



## 0 EXECUTIVE SUMMARY

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### 0.1 Introduction

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

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

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

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

- Hamirpur – Rath Road, Existing length 75.7 km (KM 2+000 to KM 77+720)
- Rath – Garautha, 35.0 km. This is missing link and alternative alignment via ODR/MDR is taken forward. The road has to be taken up for bid in Phase II.
- Garautha – Chirgaon (Jhansi), 50.0 km

The Uttar Pradesh Public Works Department over a 3-year period will implement the project. Although there is no land acquisition in this particular corridor, there are non-titleholders who will be adversely impacted due to the project and Resettlement Action Plan (RAP) has been



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

This document comprises the Resettlement and Rehabilitation Action Plan (RAP) of the Uttar Pradesh Public Works Department (UPPWD). The RAP meets all Government of India (GOI) and World Bank resettlement-related requirements and complies with applicable GOI and World Bank (OD 4.20 and 4.30) regulations, policies, and procedures including those on public participation, environmental assessment and indigenous people. It confirms to provisions of *Resettlement and Rehabilitation Policy for Persons Displaced or affected by Projects in Uttar Pradesh*. Government of Uttar Pradesh has approved the policy vide letter number 1195(1)/23-12-14 dated August 19, 2014. Uttar Pradesh PWD will implement this RAP with assistance from other government agencies, and non-governmental and community-based organizations.

## 0.2 Objective of the Study

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

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

## 0.3 Scope of the Study

The scope of the study includes:

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

## 0.4 Methodology

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



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

This Resettlement Action Plan (RAP) report has been prepared as per the Rehabilitation (R&R) policy formulated for the Core Road Network Development Program by Uttar Pradesh Public Works Department (UP PWD) and is based on World Bank's Operational Directives (O.D.) 4.30 and 4.20 for resettlement of involuntarily displaced persons and indigenous people and UP State Rehabilitation Policy. The principle of the R&R policy is the guiding philosophy to provide a development approach to resettle and rehabilitate the people affected by the project.

The preliminary social assessment was carried out, considering 10m either side along the project road except at the proposed facilities such as Junctions, Bridges etc. Most of the land use categories along this section is agricultural (predominantly); residential and general activities carried out by the local residents. Right of Way and Corridor of Impact

Right of way is the public land owned by the State Government and administered by the PWD, for the existing road. Right of way held by the PWD is the lawfully acquired corridor of land. The established width on an average is 30m. However, Right of Way width varies from 19 m to 44 m. Moreover, the existing ROW is not free of encumbrances, as will be seen from the strip maps. Using available records with the PWD and the revenue department, R&R team have verified the boundaries of the legal right of way as well as boundaries of private properties within and in the vicinity of the corridor of impact. The limit of displacement will be limited not to the legal right of way but only to the corridor of impact. The corridor/prism of impact is the corridor required for the actual construction of the road, including carriageway, shoulders, embankments and longitudinal drainage. Within this corridor there should be no structures or hindrances.

**Table 0.1: Availability of Existing RoW**

S. No.	Chainage		RoW (in Metres)	Corridor of Impact	Remarks
	From	To			
1	2+065	3+500	36	34	Road cross-section with unlined drain
2	3+500	9+900	32	25	Road cross-section with unlined drain
3	9+900	11+010	30	13	With covered drain because of built-up area
4	11+010	25+ 350	30	24	With unlined drain
5	25+ 350	26+500	30	13	With covered drain because of built-up area
6	26+500	33+ 850	32	24	With unlined drain
7	33+ 850	35+000	30	13	With covered drain because of built-up area
8	35+000	50+450	32	24	With unlined drain
9	50+450	51+800	30	13	With covered drain because of built-up area
10	51+800	64+000	32	25	With unlined drain
11	64+000	70 +000	35	24	With unlined drain
12	70 +000	74+760	36	24	With unlined drain

Source: EGIS Primary Survey 2014

## 0.5 Rehabilitation Issues

Most of the infrastructure improvements planned for the urban/rural areas will take place within the existing Right of Way (ROW) except at some of the congested settlements and densely built-up areas and at locations where minor improvements are required for accommodating road safety measures. Social screening surveys conducted in the Detailed Project Report (DPR) stage and



verified the Right of Way (ROW) with revenue records. It was obvious that in majority sections of the project road, ROW may be enough to accommodate/fit the considered design standards. Further, it has been identified that ROW is not fully free from encumbrances and at many places it is encroached and squatted upon by the people for various purposes, mainly, near habitations and in marketplaces. In order to face or overcome these consequences, a preliminary idea of Social and Rehabilitation issues need to be acquired. The key social issues considered are as follows:

