GOVERNMENT OF INDIA
MINISTRY OF ROAD TRANSPORT AND HIGHWAYS

NATIONAL HIGHWAYS INTERCONNECTIVITY IMPROVEMENT PROJECTS (NHIIP)

RESETTLEMENT POLICY FRAMEWORK (RPF)

including

Tribal Development Framework

February 2013
# Resettlement Policy Framework (RPF)

National Highway Inter-Connectivity Improvement Project (NHIIP)

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Resettlement Policy Framework (RPF)  
National Highways Interconnectivity Improvement Projects (NHIIP)

1. Introduction

Roads form a critical link in the transport sector accounting for about 60 percent of passenger movement, 67 percent of freight movement and close to 70 percent of transport sector contribution to the GDP. Forming only 2 percent of total length of roads in India, the national highway network carries over 40 percent of total traffic in the country. As India continues to emerge as one of the fastest growing economies worldwide, effective and efficient transportation and connectivity is needed to facilitate equitable distribution of economic growth. This is critical especially in rural areas and isolated backward regions of the country, where poor road infrastructure is hampering development.

To improve connectivity through road infrastructure, the Ministry of Road Transport and Highways (MoRTH), Government of India herein after called Project Authority plans to up-grade all single lane/intermediate lane National Highways to at least two lane standards. Some of these stretches are proposed to be taken up through the assistance from World Bank under National Highways Inter-connectivity Improvement Projects. The National Highways Inter-connectivity Improvement Project proposed for funding support from the World Bank forms part of the Government of India’s plan to rehabilitate and upgrade about 6,700 km of non-National Highway Development Network to a two-lane standard configuration.

The proposed roads for Bank funding have different configurations. Each highway consists of stretches with single lane, intermediate lane, and non-standard two lanes. Most sections of these roads have poor horizontal and vertical geometrics, distressed or weak pavements, inadequate capacity, narrow or weak cross-drainage structures, poor riding quality, and accident black spots.

2. The project Objective

The proposed Project Development Objective (PDO) is to improve the connectivity in less developed areas in the project states by upgrading selected sections of the National Highway network and to improve the institutional capacity of the MORTH to deliver effective and safe roads to users.

Overall, the project has three main components:

Road Improvement and Maintenance Component (Total Cost: US$1,236.0 million approx, including IBRD US$470.0 million approx): The project will upgrade about 1120 km of existing non-NHDP National Highways to two-lane or higher standard. The upgrading works contract will be combined with a long-term Operation and Maintenance (O&M) contract, where the same contractor will be responsible for both upgrading works and O&M for a period of at least five years. The majority of works will be done using non-traditional contracting methods such as Engineering, Procurement and Contracting (EPC), Design-Build-Operate-Maintain (DBOM) or Design-Build-Finance-Operate-Maintain (DBFOM). In these forms of contract, the design and implementation risk will be borne by the contractor, thereby minimizing the risks for cost and time overruns. Including five-year maintenance would improve the quality of construction as the same contractor will be responsible for maintenance of the road. The component financing will include engineering services, civil works including road safety measures, road maintenance and implementation of environment and social impact mitigation measures and management plans.

Given that there are several states and road sub-projects that can be financed under the proposed project, MORTH has introduced a new Participation Framework to select and screen participating
states and candidate sub-projects (roads) for financing under the project. Each participating state and candidate road has to comply with the readiness requirement detailed in the Participation Framework to proceed with contracting process and receive financing under the loan. The main purpose of the Participation Framework is to ensure higher level of readiness before contracting process begins so that contract execution will be faster and avoid the delays during implementation. The Framework provides incentives and competition among participating states to expedite preparation and meet readiness criteria in order to be able carry out road works under the project. The key features of the Participation Framework include readiness related to technical aspects, implementation of social and environmental safeguard requirements, advanced procurement, arrangement for financial management, and adequate implementation capacity for each state and sub-project.

The project targets low income states or less developed regions in middle income states. Currently, there are candidate project roads in three low income states, (Bihar, Odisha, and Rajasthan) and in less developed areas of Karnataka and West Bengal. However, these candidate roads have to meet the readiness requirement detailed in the Participation Framework before they can be fully accepted as project roads.

Policy and Institutional Development Component including Road Safety Component (Total Cost: US$55.0 million approx, including IBRD US$28 million approx): This component will finance (i) Consulting services/TA, training costs/fees and research Awards; (ii) necessary local IT equipment, software (including IP/licenses); (iii) associated travel/logistics, communication, consumables and publications costs; (iv) miscellaneous goods (e.g. office equipment); and (v) minor works for ‘piloting’ of new designs/standards/approaches; and road safety measures such as (vi) technical advisory and consulting services, training costs and fees, logistics, consumables and publications; (vii) software (IP), goods and equipment, and (viii) minor civil works.

3. Design Considerations

The project road under considerations for rehabilitation and upgrading to 2 lane configuration and strengthening aims to improve and strengthen the existing quality of the pavement to take heavy loads so that pavement failure, maintenance etc are minimized; improve the horizontal and vertical alignment of the existing road; improve the existing speed of traffic flow by removing all bottlenecks at various important junctions; and improve the numerous intersections on entire stretch of the highway linkage.

Local businesses and inhabitants in the area of influence of the project roads as well as users of the project roads will be direct beneficiaries of the project. Those businesses and people will have improved access to higher service level highways and transport services. All beneficiaries will benefit from the subsequent savings in travel time and transportation costs and road safety improvements.

As per policy decision of MoRTH, most of the infrastructure work planned for this National Highways improvement project will take place within the existing Right of Way (RoW) except at some of the congested villages/settlements where bypasses are proposed and at locations where minor improvements are required for accommodating road safety measures. Such improvement is likely to cause adverse impacts on people, assets and their livelihood.

The overall design considerations adopted by MoRTH to minimize the land acquisition within the project are as below:
The proposed right of way for bypasses will be 30 meters if the projected traffic is less than 15,000 Passenger Car Units (PCUs) in 2030 and 45 meters if the traffic is more than 15,000 PCUs in 2030.

The corridor of impact (CoI)/proposed cross-section would be restricted within the existing right of way in forest areas. In case of exception, both options (within the existing right of way and the alignment proposal with forest land diversion) would be analyzed before a final decision is made.

The corridor of impact (CoI) for the project would broadly range between 15 m to 18 m to fit the typical cross sections, space for drains, roadside furniture and utilities. However, in specific locations, CoI of less than 15m would also be considered to minimize the impact on properties and environmental features. Whereas, in urban areas, if the available land width is found more than the required to fit the cross section, entire available space may be paved from building line to building line to facilitate pedestrian movements, parking etc.

Decision on bypasses and realignments will be taken based on a comparison of options with or without the proposed change in design on a case-to-case basis.

The details of a typical cross-section proposed under the project and typical arrangement for likely project affected properties are provided as Annexure-1(a), 1(b) and 1(c). Further efforts shall be made during detailed designs stage to avoid land acquisition.

4. **Key Social Issues**

Social screening surveys and initial impact assessment were conducted for 11 candidate roads by the DPR consultants as part of the feasibility studies. 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 11 candidate roads indicate that the potential land acquisition for the purpose of road widening has been substantially minimised by adopting design considerations mentioned in Section 3. Land acquisition is largely involved in project sections for the purpose of providing few bypasses, accommodate road safety measures, small realignments, junction improvements, and approach to bridges and RoBs. However, it has been identified that RoW is not fully free from encumbrances and at many places it is encroached and squatted upon by the people for various purposes mainly, near habitations and in market places.

The social screening and initial impact assessment of the 11 candidate roads identified following social impacts:

- Loss of fertile agricultural land;
- Loss of structures used for residential, commercial and other purposes and associated loss of livelihood i.e., loss of livelihood due to impacts on sources of earning;
- Loss of other properties and assets such as boundary walls, hand pumps, bore wells, dug wells, ponds etc.;
- Disruption of livelihood due to clearing of RoW particularly, petty shop owners, squatters and encroachers;
- Loss of common property resources such as religious places, Samadhi, graveyard, cremation places, water resources, village gates, passenger shelters, etc;
- Likelihood of increased accidents due to road widening;
- Impacts on tribal population though in small number in certain project roads;
- 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.

Initial impact assessment also analysed the overall socio-economic characteristics of likely project affected persons based on sample socio-economic survey. In all the candidate roads, it has been observed that mostly the people likely to be affected by the project constitute poor and other
vulnerable groups who have persisting gender and caste inequalities. Main sources of income include agriculture and small business enterprise. Further, majority of the potential sub-project roads pass through less developed districts of the respective states\(^1\) where infrastructure facilities and also access to educational centres, health services, etc are comparatively poor. Literacy rates in the districts traversed by candidate roads are often less than the state and India average rate, more so among females.

In Odisha five of the six districts traversed by candidate roads are below the State’s average for Income and Education indicators. Some of the districts along the project roads are among the poorest in the State. In particular, districts that crossed by NH 217 are ranked 18\(^{th}\) and 26th over 30 in terms of income and districts crossed by NH 201 are only ranked 25th and 30\(^{th}\) in Odisha though the overall literacy rate is 63.61% (close to the all-India level) gender gap is significant. Though Orissa has a relatively favourable sex ratio as compared to the all-India level at 972 females per 1000 males, discrimination against women remains a serious challenge. Female life expectancy at birth in Odisha is 60 years, much lower than the national average of 66.91 years while almost half the women suffer from problems of nutritional deficiency. They are also more vulnerable to diseases and sickness because of the gender bias in health care access and practices and health seeking behaviour. Women are predominantly employed in labour-intensive unskilled jobs with less security of tenure and lower wages\(^2\). Odisha has a large gender gap in labor force participation. Only 36 percent of women are involved in labor market compared to 99 percent of men. Even within that 36 percent, nearly 17 percent do not receive any cash payment. Women’s empowerment is weak in Orissa but much better compared to West Bengal. About 42 percent of women are able to make household decision by themselves.

The Human Development Index for Bihar is the lowest at 0.367 in 2001, which however, is an improvement over the earlier years (1981: 0.237, 1991: 0.308). Percentage of population below poverty line in 2004-05 is 41.4 against the national average of 27.5 out-migration has been a crucial survival strategy for the rural poor in Bihar, where 89.60% of the population lives in rural areas. Bihar has the highest rate of gross interstate out-migration in India comprising a very large majority of male population. In Patna district, the total working population is 36.56% of the total population of which 54.08% are men and 16.23% are women working population.

The project road (NH-60A) in West Bengal crosses two of the 17 districts of the State (namely Purulia and Bankura). All of the human development indicators for both project districts are below the State’s averages. According to the income index, Bankura and Purulia are the two most backward districts of the State. Women’s status in particular is poor in West Bengal. Their labor force participation is only 32 percent compared to men’s 99 percent. Out of total employed women, only 83 percent actually earn cash. This reflects into women’s ability to make decisions both outside and inside the households. For example, only 24 percent of married women are able to make regular day-to-day decision within their household, which indicates women’s lack of empowerment in West Bengal. Similar to gender, caste-based inequality is also prevalent in the state of West Bengal. The scheduled caste, scheduled tribe and other backward caste group have the lowest wealth index compared to ‘other class.’\(^3\) Given this situation, Investment in road infrastructure can help improve the condition of poor and vulnerable populations via improved market accessibility and other opportunities.

The five districts crossed by the candidate roads in Rajasthan are among the ten most backward districts of the State according to the HDI ranking. Moreover, all of these districts have Health and Income indicators well below the State’s average. Women’s status is weak in all these districts as

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1 Based on MoRTH’s suggestions, following states have been identified as potential project states - Bihar, Orissa, Uttar Pradesh, Karnataka and Rajasthan.

2 Orissa Human Resource Development Report, 2004

the average literacy for all the districts is below state average. In the empowerment front, only 22.8 percent of women are able to make day-to-day household decisions— a very similar situation as of West Bengal. However, women’s labor market participation is relatively better (56 percent) but a large percentage of them (30 percent) do not receive cash payment for their work.

5. **Applicable GoI and World Bank requirements**

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

<table>
<thead>
<tr>
<th>Sl. No.</th>
<th>Acts, notifications and policies</th>
<th>Relevance to this project</th>
<th>Applicability</th>
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<tbody>
<tr>
<td>1</td>
<td>National Highways Act, 1956</td>
<td>Land required for the project shall be acquired as per the provisions of this act.</td>
<td>Applicable to all sub-projects.</td>
</tr>
<tr>
<td>2</td>
<td>National Rehabilitation and Resettlement Policy (NRRP), 2007</td>
<td>Provides limited benefits to affected family (an ex-gratia payment of not less than Rs. 20,000/- and in case land-holder becoming landless or small or marginal farmer in such cases other rehabilitation benefits as applicable.</td>
<td>Applicable</td>
</tr>
<tr>
<td>3</td>
<td>KSHIP</td>
<td>In KSHIP I, two methods were followed for land acquisition (i) land acquisition under LA Act 1894 and (ii) consent award, where compensation is paid through negotiation. Drawing upon the past experiences under KSHIP I, in KSHIP II land acquisition was done under the Karnataka Highways Act (KHA), 1964. Good practices of other states and provisions of NRRP 2007 were also considered for KSHIP II. It provides for replacement cost of land through negotiations as per KHA and other transitional support.</td>
<td>Applicable specifically to sub-projects in Karnataka.</td>
</tr>
<tr>
<td>4</td>
<td>Orissa Resettlement and Rehabilitation Policy, 2006</td>
<td>This policy is applicable to all projects for which acquisition of private land under Land Acquisition Act, 1894 or under any other laws for the time being in force or proclamation inviting objections in case of Government land is notified.</td>
<td>Applicable specifically to sub-projects in the State of Orissa.</td>
</tr>
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<td>5</td>
<td>Bihar Land Acquisition Resettlement and Rehabilitation Policy, 2007 (BLARRP-2007)</td>
<td>Government has decided to fix the cost of the land to be acquired after adding 50% of registration cost of similar type of land. The land shall be acquired after paying 30% solatium on the rates as fixed above, but wherever the land owner agrees to give his land voluntarily in that case the solatium to be paid shall be 60%.</td>
<td>Applicable specifically to sub-projects in the State of Bihar.</td>
</tr>
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<td>6</td>
<td>The Provisions of the Panchayats (Extension to the Scheduled Areas) Act, 1996</td>
<td>One of the important provisions of this act states “the Gram Sabha or the Panchayats at the appropriate level shall be consulted before making the acquisition of land in the Scheduled Areas for development projects and before re-settling or rehabilitating persons affected by such projects in the Scheduled Areas.</td>
<td>Applicable to “Scheduled Areas” specifically to sub-projects in Orissa and Rajasthan.</td>
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<tr>
<td>7</td>
<td>The Scheduled</td>
<td>This law provides for recognition of forest rights to</td>
<td>Applicable</td>
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4 Minimum negotiated price for the Districts of Bangalore Urban, Bangalore Rural, Chikkaballapur, Ramnagaram, and Corporation/Municipal limits of other district HQs will be 1.5 times the Guidance Value. For all other areas other than those mentioned above the minimum negotiated price will be 2 times the Guidance Value or average sales statistics, whichever is higher.
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<tr>
<td>1</td>
<td>Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Act, 2006</td>
<td>Scheduled Tribes in occupation of the forest land prior to 13.12.2005 and to other traditional forest dwellers who are in occupation of the forest land for at least 3 generations i.e. 75 years, up to maximum of 4 hectares. These rights are heritable but not alienable or transferable.</td>
<td>specifically to sub-projects in Orissa, Rajasthan, and Karnataka.</td>
</tr>
<tr>
<td>8</td>
<td>World Bank OP 4.12 - Involuntary Resettlement</td>
<td>The project entails land acquisition though, at a low scale for widening, realignments, junction improvements, bypasses etc. It would also adversely affect structures used for various purposes, livelihood of people (mainly earning their livelihood by means of petty shops and providing various services). Many of them have been operating from the government land. Thus both title holders and non-title holders alike would be affected as a consequence of the project.</td>
<td>Applicable to all sub-projects.</td>
</tr>
<tr>
<td>9</td>
<td>OP 4.10 - Indigenous Peoples</td>
<td>It has been found that Indigenous/ Tribal people would also be affected in some of the sub-projects whereas in some other sub-projects though tribal people would not be directly affected but are within the immediate influence zone of the sub-projects.</td>
<td>Applicable specifically to sub-projects in Orissa and Rajasthan.</td>
</tr>
<tr>
<td>10</td>
<td>The Right to Information Act, 2005</td>
<td>The Act provides for setting out the practical regime of right to information for citizens to secure access to information under the control of public authorities, in order to promote transparency and accountability in the working of every public authority, the constitution of a Central Information Commission and State Information Commissions and for matters connected therewith or incidental thereto.</td>
<td>Applicable to the project.</td>
</tr>
<tr>
<td>11</td>
<td>Environmental protection Act, 1986 and subsequent amendments</td>
<td>The Act provides for mandatory public consultation for all listed projects and activities requiring prior Environmental Clearance (EC) and includes road and highways requiring further land acquisition. The Public Consultation shall ordinarily have two components comprising of: (a) a public hearing at the site or in its close proximity district wise, to be carried out in the manner prescribed, for ascertaining concerns of local affected persons; (b) obtain responses in writing from other concerned persons having a plausible stake in the environmental aspects of the project or activity.</td>
<td>Applicable to all sub projects requiring prior EC clearance</td>
</tr>
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6. Comparative Analysis of Applicable Policy

