



<b>Document Name</b>	Resettlement Policy Framework
<b>Document Number</b>	EIRH1UP020/002
<b>Project Name</b>	Uttar Pradesh Core Road Network Development Program
<b>Project Number</b>	EIRH1UP020

**Document Authentication**

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

**History of Revisions**

<b>Version</b>	<b>Date</b>	<b>Description of Change(s)</b>
R0	29/09/2014	First Submission
R1	19/11/2014	Compliance to PWD and WB Comments
R2	10/12/2014	Final compliance

**TABLE OF CONTENTS**

<b>Chapter</b>	<b>Description</b>	<b>Page</b>
<b>0</b>	<b>EXECUTIVE SUMMARY .....</b>	<b>0-1</b>
0.1	Project Background .....	0-1
0.2	Rationale and Objective of Social Management Framework (SMF) .....	0-1
0.3	Study Methods.....	0-2
0.4	Social Baseline .....	0-2
0.5	Regulations and Policy Framework .....	0-3
0.6	Social Management Framework.....	0-5
0.7	Gender Assessment and Development Framework .....	0-10
0.8	Consultation Framework and Information Disclosure .....	0-10
0.9	Institutional Arrangement for Social Management Plans .....	0-11
0.10	Grievance Redressal Mechanism (GRM) .....	0-12
0.11	Monitoring and Reporting .....	0-13
0.12	Consultation and Public Disclosure .....	0-13
<b>1</b>	<b>INTRODUCTION .....</b>	<b>1-15</b>
1.1	Project Background .....	1-15
1.2	Rationale and Objective of Social Management Framework (SMF) .....	1-16
1.3	SMF Sstructure .....	1-17
1.4	Study Methods.....	1-17
<b>2</b>	<b>SOCIAL BASELINE INFORMATION .....</b>	<b>2-1</b>
2.1	Physiography .....	2-1
2.2	Floods and Droughts in the State .....	2-1
2.3	Social Profile.....	2-1
2.4	Land Use.....	2-3
2.5	Economic Profile .....	2-4
2.6	State Economy.....	2-4
2.7	Employment Pattern.....	2-5
<b>3</b>	<b>SOCIAL REGULATIONS AND POLICY FRAMEWORK .....</b>	<b>3-1</b>
3.1	Introduction.....	3-1
3.2	Key Social Laws and Regulations.....	3-1
3.3	World Bank Safeguard Policies .....	3-2
<b>4</b>	<b>SOCIAL MANAGEMENT FRAMEWORK .....</b>	<b>4-1</b>
4.1	Objective.....	4-1
4.2	Need for Social Management Framework.....	4-1
4.3	Objectives of Social Management Framework .....	4-1
4.4	Social Issues.....	4-2
4.5	Social Screening Process .....	4-3
4.6	Resettlement Action Plan (RAP) .....	4-5



4.7	Resettlement Policy and Land Acquisition Framework .....	4-6
4.8	Consultation Framework and Information Disclosure .....	4-19
4.9	Stakeholder Mapping .....	4-23
4.10	Institutional Arrangement .....	4-26
4.11	Grievance Redressal Mechanism (GRM) .....	4-27
4.12	Monitoring and Reporting .....	4-28
4.13	Budget .....	4-30
<b>5</b>	<b>CONSULTATION AND PUBLIC DISCLOSURE .....</b>	<b>5-1</b>
5.1	SMF Workshop .....	5-1
5.2	Plan for Continued Participation .....	5-1



## LIST OF TABLES

Table 0-1: Road Network in Uttar Pradesh.....	0-1
Table 0-2: Summary of Relevant Social Legislations .....	0-3
Table 0-4: Safeguard Policies of World Bank .....	0-4
Table 0-5: Entitlement Matrix.....	0-7
<b>Table 0-6: Stakeholder Mapping .....</b>	<b>0-11</b>
Table 1-1: Road Network in Uttar Pradesh.....	1-15
Table 1-2: Sources of Secondary Data.....	1-17
Table 1-3: List of Phase-I Roads .....	1-18
Table 1-4: Stakeholder Consultation.....	1-18
Table 2-7: Land Classification in U.P.....	2-3
Table 2-8: Growth of Agricultural Land in Area and Production in the State of Uttar Pradesh .....	2-4
Table 2-9: Work Participation for Various Industries.....	2-5
Table 3-1: Summary of Relevant Social Legislations .....	3-1
Table 3-3: Safeguard Policies of World Bank.....	3-2
Table 4-1: Entitlement Matrix.....	4-10
Table 4-2: Information to be Disclosed.....	4-23
Table 4-3: Stakeholder Mapping .....	4-24
Table 4-4: Responsibilities of Social Specialists and NGO .....	4-26
Table 4-5: Mitigation, Monitoring, Responsibility and Timeline for Social Impacts .....	4-28
Table 4-6: Mitigation, Monitoring, Responsibility and Timeline for Environmental Impacts .....	4-28
Table 4-7: Monitoring Project Implementation Process, Input and Output .....	4-29



## 0 EXECUTIVE SUMMARY

### 0.1 Project Background

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

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

**Table 0-1: Road Network in Uttar Pradesh**

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

The Core road development works will consist of raising the formation level, widening to a full two lanes from the existing single and intermediate lane widths, and/or pavement rehabilitation/strengthening. Road sections with high volumes of non-motorised traffic will be widened to 2-lane black top carriageway of 7.0 m width with 1.5m full paved shoulders on either side covering a total carriageway width of 10 m. 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.

### 0.2 Rationale and Objective of Social Management Framework (SMF)

Except for the Sharda Bridge, for which design process is getting underway, the other upgrading / reconstruction and widening activities are generally well-understood. Given that the sub-project roads can be from anywhere in the Core Road Network spanning the entire state, this guiding framework is prepared to ensure that subsequent project activities have a common understanding of the environmental and social issues involved, and a harmonized approach to handling these issues is followed. This Social Management Framework (SMF) will be used to identify the environmental and social impacts of each sub-project and help design commensurate mitigation/enhancement measures as well as to assign the responsibility for implementation of these measures.

The overall goal of the SMF is to ensure that decision making in subsequent stages of the project is informed and influenced by environmental and social considerations for each of the sub-projects, many of which are still to be identified. It aims to integrate environmental and social



concerns into the project's design and implementation. In order to achieve this, main objectives of the SMF are

- To establish clear procedures and methodologies for the environmental and social planning, review, approval and implementation of subprojects to be financed under the Project;
- To specify appropriate roles and responsibilities, and outline the necessary reporting procedures, for managing and monitoring environmental and social concerns related to subprojects;
- To determine the training, capacity building and technical assistance needed to successfully implement the provisions of the SMF;
- To establish the Project funding required to implement the SMF requirements; and
- To provide practical information resources for implementing the SMF.

### **0.3 Study Methods**

The RPF for UPCRNDP has been prepared based on (i) rapid assessment of 4 sample project corridors; (ii) review of secondary data on different social components including regulatory frameworks, (iii) review of previous reports on social issues of the state of Uttar Pradesh in road sector, and (iv) consultation with different stakeholders. The objective of the above exercise was:

- To establish baseline social condition in the state at broad level
- To understand type and distribution of socially sensitive features in the state
- Preliminary identification of social impacts likely to be triggered due to the project activities
- To assess the applicable regulations and policies
- Consultation and mitigation measures

### **0.4 Social Baseline**

Uttar Pradesh is a northern State and located between 23°52'N and 31°28'N latitudes and 77°3' and 84°39'E longitudes. Garlanded by the Ganga and Yamuna, the two auspicious rivers of Indian mythology, Uttar Pradesh is surrounded by Bihar in the East, Madhya Pradesh in the South, Rajasthan, Delhi, Himachal Pradesh and Haryana in the west and Uttaranchal in the north and Nepal touch the northern borders of Uttar Pradesh.

Uttar Pradesh constitutes one of the largest states in India and the state itself represents one of the largest self-governing areas in the world in terms of population. The State of Uttar Pradesh, whilst fourth largest in India in geographical land area, has a population that is estimated to be of the order of 195 million people, a figure superseded by only six countries in the world. It covers 93,933 square miles (243,290 km<sup>2</sup>), equal to 6.88% of the total area of India. Hindi is the official and most widely spoken language in its 75 districts. Agriculture and service industries are the largest parts of the state's economy. According to the Uttar Pradesh Census 2011, the density of population in Uttar Pradesh is about 800 people per square kilometer which is way above the national average of about 380 and a major cause of concern. Hinduism is the dominant religion in Uttar Pradesh, followed by a majority of 80% people. Muslims forms the second largest community with a population of 18.4%. Rest of the population follows Sikhism, Buddhism, Christians and Jains. The scheduled castes are 17.5 % of the total population whereas scheduled tribes are less than 2 % of the total population. The literacy rate in the state has gone up in recent years and yet continues to linger at about 70% which is below the national average of



74%. The sex ratio is almost at par with the national average and stands at about 900. The land-use pattern in UP is predominantly agriculture based

#### 0.4.1 Economic Profile

Uttar Pradesh is a major contributor to the national food grain stock. Partly this is due to the fertile regions of the Indo-Gangetic plain and partly owing to irrigation measures such as the Ganges Canal and tube-wells. Lakhimpur Kheri is a densely populated sugar producing district in the country. It is also home to 78% of national livestock population. Uttar Pradesh supports about 15% of India's total livestock population of its livestock in 1961, 15% were cattle, 21% buffaloes, 13% goats and 8% other livestock. Between 1951 and 1956 there was an overall increase of 14% in the livestock population. There are about 8,000 km<sup>2</sup> of water area, including lakes, tanks, rivers, canals and streams. The work participation rate for total workers is defined as the percentage of total workers to total population. In a similar way it is defined for main and the marginal workers. The main workers are distributed in nine industrial categories of economic activities as per 2011 census.

#### 0.5 Regulations and Policy Framework

India has developed a fairly comprehensive regulatory framework to address social concerns in relation to development projects. Its wide ranging enactments cover almost all major issues that need to be addressed in the course of development of infrastructure from a social perspective.

##### 0.5.1 Key Social Laws and Regulations

**Table** below presents Social Regulations and Legislations relevant to this project, which are the responsibility of a number of government agencies. This is followed by salient features of important regulations and acts.

**Table 0-2: Summary of Relevant Social Legislations**

Acts/Rule/Policy	Year	Objective	Applicability to this Project	Responsible Agency
Right to fair compensation and transparency in land acquisition, rehabilitation and Resettlement Act	2013	Fair compensation for acquisition of immovable assets; Resettlement of displaced population due to LA and economic rehabilitation of all those who are affected due to land acquisition.	Yes. In case of acquisition of land	Revenue Department. Govt. of U.P.
Seventy Third Constitution Amendment Act,	1992	The Act enables participation of Panchayat level institutions in decision-making by broadening the village level functions, supporting implementation of development schemes. The Act provides for involvement of the PRIs especially, the Gram Sabha/ Panchayat during project preparation and implementation. The Panchayats at the village level will be involved for preparation and implementation of the project.	Yes, especially for any sub project located in panchayat area	Department of Panchayati Raj, Government of Uttar Pradesh
The Scheduled Tribes and other Traditional Forest Dwellers	2006	Grants legal recognition to the rights of traditional forest dwelling communities, partially correcting the injustice caused by the forest	Yes, if project road passes through customary forest land including reserved and	Ministry of Tribal Affairs, GOI and Department of Tribal Welfare,



Acts/Rule/Policy	Year	Objective	Applicability to this Project	Responsible Agency
(Recognition of Forest Rights) Act		laws. Makes a beginning towards giving communities and the public a voice in forest and wildlife conservation	protected forests; protected areas and also community forest.	GoUP

### 0.5.2 World Bank Safeguard Policies

Projects financed with World Bank assistance should comply with World Bank Operational Policies. The World Bank has Environmental and Social Safeguard Policies to reduce or eliminate the adverse effects of development projects.

**Table 0-3: Safeguard Policies of World Bank**

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





<b>World Bank Safe Guard Policies</b>	<b>Objective</b>	<b>Applicability</b>	<b>Safeguard Requirements</b>
	by previous human inhabitants and unique environment features, as well as in the protection and enhancement of cultural properties encountered in Bank-financed project.	may be affected during widening and strengthening work of the sub-projects.	such features should be integrated with EIA study and included in EMP

## **0.6 Social Management Framework**

This SMF defines (a) the approach for identifying the social issues associated with the project, (b) the requirements for conducting social screening and social assessment studies, and (c) measures to prevent, mitigate and manage adverse impacts and enhance positive ones. This SMF includes a simplified screening checklist, which will be used to determine the degree of social assessment. Based on screening results, Social Impact Assessment (SIA) will be carried out and Resettlement Action Plan (RAP) and Indigenous Peoples Development Plan (IPD)) for specific initiatives will be prepared if required. This SMF includes a resettlement policy framework describing mechanisms for addressing the possible temporary disruption of services and income (e.g., temporary displacement of informal vendors), and temporary restrictions on access to facilities while the construction work is ongoing in the project area. The SMF includes guidance on preparing of indigenous peoples development plan, gender action plan; consultation mechanism; capacity building measures and a monitoring mechanism.

### **0.6.1 Social Issues**

The social screening and initial impact assessment of the four (4) candidate roads identified following social impacts:

- Loss of agricultural land in case of private land acquisition;
- 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;
- Likelihood of increased accidents due to road widening;
- Traffic blocks disrupting lives of people due to the landslides after heavy monsoon. Cutting of slopes may trigger landslides causing loss of assets and access in hilly sections;
- Likelihood of spread of HIV/AIDS among construction workers and road side community.

### **0.6.2 Social Screening Process**

#### **0.6.2.1 Identification of Impacts**

The purpose of screening is to get an overview of the nature, scale and magnitude of the issues



in order to determine the need for conducting Social Impact Assessment (SIA) and preparing Resettlement Action Plan (RAP). After identifying issues, the applicability of the Bank's environment and social safeguard policies is established along with Government of India's and state government's regulatory requirements. Based on this, boundaries and focus areas for the SIA along with the use of specific instruments will be determined. The possibility of any adverse impact in the sub-project site will be identified during the screening process. The screening format has been designed to identify sub-project/s with potential social issues that may need to be addressed at the project planning stage.