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

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

The proposed project road passes through the settlements wherein some permanent, semi-permanent and temporary structures are found in large numbers. These comprise private, government and community assets. The major portion is predominantly agricultural land. In general, the inhabitants occupying lands for different activities along the proposed road have land titles. This information has been used in the design of the Entitlement Matrix and mitigation measures. Common Property Resources (CPR) along the sections of the project road include religious structures, community, water resources, etc. Majority of the temporary structures within the existing right of way are road side commercial establishments. These are either squatters or kiosk owners engaged in small time petty businesses such as eateries, tobacco selling, tea stalls, etc. The structure owners belong to a below poverty line group.

## **0.7 Social Impact Assessment**

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

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

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



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

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

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

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

A full census has been undertaken in the 30 m corridor (August to October 2014) to register and document the status of the potentially affected population within the project impact area, their assets, and sources of livelihood. The baseline data was collected in 20 m corridor to get information of a wider corridor as it gives more flexibility for deciding widening options. Census data provides the basis for establishing a cut-off date for non-title holders in order to determine who may be entitled to relocation assistance or other benefits from the project.

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

**Table 0.2: Impact of the Project**

30 M			CoI (in M)		
No. of PAPs	No. of PAHs	No. of PAFs	No. of PAPs	No. of PAHs	No. of PAFs
6950	1912	2954	2028	488	798

Source: EGIS Primary Survey 2014

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

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

Residential	Commercial		Residential cum Commercial	Others	B. Wall	Total
	Structures	Kiosk				
150	328	207	51	26	36	798

Source: EGIS Primary Survey 2014

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

## 0.8 Corridor of Impact

On an average the COI is 25 m and it varies between 13 m to 35 m. From chainage 2+150 to 2+250, COI is 44m due to raised cross section. The available ROW though is 36 m. However, the land outside the ROW on the right is government land which is free of encroachment and other encumbrances. In order to avoid Land Acquisition (LA), a toe wall has been provided. Similarly from chainage 3+350 to 3+400, COI varies from 30 to 34 m which is more than available ROW. At this location a toe wall has been provided to avoid land acquisition. A toe wall also has been provided at chainage 3+550 to save LA and a few residential structures.

**Table 0.4: Distribution of Project Affected Households by Type of Loss**

Residential	Commercial		Residential cum Commercial	Others	B. Wall	Total
	Structures	Kiosk				
90	194	141	29	22	12	488
18%	40%	29%	6%	5%	2%	100

Source: EGIS Primary Survey 2014

As the **Table 0.4** above shows, impact is more on commercial establishments including temporary kiosks. Out of the total project affected households, 69% are commercial; 6% are residential cum commercial, 18% are residential and others cum boundary wall come to only 7%.

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



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

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

In most cases, the project will not require either full demolition or the taking of residential or commercial structures to the extent that either resettlement or relocation will be necessary. Generally, only a narrow frontage strip of several meters or less will be affected. Frequently, this means that only a compound wall or fences, yards, must be removed. In some cases, small portions of roadside dwellings and businesses will be taken. Only rarely, will it be necessary to take entire residential or commercial structures. However, kiosks will have to move out of COI though they may remain within the ROW. The right of way (ROW) for this corridor ranges from 19 m to 44 m. The design width of the road will not be more than 20 m and will be well within the available ROW. Therefore, no Land Acquisition is envisaged in Hamirpur–Rath project road.

## 0.9 Cut off Date

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

**Table 0.5: Cut off Date**

Route No.	Route Name	Start Month	End Month
SH- 42	Hamirpur-Rath-Gursahayganj-Jhansi Road (Section Hamirpur-Rath km 2+065 to 76+500 km)	1 August-2014	4 October-2014

**Table 0.6: Distributions of Project Affected Households by Type of Loss**

Residential	Commercial		Residential cum Commercial	Others	B. Wall	Total
	Structures	Kiosk				
90	194	141	29	22	12	488
18%	40%	29%	6%	5%	2%	100

Source: EGIS Primary Survey 2014

Other properties includes the loss of trees, irrigation units, etc. As the table above clearly shows that impact is primarily on commercial structures, though majority of them are temporary. This is primarily because commercial structures are always established along the highways for better business prospects.