For the purpose of development, maintenance, and management of national highways, a special law, The National Highways Act (NH Act), 1956 has been promulgated in India. This act provides for acquiring land through a “competent authority”, which means any person or authority authorized by the Central Government by notification in the official Gazette to perform functions of the competent authority for such areas as may be specified in the notifications. For land acquisition (LA), the Act defines the various procedures as (i) section 3A—intention of Central Government to acquire land, (ii) 3B—power to enter for survey, (iii) 3C - hearing of objections, (iv) 3D - declaration of acquisition, (v) 3E- power to take possession, (vi) 3F- power to enter into the land where land has vested in the central government, (vii) 3G - determination of compensation, and (viii) 3H - deposit and payment of the amount. The Act requires that the processes must be completed within
a year from 3A to 3D. The Act covers only legal titleholders and provides for compensation based on (i) market value of the land; (ii) additional payments for trees, crops, houses, or other immovable properties; and (iii) payments for damage due to severing of land, residence, or place of business. Land acquisition in this project will be carried out under the NH Act. 1956.

National Policy specifies that the compensation award shall be declared well in time before displacement of the affected families. Full payment of compensation (section 3H under NH Act) as well as adequate progress in resettlement shall be ensured in advance of the actual displacement of the affected families. World Bank safeguard policy also requires that the compensation and assistance to PAPs (other than capacity building support for livelihood restoration) be provided prior to any displacement or start of civil works.

Both the National Policy and the World Bank guidelines on rehabilitation and resettlement aim to see that involuntary resettlement should be avoided or minimized, wherever feasible, exploring all viable alternative project designs, and where displacement is unavoidable, people losing assets, livelihood or other resources shall be assisted in improving or at a minimum regaining their former status of living at no cost to themselves.

Similarly, National Resettlement and Rehabilitation Policy 2007 recognize the need for rehabilitation and resettlement benefits for project affected families belonging to Scheduled Castes and Schedule Tribes separately. Further, one of the important provisions of PESA Act is that the consent of Gram Sabha or the Panchayats at the appropriate level shall be obtained before making the acquisition of land in the Scheduled Areas for development projects. The Orissa R&R Policy 2006 has special provisions for ST affected population. The World Bank OP 4.10 emphasizes “a process of free, prior, and informed consultation with the affected Indigenous People’s communities at each stage of the project, and particularly during project preparation, to fully identify their views and ascertain their broad community support for the project.

Also World Bank safeguards policy requires consultation with PAPs during planning and implementation of resettlement action plan and tribal development plan and public disclosure of drafts. Once the draft is prepared it is to be made available at a place accessible to, and in a form, manner and language understandable to the displaced or affected people and local NGOs. EP Act 1986 and NPRR 2007, also requires disclosure of draft EIA, SIA, RAP, EMP and other project reports followed by mandatory Public Hearing.

Based on the detailed comparative analysis of the above discussed applicable legal and policy framework, key differences identified between these policies which needs to be addressed under the Resettlement Policy Framework (RPF) is listed below:

i) Recognition of non-titleholders who have no recognizable legal right to the land they are occupying and extending R&R benefits under the project;
   ii) Establishment of cut-off date to identify the non-titleholders in the project;
   iii) Compensation at full replacement cost to replace the lost and other assets;
   iv) Need for preparation and public disclosure of Social Impact assessment (SIA), Resettlement Action Plan (RAP) and Tribal Development Plan TDP) as per project requirements.

7. Purpose of Resettlement Policy Framework

The Resettlement Policy Framework for the NHIIP has been prepared based on the findings of Social Screening Report covering initial impact assessment and review of applicable legal and policy framework discussed above.
Review of Social Screening Reports (SSRs) reveal that applicable legal and administrative procedures vary from State to State and also there are gaps between Resettlement and Rehabilitation Policies of the country and certain states and the Bank’s Safeguard Policies. Hence, MoRTH felt the need to understand the critical elements of the existing legal and policy framework and agree on a mechanism that will address the key social issues. A specific policy framework for the project has been formulated to bridge the gaps to conform to the provisions of World Bank’s operational policies related to Involuntary Resettlement and Indigenous Peoples. This policy framework will help expedite the process and facilitate consistent preparation of social management plans which will include RAPs and TDPs (if applicable) across all project roads in different states.

The purpose of preparing a RPF is to:

a) Bring commonality in resettlement and rehabilitation benefits under the project.

b) Bridge the gap between Bank’s policy on Involuntary Resettlement, Indigenous People and NRRP 2007.

c) Bring together and built upon the current good practices in terms of procedures to address more systematic and institutional issues.

d) Establish institutional arrangements at project, state and central level (MoRTH) for the implementation of social management plans including RAP and TDP.

e) Establish mechanism for redressal of grievances; and monitoring and evaluation, etc.

8. Objectives and Scope of Resettlement policy Framework, NHIIP

This Framework has been formulated to lay down the principles and procedures for management of social impacts caused by the project and guide the social impact assessment and preparation of mitigation plans including Resettlement Action Plans and Tribal Development Plans for the project. This Framework shall apply to all project roads under NHIIP whether partly or fully funded by World Bank during the entire period of loan assistance. Overall objective of this Framework is to guide the preparation and implementation of NHIIP based on the following principles:

- Take due precautions to minimize disturbance to human habitations, tribal areas and places of cultural significance.
- Ensure that the Project Affected Persons (PAPs) are not negatively affected by the project.
- Involve affected people from inception stage to operation and maintenance.
- Consult affected people in issues of ROWs, land acquisition or loss of livelihood.
- Encourage consultation with communities in identifying environmental and social implications of projects.
- Pay special attention to marginalized and vulnerable groups and secure their inclusion in overall public participation.
- Provide compensation and assistance to PAPs prior to any displacement or start of civil works.
- Guarantee entitlements and compensation to affected people as per the R&R policy as established in this document. This would ensure compensation and assistance sufficient to improve or at least restore livelihoods to levels experienced before the project.
- Share information with local communities about environmental and social implications.
- Broad community support is ascertained based on free, prior and informed consultation.

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

9. Resettlement and Rehabilitation Policy, NHIIP

9.1 Definitions

Following definitions that will be applicable unless otherwise stated specifically.

- **Agricultural labourer**: means a person primarily resident in the affected area for a period of not less than five years immediately before the declaration of the affected area, who does not hold any land in the affected area but who earns his livelihood mainly by manual labour on agricultural land therein immediately before such declaration and who has been deprived of his livelihood;

- **Agricultural land**: Denotes land used or capable of being used for the purpose of agriculture or horticulture, dairy farming, poultry farming, pisciculture, sericulture, breeding of livestock or nursery growing medicinal herbs, raising of crops, grass or garden produce and land used by an agriculturist for the grazing of cattle, but does not include land used for cutting of wood only;

- **Below poverty line (BPL) or BPL family**: means below poverty line families as defined by the Planning Commission of India, from time to time and those included in the BPL list for the time-being in force;

- **Corridor of impact (COI)**: Refers to the minimum land width required for construction including embankments, facilities and features such as approach roads, drains, utility ducts and lines, fences, green belts, safety zone, working spaces etc. Additional land width would be acquired/purchased or taken on temporary lease if the Corridor of Impact extends beyond the available Right of Way;

- **Cut-off date**: Refers to the date on which the census survey of PAPs starts in that road section/stretch. For entitlement purpose, the PAPs would be those who have been in possession of the immovable or movable property within the affected area/zone on or prior to cut off date. However, the cut-off date for land acquisition purpose is the date on which the notification under section 3A will be issued under the NH Act, 1956;

- **Encroacher**: A person who has extended their building, agricultural lands, business premises or work places into public/government land without authority;

- **Entitled person (EP)**: A person who is adversely impacted by the project and is entitled to assistance as per the project entitlement framework is considered to be an Entitled Person.

- **Holding**: means the total land held by a person as an occupant or tenant or as both;

- **Kiosk**: A kiosk is a booth/stall/cabin/cubicle made of wood or iron or any other building material which could be shifted to another location as a single unit without much damage and is used for carrying out petty business/commercial activities and has been in operation/existence prior to cut off date;

- **Land acquisition** or **“acquisition of land”**: means acquisition of land under the NH Act, 1956 for the time being in force;

- **Landowner**: A person who is an allottee or a grantee of any land under any scheme of the Government under which such allotment or grant is to mature into ownership, who has mortgaged his land (or any portion thereof) or who has permanent rights and interest in land;

- **Marginal farmer**: Refers to a cultivator with an un-irrigated land holding up to one hectare or irrigated land holding up to half hectare;

- **Non-agricultural labourer**: means a person who is not an agricultural labourer but is primarily residing in the affected area for a period of not less than five years immediately before the declaration of the affected area and who does not hold any land under the
affected area but who earns his livelihood mainly by manual labour or as a rural artisan immediately before such declaration and who has been deprived of earning his livelihood mainly by manual labour or as such artisan in the affected area;

- **Non-titleholder**: Affected persons/families/households with no legal title to the land, structures and other assets adversely affected by the project. Non-titleholders include encroachers, squatters, etc;

- **Notification**: means a notification published in the Gazette of India;

- **Occupier**: means a member of a Scheduled Tribes community in possession of forest land prior to the 13th day of December, 2005;

- **Project**: Refers to the National Highways Interconnectivity Improvement Project (NHIIP).

- **Project affected area**: Refers to the area of village or locality under a project for which land will be acquired under NH Act 1956 through declaration by Notification in the Official Gazette by the appropriate Government or for which land belonging to the Government will be cleared from obstructions;

- **Project affected family**: includes a person, his or her spouse, minor sons, unmarried daughters, minor brothers, unmarried sisters, father, mother and other relatives residing with him or her and dependent on him or her for their livelihood; and includes “nuclear family” consisting of a person, his or her spouse and minor children;

- **Project affected person (PAP)**: Any tenure holder, tenant, Government lessee or owner of other property, or non-titleholder who on account of the project has been affected from such land including plot in the abadi or other property in the affected area will be considered as PAP;

- **Project displaced person (PDP)**: Any tenure holder, tenant, Government lessee or owner of other property, or non-titleholder who on account of the project has been involuntarily displaced from such land including plot in the abadi or other property will be considered as PDP. A displaced will always be a PAP but all PAP may not be PDP;

- **Project affected household (PAH)**: A social unit consisting of a family and/or non-family members living together, and is affected by the project negatively and/or positively;

- **Replacement cost**: A replacement cost/value of any land or other asset is the cost/value equivalent to or sufficient to replace/purchase the same land or other asset;

- **Small farmer**: Refers to a cultivator with an un-irrigated land holding up to two (2) hectares or with an irrigated land holding up to one (1) hectare;

- **Squatter**: A person who has settled on public/government land, land belonging to institutions, trust, etc and or someone else’s land illegally for residential, business and or other purposes and/or has been occupying land and building/asset without authority;

- **Tenant**: A person who holds/occupies land-/structure of another person and (but for a special contract) would be liable to pay rent for that land/structure. This arrangement includes the predecessor and successor-in-interest of the tenant but does not include mortgage of the rights of a landowner or a person to whom holding has been transferred; or an estate/holding has been let in farm for the recovery of an arrear of land revenue; or of a sum recoverable as such an arrear or a person who takes from Government a lease of unoccupied land for the purpose of subletting it;

- **Titleholder**: A PAP/PAF/PAH who has legal title to land, structures and other assets in the affected zone;

- **Vulnerable group**: This includes Scheduled Caste. ST, family/household headed by women/female, disabled, handicapped, orphans, destitute, BPL, abandoned woman; unmarried girls; widows; and persons above the age of 65 years irrespective of their status of title (ownership). Vulnerable groups would also include those farmers who (after acquisition of land) become small/marginal farmers and also qualify for inclusion in BPL. For such cases, total land holding of the landowner in that particular revenue village will be considered in which land has been acquired;

- **Wage earner**: Wage earners are those whose livelihood would be affected due to the displacement of the employer. The person must be in continuous employment for at least
six months prior to the cut-off date with the said employer and must have reliable documentary evidence to prove his/her employment.

