAPs, Panchayat Raj Institutions, and concerned Govt. Offices in the project area, etc.
- vi. Include PAPs who could not be enumerated during census cum socio-economic survey and certification from R&R Officer,
- vii. Distribute identity cards for PAPs,
- viii. Prepare and submit micro-plan to RRO for approval from PCU,
- ix. Organize consultations at regular interval with PAPs with regard to resettlement and rehabilitation,
- x. Organize training program for skill up gradation of the PAPs,
- xi. Assist PAPs in all matters related to compensation and R&R,
- xii. Assist and facilitate aggrieved PAPs (for compensation and assistance) by bringing their cases to GRC,
- xiii. Facilitate in opening of joint account of PAPs,
- xiv. Generate awareness about the alternative economic livelihood and enable PAPs to make informed choice,

- xv. Consultations with PAPs regarding the choice of resettlement (i.e. self or assisted), development of resettlement site, participation of women, etc.
- xvi. Identify training needs of PAPs for income generation and institutions for imparting training,
- xvii. Undertake outreach activities for HIV prevention for awareness and behaviour change as per RAP,
- xviii. Hold consultations with local people and Panchayat Raj Institutions with regard to relocation, rehabilitation, reconstruction of affected CPRs as well as provision of new facilities under the project,
- xix. Participate in various meetings relating to RAP and TDP/VCDP preparation and implementation,
- xx. Submit monthly progress report, and
- xxi. Undertake any other activities that may be required for the implementation of RAP & TDP, etc.

Figure -1: Institutional Arrangement for RAP Implementation



49. Replacement Cost Committee at District Level: A committee at district level will be constituted to fix the replacement cost of land in case of lands acquired through Direct Purchase method or Land lease, structures and other properties (trees, crops and other assets, tube well, hand pump, etc). The committee may be chaired by the District Collector/ Dy. Commissioner or his designated representative (not below the rank of SDM), Project Director-cum-Executive Engineer of the concerned PIU, District Agriculture Officer, Range Officer (Forest Department, if required), an independent certified valuer, Executive Engineer of the concerned District, elected representative (MLA) of the concerned area and Team Leader of RAP implementation agency.

The highest value of land obtained by the three methods mentioned in Section 26 and Schedule 1 of RFCTLARR will be presented by the Project Authority and approved by the committee as the replacement cost. Similarly, latest schedule of rates of the concerned districts shall be used for obtaining replacement cost of structures. For items not available in the schedule of rates, for those items market rates shall be collected from three different sources and then replacement cost shall be fixed by the committee. For replacement costs of crops, trees and other such items similar methods

will be followed. The committee will be constituted through an executive order and or other suitable instrument within one month (30 days) from the date of mobilization of RAP implementation agency at site.

XVII. Grievance Redressal Mechanism (GRM)

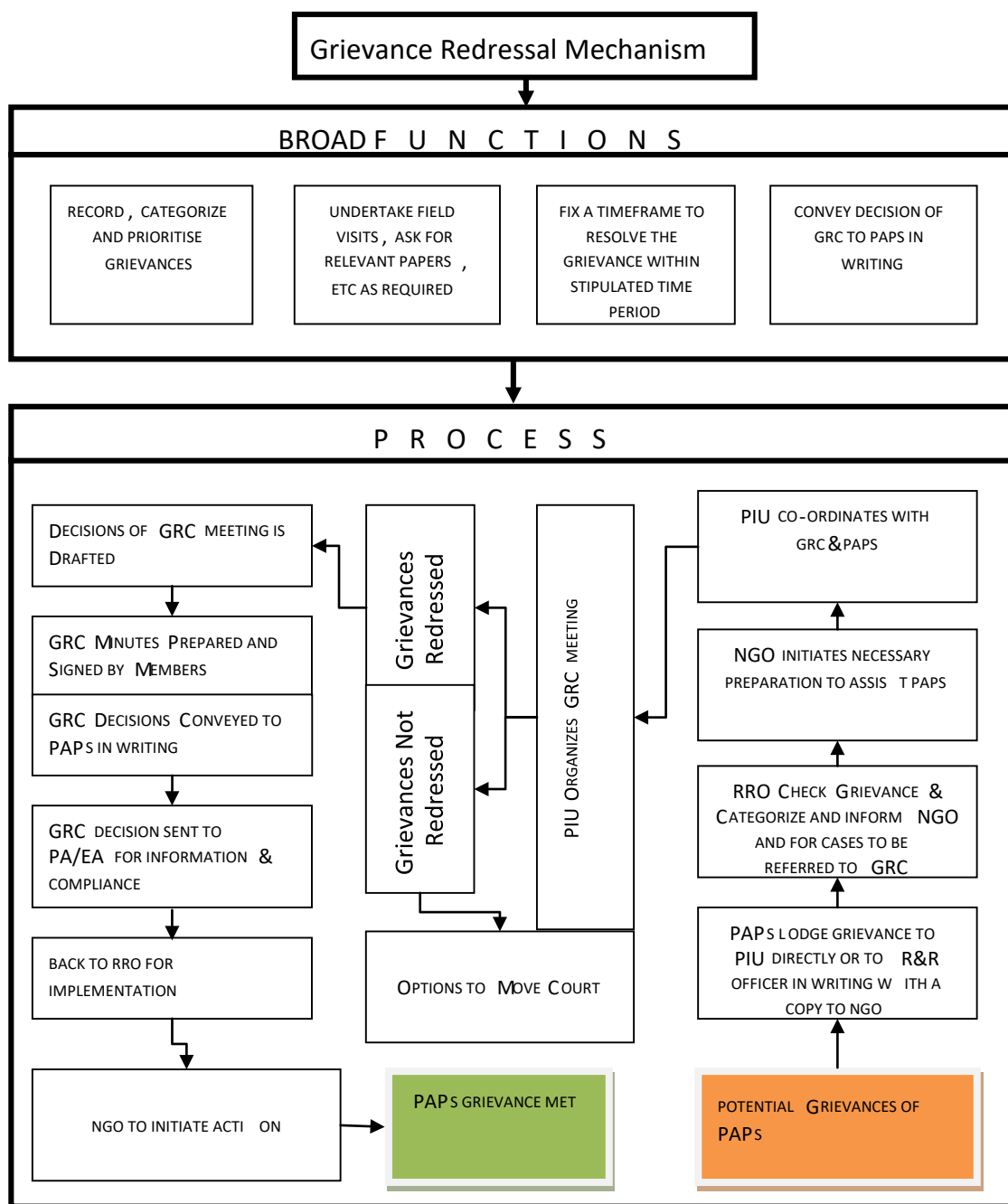
50. The GRC will be constituted by the Project Authority with the aim to settle as many disputes as possible on LA and R&R through consultations and negotiations. There will be one GRC for each PIU. The GRC will comprise six members headed by a retired Revenue Officer/Social Welfare Officer not below Group I officer rank . Other members of the GRC will include the concerned Project Director-cum-Executive, a retired PWD Officer (not below the rank of Executive Engineer), RRO, representative of PAPs and Sarpanch (Elected Head of Village) of the concerned village.

51. Grievances of PAPs in writing will be brought to GRC for redressal by the RAP implementation agency. The RAP implementation agency will provide all necessary help to PAPs in presenting his/her case before the GRC. The GRC will respond to the grievance within 15 days. The GRC will normally meet once in a month but may meet more frequently, if the situation so demands. A time period of 45 days will be available for redressing the grievance of PAPs. The decision of the GRC will not be binding to PAPs. ***The decision of the Grievance Committees will not be binding on the DPs and they will have the option of taking recourse to court of law, if s/he so desires at his or her own expense.*** Broad functions of GRC are as under:

- i. Record the grievances of PAPs, categorize and prioritize them and provide solution to their grievances related to resettlement and rehabilitation assistance.
- ii. The GRC may undertake site visit, ask for relevant information from Project Authority and other government and non-government agencies, etc, in order to resolve the grievances of PAPs. □ Fix a time frame within the stipulated time period of 45 days for resolving the grievance.
- iii. Inform PAPs through implementation agency about the status of their case and their decision to PAPs and Project Authority for compliance.
- iv. ***In case of grievances/complaints relating to GBV, ensure confidentiality and appropriate referral to mapped service providers***

52. The GRC will be constituted within 3 months by an executive order from competent authority (centre/ state) from the date of mobilization of RAP implementation agency. The RRO will persuade the matter with assistance from implementation agency in identifying the suitable persons from the nearby area for the constitution of GRC. Secretarial assistance will be provided by the PIU as and when required.

Figure – 2: Grievance Redressal Mechanism



53. Suggestion and Complaint Handling Mechanism (SCHM): The MoRTH recognizes the importance of this and hence intends to establish a SCHM for the GNHCP. The communication channels to report project related complaints/concerns will be disclosed at all levels of institutions—MoRTH, State and Sub-project levels.

54. Though the Right to Information Act, 2005 an Act of the Parliament of India provides for setting out the practical regime of right to information for citizens. The Act applies to all States and Union Territories of India except the State of Jammu and Kashmir. Under the provisions of the Act, any citizen may request information from a "public authority" (a body of Government or "instrumentality of State") which is required to reply expeditiously or within thirty days. The Act also requires every public authority to computerize their records for wide dissemination and to proactively publish certain categories of information so that the citizens need minimum recourse to request for information formally. In other words under the act, citizens have right to seek information from concerned agencies by following the set procedures. However, it is quite likely that many people may not use the provisions of this Act, only in limited cases covering serious concerns. Being an inter-state project involving several states and large scale of civil works along with R&R and Environment issues, the project is likely to receive many suggestions, complaints, inquiries, etc through the project implementation period. Therefore, MoRTH has agreed to establish SCHM as a good practice to address public concerns pertaining to various issues. SCHM will report all project related LA and R&R of the PAPs for redressal through the concerned PIU or GRC as appropriate. Several communication channels viz., toll free phone number, dedicated email, mechanism for on line submission of suggestions/complaints/inquiries, provision of suggestion/complaint box (at site and project office), post and other suitable means shall be set up for suggestion and complaint handling. Details of SCHM are provided as Annexure-11

XVIII. Training and Capacity Building – at Project and Sub-project Level

55. Training and development of project staff is an integral part of project implementation. A training needs identification shall be carried out at Corporate, Regional and Site level, based on which focused training modules will be developed in the first six months of project implementation;
- Strengthening in house capacity to implement the provisions of RAP & TDP,
 - Creating awareness, providing the tools for implementation of RAP & TDP, strategy and accompanying set of management procedures to all departments,
 - Developing competence of key officials to provide training at respective level.
56. Based on skill requirement/improvement at all levels for proper implementation of RAP, a training programme focusing project implementing partners at Centre, State and field PIU has been developed (Annexure-12) which will be implemented by the PMU, MoRTH in the next two years. These training programs, which will be zeroed down after a quick training needs assessment, are to be conducted with the help of local and national training institutions and experts in various aspects of social management. MoRTH will also identify courses offered by the premier institutions in India and abroad on social management and inter-phase with identified programme. Provision for separate budget has been made for this activity. The budget reported under "institutional" head includes the cost estimates of training programs discussed above.