**Table 0.7: Distributions of Community Properties by Category**

Temple / Shrine / Chabutra	Mosque	Well	Water Tap	Water Tank	Hand Pump	Bus Stop	Others	Total
10	0	4	5	1	46	13	0	79

Source: EGIS Primary Survey 2014

As the table above shows a total of 79 community properties are within the corridor of impact of which 46 are hand pumps and 10 are cultural properties.

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

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

**Table 0.8: Distribution of Affected and Displaced Families**

No. of PAPs	No. of PAHs	No. of PAFs	No. of PDFs
2028	488	798	491

Source: EGIS Primary Survey 2014

As shown in the table above, a total of 488 households (798 families) will be affected due to proposed road up-gradation, which in turn will affect 2028 persons.

**Table 0.9: Distributions of PAFs and PDFs by Type of Affect**

Affect Type	Type of Loss						Total
	Residential	Commercial	kiosk	Resi.+ Comm	Others	B. wall	
Displaced	16	268	207	0	0	0	491
PAF	150	328	207	51	26	36	798

Source: EGIS Primary Survey 2014

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

Approximately 61 % of the total affected families will be displaced either because of the loss of residential property or commercial property/kiosk. It is only the squatter & kiosk who will be displaced.

**Table 0.10: Demographic and Social Characteristics in Corridor of Impact**

Demographic/Social															
Distribution of PAPs by type of Sex			Distribution of Families by Family Type				Distribution of Families by Religious Groups				Distribution of PAPs by Social Stratification				
Male	Female	Total	Nuclear	Joint	Extended	Total	Hindu	Muslim	Others	Total	SC	ST	OBC	General	Total
1119	909	2028	284	166	38	488	450	38	0	488	86	0	266	136	488





Distribution of PAPs by Marital Status							Distribution of PAPs by Age Group						
Married	Unmarried	Divorced	Separated	Widow	Total	0 to 6 years	7 to 15 years	16-18	19-21	22-35	36-58	59 and above	Total
903	1074	3	6	42	2028	268	391	134	119	531	445	140	2028

Source: EGIS Primary Survey 2014

During the census survey, sex of every individual was recorded as it helps in identification of family and a vulnerable category as per R&R policy. As the table above shows, approximately 55% PAPs are male and 45% are female. The Majority of the families (58%) are nuclear in nature. Nearly 92% of the PAPs follow Hinduism. Caste configuration shows that 71% of the PAPs are from other backward castes and 29% belongs to general caste. The scheduled castes are 18% of the total affected families.

To identify affected families as per the R&R policy of UP State Roads Project, the marital status of PAPs has been recorded and more specifically of women PAPs. According to survey results, the number of unmarried PAPs is higher than married ones. Data for divorced, separated, widows and ones deserted was specifically analyzed as they all form separate families as per R&R policy and are eligible for R&R assistance. The marital status of the PAPs shows that 44% are married. Nearly 2% PAPs are widows and less than 1% are either separated or divorced.

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

As the table on age cohort shows, nearly three fifths of the population comes under an economically independent group of 19 to 58 years of age. About 13% of the population comes under age for school and about 7% are above 59 years of age.

**Table 0.11: Distribution of PAPs by Literacy Level**

Illiterate	Primary	Upper primary	Secondary	Intermediate	Graduate	technical	Others	Total
611	453	458	234	149	69	47	7	2028

Source: EGIS Primary Survey 2014

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

For recording the literacy level, the completed years of education have been taken. e.g., a respondent who failed to clear the 10th standard level has been considered as a middle literate. Similarly the respondent who failed to clear the 12th standard level has been considered as a secondary literate. However, those who have attended school but failed to clear the 5th standard level still have been considered as a primary level. The literacy rate among the PAPs is quite high. Nearly 30% of the PAPs were found to be illiterate. Even among the literates, 22% PAPs are



literate up to primary level. Graduates and above are only 3% of the total population. Around 3% have done some technical literacy.

**Table 0.12: Distribution of Families by Type of Loss**

Residential	Commercial		Residential cum Commercial	Others	B. Wall	Total
	Structures	Kiosk				
150	328	207	51	26	36	798

Source: EGIS Primary Survey 2014

As the **Table 0.12** above shows, the impact is more on commercial establishments which are immediate property in most cases of built-up sections. Out of a total 798 affected families, nearly 19% are residential & 41% are commercial, 26% are from a kiosk. Another 6% of families are affected due to loss of residential cum commercial structures. Among the affected commercial structures, 207 are kiosks of those who will be displaced.