9.2 **Resettlement Principles and Eligibility Criteria**

Based on the above analysis of government provisions and requirements as per World Bank IR policy the broad resettlement principle for this project shall be the following:

- Proposed highway improvement and strengthening work will take place mostly on the existing alignment and within the available RoW except at locations where bypass is proposed or at locations where realignment is necessary to incorporate required safety measures;
- The involuntary resettlement and adverse impacts on persons affected by the project would be avoided or minimized as much as possible exploring viable alternative project design;
- Where it is not feasible to avoid resettlement, resettlement activities should be conceived and executed as sustainable development programs, providing sufficient investment resources to enable the persons displaced by the project to share in project benefits;
- Efforts should be made to improve their livelihoods and standards of living or at least to restore them, in real terms, to pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher;
- Displaced persons should be meaningfully consulted and should have opportunities to participate in planning and implementing resettlement programs;
- Replacement land shall be an option for compensation in the case of loss of land. In case of unavailability of replacement land, cash-for-land with compensation on replacement cost option will be made available to the PAPs;
- Compensation for loss of land, structures and other assets will be based on full replacement cost and will be paid before physical displacement of PAPs including transaction costs;
- In the event of necessary relocation, PAPs shall be assisted to integrate into host communities;
- All land acquisition for the project would be done as per the National Highways Act, 1956. Additional assistance would be provided to the PAPs for meeting the replacement cost of the property;
- Compensation and all R&R assistance shall be disbursed except skill enhancement entitlements before initiating civil works;
- The uneconomic residual land remaining after land acquisition will be acquired by the project. The owner of such land/property will have the option to seek acquisition of his entire contiguous holding/property provided the residual land is less than the average land holding of the district;
- Any structure/asset rendered unviable/unsafe because of the project shall also be considered as affected and entitlements shall be extended accordingly;
- The affected persons who does not own land or other properties, but have economic interests or lose their livelihoods will be assisted as per the policy principles described in this document;
- Cut-off date for titleholders will be the date of publication of notification under Section 3A of the National Highways Act, 1956. For non-titleholders who has not any legal holding of the occupied land such as squatters and encroachers the date of project census survey or a similar designated date declared by the executing agency will be considered as cut-off date;
- An entitlement matrix for different categories of people affected by the project has been prepared and provisions will be kept in the budget for those who were not present at the time of census survey. However, people moving in the project area after the cut-off date will not be entitled to any compensation or assistance;
- Vulnerable groups (PAPs below poverty line (BPL), the landless, disabled, elderly persons, women and children, indigenous peoples) will be identified and given additional support and assistance under the project;
- All common property resources (CPR) lost due to the project will be reconstructed or compensated by the project;
- Information related to the preparation and implementation of resettlement plan will be disclosed to all stakeholders and people's participation will be ensured in planning and implementation;
- Appropriate grievance redressal mechanism will be established at sub-project, state and central levels to ensure speedy resolution of disputes;
- An effective monitoring and evaluation mechanism will be established to ensure consistent implementation of resettlement activities planned under the project including third party monitoring.

9.3 Entitlement Matrix for NHIIP

Under this Resettlement and Rehabilitation Policy adopted for the project, several categories of project affected persons are recognised with varying eligibility for the compensation and assistance packages in the entitlement matrix below. This entitlement matrix has been developed in accordance with the basic principles adopted in the RPF and analysis of initial identification of project impacts.

In case where a State Government through any Act or Gazette Notification or as approved by any authority of State Government (duly authorized for the purpose) as per their approved procedure has fixed a rate for compensation of land and is higher than the provisions under the project, the same may be adopted by the Competent Authority in determining the compensation for land.

Similarly, in case where a State Government through any Act or Gazette Notification or as approved by any authority of State Government (duly authorized for the purpose) as per their approved procedure has fixed a rate for resettlement and rehabilitation assistance and is higher than the provisions under the project, the same may be adopted by the Project Authority.

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<tr>
<th>Sl. No.</th>
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<th>Definition of Entitled Unit</th>
<th>Entitlement</th>
<th>Details</th>
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</table>
| A.     | Loss of Private Agricultural, Home-Stead & Commercial Land | Land within the Corridor of Impact (COI) | Compensation at replacement cost, Resettlement and Rehabilitation | a) Land for land, if available. Or, Cash compensation for the land at replacement cost, which will be determined as mentioned in Note (A).  
  b) If the compensation amount determined by the Competent Authority is less than the replacement cost mentioned in Note A, the difference amount will be paid as replacement assistance.  
  c) In case of land for land is not provided, additional ex-gratia amount of Rs 20,000/- for those losing land up to 250 sqmts of land. The affected person will get Rs.80 per sqmt for any area acquired above 250 sqm. (para 7.19 NRRP 2007)  
  d) If as a result of land acquisition, the land holder becomes landless or is reduced to the status of a “small” or “marginal” farmer, rehabilitation allowance equivalent to 750 days of minimum |
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<td>agricultural wages would also be given. (para 7.14, NRRP-2007).</td>
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<td>e) Policy for acquisition/ compensation for residual land will be as per note B.</td>
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<td>f) In case of allotment of land, one time financial assistance of minimum Rs. 15000/- per hectare for land development. (para 7.9.1 of NRRP-2007)</td>
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<td>g) 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.</td>
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<td>2</td>
<td>Structure within the Corridor of Impact (Col)</td>
<td>Title Holder/ Owner</td>
<td>Compensation at replacement rate, Resettlement &amp; Rehabilitation Assistance</td>
<td>a) Cash compensation for the structure at replacement cost which would be determined as per Note (C).</td>
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<td>b) Right to salvage material from the demolished structures.</td>
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<td>c) Three months’ notice to vacate structures.</td>
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<td>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.</td>
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<td>e) In case of partially affected structures and the remaining structure continues to be viable additional 25% of compensation amount as restoration grant.</td>
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<td>f) Monthly subsistence/transitional allowance equivalent to twenty-five days minimum agricultural wages per month for a period of one year from the date of displacement (para 7.16 of NRRP-2007).</td>
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<td>g) Each affected family getting displaced shall get a one-time financial assistance of Rs 10,000 as shifting allowance (para 7.10 NRRP 2007).</td>
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<td>h) Each affected family that is displaced and has cattle, shall get financial assistance of Rs 15,000/- for construction of cattle shed (para 7.10 NRRP 2007).</td>
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<td>i) 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 (para 7.12 NRRP 2007).</td>
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<td>j) House construction assistance of Rs. 10,000 for families belonging to vulnerable group will be provided.</td>
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<td>3</td>
<td>Structure within the Tenants/ Lease Holders</td>
<td>Resettlement &amp;</td>
<td>a) Registered lessees will be entitled to an apportionment of the compensation</td>
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|        | Corridor of Impact (Col)               | Rehabilitation Assistance | payable to structure owner as per applicable local laws.  
|        |                                        |             | b) In case of tenants, three months written notice will be provided along with Rs 10,000 towards shifting allowance (NRRP 7.11).  
|        |                                        |             | c) In case three months’ notice to vacate structures is not provided, then three months’ rental allowance will be provided in lieu of notice. |

C. Loss of Trees and Crops

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| 4      | Standing Trees, Crops within the Corridor of Impact (Col) Owners and beneficiaries (Registered/ Un-registered tenants, contract cultivators, leaseholders & sharecroppers) | Compensation at market value | a) Three months advance notice to project affected persons to harvest fruits, standing crops and removal of trees.  
|        |                                        |             | b) Compensation to be paid at the rate estimated by:  
|        |                                        |             | i) The Forest Department for timber trees  
|        |                                        |             | ii) The State Agriculture Extension Department for crops  
|        |                                        |             | iii) The Horticulture Department for fruit/flower bearing trees.  
|        |                                        |             | c) Registered tenants, contract cultivators & leaseholders & sharecroppers will be eligible for compensation for trees and crops as per the agreement document between the owner and the beneficiaries.  
|        |                                        |             | d) Un-registered tenants, contract cultivators, leaseholders & sharecroppers will be eligible for compensation for trees and crops as per mutual understanding between the owner and the beneficiaries. |

D. Loss of Residential/ Commercial Structures to Non-Titled Holders

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| 5      | Structures within the Corridor of Impact (Col) or Govt. land Owners of Structures or Occupants of structures identified as per Project Census Survey | Resettlement & Rehabilitation Assistance | a) Encroachers shall be given three months’ notice to vacate occupied land or cash assistance at replacement cost for loss of structures.  
|        |                                        |             | b) Any encroacher identified as vulnerable shall be paid replacement cost of affected structure to be determined as per Note C.  
|        |                                        |             | c) Any encroacher identified as non-vulnerable but more than 25% of structure used for residential purposes is affected be paid cash assistance at replacement cost for loss of structures to be determined as per Note C.  
|        |                                        |             | d) All squatters to be paid cash assistance for their structures at replacement costs which will be determined as mentioned in Note C.  
|        |                                        |             | e) Resettlement & Rehabilitation assistance to the squatters as under:  
<p>|        |                                        |             | i) Monthly subsistence/transitional allowance equivalent to twenty-five |</p>
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<td>days minimum agricultural wages per month for a period of one year from the date of displacement (para 7.16 of NRRP-2007).</td>
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<td>(ii) Shifting allowance of Rs 10,000 per family (para 7.11 NRRP 2007).</td>
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<td>(iii) Assistance of Rs 15,000/- for loss of cattle shed (para 7.10 NRRP 2007).</td>
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<td>(iv) 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 (para 7.12 NRRP 2007).</td>
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<td>(v) House construction assistance of Rs. 10000/- for those belonging to vulnerable groups.</td>
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**E. Loss of Livelihood**

| 6     | Families living within the Corridor of Impact (Col) | Title Holders/Non-Title holders/sharecroppers, agricultural labourers and employees | Resettlement & Rehabilitation Assistance | a) Monthly subsistence/transitional allowance equivalent to twenty-five days minimum agricultural wages per month for a period of one year from the date of displacement (para 7.16 of NRRP-2007). (PAPs covered under 1(f), 2 (f) and 5 (e)(i) above would not be eligible for this assistance). |
|       |                                                   |                                           |                                         | b) Training Assistance of Rs 10,000/- for income generation per family. |
|       |                                                   |                                           |                                         | c) Temporary employment in the project construction work to project affected persons with particular attention to vulnerable groups by the project contractor during construction, to the extent possible. |

**F. Additional Support to Vulnerable Group**

| 7     | Families within the Corridor of Impact (Col) | Vulnerable families | Resettlement & Rehabilitation Assistance | One time additional financial assistance equivalent to 300 days of minimum wages to all vulnerable including STs as Economic Rehabilitation Grant. |

**G. Additional Assistance to Scheduled Tribe Families**

| 8     | Scheduled Tribe families within the Corridor of Impact (Col) | Family | Resettlement & Rehabilitation Assistance | a) Each ST affected family shall get an additional one time financial assistance equivalent to two hundred days of minimum agricultural wages for loss of customary rights or usage of forest produce (para 7.21.5 NRRP 2007). Customary rights on land and usage of forest will have to be certified by the Gram Sabha or such appropriate authority. |
|       |                                                           |       |                                           | b) Each Scheduled Tribe family affected families resettled out of the district will get twenty-five per cent higher rehabilitation and resettlement benefits. |

**H. Loss of Community Infrastructure/Common Property Resources**
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<td>9</td>
<td>Structures &amp; other</td>
<td>Affected communities and groups</td>
<td>Reconstitution of community structure and common</td>
<td>Reconstruction of community structure and common property resources in consultation with the community.</td>
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<td>resources (e.g. land, water, access to structures etc.) within the Corridor of Impact (Col)</td>
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<td>property resources</td>
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I. Temporary Impact During Construction

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<td>10</td>
<td>Land &amp; assets temporarily impacted during construction</td>
<td>Owners of land &amp; Assets</td>
<td>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.</td>
<td>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’.</td>
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J. Resettlement Site

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<td>11</td>
<td>Loss of residential and commercial structures</td>
<td>Displaced titleholders and non-titleholders</td>
<td>Provision of resettlement site/ vendor market</td>
<td>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 250 sqmt in rural area and 150 sqmt in urban areas (7.2 of NRRP 2007). 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. Shopping unit size will be equivalent to size lost subject to a maximum of 100 sqft in urban and 150 sq.ft. in rural areas. 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. Basic facilities such as approach road, electricity connection, water and sanitation facility, etc shall be provided at resettlement site and in vendor market, as applicable by</td>
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</table>
9.4 Methods for Assessment of Replacement Cost

The methods for assessment of replacement cost and determination of compensation for loss of land, structure, and other assets are discussed in the notes provided below:

Note A
1. Compensation would be determined by Competent Authority:
   (i) Calculate the base cost by adding 50% of the latest guideline value/circle rate for the indented use of the land;
   (ii) Add 60% solatium to the base cost of land.

Or
2. Engage/Hire an Independent Valuer registered with Government, who can assist to assess the replacement cost of land as follows and provide inputs to the competent authority by:
   (i) Appraising recent sales and transfer of title deeds and registration certificates for similar type of land in the village or urban area and vicinity
   (ii) Appraising circle rate in urban and rural areas of the district
   (iii) Appraising agricultural productivity rate for land - 20 years yield.

Or
3. Compensation as per the state approved procedure.

Replacement cost of land shall be the highest of the above three options.

Note B - Compensation for unviable residual land
If the residual plot(s) is (are) not economically viable, the Project Authority will follow the rules and regulations applicable in the state and compensate accordingly; if there are no state specific rules and regulations available regarding residual land and the residual land is less than average land holding of the district after acquisition, then the EA in agreement with the project affected person will follow one of the following:

(i) The Project Authority will buy the residual land for the project following the entitlements listed in the entitlement matrix; or

(ii) The Project Authority will pay the project affected person 25% of the base cost of land as hardship compensation for that portion of land (residual) without its acquisition.

**Note C - Replacement cost of houses, buildings and other structures**

The replacement cost of houses, buildings and other immovable properties will be determined on the basis of replacement cost by referring to relevant Basic Schedule of Rates (BSR) as on date without depreciation. In case of partial impact, if the residual structure is rendered structurally unsafe or unviable the entire structure to be considered affected and compensated accordingly. In case of displacement and the valuation amount is less than the amount provided under IAY/JNNURM as applicable, compensation equivalent to provisions under IAY/JNNURM shall be provided.

**Note D - Compensation for Trees/Crops**

Compensation for trees will be based on their market value. Loss of timber trees will be compensated at their replacement cost while the compensation for the loss of fruit bearing trees will be calculated as annual produce value calculated for the number of years (as per standard procedure followed by concerned department) depending on the nature of trees/crops.

10. **Direct Purchase of Land**

Provision of direct purchase of land from land owners in case of sub-project where additional land requirement is very less (minimal) may also be considered. However, resettlement and rehabilitation benefits available to affected persons whose land would be acquired under the statute shall also be available to those affected persons whose land would be acquired through direct purchase.