#### **0.6.2.2 Establishing Impacts**

Having identified the potential impacts of the relevant sub-projects, the next step is to develop action plans to mitigate the impacts. This will require detailed social impact assessment. The Consultant along with Project authority will undertake a survey for identification of the persons and their families likely to be affected by the project.

#### **0.6.2.3 Sub-Project Approval**

In the event that a subproject involves land acquisition against compensation or loss of livelihood or shelter, UP PWD shall:

- not approve the subproject until a satisfactory RAP has been prepared and shared with the affected person and the local community; and
- not allow works to start until the compensation and assistance has been made available in accordance with the framework.

#### **0.6.3 Resettlement Action Plan (RAP)**

RAP provides a link between the impacts identified and proposed mitigation measures to realize the objectives of involuntary resettlement. The RAPs will take into account magnitude of impacts and accordingly prepare a resettlement plan that is consistent with this framework for Bank approval before the sub-project is accepted for Bank financing.

- Sub-projects that will affect more than 200 people due to land acquisition and/or physical relocation and where a full Resettlement Action Plan (RAP) must be produced.
- Sub-projects that will affect less than 200 people will require an abbreviated RP (Resettlement Plan).
- The above plans will be prepared as soon as subproject is finalized, prior to Bank's approval of corresponding civil works bid document.
- Projects that are not expected to have any land acquisition or any other significant adverse social impacts; on the contrary, significant positive social impact and improved livelihoods are exempted from such interventions.
- 

#### **0.6.4 Resettlement Policy and Land Acquisition Framework**

The guidelines are prepared for addressing the issues limited to this project for resettlement and rehabilitation of the PAPs. This policy has been developed 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.

### 0.6.5 R & R Benefits for Project Affected Families

The resettlement and rehabilitation (R&R) benefits shall be extended to all the Project Affected Families (PAF) whether belonging to below poverty line (BPL) or non-BPL. The details are provided in the entitlement matrix (Table 5.1 below).

For tribal the following provisions will be adhered.

- Each Project Affected Family of ST category shall be given preference in allotment of land.
- Tribal PAFs will be re-settled close to their natural habitat in a compact block so that they can retain their ethnic/linguistic and cultural identity
- The Tribal Land Alienated in violation of the laws and regulations in force on the subject would be treated as null and void and-the R&R benefits would be available only to the original tribal land owner.

**Table 0-4: Entitlement Matrix**

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



S. No.	Application	Definition of Entitled Unit	Entitlement	Details
				<p>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>
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 Govt, land	Owners of Structures or Occupants of structures identified as per Project Census Survey	Resettlement & Rehabilitation Assistance	<p>a) Non vulnerable encroachers shall be given three months' notice to vacate occupied land</p> <p>b) Vulnerable encroachers will be provided cash assistance at replacement cost for loss of structures as described in section 29 of the RFCTLARR Act 2013. .</p> <p>c) Any encroacher identified as non-vulnerable but losing more than 25% of structure used will be paid</p>



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



S. No.	Application	Definition of Entitled Unit	Entitlement	Details
			assets due to movement of heavy machinery and plant site.	
<b>I. 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.

## 0.7 Gender Assessment and Development Framework

The project designs should be gender responsive based on the gender analysis, and should be included in the DPR. The findings and recommendations from the gender analysis during project planning and feedback from beneficiaries during implementation must be discussed thoroughly to determine the need for further action. Listed below are the key action points:

### 0.7.1 Core Requirement for Mainstreaming Gender

- All data should be disaggregated by gender, caste, ethnicity, location and age
- Issues of division of labour, access to resources and decision making power (who is doing what, who has access to what, who makes the ultimate decision) have to be assessed for their gender differential impact on women and men of different social identity group.
- Assessment of policies, programs, institutional arrangements, human resources issues and M&E system has to be done from a gender perspective of project, project authorities and community groups.

## 0.8 Consultation Framework and Information Disclosure

### 0.8.1 Consultation Framework

The Consultation Framework envisages involvement of all the stakeholders' at each stage of project planning and implementation. The UP PWD through DPR consultants and partner NGO during implementation will be responsible for ensuring participation of the community at sub-project level. Involvement of the community is not limited to interactions with the community but also disclosing relevant information pertaining to the project tasks.





## 0.8.2 Information Disclosure

The mechanism of information dissemination should be simple and be accessible to all. Two of the important means that have been followed until now include briefing material and organization of community consultation sessions. The briefing material (all to be prepared in local language) can be in the form of (a) brochures (including project information, land requirements and details of entitlements including compensation and assistance to be given to the PAPs) that can be kept in the offices of local self-government (municipal office in case of urban area and gram panchayat office in case of rural area) and PWD; (b) posters to be displayed at prominent locations and (c) leaflets that can be distributed in the impacted zone of the sub project. Consultation meetings should also be organized at regular intervals by the PWD to acquaint the PAPs of the following:

- Timeline and progress of the project;
- Information on compensation and entitlements;
- Information on land acquisition and market valuations of property;
- Time line for acquisition.

## 0.8.3 Stakeholder Mapping

Through the formal and informal consultation, following stakeholder mapping has been done, identifying their interests concerned with the project activities.

**Table 0-5: Stakeholder Mapping**

Stakeholder Category	Interests	Potential/Probable impacts
<b>Primary stakeholders</b>		
Project affected people	Access to the facility, Project entitlement, Time-bound delivery of benefits, enhanced quality of life	(+/-)
Beneficiaries	Access to the facility, Project entitlement, Time-bound delivery of benefits, enhanced quality of life	(+/-)
<b>Secondary stakeholders</b>		
UP PWD & PAPs	Project implementation, Contracting; Project management, Monitoring and evaluation	(+/-)
NGOs, CSOs, Local Administration	Development, Community participation, and Community welfare	(+/-)

## 0.9 Institutional Arrangement for Social Management Plans

### 0.9.1 Social

The PMU and the decentralized dedicated teams (PIUs) will be supported by also competitively recruited experts, as needed. A social specialist and an environment specialist will be hired by PMU and one official in PIU will be designated as Environmental and Social Officer. The project will take help of partner NGOs in implementation of RAP. The responsibilities of all role players in the project are given below.

**Table 0.8: Responsibilities of Social Specialists and NGO**

Levels	Roles and Responsibilities
PMU Social Specialist	<ul style="list-style-type: none"> <li>• Finalize safeguard documents;</li> <li>• Provide policy guidance to the project level counterparts</li> <li>• Ensure dissemination of R&amp;R Policy at state level</li> <li>• Monitoring R&amp;R and Land acquisition activities. Make budgetary provisions for R&amp;R activities</li> </ul>



Levels	Roles and Responsibilities
	<ul style="list-style-type: none"> <li>• Liaison with state administration for land acquisition and implementation of RAP;</li> <li>• Participate in state level meetings</li> <li>• Finalize TOR of contracting NGO for implementation and external agency for monitoring and evaluation</li> <li>• Prepare training schedule for state and project level social development officials for capacity building to implement the RAP;</li> <li>• Prepare TOR for any studies required and qualitative dimensions to the implementation of RAP;</li> <li>• Facilitate appointment of consultants to carry out the studies and co-ordinate them.</li> <li>• Monitor physical and financial progress on implementation of RAP;</li> <li>• Assist PAPs in addressing their grievances</li> </ul>
<p>PIU Social Officer</p>	<ul style="list-style-type: none"> <li>• Co-ordinate with district administration and NGO responsible for implementation of SMF/ RAP and other safeguard documents;</li> <li>• Translation of R&amp;R policy in local language and ensure dissemination at state; district and community level - prepare pamphlets on policy for information dissemination</li> <li>• Coordinate with the state and district level officials for acquisition of private land and implementation of SMF/ RAP; Liaison with district administration for dovetailing of government schemes for Income Restoration Schemes</li> <li>• Monitor physical and financial progress of implementation of RAP,</li> <li>• Participate in the project level meetings</li> <li>• Report progress, highlighting social issues not addressed, to provide for mid-course correction,</li> <li>• Coordinate training of project level staff with agencies involved.</li> <li>• Organise by-monthly meetings with NGO to review the progress of R&amp;R, and gender actions</li> <li>• Assist PAPs un addressing their grievances</li> </ul>
<p>NGO</p>	<ul style="list-style-type: none"> <li>• Conduct the verification for the affected families and update the census and socio-economic data</li> <li>• Develop rapport with PAFs and between PAFs and project</li> <li>• Design and carry out information campaign and consultations with the local community during the implementation of the RAP,</li> <li>• Provide information to PAFs and local community and conduct awareness on R&amp;R Policy and distribute the policy to the affected families</li> <li>• Prepare and submit the micro plans for the PAFs</li> <li>• Assist the PAFs in receiving the compensation and rehabilitation assistance</li> <li>• Motivate and guide PAP for productive utilization of the compensation and assistance amount</li> <li>• Assess the level of skills and efficiency in pursuing economic activities, identify needs for training and organize training program</li> <li>• Assist PAFs in approaching the grievance redressal mechanism</li> <li>• Assist the PAFs in getting benefits from the appropriate local development schemes</li> <li>• Prepare monthly progress reports and participate in monthly review meetings</li> <li>• Participate in the training program for capacity building</li> <li>• Carry out other responsibilities as required from time to time</li> </ul>

### 0.10 Grievance Redressal Mechanism (GRM)

An integrated system will be established with Grievance Redressal Cells (GRCs), with necessary officers, officials and systems, at the state as well as sub project levels. Grievances if any, may be submitted through various mediums, including in person, in written form to a noted address, through a toll free phone line or through direct calls to concerned officials, and online. PWD will appoint a person to receive such calls and online messages. The person incharge based on nature of complaint, will forward the same to the concerned official. A ticket or a unique number





will be generated for all such call and messages. The complainant will follow up based that unique number. All calls and messages will be responded within two weeks. In response is not received within 15 days, the complaint will be escalated to next level. As part of IGRM (Integrated GRM), a Grievance Redressal Cell (GRC) will be set up at the district level. The staffing of GRC will include Environmental and Social Nodal officer of PMU; Environmental and Social Nodal officers of PIU; and two representatives from community / beneficiary / affected persons. The head of the cell will be a person of repute but not continuing in the government service.

A project affected person however is free to approach judiciary system of the country if he or she is not satisfied with the verdict given by GRC.

### **0.11 Monitoring and Reporting**

The PMU through the respective PMUs will monitor all the sub projects to ensure conformity to the requirements of the SMF. The monitoring will cover all stages of planning and implementation. The monitoring will be carried out through the environmental and social safeguard compliance reports that will form a part of Quarterly Progress Reports (QPR) for all sub projects and regular visits by the environmental and social specialists of the PMU and PIU.

An external evaluation of the RAP implementation prepared for sub projects will also be undertaken twice during the implementation of the project – midterm and at the end of the implementation as per the terms of reference. During implementation, meetings will be organized by PMU inviting all PIUs for providing information on the progress of the project work.

Project monitoring will be the responsibility of the PMU who will submit Quarterly Progress Reports. The reports will compare the progress of the project to targets set up at the commencement of the project. The list of impact performance indicators will be used to monitor project objectives. The socio-economic survey conducted will provide the benchmarks for comparison.

### **0.12 Consultation and Public Disclosure**

#### **0.12.1 Stakeholder Consultation**

Since this is a category A project, consultations with stakeholders across the spectrum are needed early and continuously in the project. The identified stakeholders include project affected people- with an emphasis on disadvantaged groups, youth, local NGOs, road users, private sectors, local leaders, officials from other GoUP Departments. Some roads may have special groups that may need to be sensitively handled like Scheduled Castes. UPPWD should be geared up to carry out consultations from the Identification stage, through project planning and design, as well as during implementation.

The state-level SMF workshop was carried out on November 7, 2014. The objective of consultation was to receive feedback from various stakeholders and wider dissemination on draft SMF document. The consultation was carried out in local language (Hindi). The executive summary of draft SMF and project specific R&R policy in Hindi was circulated prior to the consultation. The issues discussed during the consultation included:

- Objective & approach of the Projects under UPCRNDP & SMF



- Minimizing adverse environmental and social impacts such as minimize tree cuttings; provide safety measures near schools and health centres
- Procedure of Environmental and Social Safeguards in different sub-projects
- Safety of women and children during construction
- Safety measures for road users and public
- Bus stops and bus shelters at major habitations
- Drains in urban areas
- Land prices and prices of the properties affected to be finalized in consultation with the community
- Replacement of community properties
- Facilities for solid waste management in urban areas

### **0.12.2 Information Disclosure**

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

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

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



## 1 INTRODUCTION

### 1.1 Project Background

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

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

**Table 1-1: Road Network in Uttar Pradesh**

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

Although National Highways are an integral and significant part of Core Roads Network of the State, but their widening/strengthening and maintenance activities are carried out through the resources of Government of India and their ownership also lies with central government. The Government of Uttar Pradesh has a long-term program to improve the Core Road Network (CRN) and, as part of this program, has applied for a financial assistance from the World Bank for developing the Uttar Pradesh Core Road Network Development Project (UPCRNDP). The State Government has proposed improvement of about 3650.0 Kms of roads out of entire core network of 24,095 Kms, which has to be implemented in three phases as part of its ambitious programme.

The Core road development works will consist of raising the formation level, widening to a full two lanes from the existing single and intermediate lane widths, and/or pavement rehabilitation/strengthening. Road sections with high volumes of non-motorised traffic will be widened to 2-lane black top carriageway of 7.0 m width with 1.5m full paved shoulders on either side covering a total carriageway width of 10 m. Road stretches crossing urban areas may also require upgrading to a four lane cross section, and/or provision for drains, sidewalks and parking where required. In some cases, new alignments (by-passes and/or re-alignments) may also be required.