XIX. Monitoring and Evaluation (M&E) at Project and Sub-project Level

57. The Resettlement Action Plan will contain indicators and benchmarks for achievement of the objectives under the resettlement programme. These indicators and benchmarks will be of three kinds: i) Proposed indicators, indicating project inputs, expenditures, staff deployment, etc. ii) Output indicators, indicating results in terms of numbers of affected persons compensated and

resettled, training held, credit disbursed, etc, iii) Impact indicators, related to the longer-term effect of the project on people's lives.

58. The benchmarks and indicators will be limited in number and combine quantitative and qualitative types of data. Some of these indicators may include, percentage of PAPs actually paid compensation before any loss of assets; percentage of PAPs whose incomes after resettlement are better than, or at least same as before resettlement; percentage of assets valued at replacement cost compensation; percentage grievances resolved; and/or percentage of cases to court. The first two types of indicators, related to process and immediate outputs and results, will be monitored to inform project management about progress and results, and to adjust the work programme where necessary if delays or problems arise. The results of this monitoring will be summarized in reports which will be submitted to the World Bank on a regular basis. Provision will be made for participatory monitoring involving the project affected persons and beneficiaries of the resettlement programme in assessing results and impacts. The Project Authority will engage services of an external agency (third party), which will undertake independent concurrent evaluations at least twice a year during the project implementation period. At the end of the project, an impact evaluation will be carried out as part of the project completion report. Such independent evaluation will focus on assessing whether the overall objectives of the project have been met and will use the defined impact indicators as a basis for evaluation. Specifically, the evaluation will assess: (i) The level of success (including the constraints and barriers) in land acquisition programme, resettlement plan, and income recovery of the PAPs after they have been displaced from the project affected area, and, (ii) the types of complaints/ grievances and the success of the handling of grievance and public complaints towards the construction of project's infra-structures, means of redress for assets and lands and the amount of compensation, resettlement, and other forms of complaints.
59. Summarizing, M&E would be carried out for regular assessment of both process followed and progress of the RAP & TDP implementation. The internal monitoring will be carried out by the State PCU by the LA cum SDO with assistance from NGO/Consultancy firm and a quarterly report will be submitted to MoRTH. Each quarterly report would also be uploaded on the MoRTH website. The external agency (third party) however, would conduct assessment annually for each sub-project by undertaking field visits and all other necessary activities including consultations. The annual reports would cover detailed information on process and progress of RAP including TDP implementation. The report would highlight issues, if any that need attention of the Project Authority and suggest corrective measures that may be followed for better implementation of RAP & TDP. A framework for reporting with sample indicators is presented in **Annexure-13**.

XX. Resettlement Budget

60. The resettlement budget will comprise itemized estimate of compensation for land, structures, trees, crops, various resettlement assistances, rehabilitation or replacement of CPRs including land, if government land is not available, institutional cost, contingency, additional studies if required, cost towards implementation, engagement of RAP implementation agency, evaluation consultants, etc.
61. The cost of social safeguards management including LA and R&R has been budgeted as part of the overall project costs. While the cost of LA and R&R shall be met with Government of India funds, the cost for capacity building, training, technical audit, HIV awareness has been budgeted under World Bank funds.

XXI. Coordination with Civil Works

- 62.** The land acquisition and resettlement implementation will be co-coordinated with the timing of procurement and commencement of civil works. The required co-ordination has contractual implications, and will be linked to procurement and bidding schedules, award of contracts, and release of cleared COI sections to the contractors. The project will provide adequate notification, counselling and assistance to affected people so that they are able to move or give up their assets without undue hardship before commencement of civil works and after receiving the compensation. The bid documents will specify the extent of unencumbered land to be handed over at the time commencement of works and subsequent milestones and this will be strictly followed to ensure that land is provided on a timely basis to the contractors and also plan implementation of land acquisition and resettlement in line with procurement and civil work time table.

XXII. Disclosure of Project Safeguard documents

- 63.** In order to make the RAP preparation and implementation process transparent, a series of public consultation meetings with all stakeholders will be carried out in the field for dissemination of information regarding rehabilitation process and entitlement framework. The summary of the discussions and views and suggestions incorporated in the RPF is presented in Annexure 3. The salient features of RAP and the R&R policy shall be translated in Vernacular languages as applicable for the project states and disclosed through the MORTH and State PWDs websites. The documents available in public domain will include: Entitlement Matrix and RAP (summary in local language) and the list of eligible PAFs for various R&R benefits. All documents will be kept in MORTH HQ, State PWD and sub-project PIUs offices. As per Access to Information Policy of the WB all safeguard documents will also be available at the World Bank Portal.

XXIII. Updating of Resettlement Policy Framework

- 64. Revision/Modification of the RPF:** This RPF will be an “up-to-date” or a “live document” enabling revision, when and where necessary. Unexpected situations and/or changes in the project or subcomponent design would therefore be assessed and appropriate management measures will be incorporated by updating the Resettlement Policy Framework to meet the requirements of country’s legislations and Bank safeguards policies. Such revisions will also cover and update any changes/modifications introduced in the legal/regulatory regime of the country/ state. Also, based on the experience of application and implementation of this framework, the provisions and procedures would be updated, as appropriate in consultation with the World Bank and the implementing agencies/departments.

Annexures

Annexure 1: An outline of the RAP

Annexure 2: Comparison between World Bank Policy Requirements and RFCTLARR Act 2013

Annexure 3: Summary of the discussions and views and suggestions incorporated in the RPF

Annexure 4: Sample Census and Socio-economic questionnaire

Annexure 5: The guidelines for filling census survey code for survey

Annexure 6: Sample of Individual Micro Plan

Annexure 7: Outline of the Tribal Development Plan

Annexure 8: Strategies for Tribal Development Plan

Annexure 9: Preparation of Gender Plan for sub projects under GNHCP

Annexure 10: Consultation Framework

Annexure 11: Suggestion and Complaint Handling Mechanism (SCHM)

Annexure 12: Training programme on social management

Annexure 13: A framework for reporting with sample indicators

An outline of the Resettlement Action Plan (INDICATIVE)

Chapter 1 – Introduction

- 1) Description of the project
- 2) Profile of the sub-project (s)
- 3) Objective of RAP
- 4) Description of RPF and its provisions
- 5) Approach to Minimizing impacts
- 6) Potential impacts – positive and adverse

Chapter 2 – Land Acquisition/Direct Purchase and R&R

- 7) Land take approach including Extent of land take
- 8) Valuation of land
- 9) Impacts and PAPs by nature and extent of impact
- 10) R&R entitlements payable

Chapter 3 – Baseline Socio-economic findings (Gender Dis-aggregated Information)

- 11) Demographic profile
- 12) Socio-economic profile
- 13) Impact on vulnerable households
- 14) Livelihood issues, opportunities and existing income enhancement programs
- 15) HIV/AIDS
- 16) Likely labor influx and gender based violence issues
- 17) Preferences for resettlement and income enhancement measures/training needs

Chapter 4 – Stakeholder Consultations

- 18) Stakeholder categories
- 19) Consultations during SIA stage – Community consultations, FGDs, Public meetings, etc.
- 20) Matrix on key issues raised, responses given and suggestions incorporated, if any

Chapter 5 – Resettlement

- 21) Site selection, site preparation, and relocation
- 22) Housing, infrastructure, and social services
- 23) Environmental protection and management
- 24) Integration with host population

Chapter 6 – Institutional Arrangements

- 25) Organizational responsibilities
- 26) Eligibility and entitlement
- 27) Implementation schedule
- 28) Costs and budget
- 29) Monitoring and evaluation
- 30) Grievance procedures

Note: For detail documentation requirement, refer World Bank OP 4.12

Annexure - 2

Comparison between World Bank Policy Requirements and RFCTLARR Act 2013

S.No	World Bank Involuntary Resettlement Requirement	UP Direct Purchase Policy, 2015	RFCTLARR Act 2013	Remarks and provisions in RFCTLARR Act 2013	Measures to bridge the Gap in the RPF
	Policy Objectives				
1	Avoid involuntary resettlement (IR) wherever feasible	x	✓	Social Impact assessment (SIA) should include: (i) whether the extent of land proposed for acquisition is the absolute bare minimum extent needed for the project; (ii) whether land acquisition at an alternate place has been considered and found not feasible [Ref: Section 4 sub-section 4(d) and 4(e)]	
2	If IR is unavoidable, minimize involuntary resettlement by exploring viable alternate project design	x	X		Para 15 principles of RPF addresses this requirement.
3	Where resettlement cannot be avoided, resettlement activities should be conceived and executed as a development programme by	x	✓	The cumulative outcome of compulsory acquisition should be that affected persons become partners in development leading [Ref: Preamble of the RFCTLARR ACT]	

	providing sufficient resources to enable DPs to share in project benefits.				
4	DPs should be meaningfully consulted and provided opportunities to participate in planning and implementing resettlement programs.	x	✓	Whenever a SIA is required, the appropriate Government shall ensure that a public hearing is held at the affected area, after giving adequate publicity about the date, time and venue for the public hearing, to ascertain the views of the affected families to be recorded and included in the SIA Report. [Ref: Section 5]	
5	DPs should be assisted in their efforts to improve their livelihoods and standards of living, or at least restore them, to pre-displacement levels or to pre-project levels	x	✓	The cumulative outcome of compulsory acquisition should be that affected persons become partners in development leading to an improvement in their post-acquisition social and economic status and for matters connected therewith or incidental thereto [Ref: Preamble of the RFCTLARR ACT]	-
	Impacts Covered				
6	Involuntary taking of land resulting in relocation or loss of shelter	✓ <i>Policy on Direct purchase obviates</i>	✓		