11. **Methodology for Census and Socio-Economic Survey**

For a good resettlement planning, implementation and monitoring it is important to collect quality census and baseline socio-economic data of PAPs. For this purpose, census and socio-economic surveys shall be conducted using structured questionnaire during the project preparation. These surveys shall be commenced after finalization of alignment.

Broad information that would be collected through this census and socio-economic survey includes; details of family members, religion, social category, sources of income, occupation, land holdings, ownership and type of structures, property and assets owned, livestock size, details of losses of assets to the project, etc. These surveys shall be designed to ensure that only genuine persons are classified as project affected and the scope for frauds/ misrepresentations and opportunistic attempts to seek assistance is negated. The extent of impact on Common Property Resources shall be covered during these surveys. The sample census and socio-economic questionnaire is attached as Annexure-2.

The guidelines for filling census survey code, conducting census and socio-economic survey, videography of project stretch etc. are provided as Annexure-3.
12. Preparation of SIA and Resettlement Action Plan

All candidate roads shall go through social screening and initial impact assessment as part of feasibility study. For the candidate roads found feasible, detailed Social Impact assessment (SIA) shall be carried out for all sub-projects to assess the likely adverse impact and key social issues at the sub-project level. Subsequently, Resettlement Action Plan shall be prepared to address the adverse impacts and key social issues. SIA and RAPs will be prepared irrespective of number of person affected and disclosed to the public four months prior to award of contracts. The EIA clearance package from MoEF shall include the SIA and RAPs for all the candidate roads subject to Environment clearance. The SIA and RAPs will also be provided to Bank for review and clearance for each candidate road to be considered eligible for bank financing.

- For all candidate roads triggering involuntary resettlement a Resettlement Action plan shall be prepared. The outline of RAP is provided in Annexure-4.
- For all candidate roads which pass through Tribal inhabited areas and potential adverse impact is identified during detailed social impact assessment a Tribal Development Plan shall be prepared as detailed in Section 13.

All Social impact assessment reports shall identify potential issues of exclusion by Tribe, caste, gender, and poverty and address the same in RAPs through Tribal Development Plan and gender and social inclusion plans. RAPs for all candidate roads should also include strategy for creating awareness on road safety and HIV/AIDs. The strategy for ensuring broad community support based on free prior and informed consultation, recognition of tribal rights and customs, gender mainstreaming and social inclusion is detailed in the following sections.

MoRTH shall ensure that identity cards are prepared and handed over to all the PAPs as soon as the survey and assessment stages are over. A sample photo identity card is attached as Annexure-5.

Preparation of Micro Plan

Micro plans shall be prepared for all the project affected individuals and common property resources based on the extent of impacts and the project entitlement Framework. The micro plan shall contain information on extent of loss under each category of loss, category of affected and due entitlements as per the eligibility criteria. A sample of Individual Micro plan for titleholder is provided as Annexure-6.

The micro plan will be prepared by the NGO and submitted to Project Authority for approval. The Project Authority with or without involvement of the District Collector Office as applicable will approve the micro plan for disbursement of assistance to entitled persons. The assistance will be disbursed by cheque or by direct transfer to PAPs bank account. For non-titleholders however, the replacement amount of structures and other properties affected shall be worked out by the NGO based on the rates approved by the District level committee. Any grievance reported by the PAPs regarding their eligibility, replacement cost of affected assets and any other entitlements shall be addressed through the Grievance Redressal Committee. The structure and process of these committees is provided under section on Institutional arrangements.

13. Tribal Development Framework

The objective is to design and implement projects in a way that fosters full respect for Indigenous Peoples’ dignity, human rights, and cultural uniqueness and so that they: (a) receive culturally compatible, gender and inter-generationally inclusive social and economic benefits; and (b) avoid
adverse effects during the development process, or if not feasible ensure that these are minimized, mitigated or compensated.

The term “Indigenous Peoples” is used in a generic sense to refer to a distinct, vulnerable, social and cultural group possessing the following characteristics in varying degrees:

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

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

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

The Orissa R&R Policy 2006 has special provisions for ST affected population and these include the following aspects:

- Objective of the policy (section 4) emphasizes on recognizing the voices of people especially, indigenous communities and vulnerable sections.
- Para (g) under section 5 mandates consultation with Gram Sabha for resettlement planning in Scheduled area.
- Section (8) explains about addressing specific issues of indigenous communities
- Preferential allotment of shops (Type (II) (item g)) to displaced ST families.
- Section 13 of the policy includes special benefits to displaced indigenous families including the socio-cultural requirements in developing resettlement plans, preferential allotment of alternate land and 25% higher R&R benefits in case displaced families resettled outside the district.

NHIIP shall avoid adverse impact on such areas to the extent possible. Where unavoidable, it will consult the concerned Gram Sabha / Panchayat for obtaining their broad support and resolution for initiating land acquisition as per the provisions of the Act and OP 4.10.

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5 As per Operational Policy 4.10 on Indigenous Peoples, World Bank.
6 Article 244 (1) and 244 (2) of the constitution of India enables the government to enact separate laws for the governance and administration of the tribal areas. In pursuance of these articles, the President of India had asked each of the states in the country to identify tribal dominated areas. Areas thus identified by the states were declared as Fifth Schedule areas.
7 This is a clause of Orissa Resettlement and Rehabilitation Policy, 2006.
As mentioned earlier, the social screening survey identified adverse impacts on tribal people (Indigenous Peoples), though at a lower scale in certain project roads in Odisha and Rajasthan hence provisions of World Bank OP 4.10, ORRP 2006, NRRP 2007 will be applicable. Land acquisition is involved in some sections of sub-projects falling in Scheduled V Areas of Odisha and Rajasthan and hence provisions of PESA, 1996, will be applicable. A Tribal Development Plan (TDP) will be prepared, as part of the RAP, to provide specific benefits to the tribal people, as applicable. Contents of Tribal Development Plan (TDP) are provided as **Annexure-7**.

### 13.1 Issues / Concerns of Tribal Communities

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

**Issues related directly to the development of the project**
- Loss of agriculture income
- Loss of employment of daily wagers in shops and eating places along the road
- Loss of shelter
- Lack of effective consultation
- Loss of community facilities
- Poor access to project information and benefits
- Seek employment opportunities through project
- Physical displacement

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

### 13.2 Tribal Development Strategy

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

Though the proposed project intervention would not have much direct adverse impact on tribal in larger extent, it is observed that there will be minor impact on these tribal population. There will be loss of livelihood and shelter of Scheduled Tribe in selected stretches. Therefore specific strategies based on type of loss and nature and magnitude of impact on tribal have been formulated for those who are directly impacted and a general strategies associated with tribal backwardness is also prepared.
Specific and general strategies related to STs, consultation strategy in tribal areas and steps for preparation and implementation of Tribal Development Plan in detail is provided at Annexure-8.

14. Gender Strategy

The background socio economic profiles as per social screening reports reveal persisting gender and caste inequalities. Gender barriers cut across class and caste, hence, in matters of land acquisition and R&R, families are less likely to encourage participation of women. The strategy to address gender issues are the following:

Planning: Collect gender disaggregated data. Prepare information dissemination and participation plan sensitive to women needs based on data collected. Ensure adequate representation of women in institutional arrangements.

Construction: Ensure work conditions that are conducive to women’s participation (e.g., gender-equal wage rates, construction season, toilet and child-care facilities).

Monitoring and evaluation (M & E): Develop indicators to monitor and collect feedback from both men and women. Steps to prepare gender plan for sub projects is detailed in Annexure-9.

15. Livelihood Restoration and Income Generation Strategy

The background socio economic profile as per social screening reports reveal that the population in the project influence area is generally poor and have limited capacity to benefit from the livelihood opportunities created under the development projects or any government sponsored programme. Special effort shall be required under the project in terms of social mobilization and outreach.

One of the objectives of the RAP will be to improve, or at least to restore livelihood conditions of the PAPs at pre-project level. In other words, under the project the main focus of restoration and enhancement of livelihood will be to ensure that PAPs are able to “regain their previous living standards”.

Other than provision in Entitlement Matrix (EM), the project will develop Income Generation opportunities for PAPs by linking to on-going government schemes. For this purpose, the PIU office along with engaged RAP implementation agency (NGO/ Consultancy firm) will help PAPs on opting and making feasible income generation activities for rehabilitation. This will require undertaking detailed market feasibility study and training need assessment to choose the most viable and promising income restoration programs for PAPs.

In addition to the opportunities created within project, the NGO/Consultancy firm will play a proactive role to mobilize the PAPs to enhance their access to various government schemes active in the project area, particularly BPL, WHH and other vulnerable groups by facilitating formation of self-help groups (SHGs) and project beneficiary groups (PBGs). National Rural Livelihood Mission (NRLM) and the government program such as National Rural Employment Guarantee Act (NREGA) aim at creating sustained employment opportunities. The NGO/Consultancy firm shall conduct awareness activities for the PAPs in terms of eligibility criteria and provisions under various government schemes active in the project area within six months of the verification of PAPs. These awareness activities can be extended to the community where the PAPs reside. The cost of such awareness activities shall be built into RAP implementation agency’s contract.
NGO/Consultancy firm shall prepare PAP specific livelihood restoration plan, as per the provision in the RAP, detailing out specific activities to be undertaken by them in consultation with the PAPs and concerned line departments officials to dovetail with existing programs to benefit PAPs. The implementation of livelihood restoration plans must be initiated within six months of receipt of compensation and R&R assistance amount for restoration of assets by the PAPs.

16. HIV Awareness and Prevention Strategy

One of the unintended consequences of any road construction project is that this also provides ample opportunities for a closer inter-phase of mobile population with the local community as most transport and infrastructure projects attract migrant and unskilled labor to project sites. These road construction workers, mostly men, are separated from their partners and families for prolonged periods at a time, increasing their predisposition to engage in risk behaviors. This could potentially lead to interactions between the existing groups practicing high risk behaviours and the road sector workforce.

In addition, there are also probability of links between the local communities and the workforce which could potentially include increased risk of HIV among road sector workers and communities along the roadways. Hence, the opportunity is being seized to intervene early and prevent further spread of HIV in the region.

The following approach shall be adopted to prevent spread of HIV in project area.

- Sensitization of all Gate Keepers to get a buy-in and to mobilize their involvement

A key priority of the programme should focus on sensitizing stakeholders at each level especially the Clients- PIU, Contractors-management and Supervision Consultants. This should lead to increased level of awareness among the gate keepers and further generate supportive attitudes and create an enabling environment to implement HIV prevention programs among the target population.

- Interventions will be built around existing health service structures

The project interventions will be built around existing health service structures already in place. Support will be sought from the respective State AIDS Control Societies (SACS), Technical Support Units (TSU), District AIDS Prevention and control units DAPCU (if present in the project area) and People Living with HIV (PLHIV) network to plan and implement the program effectively. The involvement of the mainstreaming division from SACS will also bring in the needed technical support and guidance to the project.

- Program to be guided by the ‘Contract Clause’: In the contract issued to the contractor

The contractors according to the contract clause will be responsible to create an enabling environment for their workforce to avail HIV prevention services. The contractor would provide Leadership - from all levels to ensure effective program implementation, allocate time to conduct prevention education sessions for their workforce and build an environment of trust and non-discrimination.

The Risk Assessment and Implementation Strategy under the project are provided in detail in Annexure-10.

17. Public Consultations and Participation Framework
To ensure peoples’ participation in the planning phase and aiming at promotion of public understanding and fruitful solutions of developmental problems such as local needs of road users and problem and prospects of resettlement, various sections of project affected persons and other stakeholders will be engaged in various consultation throughout the project planning and implementation.

Public participation, consultation and information dissemination in a project begins with initial Social assessment activities during the initial phases of project preparation. Public consultation activities and information dissemination to PAPs and local authorities continues as the project preparation activities proceed in a project. Through respective local governments and civil society, PAPs are regularly provided with information on the project and the resettlement process prior to and during the project preparation and implementation stage.

The information dissemination and consultation with PAPs during project preparation should include but not limited to the following:

- project description and its likely impacts
- objective and contents of the surveys
- general provisions of compensation policy
- mechanisms and procedures for public participation and consultation
- resettlement options (reorganization on remaining land, relocation to a fully developed resettlement site, or cash compensation)
- grievance redress procedures and its effectiveness
- tentative implementation schedule
- roles and responsibilities of the sub-project proponents and local authorities
- feedback on the income generation activities and effectiveness
- feedback regarding relocation site(s)
- preferences for the mode of compensation for affected fixed assets (i.e., cash or land-for-land)

A detailed consultation and communication plan shall be developed for each sub-project as part of the RAP. This framework shall be a sub-set of the overall communication strategy of the project. Some of the methods that can be used for the purpose of communication will include provisions of information boards, pamphlets distribution, wall paintings, drum beating, organizing meetings with key informants and village committees and opinion gathering through post cards, phones and SMSes. About 0.5% of the project cost will be allocated for preparation and implementation of communication strategy.

It is good practice to document details of all public meetings held with people and local government officials with dates, location and the information provided and the major emerging issues. It is recommended that RAP and other documents include this list, as an attachment. Where public announcements are made, the details, together with a copy of the text of the announcements should be provided in the documents. A template for consultation framework is presented in the Annexure-11.

18. Information Disclosure

The Right to Information Act, 2005 provides for setting out the practical regime of right to information for citizens to secure access to information under the control of public authorities, in order to promote transparency and accountability in the working of every public authority, the constitution of a Central Information Commission and State Information Commissions and for
matters connected therewith or incidental thereto. The process for obtaining information and details of designated officials is posted on the MoRTH website.

The draft Resettlement Policy Framework has already been disclosed through the MoRTH website in February 2012. In order to get the feedback from the stakeholders on past experience and to obtain suggestion for further refinement for draft RPF, consultations at the state and central level has been organized.

When the draft RAP including TDP is available for sub projects they shall be provided to key stakeholders and local NGOs and put in a public place. For sub projects requiring environmental clearance, the draft documents shall also be placed for public viewing and stakeholders’ feedback as prescribed under EP Act 1986. The draft copies will also need to be disclosed at MoRTH and World Bank’s websites at least four months prior to the awards of the contracts. Feedback received from stakeholders shall be incorporated into the final documents.

The executive summary of final set of RAP including TDP, wherever applicable and other project related documents/ relevant information shall be translated in local language (applicable in each state) and made available at Project Authority’s state and project offices. The final documents in full will replace the draft documents in Project Authority’s as well as WB websites. The list of eligible persons (PAPs) for disbursement of benefits shall be separately disclosed at concerned Panchayat Offices/ Urban Local Bodies to ensure transparency. A copy of the list of eligible PAPs shall be put up at notice boards of the District Collector Offices, Block Development Offices, District Public Relations Offices (at the state and district levels), project offices, and any other relevant offices, etc. The Resettlement Policy Framework, executive summary of the Social Assessment and Resettlement Action Plan/TDP of the relevant sub project shall also be placed in vernacular language in the District Collector’s Office.