The UPCRNDP will have three Components:



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

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

The road development projects can have potentially negative environmental and social impacts at different stages in the project cycle. Management of environmental and social impacts is a very important component of such developmental activities and, rightly therefore, it has been emphasized to take care of environmental and social issues relevant to the projects under UPCRNDP.

## **1.2 Rationale and Objective of Social Management Framework (SMF)**

Except for the Sharda Bridge, for which design process is getting underway, the other upgrading / reconstruction and widening activities are generally well-understood. Given that the sub-project roads can be from anywhere in the Core Road Network spanning the entire state, this guiding framework is prepared to ensure that subsequent project activities have a common understanding of the environmental and social issues involved, and a harmonized approach to handling these issues is followed. This Social Management Framework (SMF) will be used to identify the environmental and social impacts of each sub-project and help design commensurate mitigation/enhancement measures as well as to assign the responsibility for implementation of these measures.

The overall goal of the SMF is to ensure that decision making in subsequent stages of the project is informed and influenced by environmental and social considerations for each of the sub-projects, many of which are still to be identified. It aims to integrate environmental and social concerns into the project's design and implementation. In order to achieve this, main objectives of the SMF are

- To establish clear procedures and methodologies for the environmental and social planning, review, approval and implementation of subprojects to be financed under the Project;
- To specify appropriate roles and responsibilities, and outline the necessary reporting procedures, for managing and monitoring environmental and social concerns related to subprojects;
- To determine the training, capacity building and technical assistance needed to successfully implement the provisions of the SMF;
- To establish the Project funding required to implement the SMF requirements; and
- To provide practical information resources for implementing the SMF.



### 1.3 SMF Sctructure

The SMF includes the following information:

- Study Methods
- Environmental and Social Baseline of the State and Key Issues
- Regulatory Framework Applicable to the Project
- Social Management Framework
- Community Consultation
- Institutional Arrangement for Implementation
- Grievance Mechanism and Public Disclosure
- Capacity Building

Study Methods adopted in preparation of SMF is described in the following section.

### 1.4 Study Methods

The SMF for UPCRNDP has been prepared based on (i) rapid assessment of 4 sample project corridors; (ii) review of secondary data on different environmental and social components including regulatory frameworks, (iii) review of previous reports on environmental and social issues of the state of Uttar Pradesh in road sector, and (iv) consultation with different stakeholders. The objective of the above exercise was:

- To establish baseline environmental and social condition in the state at broad level
- To understand type and distribution of environmentally and socially sensitive features in the state
- Preliminary identification of environmental and social impacts likely to be triggered due to the project activities
- To assess the applicable regulations and polices
- Consultations and mitigation measures

#### 1.4.1 Secondary Data Collection

The secondary data on various environmental and social aspects were taken mainly from the published government documents and publications for providing general environmental and social profile of the project area and to identify the critical environmental and social concerns. Topographic maps were also collected for the purpose. The following table summarizes the sources of the secondary data collection:

**Table 1-2: Sources of Secondary Data**

S. No.	Information	Source
1.	Toposheets, District Planning Maps	Survey of India, Govt. of India
2.	Meteorological data	Directorate of Economics and Statistics, Govt. of Uttar Pradesh, Indian Meteorological Department, Govt. of India
3.	Geological data	Geological Survey of India, Directorate of Mines and Geology, Government of Uttar Pradesh
4.	Reserve Forests, Protected Forests and Wildlife Sanctuaries	Department of Forests, Govt. of Uttar Pradesh and State of Forest report, Forest Survey of India
5.	Landuse Pattern	Department of Economics & Statistics, Government of Uttar Pradesh,
6.	Forests Statistics	Department of Forests, Govt. of Uttar Pradesh



S. No.	Information	Source
7.	Air & Water Quality	UP Pollution Control Board and MoEF
8.	Wildlife Sanctuary/ Parks/Tiger Reserves	National Wildlife Department/ Forest department, U.P.
9.	Wetland Atlas	MoEF, Govt. of India
10.	Demographic Profile	District Census Handbook, Govt. of India,
11.	Archeological Monuments/Sites	Archaeological Survey of India
12.	Legislative Acts and Rules	Department of Economics & Statistics, Government of Uttar Pradesh, Ministry of Environment and Forest, Govt. of India
13	Census Data of 2011	Census of India, Government of India
14	Statistical Abstract of Uttar Pradesh 2012	Government of Uttar Pradesh

### 1.4.2 Visit to Sample Roads

The study team visited 4 sample roads to understand and assess environmental and social conditions of the project area and to identify specific environmental and social hotspots. Team conducted community consultations during the site visits. Following 4 roads were visited:

**Table 1-3: List of Phase-I Roads**

S. No.	Road Name	SH No.	District
1	Hamirpur-Rath-Gursarai-Chirgaon (Jhansi)	SH-42	1. Hamirpur 2. Jhansi
2	Utraula-Faizabad	SH-9	1. Balrampur 2. Gonda
3	Bhajoi- Gajraula (Badaun- Bilsa- Bijnaour Road)	SH-51	1. Badaun
4	Gola- Shahjahapur	SH-93	1. Lakhimpur Khiri 2. Shahjahanpur

### 1.4.3 Stakeholder Consultation

During preparation of SMF, consultation with different Stakeholders was carried out to understand the environmental and social issues and their implications. Following stakeholders were consulted on various issues pertaining to environmental features in the area.

**Table 1-4: Stakeholder Consultation**

S. No.	Stakeholders	Purpose
1	Divisional Forest Officer (DFO)	Forest related issues such as forest areas, legal status of forest, forest boundary. Type of vegetation, forest maps, Legal procedures notifications etc.
2	Forest Secretary, Uttar Pradesh	Legal procedures notifications etc.
3	Wildlife Department	Location of Wildlife Sanctuaries, National Park and eco-sensitive zones, Information regarding Wildlife animals, migratory animals and legal procedures with respect to the project.
4	PWD Officers, Local Engineers	Alignment details, issues related to environment & Social
5	Revenue Department	Village maps, land records and tentative land cost
6	Chief Development Officer (CDO) of concern district	Various ongoing/proposed schemes
7	School Authority at Kalauli Teer	Sanitation facility and house keeping and local issues
8	Local residents of different settlement areas en-route	Project awareness and specific localised issues identifications, Common Property Resources (CPR)
9	UP Pollution Control Board Officials	Environmental data, legal aspects on environmental



		issues.
--	--	---------



## **2 SOCIAL BASELINE INFORMATION**

---

---

Uttar Pradesh is a northern State and located between 23°52'N and 31°28'N latitudes and 77°3' and 84°39'E longitudes. Garlanded by the Ganga and Yamuna, the two auspicious rivers of Indian mythology, Uttar Pradesh is surrounded by Bihar in the East, Madhya Pradesh in the South, Rajasthan, Delhi, Himachal Pradesh and Haryana in the west and Uttaranchal in the north and Nepal touch the northern borders of Uttar Pradesh. The State of Uttar Pradesh comprises an area of about 243,290 km<sup>2</sup> equal to 6.88% of the total area of India, and is the fourth largest Indian state by area. With over 200 million inhabitants in 2011, it is the most populous state in the country.

### **2.1 Physiography**

The state can be divided into two physiographic regions: the central plains of the Ganges (Ganga) River and its tributaries (part of the Indo-Gangetic Plain), and the southern uplands. The vast majority of Uttar Pradesh lies within the Gangetic Plain, which is composed of alluvial deposits brought down from the Himalayas by the Ganges network. Most of this area is a featureless, though fertile plain varying in elevation from about 300 meters in the northwest to about 60 meters in the extreme east. The southern uplands form part of the highly dissected and rugged Vindhya Range, which rises generally toward the southeast. The elevation of this region rarely exceeds 350 m.

### **2.2 Floods and Droughts in the State**

The State faces flood situation mostly in the northern and eastern parts in the catchments of River Ghaghra and Ganga. Around 73.06 lac ha. is flood-prone and the districts affected are 31 with 154 blocks and 18958 villages. In certain areas, every year flood situation arises whereas in some areas it is once in two to three years.

Regarding drought situation, the Southern part of the State i.e. areas of Bundelkhand and Vindhyan region comprising of eight districts are facing drought situation almost for 3 years in a period of five years. Incidentally, these districts are having less than fifty percent areas under irrigation.

### **2.3 Social Profile**

Uttar Pradesh constitutes one of the largest states in India and the state itself represents one of the largest self-governing areas in the world in terms of population. The State of Uttar Pradesh, whilst fourth largest in India in geographical land area, has a population that is estimated to be of the order of 195 million people, a figure superseded by only six countries in the world. It covers 93,933 square miles (243,290 km<sup>2</sup>), equal to 6.88% of the total area of India. Hindi is the official and most widely spoken language in its 75 districts. Agriculture and service industries are the largest parts of the state's economy. According to the Uttar Pradesh Census 2011, the density of population in Uttar Pradesh is about 800 people per square kilometer which is way above the national average of about 380 and a major cause of concern. Hinduism is the dominant religion in Uttar Pradesh, followed by a majority of 80% people. Muslims forms the second largest community with a population of 18.4%. Rest of the population follows Sikhism, Buddhism, Christians and Jains. The scheduled castes are 17.5 % of the total population whereas scheduled





tribes are less than 2 % of the total population. The literacy rate in the state has gone up in recent years and yet continues to linger at about 70% which is below the national average of 74%. The sex ratio is almost at par with the national average and stands at about 900.

A socio-economic snapshot of the State is given below:

Area	2,40,928 km <sup>2</sup>
Population (2011 census)	19.95 crore (16% All India Share of Population)
Density of population (2011)	828 persons per km <sup>2</sup>
Decadal Growth (2001-11)	20.80
Literacy rate (2011)	69.72
Tourist & Historical Places	Sarnath (Varanasi), Piprahwa, Kaushambi, Shrivasti, Kushinagar, Agra, Lucknow, Chitrakut, Jhansi and Meerut
Total State Income (2009-10) – current prices	INR 4,53,020 crore
Per capita Income (2009-10) current prices	INR 23,132
Cultivated Area (2008-09)	16562 thousand hectare
Motorised Vehicles – on road (2009-10)	1,19,97,000
Total Road Length- 2010	3.0 lakh km
Public Works Department	1.75 lakh km
Other Departments	5.25 Lakh km

A summarized demographical profile (population in Lakhs)also is given below:

Place	Total / Rural/Urban	Total number of Households	Total Population	Male	Female	Scheduled Caste	Scheduled Tribes	Literate Population	Literate Female Population
India	Total	449787	270605	140044	130561	306253	223422	588392	183917
	Rural	192891	157893	81336	76557	177111	144892	251445	89426
	Urban	256896	112712	58708	54004	129142	78530	336947	94491
Uttar Pradesh	Total	72452	47426	24677	22749	79177	3686	104701	30668
	Rural	31225	29594	15165	14429	47593	2251	45091	15963
	Urban	41227	17832	9512	8320	31584	1435	59610	14705

Source: Census of India, 2011

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

At the all-India level, only 30 per cent of women are defined as workers, main or marginal. In



Uttar Pradesh female work participation rate is lower than the national figure and the gender gap in work is higher. In female work participation rate, Uttar Pradesh is ranked 2 in the entire country with a participation rate of 20.

Uttar Pradesh has very low sex ratio reflecting the deteriorating situation of women in the state. In addition to the worsening mortality conditions, some of the reasons for this decline lie in increasing economic pressure for survival and sex selective migration. Uttar Pradesh has always recorded sex ratios below the all-India levels and one primary reason is male migration from these states. Child Sex Ratio in Uttar Pradesh is 899 as compared to 914 at all India level.

Female literacy is extremely poor in Uttar Pradesh is ranked among the top 5 worst states in terms of women's literacy. The state also has high gender gap in literacy. This could be because of low enrolment of girl child in primary schools coupled with high dropout rate.

The NFHS III findings highlight that in U.P. 53 percent of the respondent women (between the age of 20-24) were married by the age of 18. While this figure was 30 percent in the urban area, it was a high 60.1 percent in the rural area. 14.3 percent women between the age of 14-19 were already mothers or pregnant. Marriage of girls before the legal minimum age of 18 is a widespread phenomenon in Uttar Pradesh. Nearly 49 percent girls are married below the age of 18 years in Uttar Pradesh. Early age of marriage is both the symptom as well as a cause of women's subordination in the society. Girls are married off early for a complex array of causes. Socially and culturally perceived as "parayadhan", premium is put on virginity and therefore restrictive controls are imposed on her mobility and sexuality. Girls are thus seen to be protected from violence in society by an early marriage.

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

**Indigenous People:** In Uttar Pradesh tribes are less than 1% of the total population. The peripheral regions of Uttar Pradesh, are home to a number of tribal communities such as Agaria, Baiga, Bhar, Bhoksa, Bind, Chero, Gond, Kol and Korwa. Five of these tribal communities have been recognized by the Government of India as disadvantaged scheduled tribes, viz. Tharus, Boksas, Bhotias, Jaunswaris and Rajis. Districts with substantial tribal population includes Sonbhadra; Kheri; Agra; Lucknow; Allahabad; Kanpur; Deoria; and Jaunpur. None of the project districts have substantial tribal population.

## 2.4 Land Use

The landuse pattern in UP is predominantly agriculture based. The breakup of landuse classification for the year 2008-09, reported by the Ministry of Agriculture, Government of India, is given in **Table 2.7**.