		<i>the need to involuntary purchase land</i>			
7	Involuntary taking of land resulting in loss of assets or access to assets	x <i>Provides for involuntary land take using Act if direct purchase is not successful</i>	✓	In the definition of affected family, it includes 'a family whose land or other immovable property has been acquired' [Ref: Section 3 sub-section c (i)]	
8	Involuntary taking of land resulting in loss of income sources or means of livelihood, if the affected persons must move to another place		✓	In the definition of affected family in includes 'a family which does not own any land but a member or members of such family may be agricultural labourers, tenants including any form of tenancy or holding of usufruct right, share-croppers or artisans or who may be working in the affected area for three years prior to the acquisition of the land, whose primary source of livelihood stand affected by the	

		x		acquisition of land; and further, a distinction is made between affected family and displaced family in the definition (i.e.) a displaced family means any family, who because acquisition of land has to be relocated and resettled from the affected area to the resettlement area [Ref: Section 3 sub-section c (ii) and k]	
9	Involuntary restriction of access to of access to legally designated parks and protected areas resulting in adverse impacts on the livelihoods of the displaced persons.	x	✓	In the definition of affected family in includes 'family whose primary source of livelihood for three years prior to the acquisition of the land is dependent on forests or water bodies and includes gatherers of forest produce, hunters, fisher folk and boatmen and such livelihood is affected due to acquisition of land' [Ref: Section 3 sub-section c (vi)]	
	Policy Applicability				
10	The policy applies to all components of the project that result in IR, regardless of the source of financing.	x	✓	The provisions of this Act relating to land acquisition, compensation, rehabilitation and resettlement, shall apply, when the appropriate Government acquires land for its own use, hold and control, including for Public Sector Undertakings and for public purpose (defined) However, for PPP projects and private	

				companies requiring land for public purpose (defined), then prior consent of affected families is required. [Ref: Section 2 sub-section 1 and 2]	
11	It also applies to other activities resulting in IR that are: (i) directly and significantly related to the Bank-assisted project; (ii) necessary to achieve its objectives as set forth in the project documents; and (iii) carried out, or planned to be carried out, contemporaneously with the project.	x	✓	Same as above	
	Eligibility Criteria				
12	Those who have formal legal rights to land (including customary and traditional rights recognized under the laws of the country)	x	✓	In the definition of affected family, it includes 'a family whose land or other immovable property has been acquired' [Ref: Section 3 sub-section c (i)]	
13	Those who do not have formal legal rights to land at the time the census begins but have a claim to such land or assets--provided that such claims are recognized under the laws of the country or become		✓	In the definition of affected family, it includes 'the Scheduled Tribes and other traditional forest dwellers who have lost any of their forest rights recognized under the Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Act, 2006 due to acquisition of	

	recognized through a process identified in the resettlement plan	x		land'; and also includes 'a member of the family who has been assigned land by the State Government or the Central Government under any of its schemes and such land is under acquisition'. [Ref: Section 3 sub-section c(iii) and (v)]	
14	Those who have no recognizable legal right or claim to the land they are occupying.	x	X		In para 20 of the RPF, under eligibility criteria, this is addressed.
15	Persons who encroach on the area after the cut-off date are not entitled to compensation or any other form of resettlement assistance.	x	X		In Section VII of the RPF, the cut-off date has been defined.
	Required Measures				
16	Ensure DPs are informed about their options and rights pertaining to resettlement	✓ (partly)	✓	Whenever a SIA is required, the appropriate Government shall ensure that a public hearing is held at the affected area, after giving adequate publicity about the date, time and venue for the public hearing, to ascertain the views of the affected families to be recorded and included in the SIA Report. [Ref: Section 5]	
17	Ensure DPs are consulted on, offered choices among, and	x	✓	Same as above	

	provided with technically and economically feasible resettlement alternatives				
18	Ensure DPs are provided prompt and effective compensation at full replacement cost for losses of assets attributable directly to the project.	✓	X	Not explicitly stated	In Para 15, addresses this requirement.
19	If there is physical relocation, provide DPs with (i) assistance (such as moving allowances) during relocation; and (ii) residential housing, or housing sites, or, as required, agricultural sites for which a combination of productive potential, locational advantages, and other factors is at least equivalent to the advantages of the old site.	x	✓	The Rehabilitation and Resettlement Award shall include all the following: (c) of house site and house to be allotted, in case of displaced families; (d) of land allotted to the displaced families; (e) of one-time subsistence allowance and transportation allowance in case of displaced families; [Ref: Section 31 sub-section 2(c), (d) and (e)]	
20	Particular attention to be paid to the needs of vulnerable groups among those displaced, especially those below the poverty line, the landless, the elderly, women and children, indigenous peoples, ethnic	x	✓ (partly)	The act provides for special provisions and assistance for scheduled caste and scheduled tribe in scheduled area. [Ref: Section 41] Further the act recognizes widows, divorcees and women deserted by families	Special provision for vulnerable have been provided in Entitlement matrix.

	minorities, or other displaced persons who may not be protected through national land compensation legislation			as separate families [Ref: Section sub-section (m)] The act does not recognize other vulnerable category and SC/ST from non-scheduled areas.	
21	Provision of compensation and of other assistance required for relocation, prior to displacement, and preparation and provision of resettlement sites with adequate facilities, where required. In particular, 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.	x	X		Para 22 of RPF stipulated that all compensation and assistance will be paid to DPs at least 1 month prior to displacement or dispossession of assets
22	Preference should be given to land-based resettlement strategies for displaced persons whose livelihoods are land-based.	x	✓	Land for land is recommended in irrigation projects and in projects where SC/ST is involved equivalent land. [Ref: Second Schedule S.No.2]	Land for land has not been offered in this project as acquisition is linear. Choice of taking full or part

					compensation by those PAPs who are losing agriculture land is included in EM
23	Cash compensation levels should be sufficient to replace the lost land and other assets at full replacement cost in local markets.	x	✓ (partly)	Not explicitly stated, but the method of valuation of land and considering the higher among the 2-methods, the multiplying factor and the 100 solatium with 12% interest will be near equivalent to replacement cost for land. For structure, tree and crops, valuation by appropriate authority will be near equivalent to replacement value, but is silent about depreciation. [Ref: Section 26 sub-section 1 and 2, Section 29 and Section 30]	EM provides for the replacement cost for land and assets
24	Displaced persons and their communities, and any host communities receiving them, are provided timely and relevant information, consulted on resettlement options, and offered opportunities to participate in planning, implementing, and monitoring resettlement	x	✓	The appropriate Government shall ensure that the Social Impact Assessment study report and the Social Impact Management Plan, are prepared and made available in the local language to the Panchayat, Municipality or Municipal Corporation and the offices of the District Collector, the Sub-Divisional Magistrate and the Tehsil, and shall be published in the affected areas, in such manner as may be prescribed, and uploaded on the website of the appropriate Government. [Ref: Section 6 sub-section 1]	

25	Appropriate and accessible grievance mechanisms are established for these groups.	x	✓	For the purpose of providing speedy disposal of disputes relating to land acquisition. compensation, rehabilitation and resettlement, establish, by notification. one or more Authorities to be known as "the Land Acquisition, Rehabilitation and Resettlement Authority" [Ref: Section 51 sub-section 1]	The RPF provides for a project level GRC to resolve grievances as one step internal dispute resolution mechanism prior to approaching courts.
26	In new resettlement sites or host communities, infrastructure and public services are provided as necessary to improve, restore, or maintain accessibility and levels of service for the displaced persons and host communities.		✓	In every resettlement area as defined under this Act, the Collector shall ensure the provision of all infrastructural facilities and basic minimum amenities specified in the Third Schedule of the RFCTLARR Act. [Ref: Section 32]	

Summary of the discussions, views and suggestions incorporated in the RPF

1. Introduction

In order to make the RAP preparation and implementation process transparent, a series of public consultation meetings with all stakeholders have been carried out in the field for dissemination of information regarding rehabilitation process and entitlement framework.

Based on the consultations done for 4 roads, and the preliminary estimates available for balance 4 roads, the project work will be impacting about 2835 structures fully or partially, about 6513 households and 15547 project affected persons and at many places RoW is encroached and squatted upon by the people for various purposes mainly, near habitations and in market places. Project roads also passes through some Tribal dominated areas in the State of Andhra Pradesh.

Consultation process were primarily carried out at two different levels, viz, District, and Local or Village with emphasis on the project affected population, with focused attention on the tribal community and various other vulnerable groups. Some of the key informants included were:

- People in the influence zone likely to be affected, local residents, agricultural communities, shopkeepers, Tribal and vulnerable groups
- Panchayat members, Sarpanch and ward members
- Local voluntary organizations and NGOs
- Government agencies and departments like ITDA, PIU, PMU and other line departments
- Other project stakeholders with special focus on women and PAPs belonging to the vulnerable group.

2. Findings of Consultations

The consultations have helped in not only achieving the social assessment objectives, but also assisted in gathering suggestions for mitigation of adverse impacts, improvement in designs and facilitating inputs for the resettlement plan preparation and implementation. Some of the consolidated broad issues raised and attended through consultations from the entire four Project States viz. Andhra Pradesh, Rajasthan, Himachal Pradesh and Uttar Pradesh are mentioned below:

- Apprehensive about the timely payment of assistance and compensation
- Provision of Retaining structures and crash barriers for road safety
- In the congested locality, commercial /markets areas people have suggested for Bypass, realignments, underpass, junction improvement etc.
- Good road should be constructed with good thickness of material for long durability and that the link roads should also be considered for widening.
- The project should not to affect their livelihood – as they will be left with no alternatives. This is especially in the case of those losing their land and commercial shops.

- Proper lighting and provision of culverts and requirement of passenger shed at zero point of the village.
- There was unanimous opinion that geometric improvement through curve straightening is leading to a large number of structures being affected. In all the meeting the people asked the project to widen the road limiting to the available land on RoW.
- Where houses/structures were getting affected, people asked for replacement cost of the structure.
- People want village specific issues to be considered in the designs.
- People want the project to consider realignments and bypasses where ever it is passing through congested villages. However there was no clear consensus from the people who would be losing their land for the bypass/realignment.
- Safety was another common issue raised. The people want to know what safety measures will be adopted by the project in villages and built up area. The people are apprehensive that an improved road will lead to vehicles moving at greater speeds, leading to accidents in the village.
- They have informed about the traffic congestions on the existing road and requested to solve.
- People want to know how the project will replace affected community structures. In most cases the people were willing to identify available government land for the same. People were largely concerned about replacement of drinking water source. In some places temples are seen as important part of their social fabric, and people have requested to retain them as far as possible.
- Major issue facing all women was lack of toilet facilities along the corridor. All the women group meetings have revealed that the panchayat would maintain the toilets, once built.
- Discussions were also initiated on possible market sites which could help relocate those losing shops and commercial establishments.
- In some stretches people responded that widening is not required as the existing road fulfill the present requirement.
- Requests have been made to explore the possibilities of convergence of other development programs by government agencies.
- Discussions on construction of parking places/vehicle lay bay, improvement of rural roads in junction points, approach roads for schools, religious institutions, community halls, pedestrian passes etc. were taken up enthusiastically;
- Suggestions were given on locations of Bypass, realignments, underpass, junction improvement etc. in the congested locality, market centers etc;
- Due to acquisition of agricultural land, farmers will get affected; people asked for suitable livelihood support and compensation.

3. Framework for Further Consultations

Several additional rounds of consultations with PAP's will form part of the further stages of project preparation and implementation. The consultation will continue throughout the project implementation period. The following set of activities shall be undertaken for effective implementation of the RAP:

- In case of any change in engineering alignment planning the PAP's and other stakeholders will be consulted in selection of road alignment for minimization of resettlement impacts, development of mitigation measures etc.
- The Regional Office/PIU will conduct information dissemination sessions in the project area and solicit the help of the local community/leaders and encourage the participation of the AP's in Plan implementation.
- During the implementation of RAP, public meetings will be organized, and will appraise the communities about the progress in the implementation of project works, including awareness regarding road construction.
- To make reasonable representation of women in the project planning and implementation, they will be specifically involved in consultation.