During the project implementation phase the relevant information related to impacts, compensation measures, rehabilitation measures, etc. will be shared with the PAPs in appropriate language in the form of resettlement leaflet. The monitoring report will also be disclosed to the PAPs.

19. Institutional Arrangement

Suitable institutional arrangements will be made to manage and implement Resettlement Action Plan & Tribal Development Plan. The institutional arrangements will be set up at three levels viz., Central, State and Sub-Project Level.

19.1 Central Level

At Central Level, the Chief Engineer (EAP), MoRTH, Govt. of India will be overall responsible for the implementation of RPF. CE (EAP) will have all delegated administrative and financial decisions with regard to implementation of the project as well as land acquisition, RAP including TDP implementation.

Institutional arrangement at Central Level will include augmenting the capacity of MoRTH with regard to resettlement and rehabilitation and management of other social issues. CE (EAP) will be assisted by a team comprising SE designated as Social Officer and a suitable number of technical and secretarial staff. MoRTH also will engage a Social Development Specialist (SDS) either as individual consultant or through Project Management Consultant (PMC), to work with EAP and assist Social Officer. The EAP will be responsible for ensuring training, guidance, and recommendations for handling policy and implementation issues at the state and sub-project levels in compliance with RPF. The Social Development Specialist either individually or with PMC will provide policy and strategic assistance to EAP on social issues including land acquisition and rehabilitation and
resettlement. The designated Social Officer will be specifically responsible for implementation of RAP & TDP. The Social Officer will ensure that all social safeguards issues are complied with as per the RPF. The roles and responsibilities of the SDS would broadly include the following:

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

19.2 State Level

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

- Facilitate preparation and implementation of land acquisition and RAP including TDP in compliance with RPF,
- Ensure consultation and stakeholder participation in finalisation of RAP including TDP,
- Guide and supervise RAP including TDP implementation at sub-project level,
- Interact with RAP implementation support agencies and undertake field visits for first-hand information,
- Guide and supervise the RAP implementing agency to roll out HIV prevention activities,
- Compile data on LA progress and RAP implementation activities received from field offices and update EAP, MoRTH and suggest suitable measures to be taken,
- Co-ordinate with various government departments in matters related to implementation of RAP & TDP,
- Check implementation of RAP including TDP carried out by the agency from time to time by undertaking site visits and consultations with PAPs,
- Perform other roles and responsibilities related to implementation of RAP including TDP as assigned by the EAP, MoRTH from time to time,
- Facilitate and cooperate in third party audit of RAP & TDP implementation.
19.3 Sub-Project Level

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

The roles and responsibilities of the Resettlement and Rehabilitation Officer are as under:

- Ensure RAP including TDP implementation with assistance from implementation agency as per the time line agreed upon.
- Interact with RAP implementation agency on a regular basis.
- Undertake field visits with implementation agency from time to time.
- Facilitate necessary help needed at site with regard to LA and R&R, HIV issues to implementation agency.
- Co-ordinate with district administration and other departments in matters related to implementation of R&R.
- Ensure distribution of Resettlement and Rehabilitation Policy and entitlement matrix for the project to PAPs.
- Ensure preparation and distribution of photo identity cards.
- Ensure and attend meetings organised by implementation agency on thematic areas related to resettlement and rehabilitation policy and entitlements and awareness generation.
- Ensure inclusion of PAPs who could not be enumerated during census but have documentary evidence to be included in the list of PAPs.
- Ensure preparation of identity cards, and approval from the PCU and distribution of the same to PAPs.
- Ensure timely preparation of micro-plan from RAP implementation agency and approval from PCU.
- Ensure disbursement of resettlement and rehabilitation assistance in a transparent manner.
- Participate in meetings related to resettlement and rehabilitation issues.
- Facilitate in opening of joint account of PAPs.
- Prepare monthly progress report related to physical and financial progress of implementation of RAP including TDP & submit to PCU.
- Ensure release of compensation and assistance before taking over the possession of land for start of construction work.
- Ensure relocation, rehabilitation and reconstruction of CPRs before dismantling through proper mechanism.
- Ensure development of resettlement sites, if required.
- Attend and participate in Grievance Redress Committee meetings for redressal of grievances of PAPs and other committees involving R&R matters.
- Liaison with government and other agencies for inclusion of PAPs in employment and income generation programme/scheme.
- Carry out any other work related to resettlement and rehabilitation that may be entrusted from time to time by the PCU for compliance of R&R.
- Provide all necessary information and data related to R&R on monthly basis to designated Social Officer at Central Level through Project Director.
- Ensure that tribal families get equal opportunity to participate during implementation and become overall beneficiaries in the project.

19.4 RAP Implementing Support Agency at Sub-project Level
To implement RAP for each of the sub-project, the Project Authority [CE(EAP), MoRTH] will engage the services of **NGOs/Consultancy firms** having experience in resettlement and rehabilitation issues through standard bidding process. Detailed ToR for hiring the services of the agency will be prepared by the DPR consultants along with RAP. The implementation agency will work in close coordination with RRO and report to PIU. Financial matters related to services of the RAP implementation agency will be dealt by Project Authority. Broad roles and responsibilities of implementation agency would be as:

- The RAP implementation agency will be the main link between the Project Authority and PAPs,
- Shall be responsible for verification of PAPs as prepared by the DPR consultants,
- Undertake public information campaign along with RRO at the commencement of the RAP & TDP,
- Develop rapport with PAPs,
- Distribute pamphlets of R&R Policy including Entitlement Matrix to PAPs, Panchayat Raj Institutions, and concerned Govt. Offices in the project area, etc.
- Include PAPs who could not be enumerated during census cum socio-economic survey and certification from R&R Officer,
- Distribute identity cards for PAPs,
- Prepare micro-plan,
- Submit of micro-plan to RRO for approval from PCU,
- Organize consultations at regular interval with PAPs with regard to resettlement and rehabilitation,
- Organize training program for skill upgradation of the PAPs,
- Assist PAPs in all matters related to compensation and R&R,
- Assist and facilitate aggrieved PAPs (for compensation and assistance) by bringing their cases to GRC,
- Facilitate in opening of joint account of PAPs,
- Generate awareness about the alternative economic livelihood and enable PAPs to make informed choice,
- Consultations with PAPs regarding the choice of resettlement (i.e. self or assisted), development of resettlement site, participation of women, etc.
- Identify training needs of PAPs for income generation and institutions for imparting training,
- Undertake outreach activities for HIV prevention for awareness and behaviour change as per RAP,
- Consultations with local people and Panchayat Raj Institutions with regard to relocation, rehabilitation, reconstruction of affected CPRs as well as provision of new facilities under the project,
- Participate in various meetings,
- Submit monthly progress report, and
- Any other activities that may be required for the implementation of RAP & TDP, etc.

**Figure -1: Institutional Arrangement for RAP Implementation**
19.5 Replacement Cost Committee at District Level

A committee at district level will be constituted to fix the replacement cost of land, structures and other properties (trees, crops and other assets, tube well, hand pump, etc). The committee may comprise seven (7) members chaired by the District Collector/ Dy. Commissioner or his designated representative (not below the rank of SDM), Executive Engineer of the concerned District, District Agriculture Officer, Range Officer (Forest Department), an independent certified valuer and elected representative (MLA) of the concerned area and Team Leader of RAP implementation agency.

The highest value of land obtained by the three methods mentioned in Section 9.4 will be presented by the Project Authority and approved by the committee as the replacement cost. Similarly, latest schedule of rates of the concerned districts shall be used for obtaining replacement cost of structures. For items not available in the schedule of rates, for those items market rates shall be collected from three different sources and then replacement cost shall be fixed by the committee. For replacement costs of crops, trees and other such items similar methods will be followed.

For titleholders the difference of replacement amount and the compensation paid by the Competent Authority (CA) as per the NH Act shall be paid by the Project Authority to the entitled persons (PAPs) as assistance. The differential amount will be included in the micro plan to be prepared by the NGO/Consultancy firm.
The committee will be constituted through an executive order and or other suitable instrument within one month (30 days) from the date of mobilization of RAP implementation agency at site.

19.6 Grievance Redressal Mechanism (GRM)

The GRC will be constituted by the Project Authority with the aim to settle as many disputes as possible on LA and R&R through consultations and negotiations. There will be one GRC for each PIU. The GRC will comprise five members headed by a retired Magistrate not below the rank of SDM. Other members of the GRC will include a retired PWD Officer (not below the rank of Executive Engineer), RRO, representative of PAPs and Sarpanch (Elected Head of Village) of the concerned village. Grievances of PAPs in writing will be brought to GRC for redressal by the RAP implementation agency. The RAP implementation agency will provide all necessary help to PAPs in presenting his/her case before the GRC. The GRC will respond to the grievance within 15 days. The GRC will normally meet once in a month but may meet more frequently, if the situation so demands. A time period of 45 days will be available for redressing the grievance of PAPs. The decision of the GRC will not be binding to PAPs. This means the decision of the GRC does not debar PAPs taking recourse to court of law, if he/she so desires. Broad functions of GRC are as under:

- Record the grievances of PAPs, categorize and prioritize them and provide solution to their grievances related to resettlement and rehabilitation assistance.
- The GRC may undertake site visit, ask for relevant information from Project Authority and other government and non-government agencies, etc in order to resolve the grievances of PAPs.
- Fix a time frame within the stipulated time period of 45 days for resolving the grievance.
- Inform PAPs through implementation agency about the status of their case and their decision to PAPs and Project Authority for compliance.

The GRC will be constituted within 3 months by an executive order from competent authority (centre/ state) from the date of mobilization of RAP implementation agency. The RRO will persuade the matter with assistance from implementation agency in identifying the suitable persons from the nearby area for the constitution of GRC. Secretarial assistance will be provided by the PIU as and when required.
Figure - 2: Grievance Redressal Mechanism

**Grievance Redressal Mechanism**

**BROAD FUNCTIONS**

- RECORD, CATEGORIZE AND PRIORITISE GRIEVANCES
- UNDERTAKE FIELD VISITS, ASK FOR RELEVANT PAPERS, ETC AS REQUIRED
- FIX A TIMEFRAME TO RESOLVE THE GRIEVANCE WITHIN STIPULATED TIME PERIOD
- CONVEY DECISION OF GRC TO PAPS IN WRITING

**PROCEDURE**

- DECISIONS OF GRC MEETING IS DRAFTED
- PIU CO-ORDINATES WITH GRC & PAPS
- NGO INITIATES NECESSARY PREPARATION TO ASSIST PAPS
- RRO CHECK GRIEVANCE & CATEGORIZE AND INFORM NGO AND FOR CASES TO BE REFERRED TO GRC
- PAPS LODGE GRIEVANCE TO PIU DIRECTLY OR TO R&R OFFICER IN WRITING WITH A COPY TO NGO
- PAP S GRIEVANCE MET
- POTENTIAL GRIEVANCES OF PAP S

- GRC MINUTES PREPARED AND SIGNED BY MEMBERS
- GRC DECISIONS CONVEYED TO PAPS IN WRITING
- PIU ORGANIZES GRC MEETING
- GRC DECISION SENT TO PA/EA FOR INFORMATION & COMPLIANCE
- BACK TO RRO FOR IMPLEMENTATION
- OPTIONS TO MOVE COURT
- NGO TO INITIATE ACTION

- UI CRG MEETING
- PIU ORGANIZES GRC MEETING
- GRC DECISION SENT TO PA/EA FOR INFORMATION & COMPLIANCE
- BACK TO RRO FOR IMPLEMENTATION
- OPTIONS TO MOVE COURT
- NGO TO INITIATE ACTION
20. Suggestion and Complaint Handling Mechanism (SCHM)

The MoRTH recognizes the importance of this and hence intends to establish a SCHM for the NHIIP. The communication channels to report project related complaints/concerns will be disclosed at all levels of institutions—MoRTH, State and Sub-project levels.

Though the Right to Information Act, 2005 an Act of the Parliament of India provides for setting out the practical regime of right to information for citizens. The Act applies to all States and Union Territories of India except the State of Jammu and Kashmir. Under the provisions of the Act, any citizen may request information from a “public authority” (a body of Government or “instrumentality of State”) which is required to reply expeditiously or within thirty days. The Act also requires every public authority to computerize their records for wide dissemination and to pro-actively publish certain categories of information so that the citizens need minimum recourse to request for information formally. In other words under the act, citizens have right to seek information from concerned agencies by following the set procedures. However, it is quite likely that many people may not use the provisions of this Act, only in limited cases covering serious concerns. Being an inter-state project involving several states and large scale of civil works along with R&R and Environment issues, the project is likely to receive many suggestions, complaints, inquiries, etc through the project implementation period. Therefore, MoRTH has agreed to establish SCHM as a good practice to address public concerns pertaining to various issues. SCHM will report all project related LA and R&R of the PAPs for redressal through the concerned PIU or GRC as appropriate. Several communication channels viz., toll free phone number, dedicated email, mechanism for on line submission of suggestions/complaints/inquiries, provision of suggestion/complaint box (at site and project office), post and other suitable means shall be set up for suggestion and complaint handling. Details of SCHM are provided as Annexure-12.

21. Mechanism for Implementation of RAP including TDP, Training and Capacity Building - at Project and Sub-project Level

Training and development of project staff is an integral part of project implementation. A training needs identification shall be carried out at Corporate, Regional and Site level, based on which focused training modules will be developed in the first six months of project implementation;

- Strengthening in house capacity to implement the provisions of RAP & TDP,
- Creating awareness, providing the tools for implementation of RAP & TDP, strategy and accompanying set of management procedures to all departments,
- Developing competence of key officials to provide training at respective level.

Based on skill requirement/improvement at all levels for proper implementation of RAP, a training programme focusing project implementing partners at Centre, State and field PIU has been developed (Annexure-13) which will be implemented by the PMU, MoRTH in the next two years. These training programs, which will be zeroed down after a quick training needs assessment, are to be conducted with the help of local and national training institutions and experts in various aspects of social management. MoRTH will also identify courses offered by the premier institutions in India and abroad on social management and inter-phase with identified programme.

Provision for separate budget has been made for this activity. The budget reported under “institutional” head includes the cost estimates of training programs discussed above.