**Table 2-1: Land Classification in U.P**

S. No.	Land Classification	Area (Thousand Hectares)	Percent (%)
1.	Forest	1658	5.96
2.	Barren and Uncultivated land	486	2
3.	Land under non agriculture uses	2835	12
4.	Waste land unfit for Agriculture	426	2
5.	Permanent pastures and grazing land	66	0.27



S. No.	Land Classification	Area (Thousand Hectares)	Percent (%)
6.	Area under trees and grooves	354	1
7.	Current fallow land	1215	5
8.	Other fallow land	538	2
9.	Net area shown	16592	69
<b>Total</b>		<b>24171</b>	<b>100</b>

Source: Landuse Statistics, Ministry of Agriculture, Govt. of India, 2008-2009

## 2.5 Economic Profile

Uttar Pradesh is a major contributor to the national food grain stock. Partly this is due to the fertile regions of the Indo-Gangetic plain and partly owing to irrigation measures such as the Ganges Canal and tube-wells. Lakhimpur Kheri is a densely populated sugar producing district in the country. It is also home to 78% of national livestock population. Uttar Pradesh supports about 15% of India's total livestock population of its livestock in 1961, 15% were cattle, 21% buffaloes, 13% goats and 8% other livestock. Between 1951 and 1956 there was an overall increase of 14% in the livestock population. There are about 8,000 km<sup>2</sup> of water area, including lakes, tanks, rivers, canals and streams. Growth of agricultural land and production of crops are presented in the **Table 2.8** below.

**Table 2-2: Growth of Agricultural Land in Area and Production in the State of Uttar Pradesh**

Crop	Area (Ha)			Production (Tonnes)		
	2001-02	2010-11	% Variation	2001-02	2010-11	% Variation
Rice	60,71,325	58,13,159	-0.5%	12855857	12334146	-0.5%
Jawar	3,22,575	2,01,120	-5.1%	309068	207108	-4.4%
Bajra	8,50,727	9,39,976	1.1%	967732	1561644	5.5%
Maize	9,31,137	7,77,207	-2.0%	1516580	1169085	-2.9%
Wheat	92,55,937	98,01,194	0.6%	25498002	30486819	2.0%
Gram	8,40,602	5,88,336	-3.9%	816795	542425	-4.4%
Other Pulses	18,42,810	18,59,791	0.1%	1559633	1474088	-0.6%
Total Pulses	26,83,412	24,48,127	-1.0%	2376428	2016513	-1.8%

**Poverty level:** Approximately 38% of the total population in the state is below poverty line. A total of 738 lakh people are below poverty line. The rural urban divide shows that nearly 32% urban population and 39% in rural population, is below poverty line. The monthly per capita income in rural area is 664 as against nearly 800 in urban area.

## 2.6 State Economy

Uttar Pradesh is the third largest economy in India after Maharashtra and Tamil Nadu. Uttar Pradesh's gross state domestic product for 2004 is \$339.5 billion by PPP and \$80.9 billion by nominal. After partition, the new Uttar Pradesh state produces about 92% of the output of the old Uttar Pradesh state. Between 1999 and 2008, the economy grew only 4.4% per year, one of the lowest rates in India. But between 2007 and 2011 the economy grew at over 7% GDP growth rate which was higher than their respective targets set for the 11th Plan period (2007–12) so far. Uttar Pradesh registered a growth rate of 7.28% against the target of 6.10%. Uttar Pradesh



attains an 8.08% GDP growth rate in 2010–2011. The state's debt was estimated at 67% of GDP in 2005. In 2012, the state was one of the highest receivers of overall remittances to India which stood at \$66.13 billion (Rs. 3.43 crore).

## 2.7 Employment Pattern

The work participation for various industries is summarized for the districts and presented in **Table 2.9** below.

**Table 2-3: Work Participation for Various Industries**

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

*Source: Statistical abstract on Uttar Pradesh, 2012*

The work participation rate for total workers is defined as the percentage of total workers to total population. In a similar way it is defined for main and the marginal workers. The main workers are distributed in nine industrial categories of economic activities as per 2011 census.



### 3 SOCIAL REGULATIONS AND POLICY FRAMEWORK

#### 3.1 Introduction

India has developed a fairly comprehensive regulatory framework to address social concerns in relation to development projects. Its wide ranging enactments cover almost all major issues that need to be addressed in the course of development of infrastructure from a social perspective.

#### 3.2 Key Social Laws and Regulations

**Table 3.1** presents Social Regulations and Legislations relevant to this project, which are the responsibility of government agencies. This is followed by salient features of important regulations and acts.

**Table 3-1: Summary of Relevant Social Legislations**

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



### 3.3 World Bank Safeguard Policies

Projects financed with World Bank assistance should comply with World Bank Operational Policies. The World Bank has Social Safeguard Policies to reduce or eliminate the adverse effects of development projects. The relevant safeguard policies of World Bank are described in **Table 3.3**.

**Table 3-2: Safeguard Policies of World Bank**

<b>World Bank Safe Guard Policies</b>	<b>Objective</b>	<b>Applicability</b>	<b>Safeguard Requirements</b>
<b>OP/BP 4.12</b> Involuntary Resettlement	The objective of this policy is to avoid or minimize involuntary resettlement where feasible, exploring all viable alternative project designs. Furthermore, it intends to assist displaced person in improving their former living standards; community participation in planning and implementing resettlement; and to provide assistance to affected people, regardless of the legality of title of land	There will be need for limited land acquisition for certain project corridors resulting in: relocation or loss of shelter; loss of assets or access to assets; loss of income sources or means of livelihood.	Resettlement Action Plan in consultation with the community and project authorities
<b>OP 4.10</b> Indigenous People	This policy aims to protect the dignity, right and cultural uniqueness of indigenous people; to ensure that they do not suffer due to development; that they receive social and economic benefits	This policy may be triggered if there are indigenous people in the project area; when potential adverse impacts on indigenous people are anticipated; and if indigenous people are among the intended beneficiaries.	Indigenous people development Plan



## **4 SOCIAL MANAGEMENT FRAMEWORK**

---

### **4.1 Objective**

Social Management Framework (SMF) will help to identify and address the potential social concerns or impacts of a project throughout the project cycle. The objective of SMF is to help project in taking informed decisions and mainstream social concerns in the project design.

### **4.2 Need for Social Management Framework**

The general thrust and broad project interventions are well understood as outlined above. Since specific project roads identification is in progress, the exact nature and scale of their impacts will be known only later. Therefore, a safeguard framework document is needed to 'guide' the planning and design elements of the project activities. Such a guidance document or a framework would help in integrating and harmonizing the social management principles at the various stages of project preparation and execution. In this context, this Social Management Framework (SMF) has been prepared for the project.

This SMF forms part of the comprehensive social management approach that has been adopted for addressing the potential social impacts of UPCRNDP. As said above, specific impacts will only be identified in the course of project implementation. A mechanism for screening and assessing possible adverse social impacts during the project preparation is required.

This SMF defines (a) the approach for identifying the social issues associated with the project, (b) the requirements for conducting social screening and social assessment studies, and (c) measures to prevent, mitigate and manage adverse impacts and enhance positive ones. This SMF includes a simplified screening checklist, which will be used to determine the degree of social assessment. Based on screening results, Social Impact Assessment (SIA) will be carried out and Resettlement Action Plan (RAP) and Indigenous Peoples Development Plan (IPD)) for specific initiatives will be prepared if required. This SMF includes a resettlement policy framework describing mechanisms for addressing the possible temporary disruption of services and income (e.g., temporary displacement of informal vendors), and temporary restrictions on access to facilities while the construction work is ongoing in the project area. The SMF includes guidance on preparing of indigenous peoples development plan, gender action plan; consultation mechanism; capacity building measures and a monitoring mechanism.

### **4.3 Objectives of Social Management Framework**

The SMF seeks to:

1. Establish clear procedures and methodologies for screening, reviewing and managing social issues.
2. Consolidate and facilitate understanding of all essential policies and regulations of the GOI; GOUP as well as the World Bank's social safeguards regime that are applicable to the Project





3. Provide guidance on preparing mitigation plans for adverse impacts and implementation of the environmental and social management measures.
4. Specify institutional arrangements, including appropriate roles and responsibilities for managing, reporting and monitoring social concerns.
5. Provide a framework for consultation and information disclosure.
6. Determine the other institutional requirements, including those related to training and capacity building, needed to successfully implement the provisions of the SMF.
- 7.

The application and implementation of the SMF therefore, will:

1. Support the integration of social aspects into the decision making process at all stages related to planning and design by identifying, avoiding and/or minimizing adverse social impacts early-on in the project cycle.
2. Enhance the positive/sustainable social outcomes through improved/appropriate planning, design and implementation.
3. Build the capacity of UP PWD to take-up and coordinate responsibilities related to the application and implementation of the SMF, including preparation of Social Assessment and Management Plans (if required).
4. Provide guidelines and procedures for further consultations during project implementation.
5. Provide a systematic guidance to address potential risks and to enhance quality, targeting, and benefits to the neighbouring communities.
6. Ensure that stakeholders, irrespective of whether they benefit from or are adversely affected by the project interventions, are well informed and are able participate in the decision-making process.
7. Support compliance with applicable legal/regulatory requirements of GOI; GoUP as well as with the requirements set forth in the relevant Bank policies.
8. Minimize adverse impacts on cultural property and other common property resources.

This social management framework includes (i) Resettlement Policy and Land Acquisition Framework; (ii) Indigenous Peoples Management Framework (IPMF); (iii) Gender Assessment and Development Framework (GAD); and (iv) Consultation framework.

#### **4.4 Social Issues**

Initial impact assessment was conducted for 4 sample candidate roads by the consultants. Right of Way (RoW) details were collected from the concerned authorities (State PWD) and were verified with revenue records. The initial impact assessment for the four (4) candidate roads indicate that the potential land acquisition will be mainly involved in project sections for the purpose of providing new bypasses, accommodate road safety measures, realignments, junction improvements, and approach to bridges and RoBs if designed. However, it has been identified that RoW is not fully free from encroachment and other encumbrances and at many places it is encroached and squatted upon by the people for various purposes mainly, near habitations and in market places.

The social screening and initial impact assessment of the four (4) candidate roads identified following social impacts:

- Loss of agricultural land in case of private land acquisition;





- 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;
- Likelihood of increased accidents due to road widening;
- Traffic blocks disrupting lives of people due to the landslides after heavy monsoon. Cutting of slopes may trigger landslides causing loss of assets and access in hilly sections;
- Likelihood of spread of HIV/AIDS among construction workers and road side community.

#### 4.5 Social Screening Process

##### 4.5.1 Identification of Impacts

Screening is the first step in the SMF process. The purpose of screening is to get an overview of the nature, scale and magnitude of the issues in order to determine the need for conducting Social Impact Assessment (SIA) and preparing Resettlement Action Plan (RAP). After identifying issues, the applicability of the Bank's environment and social safeguard policies is established along with Government of India's and state government's regulatory requirements. Based on this, boundaries and focus areas for the SIA along with the use of specific instruments will be determined.

The possibility of any adverse impact in the sub-project site will be identified during the screening process. The screening format has been designed to identify sub-project/s with potential social issues that may need to be addressed at the project planning stage.

The outcome of the screening process will help prioritize the sub project and where required, start the social mitigation process in a timely manner, in particular roads requiring land acquisition and /or relocation. This will also assist in sequencing /phasing road stretches in overall project implementation. This shall help ensure that no sub-projects are dropped merely due to delay in the clearance procedures / land requirement. The social screening checklist is given below:

S. No.	Screening Criteria	Assessment of Category (High/ low)	Remarks /Explanatory note for categorization
1	Is the project in an eco-sensitive area or adjoining an eco-sensitive area? (Yes/No) If Yes, which is the area? Elaborate impact accordingly.		
2	Will the project create significant/ limited/ no social impacts?		
a	Land acquisition resulting in loss of income from agricultural land, plantation or other existing land-use.		
b	Land acquisition resulting in relocation of households.		
c	Any reduction of access to traditional and river dependent communities (to		



S. No.	Screening Criteria	Assessment of Category (High/ low)	Remarks / Explanatory note for categorization
	river and areas where they earn for their primary or substantial livelihood).		
d	Any displacement or adverse impact on tribal settlement(s).		
e	Any specific gender issues.		
3	Will the project create significant / limited / no Social impacts during the construction stage?		
a	Flooding of adjacent areas	Low Impact	
b	Improper storage and handling of substances leading to contamination of soil and water		
c	Elevated noise and dust emission.		
d	Disruption to traffic movements		
e	Damage to existing infrastructure, public utilities, amenities etc.		
f	Failure to restore temporary construction sites		
g	Possible conflicts with and/or disruption to local community		

#### 4.5.2 Establishing Impacts

Having identified the potential impacts of the relevant sub-projects, the next step is to develop action plans to mitigate the impacts. This will require detailed social impact assessment (refer to Volume II **Annexure 5.1**). The Consultant along with Project authority will undertake a survey for identification of the persons and their families likely to be affected by the project. Every survey shall contain the following municipality or ward / village-wise information of, the project affected families:

- Members of families who are residing, practicing any trade, occupation or vocation in the project affected area;
- Project Affected Families who are likely to lose their house, commercial establishment, agricultural land, employment or are alienated wholly or substantially from the main source of their trade occupation or vocation or losing any other immovable property.
- Agricultural labourers and non-agriculture labourers.
- Losing access to private property or common property resources
- Loss of common property resources

The consultant on completion of the survey will disseminate the survey results among the affected community. Based on the social impact assessment survey, will prepare an action plan to mitigate or minimize the adverse impacts as identified during the survey. The draft mitigation plan in form of resettlement action plan (RAP) will be again disseminated among the affected individuals / community. The feedback received from the affected groups will be incorporated to the extent possible before finalization of the RAP.

#### 4.5.3 Sub-Project Approval

In the event that a subproject involves land acquisition against compensation or loss of livelihood or shelter, UP PWD shall:



- not approve the subproject until a satisfactory RAP has been prepared and shared with the affected person and the local community; and
- not allow works to start until the compensation and assistance has been made available in accordance with the framework.

#### **4.6 Resettlement Action Plan (RAP)**

RAP provides a link between the impacts identified and proposed mitigation measures to realize the objectives of involuntary resettlement. The RAPs will take into account magnitude of impacts and accordingly prepare a resettlement plan that is consistent with this framework for Bank approval before the sub-project is accepted for Bank financing.