**Table 0.13: Vulnerability Status of the Household in Corridor of Impact**

Vulnerability Status of the Household			
Caste	BPL	WHH	Total
303	55	12	370

Status of Women Headed Household (WHH)			
PDFs	PAFs	PAHs	PAPs
15	25	12	77

Source: EGIS Primary Survey 2014

The survey results show that out of 25 WHH Families, 15 come under displaced categories.

Status of Ownership				
Squatter	Encroacher	Kiosk	Tenant	Total
203 (42%)	144 (30%)	141 (28%)	0	488

Source: EGIS Primary Survey 2014

The survey results show that out of 798 families, 370 are vulnerable. Among the vulnerable families, 85 % are socially vulnerable and rest 15% are economically vulnerable. The ownership status shows that over 42% are squatters. Apart from squatters, 28% are kiosk owners and 30% are encroachers. As per the project's R&R policy, vulnerable encroachers will be provided cash assistance at replacement costs for loss of structures; a onetime grant of Rs. 36000 as subsistence allowance; shifting allowance of Rs. 50,000 per family as a onetime grant for a permanent structure and Rs. 30,000 for a semi-permanent structure and Rs. 10,000 for a temporary structure; and each affected person who is a rural artisan, small trader or self-employed person the assistance of Rs 25,000 for construction of working shed or shop. In case of kiosks, only Rs. 5000 will be paid as a one time grant.

### 0.11 Resource Base of the Affected Families

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

**Table 0.14: Resource Base**

Enlistment of Families		Facilities owned by Families	
No. of families holding ration card	634	No. of families with electrification	356
No. of families holding voter card	718	No. of shops with electrification	178
Families with legal document	53	No. of families with tap connection	45
		No. of shops with tap connection	0

Source: EGIS Primary Survey 2014

As the table above shows, out of 798 families, 634 holds ration card and five households also owns legal document of the property. Out of 1677 adults, less than half of the PAPs (718) holds voter's card. Approximately half of the families have electricity connection whereas just 6% families have tap connection. Though nearly 25% shops have electricity connection, none of the shops have tap connection.

**Table 0.15: Construction Typology of Structures**

Permanent	Semi-Permanent	Temporary	Total
12	69	407	488

Source: EGIS Primary Survey 2014

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

## 0.12 Usual Activity

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

As the Table 0.16 shows, over one fourth of the total PAPs are engaged in some or the other kind of economically gainful activity and hence are in the category of workers. In rural areas, generally some kind of economically gainful activities are always available either in cultivation or non-agriculture labour activities run under various government poverty alleviation schemes. Still a small percentage of PAPs are reportedly non-workers or unemployed. Hence, such section of PAPs will require special attention during implementation phase of RAP. Over one fifth of the total PAPs reportedly are engaged in household chores and such PAPs are primarily women. Details about the household activities carried out by women PAPs are presented in chapter eleven on vulnerable groups.

**Table 0.16: Usual Activity**

Occupation							
Worker	Non Worker	Main Worker	Migrated Worker	Home Worker	Student	Non-school going age Children (0to 5 years)	Others
675	102	114	11	381	508	225	8

Source: EGIS Primary Survey 2014

**0.13 Occupational Pattern**

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

As the survey results shows, trade and business (primarily petty shops) is the most common occupation found among the PAPs settled along the road. Nearly 60 percent of the PAPs are engaged in Trade and Business followed by non agriculture labourers and agriculturists.

**0.14 Average Annual HH Income and Expenditure****Table 0.17: Distribution of HH by Income Level**

1000 - 5000	5001 - 10000	10001 - 15000	15001 - 20000	20001 - 30000	30001 - 60000	Total
365	82	16	16	7	2	<b>488</b>

Source: EGIS Primary Survey 2014

Annual income helps in identifying families below poverty line. During the survey income of a household through all possible sources was recorded. Accordingly, the average monthly household income, as table above indicates is Rs. 4712. The various sources asked during the survey for calculating household income includes agriculture; allied agriculture activities; agriculture labour; non-agriculture labour; household industries; services; trade and business; profession; etc. Income from these sources was added up and weighted average was taken to arrive at average annual income figure.