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

The Resettlement Action Plan will contain indicators and benchmarks for achievement of the objectives under the resettlement programme. These indicators and benchmarks will be of three kinds:

i) Proposed indicators, indicating project inputs, expenditures, staff deployment, etc.
ii) Output indicators, indicating results in terms of numbers of affected persons compensated and resettled, training held, credit disbursed, etc,
iii) Impact indicators, related to the longer-term effect of the project on people’s lives.
The benchmarks and indicators will be limited in number, and combine quantitative and qualitative types of data. Some of these indicators may include, percentage of PAPs actually paid compensation before any loss of assets; percentage of PAPs whose incomes after resettlement are better than, or at least same as before resettlement; percentage of assets valued at replacement cost compensation; percentage grievances resolved; and/or percentage of cases to court. The first two types of indicators, related to process and immediate outputs and results, will be monitored to inform project management about progress and results, and to adjust the work programme where necessary if delays or problems arise. The results of this monitoring will be summarized in reports which will be submitted to the World Bank on a regular basis. Provision will be made for participatory monitoring involving the project affected persons and beneficiaries of the resettlement programme in assessing results and impacts. The Project Authority will engage services of an external agency (third party), which will undertake independent concurrent evaluations at least twice a year during the project implementation period. At the end of the project, an impact evaluation will be carried out as part of the project completion report. Such independent evaluation will focus on assessing whether the overall objectives of the project have been met and will use the defined impact indicators as a basis for evaluation. Specifically, the evaluation will assess: (i) The level of success (including the constraints and barriers) in land acquisition programme, resettlement plan, and income recovery of the PAPs after they have been displaced from the project affected area, and, (ii) the types of complaints/ grievances and the success of the handling of grievance and public complaints towards the construction of project’s infra-structures, means of redress for assets and lands and the amount of compensation, resettlement, and other forms of complaints.

Summarizing, M&E would be carried out for regular assessment of both process followed and progress of the RAP & TDP implementation. The internal monitoring will be carried out by the State PCU by the LA cum SDO with assistance from NGO/Consultancy firm and a quarterly report will be submitted to MoRTH. Each quarterly report would also be uploaded on the MoRTH website. The external agency (third party) however, would conduct assessment six monthly for each sub-project by undertaking field visits and all other necessary activities including consultations. The six monthly reports would cover detailed information on process and progress of RAP including TDP implementation. The report would highlight issues, if any that need attention of the Project Authority and suggest corrective measures that may be followed for better implementation of RAP & TDP. A framework for reporting with sample indicators is presented in Annexure-14.

23. Resettlement Budget

The resettlement budget will comprise itemized estimate of compensation for land, structures, trees, crops, various resettlement assistances, rehabilitation or replacement of CPRs including land, if government land is not available, institutional cost, contingency, additional studies if required, cost towards implementation, engagement of RAP implementation agency, evaluation consultants, etc.

The cost of social safeguards management including LA and R&R has been budgeted as part of the overall project costs. While the cost of LA and R&R shall be met with Government of India funds, the cost for capacity building, training, technical audit, HIV awareness has been budgeted under World Bank funds.

The total budget allocated for LA, R&R assistance, and related activities (trainings, awareness etc) based on initial estimates is US$ 90 million, which comes to be about 7.5% of the total project cost. Out of this, total budget allocated for land acquisition is US$76 million (84%) and for R&R assistance is US$13 million (15%). Remaining US$1 million (1%) is allocated for trainings, fees for NGOs/consulting agencies, monitoring and other institutional arrangement.
TYPICAL CROSS SECTION (RURAL AREAS)
Annexure-1(b)

TYPICAL CROSS SECTION WITH PAVED SHOULDER AND FOOTPATH CUM DRAIN

BUILT-UP AREA (MINIMUM ROW)
TYPICAL ARRANGEMENT FOR PROJECT AFFECTED PROPERTIES

ENCROACHER (PARFLY INTRUDED INTO GOVT LAND/EXISTING ROW)

SQUATTER (FULLY WITHIN GOVT LAND/EXISTING ROW)

TITLE HOLDER (PRIVATE LAND: OUT OF EXISTING ROW)

HATCHED PART TO BE ACQUIRED

EXISTING ROW

CORRIDOR OF IMPACT (COI) / PROPOSED ROW

PROPOSED ROW
Census and Community Asset Survey Schedules
Census Survey Questionnaires

PART: 1 - ASSET INFORMATION

Census Survey Code.

|   |   |   |   |   |   |

GENERAL
A. Questionnaire No: .......... B. Subproject Road Name: ..............................................................
C. Village: ..................... D. District: ................. E. State: .............
F. Plot No. ..................... G. Km/Chainage........ H. Side 1. Left 2. Right
I. Name of the person answering to survey.................................................................
J. Relation to the owner: ................................................................................................
K. Years of Occupation of the Affected Property _____ Years
L. Present Address of the Property: ......................................................................................

M. Mother Tongue _______ (Hindi-1; Odiya-2; Others-3; in case of others specify.)

DETAILS OF LAND
1. Ownership of the Land

2. Type of Land

3. Use of Land
   5. Forestation 6. Others 7. No Use/ Barren

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

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

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

7. Status of Ownership

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

9. Father’s Name: .................................................................................................

10. Name of the owner, if the occupier is tenant..........................................................

11. Total Land Holding (in Acre) ........................................................................
12. Any of the following people associated with the Land
   A. Agricultural Laborer 1. Yes 2. No
      (i). If Yes then How many ..........................................................
   B. Sharecropper 1. Yes 2. No
      (ii). If Yes then How many ..........................................................

13. Number of trees within the affected area
   1. Total.......................... 2. Fruit Bearing............... 3. Non-fruit Bearing..............

DETAILS OF STRUCTURES (cross check with part III)

15. Area of the affected structure (in Square Meter)
a) Length along the road............b) Width perpendicular to the road............c) Floor ........

16. Area of the total structure (in Square Meter)
a) Length along the road............b) Width perpendicular to the road............c) Floor ........

17. Distance of structure from center line of the road (in mtr.).............................

18. Type of Construction of the Structure
   1. Temporary (buildings with mud/brick/wood made walls, thatched/tin roof)
   2. Semi-Permanent (buildings, with tiled roof and normal cement floor)
   3. Permanent (with RCC, Single/ Double storey building)

19. Market Value of the Structure (in Rs.)...........................

20. Use of the Structure (select appropriate code from below)
   A. Residential Structure 1 House 2 Hut 3 Other ............
   B. Commercial Structure 4 Shops 5. Hotel 6 Small Eatery 7 Kiosk 8 Farm House
                        9 Petrol Pump 10 Clinic 11 STD Booth 12 Workshop
                        17. Others........
   C. Mixed Structure 18 Residential-cum-Commercial Structure
   D. Community Structure 19 Comm. Center 20 Club 21 Trust 22 Memorials 23 Other....
   E. Religious Structure 24 Mosque, 25 Shrine 26 Burial 27. Temple 28. Other...
   F. Government Structure 29 Govt. Office 30 Hospital 31 School 32 College 33 Other ........
   G. Other Structure 34 Boundary Wall 35 Foundation 36 Cattle Shed 37 Well/Tube Well

21. Status of the Structure

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

23. Father’s Name: ...............................................................

24. Name of the owner, if the occupier is tenant..............................................

...............................................................

   a. Tenure Status.............................. (Own-1; Rented-2; Leasehold-3)
   b. Monthly Rent.........................................................
   c. Utility Connection.................................(1-Electricity; 2- Water; 3- Sewer)
25. Any of the following people associated with the Structure?
   A. Employee/wage earner in commercial structure 1. Yes 2. No
      (i). If Yes, How Many?.................................................................
   B. Employee/ wage earner in residential structure 1. Yes 2. No
      (ii). If Yes, How Many?...............................................................  

26. Number of trees within the affected area
   1. Total.................2. Fruit Bearing...............3. Non-fruit Bearing.............

27. Social Category
      
28. Religious Category
   1. Muslim 2. Hindu 3. Other (specify).......... 
      
29. Vulnerability Status of the Household:
   A. Is it a woman headed household? 1. Yes 2. No
   B. Is it headed by physically/mentally challenged person? 1. Yes 2. No
   C. Is it a household Below Poverty Line (BPL) 1. Yes 2. No
   D. If BPL, provide BPL card number.............................................

30. Monthly income of the family in (Total of Q.No. 36) Rs..........  

Resettlement and Rehabilitation Option
32. Assistance Option
   1. Self Relocation
   2. Cash for Land loss
   3. Cash for House/ Shop loss
   4. Project Assistance

33. Income Restoration Assistance (The most preferred option)
   1. Employment Opportunities in Construction work
   2. Assistance/ Loan from other ongoing development scheme
   3. Vocational Training
   4. Others (specify .................................................................)

34. Other Support from Project  (Specify) ..............................................................

Part II
SOCIOECONOMIC DETAILS

35. Name of the Head of the Household........................................

36. Number of family members Total.........Male.........Female...........
   Details of Family Members above 18 years of age: (fill appropriate code)
<table>
<thead>
<tr>
<th>Sl. No</th>
<th>Name of Persons</th>
<th>Relationship with Head of the Household</th>
<th>Sex (M/F)</th>
<th>Age</th>
<th>Marital Status</th>
<th>Educational Qualification</th>
<th>Main Occupation</th>
<th>Monthly Income</th>
<th>Other Occupation</th>
<th>Monthly Income</th>
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</table>

**Marital Status:**
- Married-1; Unmarried-2; Divorcee-3; Separate-4; Widowed-5

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

**Occupation:**
- Cultivator-1; Agricultural Labourer-2; Daily Wage Earner-3; Salaried-4; Business-6; Other-7; in case of others specify.
37. Possession of Material /Assets  (Please Record Numbers)

<table>
<thead>
<tr>
<th>Television</th>
<th>Tape Recorder</th>
<th>Radio</th>
<th>Refrigerator</th>
<th>Telephone</th>
<th>Cycles</th>
<th>Three Wheeler</th>
<th>Two-Wheeler</th>
<th>Four Wheeler</th>
<th>Bus / Truck</th>
<th>Cooking Gas</th>
<th>Any Other (specify)</th>
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<tbody>
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</tbody>
</table>

38. Live Stock Assets  (Please Record Numbers)

<table>
<thead>
<tr>
<th>Classification</th>
<th>Cows</th>
<th>Buffaloes</th>
<th>Sheep</th>
<th>Goats</th>
<th>Poultry</th>
<th>Others</th>
</tr>
</thead>
<tbody>
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</table>

39. Likely Loss of Other Assets

<table>
<thead>
<tr>
<th>Tree</th>
<th>Well</th>
<th>Other Category I (Specify) Individual Assets</th>
</tr>
</thead>
<tbody>
<tr>
<td>No.</td>
<td>Species</td>
<td>No.</td>
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</tbody>
</table>

40. Participation in economic activities of family members

<table>
<thead>
<tr>
<th>S.No.</th>
<th>Economic/Non-economic Activities</th>
<th>Male</th>
<th>Female</th>
<th>Both</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Cultivation</td>
<td></td>
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<tr>
<td>2</td>
<td>Allied Activities (Dairy, Poultry, Sheep rearing, etc.)</td>
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<tr>
<td>3</td>
<td>Collection and Sale of forest products</td>
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<tr>
<td>4</td>
<td>Trade &amp; Business</td>
<td></td>
<td></td>
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<tr>
<td>5</td>
<td>Agricultural Labor</td>
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<tr>
<td>6</td>
<td>Non Agricultural Labor</td>
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<tr>
<td>7</td>
<td>HH Industries</td>
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<tr>
<td>8</td>
<td>Service</td>
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<tr>
<td>9</td>
<td>Households Work</td>
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<tr>
<td>10</td>
<td>Collection of Water</td>
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<tr>
<td>11</td>
<td>Collection of Fuel</td>
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<td>12</td>
<td>Others (Specify):</td>
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</tbody>
</table>
### 41. Decision making and participation at Household Level

<table>
<thead>
<tr>
<th>Sl. No.</th>
<th>Subject</th>
<th>Male</th>
<th>Female</th>
<th>Both</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Financial matter</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Education of child</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>3</td>
<td>Health care of child</td>
<td></td>
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<tr>
<td>4</td>
<td>Purchase of assets</td>
<td></td>
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</tr>
<tr>
<td>5</td>
<td>Day to day household activities</td>
<td></td>
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<tr>
<td>6</td>
<td>On social function and marriages</td>
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<tr>
<td>7</td>
<td>Women to Earn for Family</td>
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<td>8</td>
<td>Land and property</td>
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<td>9</td>
<td>Others</td>
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</table>

### 42. Women Participation at Community level

<table>
<thead>
<tr>
<th>Sl. No.</th>
<th>Question</th>
<th>Yes-1</th>
<th>No-2</th>
<th>Male</th>
<th>Female</th>
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</thead>
<tbody>
<tr>
<td>1</td>
<td>Do women of the household participate in decision making processes at</td>
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<td></td>
<td>community level?</td>
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<tr>
<td>2</td>
<td>Is any member of the household a member or office bearer of village /</td>
<td>Male</td>
<td>Female</td>
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<td></td>
<td>block / zilla panchayat? Yes - 1; No - 2; If yes whether such member is</td>
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<td>male or female?</td>
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<td>3</td>
<td>Is any women member of the household works as Anganwadi worker or ANM?</td>
<td>Yes</td>
<td>No</td>
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<td>4</td>
<td>Is any household member also a member of any self help groups? Yes - ;</td>
<td>Male</td>
<td>Female</td>
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<td>No -2; If yes, whether male or female?</td>
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<tr>
<td>5</td>
<td>If yes, is that SHG still active?</td>
<td>Yes</td>
<td>No</td>
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</table>

### 43. Employment opportunity in the area

1. Seasonal 2. Employed throughout the Year 3. None
### 44. Do family members migrate for work

<table>
<thead>
<tr>
<th>S. No.</th>
<th>Type of Work</th>
<th>In Rs. Per year</th>
<th>Do men migrate for work outside the village</th>
<th>Do women also migrate for work outside the village</th>
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<tbody>
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<td></td>
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<td>Daily - 1</td>
<td>Daily - 1</td>
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<td></td>
<td></td>
<td></td>
<td>Seasonal - 2</td>
<td>Seasonal - 2</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Long term - 3</td>
<td>Long term - 3</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>No - 4</td>
<td>No - 4</td>
</tr>
<tr>
<td>1</td>
<td>Agriculture</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Shopkeeper/Business (including petty business)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Employer (industrialist/Factory/Mill owner, etc)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Government Service</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Private Service</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Wage Labour (Agriculture)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>Wage Labour (Non Agriculture)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8</td>
<td>Self employed (insurance, finance, doctor, engineer, lawyer)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>9</td>
<td>Not employed (income recipient such as retired, remittance, property rent, bank interest, etc)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>10</td>
<td>Household work</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>13</td>
<td>Others (specify)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>Total</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
45. Quality of Life (Consumption Pattern)
Kindly indicate the consumption/expenditure on different items in last one year