- Sub-projects that will affect more than 200 people due to land acquisition and/or physical relocation and where a full Resettlement Action Plan (RAP) must be produced.
- Sub-projects that will affect less than 200 people will require an abbreviated RP (Resettlement Plan).
- The above plans will be prepared as soon as subproject is finalized, prior to Bank's approval of corresponding civil works bid document.
- Projects that are not expected to have any land acquisition or any other significant adverse social impacts; on the contrary, significant positive social impact and improved livelihoods are exempted from such interventions.

Every-draft Resettlement Action Plan (RAP) prepared shall contain the following particulars namely.

- the extent of area to be acquired for the project, the name(s) of the corresponding village(s) / municipality area and the method employed for acquiring land with the relevant documentation.
- village wise or municipality wise list of project affected families and likely number of displaced persons by impact category
- family-wise and the extent and nature of land and immovable property in their possession indicating the survey numbers thereof held by such persons in the affected zone;
- socio-economic survey of affected people including income/asset survey of PAPs.
- a list of agricultural labourers in such area and the names of such persons whose livelihood depend on agricultural activities;
- a list of persons who have lost or are likely to lose their employment or livelihood or who have been alienated wholly and substantially from their main sources of occupation or vocation consequent to the acquisition of land and / or structure for the project;
- information on vulnerable groups or persons for whom special provisions may have to be made;
- a list of occupiers; if any
- a list of public utilities and Government buildings which are likely to be affected;
- a comprehensive list of benefits and packages which are to be provided to project affected families by impact category;



- details of the extent of land available which may be acquired in settlement area for resettling and allotting of land to the project affected families;
- details of the basic amenities and infrastructure facilities which are to be provided for resettlement;
- the entitlement matrix;
- the time schedule for shifting and resettling the displaced families in resettlement zones;
- grievance redressal mechanism;
- institutional mechanism for RAP implementation;
- consultation strategy; a disclosure plan and a capacity building plan
- monitoring and evaluation indicators and mechanism;
- budget; and
- any other particulars as the Administrator for Resettlement and Rehabilitation may think fit to include for the information of the displaced persons.

#### **4.7 Resettlement Policy and Land Acquisition Framework**

The guidelines are prepared for addressing the issues limited to this project for resettlement and rehabilitation of the PAPs. This policy has been developed 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.

##### **4.7.1 Broad Principles**

The Policy aims to resettle and rehabilitate the affected persons on account of its sub projects in a manner that they do not suffer from adverse impacts and shall improve or at the minimum retain their previous standard of living, earning capacity and production levels. It is also the endeavor of the UP PWD that the resettlement shall minimize dependency and be sustainable socially, economically and institutionally. Special attention will be paid for the improvement of living standards of marginalized and vulnerable groups.

This policy recognizes that involuntary resettlement dismantles a previous production System and a way of life, all such rehabilitation programs will adopt a developmental approach rather than the welfare approach. These guidelines details out the assistance in re-establishing the homes and livelihoods of the Project Affected People (PAP) during the course of projects.

All information related to resettlement preparation and implementation will be disclosed to all concerned, and community participation will be ensured in planning and implementation.

Private negotiations will also be used for land acquisition as required.

The persons affected by the project who does not own land or other properties but who have economic interest or lose their livelihoods will be assisted as per the broad principles brought out in this policy.

Before taking possession of the acquired lands and properties, compensation and R&R assistance will be made to those who are available and willing to receive the entitlements in accordance with



this policy.

There would be no/or minimum adverse social, economic and environmental effects of displacement on the host communities but if needed specific measures would be provided.

Broad entitlement framework of different categories of project-affected people has been assessed and is given in the entitlement matrix. Provision will be kept in the budget. However, anyone moving into the project area after the cut-off date will not be entitled to assistance.

Three tier appropriate grievance redress mechanism has been established at project level to ensure speedy resolution of disputes.

All activities related to resettlement planning, implementation, and monitoring would ensure involvement of women. Efforts will also be made to ensure that vulnerable groups are included.

All consultations with PAPs shall be documented. Consultations will continue during the implementation of resettlement and rehabilitation works.

As required, a Resettlement Action Plan will be prepared including a fully itemized budget and an implementation schedule.

The broad principles of the Resettlement and Rehabilitation (R&R) policy are as given below;

- All negative impacts including displacement should be avoided or minimized wherever feasible by exploring all viable alternative project designs.
- Where negative impacts are unavoidable, efforts should be made either to improve the standard of living of the affected persons or at least assist them in restoring their previous standard of living at no cost to them.
- Ensure people's participation during the course of the project cycle.
- Effort should be made towards the enhancement of the positive impact of the projects.

The project will broadly have three impacts that require mitigation measures. These are:

- Loss of immovable assets viz., land, house, commercial establishments wells, ponds etc.
- Loss of livelihood or income opportunities viz, for agriculture labours, helping hands in commercial establishments etc.
- Impact on the community in terms of loss of common property resources.

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

The third category represents a group impact, where gains and losses of a group oriented nature are not quantifiable in terms of impact on the individual. Mitigation and support mechanism will be collectively oriented, and the monitoring will focus on impact on such groups.

All acquisition of private land would be by direct purchase as per G.O. No. 27/83-3T^"0-13-39(3TcR\*nW)/13 Avasthapna Vikash Anubhag - 13 dt 02.09.2013 and subsequent amendments thereof (refer to Volume II **Annexure 5.2**). However the provisions of rights to Fair compensations and transparency in land acquisition, rehabilitation and resettlement act, 2013 and



subsequent supplements by GoUP shall prevail in case direct purchase fails.

- Support will be extended under the broad principles of this policy to meet the replacement value of the assets and loss of livelihood.
- The policy further recognizes extension of support to non-titleholders for the loss of livelihood and replacement value for assets other than land.
- The common property resources will be replaced as far as feasible and if not then assistance will be provided at replacement value to the group.

Major widening and strengthening work planned will take place within the Right of Way (ROW) based on land availability, gradient, traffic and congestion of population along the road length. Efforts will be made during implementation to minimize any disturbance in the daily activities of the local people.

Before taking possession of the acquired lands and properties, all compensation, resettlement and rehabilitation would be made in accordance with this policy.

In case of displacement, resettlement sites will be developed as part of the project. In such circumstances care should be taken so that there is no/or minimum adverse social, economic and environmental effects of displacement on the host communities and specific measures would be provided in the Resettlement and Rehabilitations Action Plan (RAP) to mitigate any such impacts.

Before taking possession of acquired property sufficient time would be provided to harvest the crop.

The implementation of the R&R Action Plan will be synchronized with the civil works.

The project will ensure that no civil works are initiated before compensation and assistance to affected population has been provided in accordance with this policy.

#### **4.7.2 Definitions**

The following definitions are used in the documents:

**Cut-off Date:** In the cases of land acquisition affecting legal titleholders, the cut-off date would be the date of issuing the publication of preliminary notification u/s 11(I) of RFCTLARAct,2013 & for the Non-Titleholders cutoff date would be the date of Census Survey.

**Project Affected Person:** Person who is affected in respect of his/her land including homestead land and structure thereon, trade and occupation due to construction of the project

**Project Displaced Person:** A displaced person is a person who is compelled to change his/her place of residence and/or work place or place of business, due to the project.

**Projected Affected Family:** Family includes a person, his or her spouse, minor children, minor brothers and minor sisters dependent on him. Provided that widows, divorcees and women deserted by families shall be considered separate families;

Explanation - An adult of either gender with or without spouse or children or dependents shall be considered as a separate family for the purpose of this Act.



**Land Owner:** Land owner" includes any person -

- Whose name is recorded as the owner of the land or building or part thereof, in the records of the authority concerned; or
- Any person who is granted forest rights under the Scheduled Tribes and other Traditional Forest Dwellers (Recognition of Forest Rights) Act, 2006 or under any other law for the time being in force; or
- Who is entitled to be granted Patta rights on the land under any law of the State including assigned lands; or Any person who has been declared as such by an order of the court or Authority

**Marginal Farmers:** Marginal farmer means a cultivator with an un-irrigated land holding UP to one hectare or irrigated land holding up to one half hectare.

**Small Farmer:** Small farmer means a cultivator with an un-irrigated land holding up to two hectares or irrigated land holding up to one hectare, but more than the holding of a marginal farmer

**Encroacher:** A person who has trespassed Government/ private/community Land, adjacent to his or her land or asset to which he/she is not entitled and who derives his/her livelihood and housing there from prior to the cutoff date.

**Squatter:** A squatter is a person who has settled on publicly owned land for housing <sup>or</sup> livelihood without permission or who has been occupying publicly owned building without authority prior to the cutoff date.

**Landless/Agriculture Labour:** A person who does not hold any agriculture land and has been deriving his main income by working on the lands of others as sub-tenant or as an agriculture labour prior to the cut-off date.

**Below Poverty Line:** A household, whose annual income from all sources is less than the designed sum as fixed by the planning commission of India, will be considered to be below poverty line (BPL).

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

- Those people falling under Below Poverty line category as defined by GoUP.
- Member of Scheduled caste/tribe community/other backward community.
- Women Headed households.
- Senior citizen-person above the age of 60 years.
- Landless
- Village artisan

#### **4.7.3 R & R Benefits for Project Affected Families**

The resettlement and rehabilitation (R&R) benefits shall be extended to all the Project Affected Families (PAF) whether belonging to below poverty line (BPL) or non-BPL. The details are





provided in the entitlement matrix (Table 4.1 below). Contractor will ensure that access to residences or business is not blocked during construction. The NGO responsible for RAP implementation and M&E consultants will bring it to the notice of project authorities if contractor fails to do so. In such case, PAPs will be assisted by the project as per clause H9 of the policy.

For tribal the following provisions will be adhered.

- Each Project Affected Family of ST category shall be given preference in allotment of land.
- Tribal PAFs will be re-settled close to their natural habitat in a compact block so that they can retain their ethnic/linguistic and cultural identity
- The Tribal Land Alienated in violation of the laws and regulations in force on the subject would be treated as null and void and-the R&R benefits would be available only to the original tribal land owner.

**Table 4-1: Entitlement Matrix**

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





S. No.	Application	Definition of Entitled Unit	Entitlement	Details
				<p>e) In case of partially affected structures and the remaining structure remains viable, additional 10% to restore the structure. In case of partially affected structures and the remaining structure becomes unviable additional 25% of compensation amount as severance allowance.</p> <p>f) Subsistence allowance equivalent to Rs. 36000 as one time grant.</p> <p>G) Each affected family getting displaced shall get a one-time financial assistance of Rs 50,000 as shifting allowance.</p> <p>h) Each affected family that is displaced and has cattle, shall get financial assistance of Rs 25,000/- for construction of cattle shed.</p> <p>i) One time grant of Rs. 50,000 as resettlement assistance</p> <p>j) Each affected person who is a rural artisan, small trader or self-employed person and who has been displaced (in this project owner of any residential-cum commercial structure) shall get a one-time financial assistance of Rs 25,000/-for construction of working shed or shop.</p> <p>j) One time grant of Rs. 500,000</p>
3	Structure within the Corridor of 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 Govt, land	Owners of Structures or Occupants of structures identified as per Project Census Survey	Resettlement & Rehabilitation Assistance	<p>a) Non vulnerable encroachers shall be given three months' notice to vacate occupied land</p> <p>b) Vulnerable encroachers will be provided cash assistance at replacement cost for loss of structures as described in section 29 of the RFCTLARR Act 2013. .</p> <p>c) Any encroacher identified as non-vulnerable but losing more than 25% of structure used will be paid cash assistance at replacement cost for loss of structures. The amount will be determined as per section 29 of the RFCTLARR Act 2013.</p> <p>d) All squatters to be paid cash assistance for their structures</p>



S. No.	Application	Definition of Entitled Unit	Entitlement	Details
				<p>at replacement costs which will be determined as mentioned in section 29 of the RFCTLARR Act 2013.</p> <p>e) All squatters (other than kiosks) will be eligible for one time grant of Rs 36000 as subsistence allowance.</p> <p>f) All squatters other than Kiosks will be given shifting allowance of Rs 50,000 per family as one time grant for a permanent structure and Rs. 30,000 for a semi-permanent structure and Rs. 10,000 for a temporary structure.</p> <p>g) Each affected person who is a rural artisan, small trader or self-employed person assistance' of Rs 25,000/- for construction of working shed or shop.</p> <p>h) In case of Kiosks, only Rs. 5000 will be paid as one time grant.</p>
<b>E. Loss of Livelihood</b>				
6	Families living within the Corridor of Impact (Col)	Title Holders/ Non-Title holders/ sharecroppers, agricultural labourers and employees	Resettlement & Rehabilitation Assistance	<p>a) Subsistence allowance of Rs. 36,000 as one time grant. (PAPs covered under 1(f), 2 (f) and 5 (e) above would not be eligible for this assistance).</p> <p>b) Training Assistance of Rs 10,000/- for income generation per family.</p> <p>c) Temporary employment in the project construction work to project affected persons with particular attention to vulnerable groups by the project contractor during construction, to the extent possible.</p>
<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'.



S. No.	Application	Definition of Entitled Unit	Entitlement	Details
<b>I. 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.

#### 4.7.4 Gender Assessment and Development Framework

Mainstreaming gender equity and empowerment is already a focus area in the project. In the sub projects, activities related to livelihood restoration will address women's needs. A Gender Development Framework is being designed under the project as part of SMF which will help analyze gender issues during the preparation stage of sub project and design interventions. At the sub project level, gender analysis will be part of the social assessment and the analysis will be based on findings from gender specific queries during primary data collection process and available secondary data. The quantitative and qualitative analysis will bring out sex disaggregated data and issues related to gender disparity, needs, constraints, and priorities; as well as understanding whether there is a potential for gender based inequitable risks, benefits and opportunities. Based on the specific interventions will be designed and if required gender action plan will be prepared. The overall monitoring framework of the project will include sex disaggregated indicator and gender relevant indicator.