Sample Census and Socio-economic questionnaire

Census and Community Asset Survey Schedules
Census Survey QuestionnairesPART: 1 - ASSET INFORMATION

Census Survey Code.

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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; Odiya-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 ☐
2. Cash for Land loss ☐
3. Cash for House/ Shop loss ☐
4. Project Assistance ☐
33. Income Restoration Assistance (The most preferred option) ☐
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	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:

Educational Qualification:

Occupation :

Married-1; Unmarried-2; Divorcee-3; Separate-4; Widowed-5;

Illiterate-1; Primary Schooling-2; Upper Primary Schooling-3; High School-4; Graduate-5; Post-Graduate-6; Technical-7

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)

Television	Tape Recorder	Radio	Refrigerator	Telephone	Vehicles					Cooking Gas	Any Other (specify)
					Cycles	Three Wheeler	Two-Wheeler	Four Wheeler	Bus / Truck		

38. Live Stock Assets (Please Record Numbers)

Classification	Cows	Buffaloes	Sheep	Goats	Poultry	Others
Give Number						

39. Likely Loss of Other Assets

Tree		Well		Other Category I (Specify) Individual Assets	
No.	Species	No.	Type	No.	

40. 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):			

41. 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			

42. 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

43. Employment opportunity in the area

1. Seasonal 2. Employed throughout the Year 3. None

44. Do family members migrate for work

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)			
10	Household work			
13	Others (specify)			
	Total			

45. 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		

46. Loan and Indebtedness

1	Have you taken any loan? 1-Yes, 2-No	
2	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.....	
3	If yes, tell us sources of loan: 1-Bank, 2-NGO, 3-Money lender, 4-Relative/friend, 5- SHG; 6. Others (specify.....)	
4	If yes, Amount of loan (in Rs.)	
5	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.....)	

47. Access to facilities

Code	Distance of following facilities/ amenities from the location of interview?	Approx. km	Mode to access	Frequency	Trips made by M/F/Both
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;

48. Health Seeking behaviour

1	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
2	If yes, please specify type of disease?		
3	Type of treatment taken:		1-Allopathic Government, 2-Allopathic Private, 3-Allopathic Govt. & Private both, 4-Homeopathy, 5- Ayurved, 6- Faith healers; 7- quacks; 8-No Treatment, 9-Others (specify.....)

4	Which is the nearest formal medical facility available? PHC - 1; CHC- 2; District Hospital - 3; Private clinic - 4; Private Hospital - 5; Others - 6		
5	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
6	If no, who attended while giving birth to the baby? (Multiple responses possible)	Females neighbor - 1 relatives and friends - 2 Mother-in-law - 3 Sister-in-law - 4 Others specify - 5	
7	Have you heard about HIV/AIDS:	Yes 1; No - 2	
8	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 Total 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 5

Guidelines for Filling Census Survey Code

This coding system has been developed in view of combining all reports at a later stage if so required.

Guidelines for filling census survey code are as follows:

1. First 2 boxes indicate name of the state in which sub- project exist. Following codes are used for different states within which all 33 roads come under. They are as follows:

State		Code
Andaman and Nicobar Islands	:	AN
Bihar	:	BH
Himachal Pradesh	:	HP
Karnataka	:	KT
Orissa	:	OR
Rajasthan	:	RJ
Uttarakhand	:	UK
West Bengal	:	WB

2. Next 4 digits indicate package no. This will be filled without slash (/) in the boxes. For example, package SP/C/2 would be entered as

S	P	C	2
---	---	---	---

3. After package number, three boxes would indicate different districts in a state. Codes for different districts in each state would be represented by 3 numerals. Choice of selection of district code shall be done by the DPR Consultant. However, it will be ensured that district codes are chosen from the range provided.

Sl. No.	States	District codes (3 digits)
1	Andamans and Nicobar islands	-
2	Bihar	001-035
3	Himachal Pradesh	036-060
4	Karnataka	061-075
5	Orissa	076-110
6	Rajasthan	111-125
7	Uttarakhand	126-150
8	West Bengal	151-175

For example: Patna - 001; Sasaram - 002; and so on.

Thus Census Code for Package SP/C/2 will be as under:

State		Package				District		
B	H	S	P	C	2	0	0	1
B	H	S	P	C	2	0	0	2

4. Last 5 boxes (if needed, please add a few more boxes in the questionnaire) is to record the no. of formats filled. For example, the first format will have a no. 00001. Similarly, second will be 00002 and so on. The format no. and questionnaire no. would be the same.

State		Package				District			Format filled				
B	H	S	P	C	2	0	0	1	0	0	0	0	1
													2
													3
													4
													5
												
B	H	S	P	C	2	0	0	2	0	0	0	0	1
													2
													3
													4
													5
												

5. While conducting survey, follow the direction from the starting point (start chainage) of the sub project towards the end (end chainage) so that properties and assets likely to be affected on LHS and RHS can be easily identified and remain consistent.
6. Please translate the questionnaire in local language appropriately, wherever required. You may also use bilingual questionnaire (English in combination with local language).
7. Conduct survey within the proposed ROW and also ensure that owners/possessors of properties/assets affected are duly identified as Titleholder (TH), as encroacher and squatter.

Guidelines for Conducting Census Survey and Videography

- The DPR consultants are expected to make necessary edits to customize the attached sample questionnaire to their specific road projects without compromising on the data quality and content of the information sought.
- The questionnaire should be bi-lingual (as applicable - for example English and Oriya in Orissa; English and Kannada in Karnataka; English and Hindi in Bihar, so on).
- All questions should be filled. In case of no response to any question, it should be suitably marked so that data entry is easier and chances of response of one question getting entered against another question is minimized.
- The census survey shall be conducted within the proposed ROW which is also Corridor of Impact (Col). In case, any structure/property which is partly within the Col and partly outside the COI, then the measurement of entire structure/property should be covered.
- Videography of the project road suitably covering structures and assets on both sides of the project road must be carried out before starting the survey from the start point to the end point.
- The census survey will include both titleholders and non-titleholders.
- Sufficient number of teams (each comprising a number of investigators/ surveyors and supervisor) should be deployed to conduct the survey so that it is completed in minimum time possible. It is advised that investigators must be provided training for filling the questionnaire before starting the actual survey. It is also advised that questionnaire filled in during the day should be re-checked at the end of the day by a senior member of the social team (supervisor) so that any inconsistency or gap in data could be rectified the following day as it will be difficult to rectify them later on.
- Allocation of Census survey code/Identity No. (provided on the first page of the questionnaire) to all those likely to be affected and photograph of each of the affected properties along with the head of the household/respondent at the time of survey/enumeration must be done. These photographs shall be useful for preparation of ID cards.

Guidelines for Conducting Grama Sabha / Palli Sabha

Source : *The Orissa Grama Panchayat Manual- 2011*

Orissa Law Reviews, Cuttack - 2

The meetings of Grama Sabha and Palli Sabha as per "The Orissa Grama Panchayat Rules, 1968" is detailed as under:


3. **Meetings of Grama Sabha**-The Grama Sabha, so far as may be reasonably practicable shall be held by rotation from time to time in each of the villages of the Grama at a convenient place as the Sarpanch may determine from time to time.
4. The annual and half-yearly meetings of the Grama Sabha shall be held in the months of February and June respectively. The date and time of such meetings shall be fixed by the Sarpanch of the Grama Panchayat.
5. The Sarpanch or the Collector or any other person empowered by Government in that behalf may call for a special meeting of the Grama Sabha whenever he thinks it necessary. The Secretary, after obtaining approval of the Sarpanch, or after receiving requisition as above shall issue notice of the meeting as provided in the rules.
6. (i) **At least fifteen clear days' notice** of a meeting of Grama Sabha shall be given.
(ii) Copy of the notice may be forwarded to the concerned Block Development Office.
7. The notice of the meeting of the Grama Sabha shall be published in the local area
 - (a) **by affixing a notice at once or more conspicuous places;** and
 - (b) **by beat of drums.**
8. Notice shall set forth clearly and fully the business to be transacted at the meeting, but the Sarpanch may bring forward any motion or proposition not specified in the notice.
9. ¹[(1)] If at a meeting of a Grama Sabha the quorum is not present, the Sarpanch or the president of the meeting shall adjourn the meeting until such other day as he thinks fit, of which not less than three days' notice shall be given.
²[(2)] The quorum under Sub-rule (1) shall include one-third of the members present are Women members.]
10. The Sarpanch or in his absence, the Naib-Sarpanch shall preside at every meeting of the Grama Sabha and in absence of both, the members shall choose someone from amongst themselves to preside.
11. The agenda shall include such subjects as are assigned to the Grama Sabha under the Act.
12. The agenda of the meeting shall be prepared by the Sarpanch of the Grama Panchayat.

13. Whenever the President of the meeting finds it necessary to temporarily leave the chair he may call in any other member to preside.
14. At a special meeting only the business for which the meeting was called shall be considered.
15. Notwithstanding anything contained in Rule 8, it shall be competent for the Grama Sabha at a meeting to transact any business other than that set forth in the notice under Rule 8, if the majority of the members present agree to do so.
16. All questions which may come before the Grama Sabha shall be decided by majority of votes. In case of equality of votes the President of the meeting shall have a second or casting vote.
17. Voting by proxy is prohibited. No member shall vote upon any motion for amendment unless he is present in person at the time when it is put to vote.
18. The business in the meetings shall be transacted and the minutes of proceedings shall be recorded in Oriya.
19. (i) The Secretary of the Grama Panchayat shall record the proceedings of the meeting and in his absence the Sarpanch shall take such steps as may be necessary for correct recording of the proceedings.
(ii) The minutes of the proceedings shall be entered in a book to be kept for the purpose and shall be signed by the Preside of the meeting and such book shall be open to the inspection of the public.
20. **Meetings of Palli Sabha**-The meetings of Palli Sabha shall be held at such public place within the Palli Sabha area as may be determined by its representatives in the Grama Panchayat or by the Grama Panchayat or by the person requisitioning the meeting as the case may be.
¹[Provided that the President of the meeting shall, as far as possible, ensure that at least one-tenth of the members present in the Palli Sabha meeting are women.]
21. (a) The Grama Panchayat shall arrange for convening the meeting of Palli Sabha which shall meet in February every year and the date and time for holding such meeting shall be fixed by it ²[two weeks] in advance.
(b) If the Grama Panchayat requires the Palli Sabha to hold an extraordinary meeting either of its own motion or on a requisition in writing of not less than one-fifth of the members of Palli Sabha, the date, time, place and subject for discussion in such meeting shall be fixed by the Grama Panchayat at least fifteen days in advance.
(c) The meeting shall be held in a public place within the Palli Sabha area to be decided by the Grama Panchayat and wide publication for the date, time and place of the meeting along with subject for discussion shall be given by beat of drum within the Palli Sabha area.
(d) The Grama Panchayat in a meeting shall fix the President of the Palli Sabha as required under Sub-section (4) of Section 6 of the Act.