<table>
<thead>
<tr>
<th>Sl. No.</th>
<th>Particulars</th>
<th>Monthly Expenditure in Rs.</th>
<th>Rank them from highest to lowest</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Food</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Agriculture</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Housing</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Cooking Fuel</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Clothing</td>
<td></td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Health</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>Education</td>
<td></td>
<td></td>
</tr>
<tr>
<td>8</td>
<td>Transport</td>
<td></td>
<td></td>
</tr>
<tr>
<td>9</td>
<td>Communication</td>
<td></td>
<td></td>
</tr>
<tr>
<td>10</td>
<td>Social functions</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Others</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

46. Loan and Indebtedness
1. Have you taken any loan? 1-Yes, 2-No
3. If yes, tell us sources of loan: 1-Bank, 2-NGO, 3-Money lender, 4-Relative/friend, 5-SHG; 6. Others (specify)
4. If yes, Amount of loan (in Rs.)
5. Could you please tell us the purpose of loan? 1-Productive investment, 2-Purchasing durables, 3-Meeting up emergencies, 4-Marrying of children, 5-Paying off loan, 6-Others (specify)

47. Access to facilities

<table>
<thead>
<tr>
<th>Code</th>
<th>Distance of following facilities/ amenities from the location of interview?</th>
<th>Approx. km</th>
<th>Mode to access</th>
<th>Frequency</th>
<th>Trips made by M/F/Both</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Primary School</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Secondary School</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>College</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Regular Market</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Commonly visited health service place</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Hospital</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>District Office</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8</td>
<td>Block Office</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Mode: Walk-1; Cycle-2; Personal transport-3; Public transport-4;
Frequency: Daily-1; Weekly-2; Monthly-3; Very Rare-4;

48. Health Seeking behaviour

<table>
<thead>
<tr>
<th>Code</th>
<th>Has any of your family members suffered from any disease during last 12 months? 1-Yes, 2-No, 3-Don’t Know</th>
<th>If yes, who suffered:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Code: Men - 1, Women - 2</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Both - 3, Boy child - 4</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Girl child - 5, Both children - 6</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Code</th>
<th>Type of treatment taken:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>1-Allopathic Government, 2-Allopathic Private, 3-Allopathic Govt. &amp; Private both, 4-Homeopathy, 5-Ayurved, 6-Faith healers, 7-quacks, 8-No Treatment, 9-Others (specify)</td>
</tr>
<tr>
<td>4</td>
<td>Which is the nearest formal medical facility available? PHC - 1; CHC - 2; District Hospital - 3; Private clinic - 4; Private Hospital - 5; Others - 6</td>
</tr>
<tr>
<td>---</td>
<td>---</td>
</tr>
<tr>
<td>5</td>
<td>Did you avail any health/medical facility (like medicine, routine check-up, advice from doctor etc.) during the last pregnancy?</td>
</tr>
<tr>
<td>6</td>
<td>If no, who attended while giving birth to the baby? (Multiple responses possible)</td>
</tr>
<tr>
<td>7</td>
<td>Have you heard about HIV/AIDS?</td>
</tr>
<tr>
<td>8</td>
<td>If yes, what is the source? Newspaper - 1; TV - 2; radio - 3; NGO camp - 4; Govt. camp - 5;</td>
</tr>
</tbody>
</table>

Signature of a person Answering the Survey…………………………………………

(Name of the Investigator) Date: ........................

(Signature of the investigator)
PART III
EXTENT OF LOSS

(NOT TO BE ASKED BUT TO BE ASSESSED BY THE INVESTIGATOR)

1. Losing Total House
2. Losing Partial House
3. Losing Total House and part of Plot (Aangan or Courtyard)
4. Losing Total Plot and Total House
5. Losing Total Plot and Partial House
6. Losing Partial Plot
7. Losing Total Commercial Structure
8. Losing Partial Commercial Structure
9. Losing Total Commercial Structure and Partial Plot
10. Losing Total Commercial Structure and Total Plot
11. Losing Partial Commercial Structure and Total Plot
12. Losing Total House and Total Commercial Structure
13. Losing Total House, Total Commercial Structure and Total Plot
14. Losing Total House, Partial Commercial Structure and Part of Plot
15. Losing Partial House, Partial Commercial Structure and Part of Plot
16. Losing Total House and Partial Commercial Structure
17. Losing Total Commercial Structure and Partial Plot
18. Losing Total Commercial Structure and Part of House
19. Losing Total Boundary Wall
20. Losing Partial Boundary Wall
21. Losing Total Agricultural Land
22. Losing Partial Agricultural Land
23. Losing Total Cattle Shed
24. Losing Part of Cattle Shed
25. Losing Water bodies
26. Losing Total Livelihood for Commercial Tenant
27. Others (Specify)

Status of Occupier of affected property

1. Status of Occupier (Tick in the appropriate box)

<table>
<thead>
<tr>
<th>Owner</th>
<th>Legal Tenant/sharecropper</th>
<th>Non-title Holders</th>
<th>Vacant</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Squatter</td>
<td>Encroacher</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

2. Since how long your family has been using this property (in years)

3. Do you possess a documentary proof
   1. Yes [ ]  2. No. [ ]

4. If yes, Type of documentary proof of occupation of affected property
   Ration card no_________Voter IC no __________
   Receipt/Bill __________  Bank/A/c _________
5. Land Ownership (Tick under appropriate type and enter the no. of households under the same)

<table>
<thead>
<tr>
<th></th>
<th>Single</th>
<th>Joint</th>
<th>Trust</th>
<th>Community</th>
<th>Government</th>
<th>Forest</th>
<th>Unclear (specify)</th>
</tr>
</thead>
<tbody>
<tr>
<td>5.1 Type of ownership</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

5.2 Ownership by Gender (if private)

<table>
<thead>
<tr>
<th></th>
<th>Male</th>
<th>Female</th>
</tr>
</thead>
</table>

6. Does the family have legal document to prove ownership of

- Structure
  - 1. Yes [ ] 2. No. [ ] RTC No. [ ] Sub No. [ ]
- land
  - 1. Yes [ ] 2. No. [ ] RTC No. [ ] Sub No. [ ]

(to be asked only to the owner)
(If yes, ask for the legal document and check with the Land Revenue Office)

Measurements

2.1 Structure

<table>
<thead>
<tr>
<th></th>
<th>Offset From Existing Central Line</th>
<th>Offset from Edge of Asset up to Area Getting Affected</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Land</td>
<td>Structure</td>
</tr>
</tbody>
</table>

Starting Meter
Ending Meter
Width
Total Area (in sq.m)
No. of Floors (G, G+1, G+n)

2.2 Land

<table>
<thead>
<tr>
<th>Sl. No.</th>
<th>Area</th>
<th>Total</th>
<th>Affected</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Length</td>
<td>Width</td>
<td>Total Area (in sqm)</td>
</tr>
<tr>
<td></td>
<td>Length</td>
<td>Width</td>
<td>Total Area (in sqm)</td>
</tr>
</tbody>
</table>

1. Built up area
2. Open Space
3. Total Area

2.3 Boundary Wall Details

<table>
<thead>
<tr>
<th>Sl. No.</th>
<th>Boundary / Compound Wall</th>
<th>Length</th>
<th>Total length affected (in sqm)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Barbed wire fencing</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td>Stone Dry Masonry</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td>Brick / Stone Masonry</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.</td>
<td>Mud Wall</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.</td>
<td>Others (Specify)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
2.4 Gate Details

<table>
<thead>
<tr>
<th>Sl. No.</th>
<th>Type of Gate</th>
<th>Length (in m)</th>
<th>Height (in m)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>M S</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td>Wooden</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td>Others</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

2.5 WATER SOURCES GETTING AFFECTED

<table>
<thead>
<tr>
<th>Sources (in No.)</th>
<th>User (use code)*</th>
<th>Units to be acquired</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dug Wells</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tube Wells</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Supply Points</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

*[1. Domestic  2. Agriculture  3. Industrial  4. Others (to be specified)]

6 Diagram of the affected property
(Rough diagram with dimension - Not to scale)

(PHOTOGRAPH TO BE ATTACHED - STRUCTURE ALONG WITH HEAD OF HOUSEHOLD/RESPONDENT)

In case the tenancy/ownership is under dispute (legal or otherwise) please make a short note below

Field Supervisor: ___________________________ Date: ___________________________

Endorsed by:
Revenue Officer: ___________________________ Date: ___________________________

MoRT&H / PWD Officer: ______________________ Date: ___________________________
Guidelines for Filling Census Survey Code

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

Guidelines for filling census survey code are as follows:

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

<table>
<thead>
<tr>
<th>State</th>
<th>Code</th>
</tr>
</thead>
<tbody>
<tr>
<td>Andaman and Nicobar Islands</td>
<td>AN</td>
</tr>
<tr>
<td>Bihar</td>
<td>BH</td>
</tr>
<tr>
<td>Himachal Pradesh</td>
<td>HP</td>
</tr>
<tr>
<td>Karnataka</td>
<td>KT</td>
</tr>
<tr>
<td>Orissa</td>
<td>OR</td>
</tr>
<tr>
<td>Rajasthan</td>
<td>RJ</td>
</tr>
<tr>
<td>Uttarakhand</td>
<td>UK</td>
</tr>
<tr>
<td>West Bengal</td>
<td>WB</td>
</tr>
</tbody>
</table>

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

```
S  P  C  2
```

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

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

For example: Patna - 001; Sasaram - 002; and so on.
Thus Census Code for Package SP/C/2 will be as under:

```
B  H  S  P  C  2  0  0  1
```

4. Last 5 boxes (if needed, please add a few more boxes in the questionnaire) is to record the no. of formats filled. For example, the first format will have a no. 00001. Similarly, second will be 00002 and so on. The format no. and questionnaire no. would be the same.
5. While conducting survey, follow the direction from the starting point (start chainage) of the sub project towards the end (end chainage) so that properties and assets likely to be affected on LHS and RHS can be easily identified and remain consistent.

6. Please translate the questionnaire in local language appropriately, wherever required. You may also use bilingual questionnaire (English in combination with local language).

7. Conduct survey within the proposed ROW and also ensure that owners/possessors of properties/assets affected are duly identified as Titleholder (TH), as encroacher and squatter.

Guidelines for Conducting Census Survey and Videography

- The DPR consultants are expected to make necessary edits to customize the attached sample questionnaire to their specific road projects without compromising on the data quality and content of the information sought.

- The questionnaire should be bi-lingual (as applicable - for example English and Oriya in Orissa; English and Kannada in Karnataka; English and Hindi in Bihar, so on).

- All questions should be filled. In case of no response to any question, it should be suitably marked so that data entry is easier and chances of response of one question getting entered against another question is minimized.

- The census survey shall be conducted within the proposed ROW which is also Corridor of Impact (CoI). In case, any structure/property which is partly within the CoI and partly outside the COI, then the measurement of entire structure/property should be covered.

- Videography of the project road suitably covering structures and assets on both sides of the project road must be carried out before starting the survey from the start point to the end point.

- The census survey will include both titleholders and non-titleholders.

- Sufficient number of teams (each comprising a number of investigators/ surveyors and supervisor) should be deployed to conduct the survey so that it is completed in minimum time possible. It is advised that investigators must be provided training for filling the questionnaire before starting the actual survey. It is also advised that questionnaire filled in during the day should be re-checked at the end of the day by a senior member of the social team (supervisor) so that any inconsistency or gap in data could be rectified the following day as it will be difficult to rectify them later on.

- Allocation of Census survey code/Identity No. (provided on the first page of the questionnaire) to all those likely to be affected and photograph of each of the affected properties along with the head of the household/respondent at the time of survey enumeration must be done. These photographs shall be useful for preparation of ID cards.
Guidelines for Conducting Grama Sabha / Palli Sabha

Source: The Orissa Grama Panchayat Manual- 2011

Orissa Law Reviews, Cuttack - 2

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

3. **Meetings of Grama Sabha**—The Grama Sabha, so far as may be reasonably practicable shall be held by rotation from time to time in each of the villages of the Grama at a convenient place as the Sarpanch may determine from time to time.

4. The annual and half-yearly meetings of the Grama Sabha shall be held in the months of February and June respectively. The date and time of such meetings shall be fixed by the Sarpanch of the Grama Panchayat.

5. The Sarpanch or the Collector or any other person empowered by Government in that behalf may call for a special meeting of the Grama Sabha whenever he thinks it necessary. The Secretary, after obtaining approval of the Sarpanch, or after receiving requisition as above shall issue notice of the meeting as provided in the rules.

6. (i) **At least fifteen clear days’ notice** of a meeting of Grama Sabha shall be given.

   (ii) Copy of the notice may be forwarded to the concerned Block Development Office.

7. The notice of the meeting of the Grama Sabha shall be published in the local area

   (a) by affixing a notice at once or more conspicuous places; and

   (b) by beat of drums.

8. Notice shall set forth clearly and fully the business to be transacted at the meeting, but the Sarpanch may bring forward any motion or proposition not specified in the notice.

9.  

   1[[(1)]] If at a meeting of a Grama Sabha the quorum is not present, the Sarpanch or the president of the meeting shall adjourn the meeting until such other day as he thinks fit, of which not less than three days’ notice shall be given.

   2[(2)] The quorum under Sub-rule (1) shall include one-third of the members present are Women members.]

10. The Sarpanch or in his absence, the Naib-Sarpanch shall preside at every meeting of the Grama Sabha and in absence of both, the members shall choose someone from amongst themselves to preside.

11. The agenda shall include such subjects as are assigned to the Grama Sabha under the Act.

12. The agenda of the meeting shall be prepared by the Sarpanch of the Grama Panchayat.

---


13. Whenever the President of the meeting finds it necessary to temporarily leave the chair he may call in any other member to preside.

14. At a special meeting only the business for which the meeting was called shall be considered.

15. Notwithstanding anything contained in Rule 8, it shall be competent for the Grama Sabha at a meeting to transact any business other than that set forth in the notice under Rule 8, if the majority of the members present agree to do so.

16. All questions which may come before the Grama Sabha shall be decided by majority of votes. In case of equality of votes the President of the meeting shall have a second or casting vote.

17. Voting by proxy is prohibited. No member shall vote upon any motion for amendment unless he is present in person at the time when it is put to vote.

18. The business in the meetings shall be transacted and the minutes of proceedings shall be recorded in Oriya.

19. (i) The Secretary of the Grama Panchayat shall record the proceedings of the meeting and in his absence the Sarpanch shall take such steps as may be necessary for correct recording of the proceedings.

(ii) The minutes of the proceedings shall be entered in a book to be kept for the purpose and shall be signed by the Preside of the meeting and such book shall be open to the inspection of the public.

20. Meetings of Palli Sabha-The meetings of Palli Sabha shall be held at such public place within the Palli Sabha area as may be determined by its representatives in the Grama Panchayat or by the Grama Panchayat or by the person requisitioning the meeting as the case may be.