The participation of beneficiaries and focus on poverty reduction are two other key determinants of the effectiveness and sustainability of any project. Any project must address the constraints on women's participation in project design, construction, and monitoring and evaluation (M & E). The project must also focus on the linkage between gender and poverty, by identifying, for example, households headed by females and those households' special needs. An adaptive, learning, and process-oriented approach works better than a blue print approach; continuous dialogue between the PWD and the beneficiaries / PAPs is therefore important. Project beneficiaries are likely to have a stronger sense of ownership when the project gives them enough time, design flexibility, and authority to take corrective action. In this way, they find it easier to incorporate their earlier learning and negotiate with project staff and service providers. Therefore, a mechanism must be built into the project to allow such two-way interactions between the beneficiaries and the service providers.

Three major tools are used to identify and deal with gender issues in the project cycle: gender analysis, project design, and policy dialogue.



Gender analysis should be an integral part of the initial social assessment at the screening stage itself. The issues identified can be scaled up during the feasibility and detailed analysis can be carried out during the DPR stage.

The project designs should be gender responsive based on the gender analysis, and should be included in the DPR. The findings and recommendations from the gender analysis during project planning and feedback from beneficiaries during implementation must be discussed thoroughly to determine the need for further action. Listed below are the key action points:

#### **4.7.4.1 General Check list**

- Identify key gender and women's participation issues.
- Identify the role of gender in the project objectives.
- Prepare terms of reference (TOR) for the gender specialist or social development specialist of the client
- Conduct gender analysis as part of overall Social Assessment.
- Draw up a socioeconomic profile of key stakeholder groups in the target population and disaggregate data by gender.
- Examine gender differences in knowledge, attitudes, practices, roles, status, wellbeing, constraints, needs, and priorities, and the factors that affect those differences.
- Assess men's and women's capacity to participate and the factors affecting that capacity.
- Assess the potential gender-differentiated impact of the project and options to maximize benefits and minimize adverse effects.
- Identify government agencies and nongovernmental organizations (NGOs), community-based organizations (CBOs), and women's groups that can be used during project implementation. Assess their capacity.
- Review the gender related policies and laws, as necessary.
- Identify information gaps related to the above issues.
- Involve men and women in project design.
- Incorporate gender findings in the project design.
- Ensure that gender concerns are addressed in the relevant sections (including project objectives, scope, poverty and social measures, cost estimates, institutional arrangements, social appendix, and consultant's TOR for implementation and M & E support).
- List out major gender actions.
- Develop gender-disaggregated indicators and monitoring plan.

#### **4.7.4.2 Core Requirement for Mainstreaming Gender**

- All data should be disaggregated by gender, caste, ethnicity, location and age
- Issues of division of labour, access to resources and decision making power (who is doing what, who has access to what, who makes the ultimate decision) have to be assessed for their gender differential impact on women and men of different social identity group.
- Assessment of policies, programs, institutional arrangements, human resources issues and M&E system has to be done from a gender perspective of project, project authorities and community groups.



#### 4.7.4.3 Steps of Gender Mainstreaming

Three major tools will be used to identify and deal with gender issues in the project cycle: initial gender assessment, gender action plan, and policy note. The initial gender assessment should be an integral part of the initial social assessment at the screening stage. The issues identified can be scaled up during the feasibility study and detailed analysis can be carried out during the detailed project report stage. The project design should be gender responsive based on the gender analysis, and should be included in the detailed project report in the form of a gender action plan. The findings and recommendations from the gender analysis during project planning and feedback from beneficiaries during implementation must be discussed thoroughly to determine the need for further action.

Focus of intervention	Inputs and process indicators	Data source
Policy checklist	<p>What are the requirements of the national gender equality policy, if any, and the executive support provided to it? Which ministry focal point or unit is responsible for advocacy and gender inclusion at the policy and project level? Does the road and transport sector strategy address gender issues (labor issues, e.g. promotion of gender in labor-based work, participation of women in prioritization and design of works, measures to eliminate discriminatory labor or contracting practices, HIV/AIDS prevention and treatment) in its works and contracts? Do transport policy and planning procedures explicitly take gender into account: identification of gender gaps and gender-specific needs, capacities, constraints, and opportunities inclusion of socioeconomic empowerment as an integral element? Are women and men civil society stakeholders consulted on policies and programs; included in teams analyzing policy and strategy; included in decision making? Is there a system for monitoring the implementation of gender and other components of sector policies and strategies? Does the transport sector budget include resources for: sex disaggregation of beneficiary data and key gender indicators outreach and capacity building on gender and other social dimensions grants for addressing gender issues? Do the transport department / PWD have female as well as male representation? Are there training sessions on gender including gender-sensitive planning? Is stakeholder consultation facilitated? Is there participation of implementing agencies or community organizations? Are gender sensitization workshops held for men and women of tourism ministry / department staff and implementing agencies, and do they consider knowledge gaps in gender elements in the sector? How many women are represented on tender boards and in works prioritization and decision-making forums related to the planning, implementation, monitoring, and evaluation of projects?</p>	Contract documents; ministry of Road, Transport and Highways; ministry of women and child development; Public Works Department; Department of Transport
Project cycle: Project identification, preparation, and	Conduct a rapid assessment to identify and quantify potential gender-related issues and impacts affecting access, mobility, risks, benefits, and participation Identify disadvantaged or vulnerable groups, including who they	Stakeholder and beneficiary assessments: user satisfaction survey, project concept note, social



Focus of intervention	Inputs and process indicators	Data source
design	<p>are, where they live, and their socioeconomic characteristics (scheduled castes, women-headed households, widows, disabled)</p> <p>Examine the impacts of project on these groups</p> <p>Identify the gender-specific implications of land acquisition and resettlement</p> <p>Identify gender-specific implications of employment opportunities to be created under the project</p> <p>Identify gender-specific constraints in receiving information and providing feedback and complaints on the project</p> <p>Discuss identified gender and other social issues in the project</p> <p>Include both females and males affected by the project in stakeholder consultations</p> <p>Use separate focus groups to enable women to voice their views separately from men</p> <p>Analyze the data collected to highlight gender differences in uses and the underlying causes of women's and men's project related problems</p> <p>Examine relevant inter-sectoral linkages, such as access to health services, HIV/AIDS prevention, and access to markets and schools</p> <p>Ensure that analysis of gender differences in needs, use, constraints, and access are included in the terms of reference for the social assessment and road user satisfaction survey</p> <p>Identify the gender-related issues that need to be addressed to ensure the effectiveness and sustainability of the project</p> <p>Develop approaches for addressing the gender-related issues identified and creating opportunities for equal access to project benefits for men and women, including training, organizational capacity building, grants programs, targets for women's participation</p> <p>Develop indicators for measuring progress on gender-related issues within the relevant project components (e.g. construction works, institutional arrangements, land acquisition and resettlement benefits, privatization, livelihood restoration, awareness building, consultations, complaint handling)</p>	<p>assessments (household surveys and focus group discussions in project influence area), mid-term and end term evaluation surveys</p>
Project cycle: Methodology	<p>Desk review (secondary literature)</p> <p>Review available information (e.g. statistics, gender analysis, documents of previous transport projects) in the project area and the socioeconomic profile of the target population</p> <p>Review the relevant legal framework (e.g. inheritance law), policy framework (e.g. resettlement and rehabilitation), and institutional framework (e.g. current administrative system for land acquisition, compensation disbursement, grievance handling, awareness creation) and their gender implications</p> <p>Review government programs for encouraging equal opportunities and participation of women in the project influence area</p> <p>Household surveys (primary survey)</p> <p>Draw up gender-disaggregated socioeconomic and cultural profiles and identify the problems faced by and needs of the target population</p> <p>Conduct group discussions, random interviews, and walking tours</p> <p>Collect quantitative information</p> <p>Participatory methodologies (e.g. participatory rapid appraisal)</p> <p>Collect qualitative information that cannot be collected through</p>	<p>Other projects in the country/state and gender policy documents, household surveys, national sample survey, latest census data, participatory rapid appraisal of target area, focus group discussions, consultations with beneficiaries</p>





Focus of intervention	Inputs and process indicators	Data source
	<p>surveys (socio cultural norms, behavioral questions)            Define ways in which men and women beneficiaries and other stakeholders, especially poor women, can equally participate in the project            Map out the target areas and assess which are the most disadvantaged areas and sections of society (widows, female-headed households, disabled men and women) in terms of access to services and poverty level            Identify major stakeholder groups and their positions            Staffing            Ensure adequate gender balance in field teams            Select field team members with gender awareness, local knowledge, cultural understanding, and willingness to listen</p>	
<p>Project cycle: Data collection</p>	<p>Socioeconomic profile: Gender-disaggregated data            Demographic: Gender, sex ratio, caste, marriageable age, female-headed households, migration trend, household size            Economic: Income level and source, expenditure pattern and decision making, access to land and resources            Health: Population growth rate, infant and adult mortality rate, availability of medical facility, reproduction-related decision making, HIV/AIDS awareness            Education: Literacy, school enrollment and dropout ratio, child labor            Status of women: Political representation and awareness, socio cultural perceptions and practices of men and women, domestic violence, trafficking, gender-discriminatory policies and laws, gender roles, responsibilities and gender division of labor in productive areas (e.g. agriculture, income-generating activities) and reproductive areas (e.g. household chores, child care), and time allocation for each responsibility            Fuel, fodder, water and sanitation            Availability, quantity, and quality of fuel and fodder, who collects fuel, fodder, and water for the family, sources of drinking and agricultural water, how men and women store and use water collected, dry season management, how far away these resources are located, time spent on collection of the resources, mode of transport used to collect the resources, availability of sanitation service (chargeable or not, who runs it)            Access, control, constraints            How men and women differ in their access to and control of land, agricultural inputs, extension, markets, employment opportunities, and credit            Whether external assistance is provided to improve access and control, and by whom            Participation            Factors affecting the level of participation of men vs. women, incentives and constraints, means of information dissemination about the project preferred by men vs. women, labor demand for men vs. women, which modes of participation men and women favor (e.g. decision making in planning, cash contribution, labor contribution for construction, training, financial management, organizational management)            Perception of benefits and impacts            Men's and women's perceptions of positive and negative impacts of the project, how negative effects can be mitigated</p>	<p>District, block, and village census data, national sample survey data, health survey data, household surveys, focus group discussions, behavioral surveys, observation</p>
<p>Project implementation:</p>	<p>Prepare quality gender action plan. Under this:            Undertake quality social and gender analyses. Identify</p>	<p>Gender expertise,            Discussion and participation</p>





Focus of intervention	Inputs and process indicators	Data source
Gender action plan	<p>constraints to participating and benefiting men and women; develop strategies for each loan component to ensure that men and women participate and benefit equally</p> <p>Revisit gender design strategies at inception to develop a detailed gender action plan. The plan needs to be tested and reviewed early in implementation; identify detailed activities, targets, resources, and responsibilities for implementation</p> <p>Gender action plan must be fully owned and understood by the executing agency. Use a participatory and flexible approach to developing the plan; a strong rationale that is directly linked to overall project objectives is needed for targeting and working with women</p> <p>Identify realistic targets linked to loan objectives. Targets and strategies should enable step-by-step progress, bringing incremental changes and challenging culture without threatening it; linking targets to loan objectives helps all stakeholders to understand the rationale for focusing on women and helps monitoring of participation and benefits.</p> <p>Include gender capacity building in the gender action plan. Both formal training and ongoing support and mentoring are needed for developing skills, ownership, and commitment.</p> <p>Provide adequate skills and resources for implementation of gender action plan. Long-term gender specialists in the executing agency or project team and adequate resources for implementation of actions; nongovernmental organizations and other agencies contracted to implement project activities should have a demonstrated gender capacity.</p> <p>Monitor and follow up gender-related targets and activities. Systematic follow-up to ensure that policy reforms and gender actions are implemented; routine monitoring and reporting; gender-sensitive indicators and gender-related risks must be included in project logical frameworks.</p>	<p>with beneficiaries, separate focus group discussions with men and women, government departments, labor and employment laws, provisions in project and budget, learning approaches from good practice cases</p>
Project implementation: Participation strategy	<p>Develop a participation strategy for men and women during project implementation and monitoring and evaluation:</p> <p>Avoid overly high expectation of women’s participation and develop a practical schedule for participation</p> <p>Planning. Conduct women-specific consultation to take their views and suggestions on the design. Any mechanism established during the project design, such as grievance mechanisms, should have adequate representation of women</p> <p>Construction. Ensure work conditions that are conducive to women’s participation (e.g. gender-equal wage rates, construction season, toilet and child care facilities)</p> <p>Training options. Identify ways to link up with income generation, literacy, and other activities to support an integrated approach to poverty reduction and women’s empowerment</p> <p>Staffing, scheduling, procurement, and budgeting. Hire female project staff</p> <p>Consider seasonal labor demand in scheduling civil works</p> <p>If appropriate, set a minimum percentage of female laborers and prohibit the use of child laborers in the civil works contract</p> <p>Ensure adequate and flexible budgeting to allow a learning approach (e.g. training budget, consulting service budget for women’s organizations)</p>	<p>Gender expertise, Discussion and participation with beneficiaries, separate focus group discussions with men and women, government departments, labor and employment laws, provisions in project and budget, learning approaches from good practice cases</p>
Project cycle: Impact	<p>Establish whether men and women perceive positive and negative impacts of the project differently, and assess how the negative effects can be mitigated</p>	<p>Project monitoring reports, audits, group discussions, household survey, land</p>