22. Where the meeting is requisitioned by not less than one- fifth of the members of the Palli Sabha, the requisition shall be addressed to the Sarpanch **thirty days in advance** and it shall state the place, date and time of the meeting. In case the Grama Panchayat fails to arrange the meeting on the date mentioned in the requisition, the members who sign the requisition may call the meeting on the date and at the time and place mentioned in the requisition and the person representing the Palli Sabha area in the Grama Panchayat appointed by the Grama Panchayat under Rule 21 (d) shall preside over the meeting and in the absence of such member or members of the Palli Sabha, those present in the meeting may elect by open voting one from among themselves to preside over the meeting.
23. At least **15 clear days'** notice of the meeting of a Palli Sabha shall be given in the manner prescribed in Rule 7.
24. All questions which may come before the meeting of the Palli Sabha shall be decided by a majority of votes. In case of equality of votes the President of the meeting shall have a second or casting vote.
25. Voting by proxy is prohibited. No members shall vote upon any motion or amendment unless he is present in person at the time when it is put to vote.
26. The proceeding of the Palli Sabha shall be recorded in a book to be kept for the purpose in Oriya and shall be signed by the President of the meeting and such book shall be open to the general public for inspection.

Annexure 6

Sample of Individual Micro Plan

INDIVIDUAL MICROPLAN FOR TITLE HOLDER (CHAHLARI GHAT, DISTT-BAHRAICH)																				
NAME- Parasram Sio Ramjas										DISTRICT-BAHRAICH										
VILLAGE- BAHRAICH										POST-HARDI										
BLOCK-BAHRAICH										TASIL-BAHRAICH										
Sl. No.	Revenue Village	Khata No.	Khassara No.	Total Area (Ha) of affected Gata.	Area Acquired (Ha)	Share Wise Area Acquired (Ha)	Land Holding of T.H.	Real Land of T.H.	% of affected area according to land holding	Category Of Land	Viability V/Viable, V/N/Viable	Val. Assn Val. (Mk. Val.)	Val. Assn Val. (Mk. Val.)	Status By Caste	Annual Income	Type of Loss	No. of PAF's	Share	Land Cost (As per DLC decided rate = @ Rs. 600000 per Hec.)	REMARKS
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	
15	Bahraich	290	843	1620	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	Parasram is 75 year old so not eligible for training allowance.
		291	844	1620	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000		
		292	845	1620	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000		
		293	846	1620	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000		
Total		851	2540	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000		
Family Details & Allowances As per Policy.																				
Photograph of Title Holder 		Sl. No.	Name of the PAF's	Relationship	Sex	Age	Occupation	Transitional Allowance @ 2000	Settling Allowance @ 2000	Economic Rehabilitation @ 2000	Recurrent Allowance @ 1000	Medical Allowance @ 1000	Education Allowance @ 1000	Provision of the land (10%)	Training Allowance @ 1000	Total	Parasram is 75 year old so not eligible for training allowance.			
		1	Parasram Sio Ramjas	Self	M	75	Ag.	15000	0	0	0	0	0	0	0	0		15000		
		2	Sio Ramjas	Son	M	25	Ag.	15000	0	0	0	0	0	0	0	0		15000		
		3	Sio Ramjas	Son	M	25	Ag.	15000	0	0	0	0	0	0	0	0		15000		
		4	Sio Ramjas	Son	M	25	Ag.	15000	0	0	0	0	0	0	0	0		15000		
		5	Sio Ramjas	Son	M	25	Ag.	15000	0	0	0	0	0	0	0	0		15000		
		6	Sio Ramjas	Son	M	25	Ag.	15000	0	0	0	0	0	0	0	0		15000		
		7	Sio Ramjas	Son	M	25	Ag.	15000	0	0	0	0	0	0	0	0		15000		
		8	Sio Ramjas	Son	M	25	Ag.	15000	0	0	0	0	0	0	0	0		15000		
		9	Sio Ramjas	Son	M	25	Ag.	15000	0	0	0	0	0	0	0	0		15000		
		10	Sio Ramjas	Son	M	25	Ag.	15000	0	0	0	0	0	0	0	0		15000		
		11	Sio Ramjas	Son	M	25	Ag.	15000	0	0	0	0	0	0	0	0		15000		
		12	Sio Ramjas	Son	M	25	Ag.	15000	0	0	0	0	0	0	0	0		15000		
		13	Sio Ramjas	Son	M	25	Ag.	15000	0	0	0	0	0	0	0	0		15000		
		14	Sio Ramjas	Son	M	25	Ag.	15000	0	0	0	0	0	0	0	0		15000		
Total																348360				
To Build New Assets Minimum wages for 6 months.																0				
Six Grade Difference between replacement value & Land cost.																0				
Total Allowances																348360				
Options for and use of land.																Nil				
Other for PAF's.																Nil				
Total Assistance																348360				
Circle Rate - @225000 Per Hec.		Market Rate = @112500 Per Hec.		Agriculture Productivity Rate = @ 60000 Per Hec.		Replacement value (Max. of Three 1,2,3)		Total Allowances		Valuation of Assets		Total Assistance (1+4)		Total Assistance						
Land Value	Total	Land Value	Total	Land Value	Total	Land Value	Total	Land Value	Total	Land Value	Total	Land Value	Total	Land Value	Total					
Ass (Rs)	Ass (Rs)	Ass (Rs)	Ass (Rs)	Ass (Rs)	Ass (Rs)	Ass (Rs)	Ass (Rs)	Ass (Rs)	Ass (Rs)	Ass (Rs)	Ass (Rs)	Ass (Rs)	Ass (Rs)	Ass (Rs)	Ass (Rs)					
302175	302175	150511	150511	805800	805800	805800	805800	348360	348360	0	0	348360	348360	348360	348360					
Legend: 1. In the name of the Title Holder, 2. In the name of the Title Holder, 3. In the name of the Title Holder, 4. In the name of the Title Holder, 5. In the name of the Title Holder, 6. In the name of the Title Holder, 7. In the name of the Title Holder, 8. In the name of the Title Holder, 9. In the name of the Title Holder, 10. In the name of the Title Holder, 11. In the name of the Title Holder, 12. In the name of the Title Holder, 13. In the name of the Title Holder, 14. In the name of the Title Holder, 15. In the name of the Title Holder, 16. In the name of the Title Holder, 17. In the name of the Title Holder, 18. In the name of the Title Holder, 19. In the name of the Title Holder, 20. In the name of the Title Holder.																				

Executive Engineer
 CD-3 (Waste Bank, PWD), Sahapur

Director
 Sugan International Sanathan

Annexure 7

Outline of Tribal Development Plan (TDP)/Vulnerable Peoples Development Plan

1. Project Description
2. Objectives of TDP/VPDP
3. Methodology for preparation of TDP/VPDP (include results from the Screening exercise)
4. Minimization of impacts
5. Free and prior informed consultations (FPIC) for Broad community support/Community Consultations
6. Social Assessment
 - a. Household survey findings
 - b. Impact details - positive impacts and adverse impacts on assets, community resources, livelihood etc.
7. Action Plan
 - a. institutional arrangements
 - b. implementation schedule (by activities and months)
 - i. FPIC/Consultations
 - ii. Provision of mitigation measures
 - iii. monitoring of implementation
 - d. monitoring indicators (as necessary by sub-project)
 - e. implementation budget including cost of
 - i. mitigation measures
 - ii. conducting FPICs - material, logistics
 - iii. miscellaneous/contingency
8. Grievance mechanisms (by level of mechanism)

Annexure 8

Strategies for Tribal Development Plan

Specific and general strategies related to STs, consultation strategy in tribal areas and steps for preparation and implementation of Tribal Development Plan in detail is provided as under:

Specific Strategies

Issues and Problems	Strategy
Loss of Agriculture Income	<ul style="list-style-type: none">• Provide R&R entitlements as per Resettlement Policy Framework, GNHCP.• Ensure that rehabilitation grant is used for production purpose• Provide training for skill upgradation of tribals• Training for better and productive agricultural development• Involve NGOs in developing and implementing successful income generation plans• Dovetail Government programs
Loss of employment of daily Wagers in shops and eating places along the road	<ul style="list-style-type: none">• Provide R&R entitlements as per Resettlement Policy Framework, GNHCP.• Impart new skills and / or upgrades skills that are in demand• Ensure wage employment under project construction activities• Identify opportunities for their traditional skills• Generate multiple skills in each family
Loss of Shelter	<ul style="list-style-type: none">• Provide R&R entitlements as per Resettlement Policy Framework of GNHCP.• Facilitate better quality of housing at new location• Integrate Government housing schemes with project benefits for better quality housing for displaced.• Help to ensure smooth relocation of displaced families
Lack of effective Consultation	<ul style="list-style-type: none">• Develop specific communication strategy• Continue Consultation with the tribal groups during implementation• Incorporate suggestion of STs in the project design to develop sense of belongingness and confidence in Project Authority• Provide prior information about changes in project activities• NGOs to put additional efforts in dealing with ST families• Ensure adequate representation in GRCs
Loss of community facilities	<ul style="list-style-type: none">• Restore community facilities in consultation with community• Plan in consultation with STs in relocating/restoring affected facilities• Provide additional common facilities in the Habitations with pockets of tribal population shall be selected for providing community facility such as hand pumps, rest areas for common good.

For this purpose the Initial Social Assessment identifies following issues and need of intervention strategies.

General Strategies

Issues and Problems	S
Low level of Agriculture Productivity	<ul style="list-style-type: none"> • Generate awareness about better crop production and rotation • Awareness on credit facilities
Landlessness	<ul style="list-style-type: none"> • Generate awareness on government programs for allotment of land
Lack of employment opportunities	<ul style="list-style-type: none"> • Encourage and facilitate registration in trainings for new skills that are in demand • Identify opportunities for their traditional skills • Create awareness on options for diversification of skills
Low income levels	<ul style="list-style-type: none"> • Increase awareness on rates and market for their produce. • Involve NGOs in planning and implementing TDPs • Organize training programs to implement new skill or upgrade their Skill
Poor Health	<ul style="list-style-type: none"> • Awareness generation on HIV AIDs and health care facilities in the project area
Low level of education	<ul style="list-style-type: none"> • Awareness generation of importance and availability of education infrastructure • Encourage enrollment and regular attendance
High levels of debt	<ul style="list-style-type: none"> • Encourage SHGs formations

Dovetailing with ongoing Governmental tribal development programme will operationalize the above-mentioned strategies. The tribal development programmes would be integrated with present project resettlement programmes for income generation, skilled development through training modules and awareness campaigns.