The average monthly expenditure is Rs. 4485 which is little less than the income and this is one reason why PAPs have some kind of saving. The various heads of expenditure asked during the survey included food; fuel; clothing; health; education; communication; social functions; etc. Like income, in calculating average expenditure per family, expenses made against each head was added up and weighted average was taken up to arrive at average annual expenditure.

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

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

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

Apart from the positive aspects of the road up-gradation, the project may cause loss of land, structures, other immobile properties and various sources of livelihood. This document describes the principles and approaches to be followed in minimizing and mitigating negative social and economic impacts caused by projects so that the affected are able to restore and improve their standard of living. The entitlement matrix as per different impact categories is given below.

S. No.	Application	Definition of Entitled Unit	Entitlement	Details
<b>A. Loss of Private Agricultural, Home-Stead &amp; Commercial Land</b>				
1	Land within	Titleholder	Compensation at	(a) Land for land, if available. Or, Cash compensation



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



S. No.	Application	Definition of Entitled Unit	Entitlement	Details
3	Structure within the Corridor of Impact (Col)	Tenants/ Lease Holders	Resettlement & Rehabilitation Assistance	<p>a) Registered lessees will be entitled to an apportionment of the compensation payable to structure owner as per applicable local laws.</p> <p>b) In case of tenants, three months written notice will be provided along with Rs 50,000 towards shifting allowance.</p>
<b>C. Loss of Trees and Crops</b>				
4	Standing Trees, Crops . within the Corridor of Impact (Col)	Owners and beneficiaries (Registered/ Un-registered tenants, contract cultivators, leaseholders & sharecroppers	Compensation at market value	<p>a) Three months advance notice to project affected persons to harvest fruits, standing crops and removal of trees.</p> <p>b) Compensation to be paid at the rate estimated by:</p> <p>i) The Forest Department for timber trees</p> <p>ii) The State Agriculture Extension Department for crops</p> <p>iii) The Horticulture Department for fruit/flower bearing trees.</p> <p>c) Registered tenants, contract cultivators &amp; leaseholders &amp; sharecroppers will be eligible for compensation for trees and crops as per the agreement document between the owner and the beneficiaries.</p> <p>d) Un-registered tenants, contract cultivators, leaseholders &amp; sharecroppers will be eligible for compensation for trees and crops as per mutual understanding between the owner and the beneficiaries.</p>
<b>D. Loss of Residential/ Commercial Structures to Non-Titled Holders</b>				
5	Structures within the Corridor of Impact (Col) or Government land	Owners of Structures or Occupants of structures identified as per Project Census Survey	Resettlement & Rehabilitation Assistance	<p>a) Non vulnerable encroachers shall be given three months' notice to vacate occupied land</p> <p>b) Vulnerable encroachers will be provided cash assistance at replacement cost for loss of structures as described in section 29 of the RFCTLARR Act 2013. .</p> <p>c) Any encroacher identified as non-vulnerable but losing more than 25% of structure used will be paid cash assistance at replacement cost for loss of structures. The amount will be determined as per section 29 of the RFCTLARR Act 2013.</p> <p>d) All squatters to be paid cash assistance for their structures at replacement costs which will be determined as mentioned in section 29 of the RFCTLARR Act 2013.</p> <p>e) All squatters (other than kiosks) will be eligible for one time grant of Rs 36000 as subsistence allowance.</p> <p>f) All squatters other than Kiosks will be given shifting allowance of Rs 50,000 per family as one time grant for a permanent structure and Rs. 30,000 for a semi-permanent structure and Rs. 10,000 for a temporary structure.</p> <p>g) Each affected person who is a rural artisan, small trader or self-employed person assistance' of Rs 25,000/- for construction of working shed or shop.</p> <p>h) In case of Kiosks, only Rs. 5000 will be paid as one time grant.</p>
<b>E. Loss of Livelihood</b>				
6	Families living within the	Title Holders/ Non-Title	Resettlement & Rehabilitation	<p>a) Subsistence allowance of Rs. 36,000 as one time grant. (PAPs covered under 1(f), 2 (f)</p>



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



## 0.16 Analysis of Alternatives

Analysis of alternatives is very important activities, which leads to minimize the negative impacts on population and properties and meet the technical requirement. The provision of widening and COI were weighed upon by the technical team, considering the outcome of public consultation as well as the suggestion of people along the project road. In most of the heavy built up locations, concentric widening within the available ROW has been proposed in the design to avoid land acquisition and to minimize displacement of non- titleholders. In approximately 6.15 km eccentric widening has been proposed to save residential and commercial structures.