Focus of intervention	Inputs and process indicators	Data source
	<p>Consider whether the benefits are likely to be distributed equitably</p> <p>For disadvantaged or vulnerable groups, find out who they are, where they live, what are their socioeconomic characteristics (scheduled castes, women-headed households, widows, disabled), and how the project will affect them</p> <p>Assess the gender-specific implications of the following:</p> <p>land acquisition and resettlement: extent of land being acquired</p> <p>utility relocation: what and where</p> <p>tree cutting: how many and local dependence</p> <p>diversion of forest land: how much and local dependence</p>	tenure details
Monitoring and evaluation: Feedback mechanism	<p>Develop a feedback mechanism in which both males and females have a voice</p> <p>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</p> <p>Integrate sex-disaggregated beneficiary data and relevant measures of gender equality into the baselines and other routine monitoring and evaluation processes</p> <p>Measure the impacts of the project components on women and men</p> <p>Assess the value added by women's participation in the project</p>	Focus group discussions, project monitoring reports
Monitoring and evaluation: Gender-informed indicators	<p>Develop gender-informed results indicators for monitoring. These include:</p> <p>Increased income, employment, and entrepreneurship. Number of women and men employed in sector, number of women and men operating transport-related services; increased women's and men's income from produce marketed using project services.</p> <p>Time saving and increased productivity. Reduced women's and men's time for domestic work (collection of water, fuel wood, food crop collection, fodder, etc.); increased productive time used for economic activities.</p> <p>Improved affordability. Percentage increase of income among women and men; increased participation in decision making; number of women and men participating in community decision meetings; reduced incidence of harassment, crime, and human trafficking; increased awareness of HIV/AIDS transmission and prevention; number of women and men leading committees; number of women and men managers in agencies; women control their income and establish bank accounts in their names; increased recognition of women's contributions to the household and community</p>	Review of gender-informed results indicators

## 4.8 Consultation Framework and Information Disclosure

### 4.8.1 Consultation Framework

The Consultation Framework envisages involvement of all the stakeholders' at each stage of project planning and implementation. The UP PWD through DPR consultants and partner NGO during implementation will be responsible for ensuring participation of the community at sub-project level. Involvement of the community is not limited to interactions with the community but also disclosing relevant information pertaining to the project tasks. Community participation shall be undertaken at the following stages:



### **Sub Project identification stage**

To sensitize the community about the project and their role

### **Planning Stage**

For disseminating information pertaining to the project, work schedule and the procedures involved; finalization of project components with identification of impacts, entitled persons, mitigation measures; and Grievance Redressal; and

Implementation Stage - for addressing temporary impacts during construction and monitoring for transparency in the project implementation

### **Identification Stage**

Dissemination of project information to the community and relevant stakeholders is to be carried out by the UP PWD at this stage of the project initiative. The community at large shall be made aware of the project alternatives and necessary feedback is to be obtained. This should include the process being followed for prioritization of the identified sub-projects. Community and other stakeholders should be involved in the decision making to the extent possible. Information generated at this stage should be documented for addressal of queries arising out of the Right to Information Act, 2005.

### **Project Planning Stage**

Sub-project information is to be distributed amongst the community towards increasing their awareness and their roles and responsibilities. Planning stage is intended to be an interactive process with the community at least in two stages. Initially while finalizing the best fit alternative to a sub-project and second at the finalization of the detailed designs. This would be joint responsibility of the consultants undertaking the design if not carried out by the UP PWD in house.

Consultations with Project Affected Persons and their profiling are mandatory as per the requirements of SIA and preparation of RAP. This needs to be done as socio-economic and census surveys as part of the detailed designs. Consultations with respect to and cultural aspects are to be carried out as part of the Social Impact Assessments for all alternatives and the selected alternative sub-project option.

### **Implementation Stage**

Consultations as part of the implementation stage would be direct interactions of the implementation agency with the Project Affected Persons. These would comprise of consultations towards relocation of the PAPs, relocation of cultural properties, and towards addressal of impacts on common property resources (CPRs) such as water bodies, places of religious importance, community buildings, trees etc.

With the implementation of the R&R provisions in progress, consultations and information dissemination is to be undertaken to let the affected persons informed of the progress. Implementation stage also involves redressal of grievances in case of R&R aspects as well as relocation of common property resources through the grievance redressal mechanisms. These would usually be one to one meeting of PAP or community representatives with the grievance



redressal committees established for the project.

#### **4.8.2 Information Disclosure**

The mechanism of information dissemination should be simple and be accessible to all. Two of the important means that have been followed until now include briefing material and organization of community consultation sessions. The briefing material (all to be prepared in local language) can be in the form of (a) brochures (including project information, land requirements and details of entitlements including compensation and assistance to be given to the PAPs) that can be kept in the offices of local self-government (municipal office in case of urban area and gram panchayat office in case of rural area) and PWD; (b) posters to be displayed at prominent locations and (c) leaflets that can be distributed in the impacted zone of the sub project. Consultation meetings should also be organized at regular intervals by the PWD to acquaint the PAPs of the following:

- Timeline and progress of the project;
- Information on compensation and entitlements;
- Information on land acquisition and market valuations of property;
- Time line for acquisition.

Also, opinion and consensus of the community needs to be sought for common and cultural property relocation. Information disclosure procedures are mandated to provide citizen centric information as well as all documentation necessary for addressing any queries under Right to Information Act that came into effect from October 2005. A computer based information management systems shall be employed to disseminate information pertaining to the project. Disclosure of information will enhance governance and accountability specifically with respect to strengthening of monitoring indicators to help the World Bank monitor compliance with the agreements and assess impact on outcomes.

This Information Disclosure Policy is intended to ensure that information concerning the NGRBP activities will be made available to the public in the absence of a compelling reason for confidentiality. Information shall be provided in a timely and regular manner to all stakeholders, affected parties, and the general public. Access by the public to information and documentation held or generated by PWD will facilitate the transparency, accountability, and legitimacy as well as operations overseen by it. As a part of its disclosure policy, all documents shall be made available to the public in accordance with relevant provisions of the RTI Act, except when otherwise warranted by legal requirements. A designated Information Officer shall be responsible for ensuring timely and complete dissemination in accordance with this policy.

#### **Information to be disclosed**

**Table 4.2** below specifies the type of additional information and frequency of dissemination for projects which are financed either from domestic or donors' funds. In addition to the information specified in the table, the following information shall also be displayed / disseminated, wherever applicable.

Project specific information need to be made available at each contract site through public information kiosk

Project Information brochures shall be made available at all the construction sites as well as the office of implementation agency and the office of Engineer in charge.



Reports and publications, as deemed fit, shall be expressly prepared for public dissemination e.g., English versions of the SIA and RAP and Executive Summary of SIA and RAP in local language.

Wherever civil work will be carried out a board will be put up for public information which will disclose all desired information to the public, for greater social accountability.

All information will be translated into local language and will be disclosed to the public through the Panchayat, District Magistrate's office, concerned EE offices, websites of UP PWD.



**Table 4-2: Information to be Disclosed**

Topic	Documents to be Disclosed	Frequency	Where
Resettlement, Rehabilitation and Land Acquisition	Resettlement Action Plan (RAP).	Once in the entire project cycle. But to remain on the website and other disclosure locations throughout the project period.	World Bank's Infoshop On the website of PWD, The client would make the RAP available at a place accessible to displaced persons and local NGOs, in a form, manner, and language that are understandable to the PAPs in the following offices: DM's Office State and District Libraries Local municipal and <i>gram panchayat</i> office Office of the contractor
	Resettlement & Rehabilitation Policy translated in local language	Once in the entire project cycle.	Distributed among Project Affected Persons (PAP)
	Information regarding impacts and their entitlements in local language	Once at the start of the project and as and when demanded by the PAP.	Through one-to-one contact with PAPs. Community consultation List of PAPs with impacts and entitlements to be pasted in the PWD office and website of PWD,
	R&R and LA monthly progress report.	10th day of every month	Website of, PWD. Hard copy in the office of contractor in local language
	RAP Impact Assessment Report	At midterm and end of the RAP implementation	PWD website in local language.
	Land Acquisition notifications	As required under the RFCTLARR Act 2013	UP PWD's, website. Hard copy in the office of contractor in local language
	Grievance redressal process.	Continuous process throughout the project cycle.	World Bank's Info shop. On the web sites of PWD Hard copies in local language in the following offices: DM's Office Local municipal and <i>gram panchayat</i> office Office of the contractor PAPs to be informed on one to one contact by PWD through NGO
Public Consultation	Minutes of Formal Public Consultation Meetings	Within two weeks of meeting	On the web sites of PWD Hard copies in local language in the following offices: DM's Office Local municipal and <i>gram panchayat</i> office Office of the contractor

#### 4.9 Stakeholder Mapping

Through the formal and informal consultation, following stakeholder mapping has been done, identifying their interests concerned with the project activities.

**Table 4-3: Stakeholder Mapping**

Stakeholder Category	Interests	Potential/Probable impacts
<b>Primary stakeholders</b>		
Project affected people	Access to the facility, Project entitlement, Time-bound delivery of benefits, enhanced quality of life	(+/-)
Beneficiaries	Access to the facility, Project entitlement, Time-bound delivery of benefits, enhanced quality of life	(+/-)
<b>Secondary stakeholders</b>		
UP PWD & PAPs	Project implementation, Contracting; Project management, Monitoring and evaluation	(+/-)
NGOs, CSOs, Local Administration	Development, Community participation, and Community welfare	(+/-)

This is a tentative mapping and is likely to change during the project implementation. Each of these stakeholders will be part of the consultation process and their views will be incorporated in to the project design. The key stakeholders can be grouped into two categories viz., primary and secondary. Their respective roles are presented below:

### Primary Stakeholders

Project Affected Persons (PAPs) have the following roles:

- Participate in public meetings and identify alternatives to avoid or minimise displacement
- Assist DPR consultants and NGOs in developing and choosing alternative options for relocation and income generation
- Participate in census survey and meetings with host population
- Provide inputs to entitlement provisions, thus assisting in preparation of the resettlement action plan
- Participate in grievance redress as members of grievance redress cells (GRC)
- Decide on relocation and management of common properties
- Labour and other inputs in the project
- Members of implementation committee

Beneficiaries and Host Population have the following roles:

- Assist DPR consultants and NGOs in data collection and design
- Provide inputs to site selection
- Identify possible conflict areas with PAPs
- Identify social and cultural facilities needed at resettlement sites
- Assist in identification and design inputs for IG schemes
- Help develop consultation process between hosts and PAPs.
- Manage common property
- Participate in local committees.
- Assist PAPs in integration with hosts.

### Secondary Stakeholders

UP PWD have the following roles:

- Establish separate cell for social development





- Notification at various stages for land acquisition and joint measurement of land to be acquired along with the revenue department
- Design and approval of resettlement policy
- Coordinate with line departments such as telephone, state electricity board, public health engineering department and forest department for shifting of utilities and cutting of trees
- Participate with NGOs in verification survey of PAPs and categorisation of PAPs
- Participate in consultations with PAPs and beneficiaries
- Designing and distribution of ID cards along with NGO
- Coordinate and facilitate relocation of displaced persons including designing and construction of resettlement colony / vendor market; provision of basic amenities; distribution of plots / houses / to residential and/or commercially displaced persons
- Coordinate with NGO in identifying land for relocation of common property resources
- Coordinate with civil construction contractor to relocate common property resources
- Permission and liaison with line departments for provision of basic amenities in resettlement colonies, land acquisition and income restoration schemes;
- Coordinate with revenue department and NGO for facilitating disbursement of compensation and resettlement and rehabilitation assistances
- Monitoring of physical and financial progress
- Approval of micro plans
- Participate in training programmes for income restoration organized by NGOs
- Consult with panchayat and block office to facilitate inclusion of PAPs' name for poverty alleviation schemes of government of India.

NGOs have following roles:

- Develop rapport with PAPs and between PAPs and PWDs
- Verification of PAPs
- Consultations with the community
- Assess the level of skills and efficiency in pursuing economic activities, identify needs for training and organise programmes either to improve the efficiency and/or to impart new skills.
- Assist PAP in receiving rehabilitation entitlements due to them
- Motivate and guide AP for proper utilisation of benefits under R&R policy provisions;
- Facilitate purchase of agriculture land in negotiating price and settling at a reasonable price or expedite through Land Purchase Committee.
- Assist PAPs in obtaining benefits from the appropriate development programmes.
- Help PAPs in increasing their farm income through provision of irrigation facility or improving farm practices, and
- Ensure marketing of produce particularly those under self-employment activities.
- Complete the consultation at the community level and provide support by describing the entitlements to the entitled persons (EPs) and assisting them in their choices
- Accompany and represent the EPs at the Grievance Redress Committee meeting.
- Assist EPs to take advantage of the existing government housing schemes and employment and training schemes that are selected for use during the project, and
- Promote location specific Community Based Organisations (CBOs) of PAPs to handle resettlement planning, implementation and monitoring.



- Create awareness among PAPs of HIV/AIDS, trafficking of women and child, child labour and health and hygiene

#### 4.10 Institutional Arrangement

Project Management will finance a dedicated team to be based in Lucknow and in the core project areas responsible for implementing the activities to be financed by the project. Based on global experience, a Project Management Unit (PMU) will be supported by competitively selected decentralized teams (Project Implementation Units – PIUs) based in each of the project core areas to ensure the necessary coordination with the Local Authorities, as well as community and thus a smooth implementation of the project investments. The PMU and the decentralized dedicated teams (PIUs) will be supported by also competitively recruited experts, as needed. A social specialist and an environment specialist will be hired by PMU and one official in PIU will be designated as Environmental and Social Officer. The project will take help of partner NGOs in implementation of RAP if required (refer to Volume II **Annexure 5.3** for terms of reference for hiring of NGO). The responsibilities of social specialists and NGO are given below.

The project will also finance monitoring and impact evaluation activities as well as project-specific communication activities at sites, state, country and regional levels.