Based on above mentioned strategies and action required for the development of ST in general and project affected ST in particular, tribal Development Plan shall be prepared as part of Resettlement Action Plan. Specific activities based on above strategy shall be detailed under the TDP. Impact on Tribal households directly under the project shall be addressed through specific and additional provisions made in the Entitlement Matrix for GNHCP. Further the implementing NGOs would conduct mass awareness camps and facilitate linkages with ongoing Governmental schemes for the other tribal in project affected villages. Additional cost to implement Tribal Development Plan shall be project sponsored.

Consultation Strategy in Tribal Areas

Consultation in tribal areas requires specific and planned intervention. Government of Orissa R&R Policy, 2006 and World Bank O.P. 4.10 and NRRP 2007 emphasizes communication strategy in tribal areas.

The consultation mechanism requires a framework in which consultation would be carried out on pre-fixed and pre decided venue. All pre-fixed agenda related to social management would be discussed in the public meeting. For this purpose the Government of Orissa Policy 2006, PESA has

made consultation with Gram Sabha mandatory. These consultations shall be the medium to ascertain broad community support for the project. The documentation of entire consultations and Gram Sabha resolutions shall be maintained and made public through websites. These Gram Sabha consultations would be in addition to the consultations to be carried out under the project as per the consultation and participation framework detailed in section 17 of RPF.

Institutional Arrangement

MoRTH shall be overall responsible for preparation and implementation of tribal development plan as part of RAP. While selecting NGOs, preference shall be given to the team with prior experience with the tribal community. The roles and responsibilities of the various stakeholders at sub-project level are outlined below:

Roles and Responsibilities of Different Stakeholders in Tribal Areas

Stakeholders	Anticipated Roles of Stakeholders in Tribal areas
Sub-project Implementation Team	<ul style="list-style-type: none"> • Participate in public meetings • Identify alternatives to avoid or minimize displacement • Assist in developing and choosing alternative options for relocation and income generation • Help to choose resettlement sites • Participate in survey • Provide inputs to entitlement provision • Assist in preparation of action plan • Suggest mechanism for grievance redress • Conflict resolution and participate in grievance redress
Package Level Implementing NGO	<ul style="list-style-type: none"> • Assist in verification of project affected • Participate in coordination committee • Participate in group meetings • Design and implement information campaigns in various forms • Support group formation, problem identification and planning for PAPs and hosts, • Facilitate for grievance redress of conflict resolution • Assist in preparation of action Plans at habitation level with
Local Community Facilitators/PRIs,	<ul style="list-style-type: none"> • Provide information on various aspects of host communities • Assist in data collection and design • Provide inputs to site selection • Identify possible conflict areas with PAPs • Identify additional common facilities needed in pockets of tribal population • Assist in identification of income generating (IG) schemes • Provide inputs for design of IG schemes • Help develop a process of consultation between hosts Tribal if any • Suggest additional provisions for grievance redress and conflict resolution, if any.

Government departments delivering tribal and social welfare programs	<ul style="list-style-type: none"> • Share information of ongoing programs and implementation status in project affected area. • Participate in awareness campaigns and impart information on program benefits, eligibility and process of enrollment
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Implementation Plan : Steps in Implementation of Tribal Development Plan are mentioned below

1. Identification of Tribal Groups Concentration along the Project Road

- To ensure that tribal affected, both directly and indirectly, have been covered. Indirectly affected persons will include person who will face hardships during construction period, habitation with pockets of tribal population in general and also those with unique culture/way of living who will get exposed etc.
- To conduct focus group discussion (FGD) in the affected settlements/villages for identification of indirectly affected persons, as it is difficult to identify such people merely through a quantitative survey.
- To canvass pre-tested structured schedule for collection of socio-economic information.

2. Identification of potential income generation and employment generation activities in the project area for PAPs.

- To prepare a list of possible and feasible income generating economic activities
- To identify government schemes and programmes, which can be dovetailed with the options suggested by the PAPs? Options of PAPS are recorded in BSES, FGDs and Preparation of Village Diary.
- To conduct in-depth interviews with concerned DRDA officials and manager of Lead Bank of the area to identify various economic activities (source of funding and forward and backward linkages) that could be carried out in the project area.
- To analyse the data as collected during SIA preparation. This analysis could provide the number of PAPs against each trade or option proposed.
- To organise consultation meetings with PAPs to elicit their views and preferences regarding IR options.
- While identifying IR options, the following factors shall also be considered:
 - Education level of PAPs
 - Skill possession
 - Preferred economic activities by tribals
 - Extent of land left
 - Suitability of economic activity to supplement the income
 - Market potential and marketing facilities
- To match the options given by ST's, PAPs with their socio-economic characteristics, as per the data already collected during socio-economic survey.
- Based on matching exercise, to prepare draft list of trades for IR options.
- To work out the input cost and monthly income that will accrue out of the individual trade, market potential, etc.
- To ensure that trades/activities selected have low initial cost and requires low technology that matches with the resources available in the area.

- To approach PAPs with draft list of trades for one-to-one consultation to finalise the trade
- To explain the reasons, expected income, input cost, skills required to run the venture and other modalities regarding proposed trades. *This would help the PAPs to make an informed decision on selection of trades.*

3. To Impart Training

Skill Mapping and Training Need Assessment

- To conduct skill mapping among the PAPs after finalization of trades.
- For skill mapping, quantitative survey with pre-tested structure will be used to match the skill possessed and options preferred.

4. Consultation with the following agencies will help identify and finalize training requirement and availability:

- PD, DRDA
- GM, DIC and KVIC
- Representatives of various departments such as agriculture, minor irrigation, animal husbandry, etc.
- District Dairy Development Board
- Manager, Lead Bank
- Apart from these officials, depending on the trades, private entrepreneurs, government departments, local NGOs, etc., will also be consulted.

Efforts will be made to identify trainers/training institutes that can provide on-the-job training so that the trainees not only enhance their skill, but also earn while receiving the training.

5. Conduct Mass Awareness Camp

Coordinate with the government departments and NGOs responsible for Social and tribal welfare government schemes. Draw resource persons from the concerned program officers and conduct mass awareness camp in the project area for the tribal community at large. Based on the need and profile of the tribal population during consultation encourage enrollment in the active government programs.

Preparation of Gender Plan for sub projects under GNHCP

Summary of gender issues that needs to considered in planning of sub projects are:

- a) **Lack of land titles:** Traditionally, in India which is a patriarchal and patrilineal society, land and property are passed from male head to male heir. Payment of compensation to those with legal title is intrinsically gender biased. Because land and property are mainly registered in male names, women are usually excluded from receiving compensation. However, women have user rights over the land and forest, but are rarely allowed to inherit the land they use. Lack of landownership and property rights denies women equal access to compensation. Since the land compensation is based on legal ownership of land and property, almost in all cases, women do not have legal rights to land and property, even though they have enjoyed usufructuary rights and are dependent on them. Hence, they are not eligible for compensation and other benefits that are available.
- b) **Intra-household disparity:** Gender disparities that already exist in society and within the family tend to become aggravated in situations of involuntary displacement, rendering women and children, especially female children, vulnerable. This may manifest itself in greater morbidity or violence or fall in nutritional status. Equity in intra-household distribution of resources should not be assumed.
- c) **Restoration of livelihood:** Restoration of livelihood and income is equally important to women and men. Women are largely engaged in the informal sector—gathering forest produce, working in the fields, or selling grass. Women's economic activities are an important source of income for households. Loss of private or common property or loss of access to a common property will result in loss of livelihood, adding to women's economic hardships. Therefore, it is important to enumerate women's economic activities in planning stage itself.
- d) **Capacity building for income restoration:** Low levels of training and education among women limit the choice of alternatives. Though mostly rehabilitation package includes compensation opportunities for alternative occupations, choices for exploring alternatives and livelihood options for women are limited because of their low levels of skills, education, and exposure. Planning for occupational and livelihood options for women is crucial.
- e) **Involuntary dislocation could increase the burden on women.** The survey shows that, women are responsible for food, fuel, and fodder in the family. Often, fuel and fodder can become scarce as a result of negative environmental effects on natural resources like forest, water, and land. This can have direct impact on women, because they are responsible for gathering fuel and fodder. Unless this impact is addressed in resettlement planning and execution, it could result in women spending more time and resources accessing these basic needs. Also, loss of grazing areas could result in sale of livestock. Studies across the world have shown increase in morbidity and even mortality rates due to involuntary dislocation.

- f) **Restricted mobility and limited exposure affect women's ability to adjust.** Being less mobile than men, women's universe is more restricted. Hence, they have limited ability to cope with and adjust to new situations and environments.
- g) **Social impact of dislocation tends to affect women more than men.** Breakdown of community and other social networks as a direct result of dislocation can affect women more than men because women rely and depend on community and other social networks for emotional and practical support, such as taking care of children. Dislocation can be traumatic if these networks break down. The group discussion with women groups revealed that women largely depend on neighbors and other elders in the village for major decisions while men are out.
- h) **Road safety tends to concern women more than men in the road side habitations.** Among the women stepping out of house largely walk to their destination or use public transport. Women need to accompany their children to school, or cross the roads to fetch water or use other common facilities. In consultations women report to be more concerned than men about the high risk linked to accidents due to increased traffic speeds and volumes of heavy vehicular traffics that are likely happen after the construction.

Steps to mainstream gender in sub projects under GNHCP

I. Gender segregated data to be collected

Methods: Census and socio-economic questionnaire/FGD

Socio economic profile

- ✓ How do men and women differ in their education, occupation, and access to health?
- ✓ Intra household decision making dynamics by gender?

Access, control, constraints

- ✓ How do men and women differ in their access to and control of land, agricultural inputs, extension, markets, employment opportunities, and credit?
- ✓ Is external assistance provided to improve access/control? By whom?

Mobility

- ✓ How do men and women travel pattern differs?
- ✓ Do women move out of their village to access different services?
 - What purposes and at what frequencies?
 - What is the proportion of women who require transport for going to places of work, taking their children to school or for other non-work related activities?
- ✓ How the needs of transportation vary between men and women?
 - What kind of transport facilities are used by women to go out of the villages?
 - Whether own or public transport?
 - Is there a preference for the use of one kind of transport over the other?
 - When is public transport used?
 - What are the different kinds of public transport used?

- ✓ Is public transportation available at regular frequencies?
- ✓ Can one depend on public transportation to perform urgent/important work?
- ✓ Is public transportation safe? Are there any perceived or encountered problems in the usage of public transport?
- ✓ What are the problems faced by women while traveling out of the village?
- ✓ Are public wayside amenities/facilities adequate for traveling by public transportation? If No, what are the amenities that need to be built up – better bus stops, adequate lighting facilities at bus stops, washrooms in bus stops, etc.?
- ✓ Are any special provisions required to make public transportation journeys comfortable? Like reservation of seats in buses, running of special buses for women, etc.?
- ✓ What are the genders specific interventions required?