However, between chainage 76+500 to 78+400 where market for Rath is located, the available ROW is 8 m. Therefore alternatives were explored and assessment was made. Analysis of Alternatives was done considering 2 options as given in the table below. Alternative 1 was not considered as there will be major impact and typical cross section cannot be accommodated within the available ROW.

1. Alternative -1: Rehabilitation of existing road as well as widening would be less than 13 m.
2. Alternative 2: Bypass at location starting chainage 76+500 to 78+400 at Rath.
3. Alternative-3: Bypass at location starting chainage 75+000 to 82+500 at Rath.

Impact Category	Alternative 1	Alternative 2	Alternative 3
Loss of structure	141	0	0
Land acquisition	0	4 ha	23.10 ha
Affected households	288	50	200
Loss of religious structures	12	0	0
Affected government structures	6	0	0
Loss of water bodies	1	1	0

Source: EGIS Primary Survey 2014

Considering the above options the alternative 3 was recommended for Rath Market. Though there will be land acquisition, the impacted households is lower than the other alternatives 1 & 2.

Alternative 2 traverses through the existing canal, but extra land acquisition is difficult due to the change in land use and expansion of the existing town.

However, alternative 3 has also been considered to be taken up for development under Phase II roads due to the issue of land acquisition. There would be about 200 families that would be affected due to this acquisition.

## 0.17 Widening Options

Due importance has been given to social issues while road designing. The coordination between social and design team helped in minimizing the number of PAPs and affected PAHs. Concentric widening has been proposed in majority of total stretch to avoid involuntary land taking and minimize the social impact. Eccentric widening option (one side widening) has been proposed in 8.1% of total project stretch, for geometrical correction and improvement of existing road alignment. However, those within the right of way (ROW) but not within corridor of impact (COI) will not be displaced by the project. Typical cross sections applied are presented in table below.



**Table 0.18: Typical Cross Section (TCS)**

S. No.	Cross Section Type	Description
1.	TCS -1A	Two lane carriageway with paved and earthen shoulder (rural section) – Overlay section
2.	TCS -1B	Two lane carriageway with paved and earthen shoulder (rural section) - Reconstruction
3.	TCS -1C	Two lane carriageway with paved and earthen shoulder (rural section) – New due to raising
4.	TCS -1D	Two lane carriageway with paved and earthen shoulder (rural section) – New pavement after dismantling existing pavement
5.	TCS -2A	Two lane carriageway with paved shoulder and raised footpath cum drain (urban/ semi-urban section) – Overlay Section
6.	TCS -2B	Two lane carriageway with paved shoulder and raised footpath cum drain (urban/ semi-urban section) – Reconstruction section
7.	TCS -3	Two lane carriageway with paved and earthen shoulder New due to raising – Chandauli Village
8.	TCS -4A	Two lane carriageway with paved and paver block shoulder with line drain (semi-urban section) – Overlay Section
9.	TCS -4B	Two lane carriageway with paved and paver block shoulder with line drain (semi-urban section) – Reconstruction section

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

#### Improvement in Built-up Locations

In context of present project improvement that consisted of 2 lane with paved shoulders, the Corridor of Impact is the most important parameter in determining the number of PAPs. The requirement of the project demands that the entire corridor of impact should be free from encroachments, human habitation and structure, causing hindrances to traffic. Removing the encroachers and the squatters from the RoW does not guarantee that they would not reoccupy the area. Therefore, all estimations were limited to the CoI only and the project will not displace any person outside the corridor of impact, even if within the RoW. In the present road there are 5 locations with heavy urban built up where 13metres CoI has been considered to avoid/ minimize adverse impacts. Improvement in these locations would require removal of few squatters and encroachers. The chainage-wise locations of built-up areas along the project road is charted in table below.