**Table 4-4: Responsibilities of Social Specialists and NGO**

Levels	Roles and Responsibilities
PMU Social Specialist	<ul style="list-style-type: none"><li>• Finalize safeguard documents;</li><li>• Provide policy guidance to the project level counterparts</li><li>• Ensure dissemination of R&amp;R Policy at state level</li><li>• Monitoring R&amp;R and Land acquisition activities. Make budgetary provisions for R&amp;R activities</li><li>• Liaison with state administration for land acquisition and implementation of RAP;</li><li>• Participate in state level meetings</li><li>• Finalize TOR of contracting NGO for implementation and external agency for monitoring and evaluation</li><li>• Prepare training schedule for state and project level social development officials for capacity building to implement the RAP;</li><li>• Prepare TOR for any studies required and qualitative dimensions to the implementation of RAP;</li><li>• Facilitate appointment of consultants to carry out the studies and co-ordinate them.</li><li>• Monitor physical and financial progress on implementation of RAP;</li></ul>
PIU Social Officer	<ul style="list-style-type: none"><li>• Co-ordinate with district administration and NGO responsible for implementation of SMF/ RAP and other safeguard documents;</li><li>• Translation of R&amp;R policy in local language and ensure dissemination at state; district and community level - prepare pamphlets on policy for information dissemination</li><li>• Coordinate with the state and district level officials for acquisition of private land and implementation of SMF/ RAP; Liaison with district administration for dovetailing of government schemes for Income Restoration Schemes</li><li>• Monitor physical and financial progress of implementation of RAP,</li><li>• Participate in the project level meetings</li><li>• Report progress, highlighting social issues not addressed, to provide for mid-course correction,</li><li>• Help PAPs address their grievances</li><li>• Coordinate training of project level staff with agencies involved.</li><li>• Organise by-monthly meetings with NGO to review the progress of R&amp;R, and gender actions</li></ul>



Levels	Roles and Responsibilities
NGO	<ul style="list-style-type: none"><li>• Conduct the verification for the affected families and update the census and socio-economic data</li><li>• Develop rapport with PAFs and between PAFs and project</li><li>• Design and carry out information campaign and consultations with the local community during the implementation of the RAP,</li><li>• Provide information to PAFs and local community and conduct awareness on R&amp;R Policy and distribute the policy to the affected families</li><li>• Prepare and submit the micro plans for the PAFs</li><li>• Assist the PAFs in receiving the compensation and rehabilitation assistance</li><li>• Motivate and guide PAP for productive utilization of the compensation and assistance amount</li><li>• Assess the level of skills and efficiency in pursuing economic activities, identify needs for training and organize training program</li><li>• Assist PAFs in approaching the grievance redressal mechanism</li><li>• Assist the PAFs in getting benefits from the appropriate local development schemes</li><li>• Prepare monthly progress reports and participate in monthly review meetings</li><li>• Participate in the training program for capacity building</li><li>• Carry out other responsibilities as required from time to time</li></ul>

#### 4.11 Grievance Redressal Mechanism (GRM)

An integrated system will be established with Grievance Redressal Cells (GRCs), with necessary officers, officials and systems, at the state as well as sub project levels. Grievances if any, may be submitted through various mediums, including in person, in written form to a noted address, through a toll free phone line or through direct calls to concerned officials, and online. PWD will appoint a person to receive such calls and online messages. The person incharge based on nature of complaint, will forward the same to the concerned official. A ticket or a unique number will be generated for all such call and messages. The complainant will follow up based that unique number. All calls and messages will be responded within two weeks. In response is not received within 15 days, the complaint will be escalated to next level.

All local contact information and options for complaint submission will be available on site on local information boards. Moreover, they will be in addition to the PIO officers to be appointed under the RTI Act. A half yearly report on Grievance Redressal by the project will be prepared. The project will abide by the RTI Act of 2005; it will commit itself for proactive disclosure and sharing of information with the key stakeholders, including the communities/beneficiaries. The project will have a communication strategy focusing on efficient and effective usage of print and electronic media, bill boards, posters, wall writing, and adoption of any other method suiting local context, logistics, human and financial resources.

As part of IGRM (Integrated GRM), a Grievance Redressal Cell (GRC) will be set up at the district level. The staffing of GRC will include Environmental and Social Nodal officer of PMU; Environmental and Social Nodal officers of PIU; and two representatives from community / beneficiary / affected persons. The head of the cell will be a person of repute but not continuing in the government service. The GRC will have its own bye laws. The functions of the GRC will include: (i) to redress grievances of community / beneficiaries / project affected persons (PAPs) in all respects; (ii) rehabilitation and resettlement assistance and related activities; (iii) GRC will only deal/hear the issues related to Environment, R&R and individual grievances; (iv) GRC will give its decision/verdict within 15 days after hearing the aggrieved person; (v) final verdict of the GRC will be given by the Chairman/Head of GRC in consultation with other members of the GRC and will be binding to all other members.



All PAPs however will have the option to approach court / judiciary in case he or she is not satisfied with the verdict given by GRC.

#### 4.12 Monitoring and Reporting

The PMU through the respective PMUs will monitor all the sub projects to ensure conformity to the requirements of the SMF. The monitoring will cover all stages of planning and implementation. The monitoring will be carried out through the environmental and social safeguard compliance reports that will form a part of Quarterly Progress Reports (QPR) for all sub projects and regular visits by the environmental and social specialists of the PMU and PIU.

The PMU will review these evaluation reports and identify technical, managerial, policy or regulatory issues with regards to the compliance of the RAP reports. The identified technical issues will be duly incorporated. Policy and regulatory issues will be debated internally by PMU and the need for appropriate interventions will be determined. These interventions could include appropriate revision of SMF document / R&R Policy in consultation with the Bank or suitable analytical studies to influence policy or programs of the state, if found necessary / warranted.

An external evaluation of the RAP implementation prepared for sub projects will also be undertaken twice during the implementation of the project – midterm and at the end of the implementation as per the terms of reference (refer to Volume II **Annexure 5.4 and Annexure 5.5**). During implementation, meetings will be organized by PMU inviting all PIUs for providing information on the progress of the project work.

**Table 4-5: Mitigation, Monitoring, Responsibility and Timeline for Social Impacts**

S. No	Impact	Monitoring Measures	Responsible Agency
1	Land acquisition	Regular internal monitoring by the PMU and periodic evaluation	PMU
2	Acquisition of house/ structure	Regular internal monitoring by the PIU and periodic evaluation	PIU
3	Loss of livelihood or source of livelihood	Regular internal monitoring by PIU; midterm and end term evaluation	PMU to hire evaluation consultants
4	Loss of access to private and / or common property	Regular internal monitoring by PIU ; midterm and end term evaluation	PMU to hire evaluation consultants.
5	Displacement of Non-Titleholders	Regular internal monitoring by the PIU a midterm and end term evaluation	PMU to hire evaluation consultants
6	Gender Action Plan	Regular internal monitoring by the social development professional of PIU and PMU along with NGO; midterm and end term evaluation	PMU to hire evaluation consultants.

**Table 4-6: Mitigation, Monitoring, Responsibility and Timeline for Environmental Impacts**

Milestones	Objectives	Process	Responsibility	Decision/Target/Deliverable
1. Sub- Project Screening	To approve categorization of proposed sub-projects	a. Discussions with implementing agencies to - assess eligibility of project based on project's priorities - identify scope of project report b. Consultants to submit report along with	PMU and PIU	<ul style="list-style-type: none"> <li>Decision to proceed or not</li> <li>Identification of impact category</li> </ul>



Milestones	Objectives	Process	Responsibility	Decision/Target/Deliverable
		proposed impact categorization		
2. Sub- Project Appraisal	To ensure satisfactory compliance with SMF	Detailed appraisal (including EIA & EMP, RAP, GAP and IPDP where relevant), including site visits/ investigations if necessary assess suitability of site, adequacy of safeguard measures, risk analysis and regulatory clearances). DPR to be submitted for approval	PMU	<ul style="list-style-type: none"> <li>Review report and decide to               <ul style="list-style-type: none"> <li>- accept</li> <li>- accept with modifications</li> <li>- reject and instruct to resubmit</li> </ul> </li> </ul>
3. Approval	Approvals from PMU	a. PIU to recommend to PMU b. PMU to review and approve	PIU and PMU	<ul style="list-style-type: none"> <li>Approval of RAP, GAP and IPDP if required</li> </ul>
4. Implementation of EMP, RAP, GAP and IPDP Monitoring and Review	Ensure Implementation of agreed RAP, GAP and IPDP where applicable)	a. Prepare quarterly progress reports b. Schedule field visits as required c. Midterm and end term evaluation	PIU, PMU, NGO	<ul style="list-style-type: none"> <li>Quarterly Progress Report</li> </ul>

Project monitoring will be the responsibility of the PMU who will submit Quarterly Progress Reports. The reports will compare the progress of the project to targets set up at the commencement of the project. The list of impact performance indicators will be used to monitor project objectives. The socio-economic survey conducted will provide the benchmarks for comparison.

**Table 4-7: Monitoring Project Implementation Process, Input and Output**

Progress	Assessment Methodology	Expected Output
<b>Implementation Process</b>		
Notices under land acquisition process	Structured Schedule, informal and formal discussion	Timely notices to the affected families
Dissemination of information on project and social issues	Check the registers with the PIC for queries	Adequate knowledge on project and its various components
Consultations conducted under the project with PAPs and others	Check the minutes of meetings registers with the PAPs. Verify copies on agreements made on issues raised and discussed.	Awareness and information on the project and participation in the project.
Consultations on R&R Policy and Distribution of R&R Policy of the project	Check the registers with the PAPs. Verify copies on agreements made on issues raised and discussed.	Awareness on R&R Benefits
Information on modes of valuation of assets, payment schedules and disbursement modes	Check the registers with the PAPs. Structured Schedule, informal and formal discussion	Awareness on methods of valuation, satisfaction with the payment schedules, disbursement modes
Needs assessment and training programs for income generation	Structured Schedule, informal and formal discussion	Awareness and satisfaction with the training programs for income restoration
Services of the NGO	Structured Schedule, informal and	Proper knowledge, guidance and



Progress	Assessment Methodology	Expected Output
	formal discussion	assistance in rehabilitation and resettlement
Functioning of the Grievance redressal mechanism	Check the records of the NGO and PMU for the complaints registered	Appropriate and timely action on the grievances of the affected people
Consultations for the identification of the Community Development Works	Check the minutes of meetings registers with the PAPs. Verify copies on agreements made on issues raised and discussed.	Participation in decision making process and satisfaction with the identified areas of development
<b>Financial progress</b>		
Amount disbursed for acquisition of land, structure, trees, etc.	Structured Schedule, informal and formal discussion	PAPs purchased land equivalent or more than land loss of same quality
Amount disbursed R&R assistance.	Structured Schedule, informal and formal discussion	New house constructed, new land purchased, new productive assets purchased, created some income source to offset the loss of income
Amount disbursed for extension of development programmes, training and capacity building.	Structured Schedule, informal and formal discussion	Alternative income restoration programs initiated and lost income restored.
Fees paid to NGO for implementation of RAP and consultants for M&E activities	Structured Schedule, informal and formal discussion	Timely implementation
Amount disbursed for training of implementation staff of PMU and PIU	Formal Discussion with concerned officials	Better implementation and coordination
<b>Physical progress</b>		
Total land Acquired	Structured Schedule	Progress of land acquisition
Number of PAFs relocated	Structured Schedule	Progress of resettlement
Number of PAFs R&R Assistance	Structured Schedule	Progress on Economic Rehabilitation
<b>Social well being</b>		
Area and type of house and facility in case of relocation	Core Rapid Appraisal	Resettlement
Health conditions, morbidity and mortality rates, if relocated or pollution due to construction	Structured Schedule	Social well being
Communal harmony if relocated in another revenue village	Cost Rapid Appraisal	Resettlement
Women time disposition and decision making power for women groups trained for alternative livelihood	Participatory Appraisal	Women Empowerment
Increase in literacy level due to project intervention; drinking water, schools, health facilities, and other community infrastructures if relocated and enhanced by the project	Structured Schedule	Social well and improved social status.
Increased annual Household income and expenditure due to project intervention	Structured Schedule	Improved income Economic Status

#### 4.13 Budget

Each sub-project will have its own budget for implementation of RAP and IPDP if required. The budget heads will include cost towards (i) compensation for immovable properties; (ii) R&R assistances; (iii) cost towards relocation facilities if required; (iv) training and capacity building for livelihood restoration; (v)



implementation arrangement; (vi) monitoring and evaluation and (vii) cost incurred by PIU for day to day expenses on R&R issues.





## **5 CONSULTATION AND PUBLIC DISCLOSURE**

---

### **5.1 SMF Workshop**

The state-level ESMF workshop was carried out on November 7, 2014. The objective of consultation was to receive feedback from various stakeholders and wider dissemination on draft ESMF document. The consultation was carried out in local language (Hindi) and was attended by nearly 50 stakeholders representing academics, civil society, administration, project affected persons and technocrats. The executive summary of draft ESMF and project specific R&R policy in Hindi was circulated prior to the consultation. The development of the ESMF is based on a consultative process that engaged key stakeholders at the state and local levels and sought their feedback. Key government agencies have been consulted at the various levels to obtain their consent on the ESMF in general and specially on the land acquisition process and resettlement framework.

The issues discussed during the consultation included:

- Objective & approach of the Projects under UPCRNDP & ESMF
- Minimizing adverse environmental and social impacts such as minimize tree cuttings; provide safety measures near schools and health centres
- Procedure of Environmental and Social Safeguards in different sub-projects
- Safety of women and children during construction
- Safety measures for road users and public
- Bus stops and bus shelters at major habitations
- Drains in urban areas
- Land prices and prices of the properties affected to be finalized in consultation with the community
- Replacement of community properties
- Facilities for solid waste management in urban areas

Project assured stakeholders that all measures suggested will be incorporated in design to the extent possible.

Following the State level consultations, public consultations have been carried out in sample sub project areas to get feedback and suggestions from the community on the ESMF. The translated version of executive summary of draft ESMF was disclosed on the websites and placed with the offices of the nodal agencies prior to the consultation meetings. The minutes of the meeting was prepared highlighting the key discussions and issues raised by the stakeholders. The issues raised during the consultations were similar to those raised in state level consultation.

### **5.2 Plan for Continued Participation**

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



### **5.2.1 Information Disclosure**

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

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

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

### **5.2.2 Public Information Dissemination**

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

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