Participation

- ✓ What factors affect the level of men's and women's participation?
- ✓ What are the incentives and constraints?
- ✓ During which season is the demand for labor higher
- ✓ Which modes of participation do men and women favor (e.g., decision making in planning, cash contribution, labor contribution for construction, training, financial management, organizational management)?

Project impact

- ✓ Do men and women perceive positive and negative impacts of the project differently?
- ✓ Are the benefits likely to be distributed equitably?
- ✓ How can negative effects be mitigated?
- ✓ Are there any Disadvantaged or vulnerable groups?
- ✓ Who are they? Where do they live? What are their socioeconomic characteristics?
- ✓ How will the project affect these groups?
- ✓ *Land acquisition/Resettlement*: Extent of land to be acquired
- ✓ What are the gender-specific implications?

Organization

- ✓ What is the current level of women's representation in other community decision- making bodies?
- ✓ Local organizations
- ✓ Are there local organizations (e.g., local governments, national NGOs, CBOs, mass organizations) that address women's constraints and needs? How can the project link up with them?
- ✓ What mechanisms can be used to ensure women's active participation in project activities?
- ✓ What organizations can be used to mobilize and train women in the project activities and livelihood options?
- ✓ Incorporate the preferences of community men and women on issues such as: number and location of assets and sharing vs. individual arrangement of assets;
- ✓ Highlight women's strengths in mobilizing savings and resources.

- ✓ Incorporate the preferences of men and women in the community on:
 - financing arrangement
 - possible preferential treatment for very poor, female-headed and other disadvantaged families
 - credit or community-based revolving funds for women SHGs

II. Collect quantitative information.

Participatory methodologies (e.g., participatory rapid appraisal, focus group discussions, random interviews, walking tours)

- Collect qualitative information which cannot be collected through surveys.
- Define ways in which men and women beneficiaries and other stakeholders, especially poor women can participate in the project.
- Map out the target areas. Which are the most disadvantaged areas in terms of access to services and poverty level?
- Identify major stakeholder groups and their stake.

III. Develop Gender Plan as part of RAP based on above data collected

The Gender Plan should incorporate the following:

Planning: Conduct women specific consultation to take their views and suggestions on the design. In addition, door-to-door information to encourage women's participation is an important strategy to ensure the information reaches all, and those who are less likely to get such information. Bringing them to meetings is the first step towards seeking their inputs in the process. Any mechanism established during the project design such as grievance mechanisms should have adequate representation from women. Develop a participation framework for men and women during project implementation and M & E. Avoid overly high expectation of women's participation and develop a practical schedule, as women often have time and financial constraints. Document the gender-responsive design features in the DPR based on issues raised during consultations.

Construction: Make sub project specific recommendations to ensure work conditions that are conducive to women's participation (e.g., gender-equal wage rates, construction season, toilet, and child-care facilities). Make specific provisions in the civil contract documents.

Monitoring and evaluation (M & E): Provide indicators to monitor participation and feedback of women in the project implementation phase. Identify organizations that could facilitate women's participation during implementation and M & E.

Training options

- ✓ Identify ways to link up with income-generation, literacy, and other activities to support an integrated approach to poverty reduction and women empowerment

- ✓ Support a decentralized structure to allow linkages between the village and local government.
- ✓ Include financial and technical capacity building for relevant local government bodies to enable them to effectively support women SHGs.

Staffing, scheduling, procurement, and budgeting

- ✓ Hire female project staff.
- ✓ Consider seasonal labor demand in scheduling civil works.
- ✓ If appropriate, set a minimum percentage of female laborers and prohibit the use of child laborers in the civil works contract.
- ✓ Ensure adequate and flexible budgeting to allow a “learning” approach (e.g., training budget, consulting service budget for women’s organizations).

Monitoring and evaluation

- ✓ Develop M & E arrangements: (i) internal M & E by project staff; (ii) external M & E by NGOs or consultants, as necessary; and (iii) participatory monitoring by beneficiary men and women.
- ✓ Disaggregate all relevant indicators by gender such as number of women gaining access to credit, increase in women’s income, and career prospects for project trained women

Consultation Framework

Project Preparation	<p>Information dissemination and consultation with APs during field surveys:</p> <ul style="list-style-type: none"> • project description and its likely impacts • objective and contents of the surveys • general provisions of compensation policy • mechanics and procedures for public participation and consultation • resettlement options (reorganization on remaining land, relocation to a fully developed resettlement site, or cash compensation) • grievance redress procedures • feedback on the availability of PAPs to participate in income generation activities in the sub-project, where relevant <p>It is a good practice to prepare a brief Public Information Booklet (PIB) for distribution to all the PAPs; the project will work towards publishing such PIB. The PIB will very briefly explain the sub-project objectives, likely benefits and adverse impacts, general provisions of the compensation policy, and grievance redress mechanisms.</p>
	<p>Information dissemination to local authorities after completion of census & inventory and during the SIA/RAP/IPDP preparation:</p> <ul style="list-style-type: none"> • sub-project components • proposed policies and procedures including proposed resettlement strategies • a summary of impacts • request for identification of resettlement sites, if necessary • tentative implementation schedule • roles and responsibilities of the sub-project proponents and local authorities
	<p>Consultation with community and other key stakeholders:</p> <ul style="list-style-type: none"> • feedback regarding relocation site(s) • preferences for the mode of compensation for affected fixed assets (i.e., cash or land-for-land) • in case a tribal community will be affected by the project, the consultation will also touch on the socio-cultural implications of the draft RAP / TDP and the project • when the draft RAP / TDP are available they should be provided to key stakeholders and local NGOs in their native language and put in a public place. Feedback should be

	<p>requested and incorporated into the final documents. The feedback could be received through email, phone, face- to-face interaction, meetings etc.</p> <p>Details of all the public meetings held with people and local government officials with dates, location and the information provided and the major emerging issues should be documented. It is recommended that RAP and other documents include this list, as an attachment. Where public announcements are made, the details, together with a copy of the text of the announcements should be provided in the documents.</p> <p>Indigenous Population have their own representative organizations that provide effective channels for communicating local preferences. Traditional leaders occupy pivotal positions for mobilizing people and should be brought into the planning process, with due concern for ensuring genuine representation of the tribal population. NGOs of respective areas should be mobilized in this process.</p> <p>The draft RAP/IPDP/SIA should be discussed with local authorities and a copy of the document should be kept with provincial and district level authorities. PAPs should be informed through public announcements on the availability of the draft documents at the district and local government level.</p>
Project Implementation	<p>Information dissemination and consultation with PAPs during RAP implementation:</p> <ul style="list-style-type: none"> • Sharing RAP document with local authorities • Major policy resettlement policy provisions and grievance redress mechanism should be informed to the APs and beneficiary households in the project area through village level public meetings. • One to one meeting with the PAPs to explain their eligibility • Placing of micro plan for compensation and resettlement in affected villages for review and minimize grievances • Payment of compensation to PAPs in public meeting to maintain transparency • Household consultation for skill improvement training, use of compensation amount and livelihood restoration
Public Participation in Project Monitoring and Ex-Post Evaluation	<ul style="list-style-type: none"> • Establish Stakeholder Monitoring Group (SMG), consisting of affected people and civil society members. The group will be responsible for monitoring of all aspects of resettlement implementation and provide feedback to the PIU • Participation of PAPs in monitoring will provide project management with a more accurate reflection of PAPs reactions and perceptions.

Suggestion and Complaint Handling Mechanism (SCHM)

The design of GNHCP is complex and its geographical scale is immense, and the project is expected to have a wide array of enquiries, comments, suggestions as well as face some operational risks. MORTH is working to establish a sound Suggestion and Complaint Handling Mechanism (SCHM) for GNHCP to address and handle external and internal inquiries, suggestions and comments, and concerns/complaints/ grievances as well as improve accountability and service delivery under GNHCP.

SCHM Users

The users of SCHM could be anyone from the project stakeholders, including civil servants (from MORTH, State PWDs, or from other State Departments) contractors, consultants, project affected people (communities), road users, CSOs/NGOs, any other public, who realizes either impact from or relation to the concerned project.

Management of SCHM

The overall responsibility for the operation and management of GNHCP's SCHM will rest with the EAP MoRTH. The GNHCP's SCHM will be handled at three levels: at the State's, MORTH's level, and project level.

Since all pre-construction and civil works will be implemented and managed by the States, all enquiries, suggestions and complaints related to a specific road will be submitted to the concerned implementing agency at the State Level. Each PCU at the State level is to set up a toll free number and/or email account for the project stakeholders and general public to submit their enquiries, suggestions and complaints. The toll free number and email account are to be displayed at the sign boards at the start and end of each project road. The bidding documents will have a requirement for the contractor to put in place signs at the start and end of the project road which will display the toll free number and email account to submit enquiries, suggestions and complaints to the concerned implementing government agency. Similarly, inquiries, suggestions, or complaints related to specific roads can also be submitted to project authority as well, but the project authority will encourage complainants to send their queries/concerns directly to the PCU or EAP authorities. In whichever level the queries are submitted, a due recording and documentation will be carried out by the respective authorities.

The EAP head will be in charge of assigning the responsible person/entity to address and handle enquiry, suggestion or complaint submitted at the MORTH's level. However, within his/her team he/she will assign an officer (engineer) who will be responsible for coordinating inquiries/comments and complaints/ concerns/grievances. His/her responsibilities will include:

- To respond to as many inquiries/comments as possible
- To receive and sort concerns/grievances

- To forward them to appropriate team members for resolution as per recommendation of the
- EAP Head
- To track/monitor complaint/grievance acknowledgement and resolution
- To review and report on complaint/grievance data and trends to the MORTH EAP Head, who in turn will report to MORTH CVO, GNHCP Project Oversight Committee, and WB

After receiving complaints, the complaints will be informed within three week about the status of the complaints and what action will be taken further.

Channels

The following channels should be established to receive inquiries/comments and concerns /grievances:

- ☐ Toll free phone
- ☐ Email
- ☐ On-line form
- ☐ Regular post/mail
- ☐ Suggestion box/Walk-ins

It is critical to assign a specific e-mail ID and a phone/fax number, and to set up an easy-to-access suggestion box and walk-in office. The project website will have a permanent sub-window that will contain an on-line form and facilitates grievance/complaint collection.

On-line Form for Suggestions and Complaints

The on-line form for suggestions and complaints will be provided on the GNHCP website. The form will contain only three entries as outlined below.

Subject: _____ GNHCP Road: ____ Content: ____

Your email: _____

Suggestions/complaints submitted through this on-line form is to go directly to (a) the EAP Head's email account and (b) internal reporting system for SCHM (excel file).