**Table 0.19: Built-up Locations along the Project Road**

S. No.	Chainage		Length (m)	Town/Village Name
	From	To		
1	9+980	11+000	1.02	Pothiya
2	25+400	26+500	1.10	Chhani
3	33+900	34+950	1.05	Biwar
4	50+400	51+800	1.80	Muskara
5	74+800	77+720	3.06	Rath

Source: EGIS Primary Survey 2014



**0.18 Timing of Resettlement**

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

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

**Table 0.20: Plan for Handing Over the Stretches to Contractor**

Route No.	Road Name	Mile Stone	Chainage		Total km	Date of handing over to contractor
			Start	End		
1	Hamirpur – Rath	1	11+000	16+000	5	<b>at starting date</b>
			21+000	25+000	4	
			35+000	41+000	6	
			42+000	46+000	4	
			52+000	57+000	5	
			59+000	76+000	17	
<b>Sub Total of Mile Stone-1</b>					<b>41</b>	
2	Hamirpur – Rath	2	2+000	9+000	5	<b>8<sup>th</sup> Month</b>
			16+000	21+000	4	
			27+000	33+000	6	
			41+000	42+000	4	
			46+000	50+000	5	
			57+000	59+000	17	
<b>Sub Total of Mile Stone-2</b>					<b>25</b>	
3	Hamirpur – Rath	1	9+000	11+000	2	<b>18<sup>th</sup> Month</b>
			25+000	27+000	2	
			33+000	35+000	2	
			50+000	52+000	2	
			76+000	76+500	0.5	
<b>Sub Total of Mile Stone-3</b>					<b>8.5</b>	

**0.19 Institutional Arrangement**

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



## 0.20 Integrated Grievance Redressal Mechanism

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

## 0.21 Implementation Arrangements and Schedule

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

## 0.22 Budget

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

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

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

**Cost of Civil Works:** While preparing the budget, the R&R team laid special emphasis on arriving at an estimate of the market value of the assets. The R&R team verified price data from a section of the PAPs, revenue officials in the concerned district; local entrepreneurs engaged in



these works and even non-PAPs in each kilometer stretch. The resettlement budget, particularly, the compensation has been computed on this basis.

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

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

The budget for RAP implementation comes to **Rs. 4.85 crores**. The detailed budget is presented below:

**Table 0.21: Estimated Cost of R&R Budget based on R &R policy**

S. No.	Item	Unit	Rate (INR)*	Total Amount
<b>A</b>	<b>Replacement cost for Structure Non Title holders</b>	<b>In Sq. mtr.</b>		
1	Replacement cost for Permanent Structure	199.48	13,000	25,93,240
2	Replacement cost for Semi Permanent Structure	725.74	12,000	87,08,880
3	Replacement cost for Temporary structure	2717.54	3,500	95,11,390
4	Replacement cost for Boundary Wall	138.7	2,000	2,77,400
<b>Total</b>		<b>3781.46</b>		<b>2,10,90,910</b>
<b>B</b>	<b>Assistance</b>	<b>Number</b>		
1	Squatters One time grant of Rs 36000 as subsistence allowance	203	36,000	73,08,000
2	Shifting allowance of Rs 50,000 as one time grant for a permanent structure	0	0	0
3	Shifting allowance 30,000 as one time grant for a semi - permanent structure	0	0	0
4	Shifting allowance 10,000 as one time grant for a temporary structure	203	10,000	20,30,000
5	Kiosks only Rs. 5000 will be paid as one time grant	141	5,000	7,05,000
6	Grant for construction of working shed or shop for self employed	203	25,000	50,75,000
7	Training Assistance of Rs 10,000/- for income generation	310	10,000	31,00,000
<b>Total</b>				<b>1,82,18,000</b>
<b>C</b>	<b>CPR-compensation for Community/Properties</b>	<b>In Sq. mtr.</b>		
1	Compensation for Religious St.	159.99	12000	19,19,880
2	Community Boundary Wall (in Running mts.)	23	2000	46,000
3	Well (in number)	4	50000	2,00,000
4	Hand Pump (in number)	46	20000	9,20,000
<b>Total</b>				<b>30,85,880</b>



S. No.	Item	Unit	Rate (INR)*	Total Amount
<b>D</b>	<b>Implementation Arrangement</b>			
	Implementation of GAP	Lump sum		10,00,000
	Hiring of NGO	Lump sum		12,00,000
	Hiring of M&E agency	Lump sum		15,00,000
	Training of Project Staff on RAP issues	Lump sum		1,00,000
			<b>Total</b>	<b>38,00,000</b>
			<b>GRAND TOTAL ( A +B+C +D)</b>	46,194,790
			Contingency 5%	23,09,739.5
			<b>Grand Total</b>	<b>4,85,04,530</b>

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