SCHM Reporting Format

The internal reporting system for SCHM (excel file) will have the following entries/columns:

1. Date
2. Subject
3. Road
4. Content
5. Email (of the complainant)
6. Acknowledgment date (Date when EAP sent an email to the complainant to acknowledge that the email has been received, the issue will be handled within that period of time and the response/feedback will be provided to the complainant by that deadline)

7. Responsible Person
8. Deadline for Feedback
9. Actual Date for Feedback
10. Solution/Feedback on the Suggestion/Complaint
11. Additional Comment (e.g., if the person was unsatisfied with the feedback/solution provided and indicated that he/she will go to another authority to complain)

Annexure 12**Training Programme and capacity building on social Management**

Training Topics	Resource agency/persons	Trainee/Participants	When	Frequency
Environmental and social management in GNHCP project- Orientation	MoRTH/PMC	EAP (staff- SDS, Environmental Specialist, SE etc), PIU (R&R officer etc.)	For EAP/Regional Office, at the project launch	One day/One time
Baseline data, methods of data collection/verification, and overall M&E of indicators	As above	Relevant staff of EAP, Regional Officer, RRO	For EAP/ Regional Office , at the project launch; For Regional Office and Team: when a subproject meets the readiness criteria	Two days/Once a year
Resettlement policies and legal framework/ Resettlement action plan	MoRTH-EAP/PMC	Regional Officer/RRO, and other line departments	When subproject meets readiness criteria	First year- Six monthly; once a year from second year
Rehabilitation steps	As above	Relevant staff of EAP, Regional Officer	For EAP, before signing project agreement; For Regional Office and PIU : when a sub-project meets the readiness criteria	One day/Once a year
Grievance redressal process	As above	Relevant staff of EAP, Regional Office and RRO	For EAP, At project launch; For Regional Office and PIU : after project implementation	One day/Once a year
Progress reporting and participatory monitoring	As above	Relevant staff of EAP, Regional Officer and RRO	For EAP and PIU, At the project launch; For Regional Office and PIU : During the first six month of project implementation	First year- six monthly; Once a year from second year

Gender mainstreaming in project implementation process	As above	Relevant staff of EAP, Regional Officer and RRO	For EAP, At the project launch For Regional Office and PIU : after awarding the contract	One day/Once a year
Labour, EHS, and HIV/AIDs	As above and other supports as necessary	Relevant staff of EAP, Regional Officer and RRO	For EAP , before signing project agreement; For Regional Office and PIU : before awarding the contract	One day/Once a year
Sub-project specific RAPs will include detail training/capacity development programs for Regional Officer and RRO/other PIU staff, NGOs, and PAPs. Some examples of such training programs are presented below.				
Environmental and social management in GNHCP project	MoRTH/PMC/ Regional Officer and RRO	NGOs, Contractor staff	Within first month of contract award	Once a year
Resettlement policies and legal framework	MoRTH/PMC/Bank staff/ Regional Officer and RRO	NGOs, Contractor staff	As above	Once a year
Resettlement action plan	MoRTH/PMC/ Regional Officer and RRO	NGOs, Contractor staff	As above	Once a year
Baseline data, methods of data collection/verification, and overall M & E Indicators	As above	Regional Office and Team , NGOs, Contractor staff	Before contract is awarded	Once a year
Preparation of micro plans	NGOs	Regional Office and Team , PAPs, construction supervision consultant	When the contract is awarded	One day/One time
Rehabilitation steps	MoRTH/PMC/ Regional Officer and RRO	NGOs, Contractors staff	As above	One day/One time

Economic development and skill building/enhancement	As above+ resource person as needed	NGOs	When the contract is awarded	One day/One time
Road safety	As above	NGOs, Contractor staff	Within first two months of contract	One day/Once a year
Grievance redressal process	As above	NGOs, Contractor staff	When the contract is awarded	One day/One time
Progress reporting and participatory monitoring	As above	NGOs, Contractor staff	When the contract is awarded	One day/One time
Gender mainstreaming in project implementation process	As above+ expert NGO	NGOs, Contractor staff	When the contract is awarded	One day/Once a year
Labour, EHS, and HIV/AIDs	As above	NGOs, Contractor staff	Within the first three months of civil works begins	One day/Once a year
Examples of training programs for PAPs/Local Communities				
Rehabilitation steps and R&R assistance	NGOs	PAPs	After sub-project is awarded	One day/One time
Economic development and skill building/enhancement	NGOs	PAPs	As above	As per the social management (SM) plan
Road safety	NGOs	PAPs/local community groups	As above	One day/Once a year
Grievance redressal process	NGOs	PAPs/GRC committee	As above	One day/Once a year
Labour, EHS, and HIV/AIDs	NGO	PAPs	As above	One day/Once a year
Literacy and awareness raising trainings	NGOs	PAPs, Women's self-help groups	As above	As per SM plan

Annexure 13

Reporting Framework

Frequency	To be prepared by	To be submitted by	Input/ Output	Key Indicators/ information to be reported
Monthly	R&R officer	Regional Office	Process indicators	<ul style="list-style-type: none"> • Staff: Number of staff and agencies involved for RAP and/or Social Management Plan implementation; and status of staff being mobilized. • Consultation: Number of consultation meetings held (PAPs, other stakeholders); Number of women in consultation meetings; Number of field visits by NGOs etc. • Grievances: Number (%) and types of grievances received and resolved; % of complaints cases at the court • Procedures: Effectiveness of compensation delivery system (procedures being followed); Coordination between line agencies;
			Output indicators	<ul style="list-style-type: none"> • LA: Area (%) of private and public land acquired/transferred; Number of people affected? Number of plots affected. • Structures: Number and type of private, public, and cultural structures impacted. Status of relocation of cultural structures, status of demolition of public/private structures. • Trees and crops: Number and types of private and public trees acquired; types and area of crops that have been affected. • Compensation and R&R: Status of disbursement of R&R assistances (verification of PAPs, preparation of ID card- for titleholders and non-titleholders;

				<p>preparation of micro plan, approval of micro-plan, disbursement of assistance/Number of people (%) who received compensation before the construction begins. Number of displaced persons resettled or assisted for self- relocation? Proper documentation of RAP activities implementation (e.g. HIV awareness, consultation process, distribution of assistance, etc), % of tribal populations who have already received compensation and/or R&R assistance</p> <ul style="list-style-type: none"> • Trainings: Number of people/days that are provided with trainings on income generations, HIV/AIDs etc, road safety etc.
Quarterly	Regional Officer	MoRTH/World Bank	Process Indicators	<ul style="list-style-type: none"> • Staff: Number of staff and agencies involved for RAP and/or Social Management Plan implementation; adequacy of designated staff. • Consultation: Number of consultation meetings held; Number of women participated in consultation meetings; Number of field visits by NGOs etc. • Grievances: Number (%) and types of grievances received and resolved; Number of complaints cases at the court • Procedures: Effectiveness of compensation delivery system; Coordination between line agencies;
			Output Indicators	<ul style="list-style-type: none"> • LA: Area of private and public land acquired; Size of cultivated or uncultivated land? Number of people affected? • Structures: Number, type and size of private, public, and cultural structures impacted.

				<ul style="list-style-type: none"> • Trees and crops: Number and types of private and public trees acquired; types and area of crops that have been affected. • Compensation and R&R: Number of people (%) who received compensation before the construction begins; Number (%) of affected persons resettled during this period? % of IPs who have already received compensation and/or R&R assistance on time; Proper documentation of compensation and R&R assistances made over this period; Interval or time lag between approval of micro plan and the release of the fund. • Trainings: Number of people/days that are provided with trainings on income generations, HIV/AIDs etc.
Six Monthly	Independent Third Party Assessment	PIU/Regional Office	Process Indicators	<ul style="list-style-type: none"> • Staff: Number of staff and agencies involved for RAP and/or Social Management Plan implementation; Adequacy of skill-mix and authority of staff involved • Consultation: Number of consultation meetings held; Number of grievances received and resolved during this period; Number of women in consultation meetings; Number of field visits by NGOs etc. • Procedures: Effectiveness of compensation delivery system; Coordination between line agencies; If there is a time lag in LA process, how did it happen? Appropriate explanations and proposed interventions needed from the project authority should be presented. • Reporting- On-time monthly and quarterly reporting.

				<ul style="list-style-type: none"> The report should also provide opinions of PAF with regards to implementation of rehabilitation and resettlement plan. Both qualitative and quantitative data should be included.
			Output Indicators	<ul style="list-style-type: none"> LA: Area of private and public land acquired; Size of cultivated or uncultivated land? Number of people affected? Structures: Number, type, and size of private, public, and cultural structures impacted. Trees and crops: Number and types of private and public trees acquired; types and area of crops that have been affected. Compensation and R&R: Number of people (%) who received compensation before the construction begins; Number (%) of affected persons resettled during this period? % of IPs who have already received compensation and/or R&R assistance on time; Proper documentation of compensation and R&R assistances made over this period; Interval or time lag between approval of micro plan and the release of the fund. Trainings: Number of people/days that are provided with trainings on income generations, HIV/AIDs etc.
Twice a year	Independent third party evaluation	MoRTH/PIU/Regional Office/World Bank	Includes both process and output indicators	<ul style="list-style-type: none"> Staff- number of staff dedicated to RAP and/or SMP implementation; Adequacy of staff and their skills; Consultations- Is there adequate evidence of proper consultation being carried out with PAPs for R&R assistance? How well the consultations with community members are going in implementing

				<p>RAP/SMP?</p> <ul style="list-style-type: none"> • LA- Has the LA been carried out prior to civil works? Were there adequate compensation, processes, and documentation followed for LA, structures, trees, crops etc? • R&R – Has the R&R been adequately and timely carried out for both titleholders and non-titleholders? • Gender- How well gender is mainstreamed? • Is there adequate gender disaggregated data available? • Indigenous Peoples- How well IPs has been consulted? Is there adequate evidence of proper IP consultations? • Grievance- Has the GRM been adequately functioning? Are the PAPs happy with the GRM mechanism? • Sample survey—A sample survey should be conducted to measure whether project affected people's economic situation have improved. This exercise should clearly spell out before and after economic conditions of the displaced households. • Reporting—how well the monitoring reports- monthly, quarterly, and six- monthly-- have been submitted to relevant authorities?
At the end of the project	Impact Evaluation – Independent party	MoRT&H /PIU/ World Bank	Includes both process and output indicators	<ul style="list-style-type: none"> • LA and R&R- % of PAPs who have more income now compared to their before LA status; Growth in market areas; Good practices and lessons learned on LA and R&R. • Grievance- Success in conflict handling practices at different level of project implementation- EAP, PCU, and PST/PIU level. • Consultations- Change in community consultation practices/behavior; Improvement in

				<p>institutional coordination/consultations.</p> <ul style="list-style-type: none">• Gender- % increase in women’s participation in community meeting; % decrease in gender gap in education, health, employment status.• Tribal Peoples- % increase in household income of IPs;• Survey: A survey consisting both quantitative and qualitative will be applied, to verify or derive above mentioned information.• Accountability—how adequately the monitoring reports have been submitted to relevant authorities?
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