1[Provided that the President of the meeting shall, as far as possible, ensure that at least one-tenth of the members present in the Palli Sabha meeting are women.]

21. (a) The Grama Panchayat shall arrange for convening the meeting of Palli Sabha which shall meet in February every year and the date and time for holding such meeting shall be fixed by it 2[two weeks] in advance.

(b) If the Grama Panchayat requires the Palli Sabha to hold an extraordinary meeting either of its own motion or on a requisition in writing of not less than one-fifth of the members of Palli Sabha, the date, time, place and subject for discussion in such meeting shall be fixed by the Grama Panchayat at least fifteen days in advance.

(c) The meeting shall be held in a public place within the Palli Sabha area to be decided by the Grama Panchayat and wide publication for the date, time and place of the meeting along with subject for discussion shall be given by beat of drum within the Palli Sabha area.

(d) The Grama Panchayat in a meeting shall fix the President of the Palli Sabha as required under Sub-section (4) of Section 6 of the Act.

---


2. Submitted ibid.
22. Where the meeting is requisitioned by not less than one-fifth of the members of the Palli Sabha, the requisition shall be addressed to the Sarpanch thirty days in advance and it shall state the place, date and time of the meeting. In case the Grama Panchayat fails to arrange the meeting on the date mentioned in the requisition, the members who sign the requisition may call the meeting on the date and at the time and place mentioned in the requisition and the person representing the Palli Sabha area in the Grama Panchayat appointed by the Grama Panchayat under Rule 21 (d) shall preside over the meeting and in the absence of such member or members of the Palli Sabha, those present in the meeting may elect by open voting one from among themselves to preside over the meeting.

23. At least 15 clear days' notice of the meeting of a Palli Sabha shall be given in the manner prescribed in Rule 7.

24. All questions which may come before the meeting of the Palli Sabha shall be decided by a majority of votes. In case of equality of votes the President of the meeting shall have a second or casting vote.

25. Voting by proxy is prohibited. No members shall vote upon any motion or amendment unless he is present in person at the time when it is put to vote.

26. The proceeding of the Palli Sabha shall be recorded in a book to be kept for the purpose in Oriya and shall be signed by the President of the meeting and such book shall be open to the general public for inspection.
OUTLINE OF RESETTLEMENT ACTION PLAN (RAP)

The Resettlement Action Plan document for the must include the following components.

- Description of the project
- Potential impacts
- Socioeconomic studies
- Legal framework
- Institutional Framework
- Eligibility and entitlement
- Valuation of and compensation for losses
- Resettlement measures
- Site selection, site preparation, and relocation
- Housing, infrastructure, and social services
- Environmental protection and management
- Community participation
- Integration with host populations
- Grievance procedures
- Organizational responsibilities
- Implementation schedule
- Costs and budget
- Monitoring and evaluation

Note: For detail documentation requirement, refer World Bank OP 4.12
# A Sample Photo Identity Card

GUJARAT STATE HIGHWAY PROJECT  
Roads and Buildings Department, Govt. of Gujarat  
ENTITLEMENT PHOTO IDENTITY CARD - HOUSEHOLD AFFECTED BY LAND ACQUISITION

<table>
<thead>
<tr>
<th>CONTRACT PACKAGE</th>
<th>SURVEY NO.</th>
<th>ID NO.</th>
<th>VILLAGE</th>
<th>DATE OF ISSUE OF ID CARD</th>
</tr>
</thead>
<tbody>
<tr>
<td>GSHP-7</td>
<td>38/39</td>
<td>LA 7/49</td>
<td>BHAVANPUR</td>
<td>20/07/04</td>
</tr>
</tbody>
</table>

Name: MARIVAD DHURABHAI MANABHAI  
Present Address: At-Bhavanpur, Post. Sarvodaya Ashram, Ta. Bhiloda, Dist. Sabarkantha  
Permanent Address: At-Bhavanpur, Post. Sarvodaya Ashram, Ta. Bhiloda, Dist. Sabarkantha  
Income / Month: Rs. 500/-  
Vulnerable: YES
Category: ST/BPL  
Caste: ST

Land Acquisition Area H.R.M.  
S. No. 38 (0-09-57)  
S. No. 39 (0-35-54)

SIGNATURE OF THE EP  
SIGNATURE OF THE VERIFYING OFFICER  
SIGNATURE OF THE EMU OFFICER

* BPL Consideration upon submission of the required evidence.
# Annexure-6

## INDIVIDUAL MICROPLAN FOR TITLE HOLDER (CHAHLLARI GHT, DISTT-BAHRACH)

**Village:** Bambhuri  
**Post-Hard:** Block-Malsi  
**District:** Tehsil-Malsi

### Name: Parasram S/o Ramdas

<table>
<thead>
<tr>
<th>Sl. No.</th>
<th>Revenue Village</th>
<th>Plot No.</th>
<th>Khasra No.</th>
<th>Total Area (Ha)</th>
<th>Area Acquired (Ha)</th>
<th>Share Wise Area Acquired (Ha)</th>
<th>Land Holding of T.H</th>
<th>Best Land of T.H</th>
<th>% of affected area according to land holding</th>
<th>Land Cost (Rs. 00000 per Hect.)</th>
<th>Type of Loss</th>
<th>Annual Income</th>
<th>No. of PAFs</th>
<th>Store</th>
<th>Land Cost (As per DLC decided rate = Rs. 00000 per Hect.)</th>
<th>REMARK</th>
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<tbody>
<tr>
<td>1</td>
<td>Bambhuri</td>
<td>290</td>
<td>344</td>
<td>0.1600</td>
<td>0.1600</td>
<td>0.1600</td>
<td>0.3530</td>
<td>22%</td>
<td>V</td>
<td>15000</td>
<td>Ag Land</td>
<td>6</td>
<td>1</td>
<td>1</td>
<td>97200</td>
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<tr>
<td>2</td>
<td></td>
<td>287</td>
<td>344</td>
<td>0.1910</td>
<td>0.1910</td>
<td>0.1910</td>
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<td>V</td>
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<td>Ag Land</td>
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<td>1</td>
<td>1</td>
<td>114600</td>
<td></td>
</tr>
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<td>3</td>
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<td></td>
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<td>1</td>
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<td><strong>Total</strong></td>
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<td></td>
<td></td>
<td>1.3430</td>
<td></td>
<td>V</td>
<td>15000</td>
<td>Ag Land</td>
<td>6</td>
<td>1</td>
<td>1</td>
<td>905800</td>
<td></td>
</tr>
</tbody>
</table>

### Family Details & Allowances As per Policy:

- **Name of the PAPL:** Parasram S/o Ramdas
- **Relation:** S/o
- **Set:** M
- **Age:** 25
- **Occupation:** Migrant
- **Total Allowances:** Rs. 248350

<table>
<thead>
<tr>
<th>S.M.</th>
<th>Name of the PAPL</th>
<th>Relation</th>
<th>Set</th>
<th>Age</th>
<th>Occupation</th>
<th>Total Allowances</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Parasram S/o Ramdas</td>
<td>S/o</td>
<td>M</td>
<td>25</td>
<td>Migrant</td>
<td>Rs. 248350</td>
</tr>
</tbody>
</table>

### Executive Engineer

**CO-3 (World Bank), PWD, Sitapur**

**Director**  
Sugan International Samahan

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<table>
<thead>
<tr>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
<th>6</th>
<th>7</th>
<th>8</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Circumstances as per policy</strong></td>
<td><strong>Per Ha.</strong></td>
<td><strong>Market Rate</strong></td>
<td><strong>Agriculture Productivity Rate</strong></td>
<td><strong>Replacement value (Max. of Three 1,2,3)</strong></td>
<td><strong>Total Allowances</strong></td>
<td><strong>Value of Assets</strong></td>
<td><strong>Total Assistance</strong></td>
</tr>
<tr>
<td><strong>Land Value</strong></td>
<td><strong>Total</strong></td>
<td><strong>Land Value</strong></td>
<td><strong>Total</strong></td>
<td><strong>Total</strong></td>
<td><strong>Total</strong></td>
<td><strong>Total</strong></td>
<td><strong>Total</strong></td>
</tr>
<tr>
<td>Amt (Rs)</td>
<td>Amt (Rs)</td>
<td>Amt (Rs)</td>
<td>Amt (Rs)</td>
<td>Amt (Rs)</td>
<td>Amt (Rs)</td>
<td>Amt (Rs)</td>
<td>Amt (Rs)</td>
</tr>
<tr>
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<td>150511</td>
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<td>805800</td>
<td>248350</td>
<td>0</td>
</tr>
</tbody>
</table>

**Legends:**
- **C/O:** C/O Other Backward Castes
- **H.H.:** Head of Family
- **M/F:** Male/Female
- **N.H.:** NominalHolder

**Director**  
Sugan International Samahan

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**Photograph of Title Holder**

Para  
 Parasram is 75 year old as not entitled for training allowance

---

**Family Details & Allowances As per Policy:**

- **Name of the PAPL:** Parasram S/o Ramdas
- **Relation:** S/o
- **Set:** M
- **Age:** 25
- **Occupation:** Migrant
- **Total Allowances:** Rs. 248350
CONTENTS OF TRIBAL DEVELOPMENT PLAN (TDP)

The Tribal Development Plan (TDP) is prepared in a flexible and pragmatic manner, and its level of detail varies depending on the specific project and the nature of effects to be addressed. The IPP includes the following elements, as needed:

- A summary of the project information
- A summary of the social assessment
- A summary of results of the free, prior, and informed consultation with the affected Tribal communities that was carried out during project preparation and that led to broad community support for the project
- A framework for ensuring free, prior, and informed consultation with the affected Tribal communities during project implementation
- An action plan of measures to ensure that the Tribal Peoples receive social and economic benefits that are culturally appropriate, including, if necessary, measures to enhance the capacity of the project implementing agencies
- When potential adverse effects on Tribal Peoples are identified, an appropriate action plan of measures to avoid, minimize, mitigate, or compensate for these adverse effects
- The cost estimates and financing plan for the TDP
- Accessible procedures appropriate to the project to address grievances by the affected Tribal communities arising from project implementation. When designing the grievance procedures, the borrower takes into account the availability of judicial recourse and customary dispute settlement mechanisms among the Tribal Peoples
- Mechanisms and benchmarks appropriate to the project for monitoring, evaluating, and reporting on the implementation of the IPP. The monitoring and evaluation mechanisms should include arrangements for the free, prior, and informed consultation with the affected Tribal communities.
## Strategies for Tribal Development

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

### Specific Strategies

<table>
<thead>
<tr>
<th>Issues and Problems</th>
<th>Strategy</th>
</tr>
</thead>
</table>
| Loss of Agriculture Income                 | • Provide R&R entitlements as per ORRP, 2006 and Resettlement Policy Framework, NHIIP.  
• Ensure that rehabilitation grant is used for production purpose  
• Provide training for skill upgradation of tribals  
• Training for better and productive agricultural development  
• Involve NGOs in developing and implementing successful income generation plans  
• Dovetail Government programmes |
| Loss of employment of daily Wagers in shops and eating places along the road | • Provide R&R entitlements as per ORRP, 2006 and Resettlement Policy Framework, NHIIP.  
• Impart new skills and / or upgrades skills that are in demand  
• Ensure wage employment under project construction activities  
• Identify opportunities for their traditional skills  
• Generate multiple skills in each family |
| Loss of Shelter                            | • Provide R&R entitlements as per ORRP, 2006, and Resettlement Policy Framework of NHIIP.  
• Facilitate better quality of housing at new location  
• Integrate Government housing schemes with project benefits for better quality housing for displaced.  
• Help to ensure smooth relocation of displaced families |
| Lack of effective Consultation             | • Develop specific communication strategy  
• Continue Consultation with the tribal groups during implementation  
• Incorporate suggestion of STs in the project design to develop sense of belongingness and confidence in Project Authority  
• Provide prior information about changes in project activities  
• NGOs to put additional efforts in dealing with ST families  
• Ensure adequate representation in GRCs |
| Loss of community facilities               | • Restore community facilities in consultation with community  
• Plan in consultation with STs in relocating/restoring affected facilities  
• Provide additional common facilities in the Habitations with pockets of tribal population shall be selected for providing community facility such as hand pumps, rest areas for common good. |
For this purpose the Initial Social Assessment identifies following issues and need of intervention strategies.

**General Strategies**

<table>
<thead>
<tr>
<th>Issues and Problems</th>
<th>Strategy</th>
</tr>
</thead>
<tbody>
<tr>
<td>Low level of Agriculture Productivity</td>
<td>• Generate awareness about better crop production and rotation</td>
</tr>
<tr>
<td></td>
<td>• Awareness on credit facilities</td>
</tr>
<tr>
<td>Landlessness</td>
<td>• Generate awareness on government programs for allotment of land</td>
</tr>
<tr>
<td>Lack of employment opportunities</td>
<td>• Encourage and facilitate registration in trainings for new skills that are</td>
</tr>
<tr>
<td></td>
<td>in demand</td>
</tr>
<tr>
<td></td>
<td>• Identify opportunities for their traditional skills</td>
</tr>
<tr>
<td></td>
<td>• Create awareness on options for diversification of skills</td>
</tr>
<tr>
<td>Low income levels</td>
<td>• Increase awareness on rates and market for their produce.</td>
</tr>
<tr>
<td></td>
<td>• Involve NGOs in planning and implementing TDPs</td>
</tr>
<tr>
<td></td>
<td>• Organize training programs to implement new skill or upgrade their Skill</td>
</tr>
<tr>
<td>Poor Health</td>
<td>• Awareness generation on HIV AIDs and health care facilities in the</td>
</tr>
<tr>
<td></td>
<td>project area</td>
</tr>
<tr>
<td>Low level of education</td>
<td>• Awareness generation of importance and availability of education</td>
</tr>
<tr>
<td></td>
<td>infrastructure</td>
</tr>
<tr>
<td></td>
<td>• Encourage enrollment and regular attendance</td>
</tr>
<tr>
<td>High levels of debt</td>
<td>• Encourage SHGs formations</td>
</tr>
</tbody>
</table>

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

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

**Consultation Strategy in Tribal Areas**

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

The consultation mechanism requires a framework in which consultation would be carried out on pre-fixed and pre-decided venue. All pre-fixed agenda related to social management would be discussed in the public meeting. For this purpose the Government of Orissa Policy 2006, PESA has made consultation with Gram Sabha mandatory. These consultations shall be the medium to ascertain broad community support for the project.
The documentation of entire consultations and Gram Sabha resolutions shall be maintained and
made public through websites. These Gram Sabha consultations would be in addition to the
consultations to be carried out under the project as per the consultation and participation
framework detailed in section 17 of RPF.

Institutional Arrangement

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

Roles and Responsibilities of Different Stakeholders in Tribal Areas

<table>
<thead>
<tr>
<th>Stakeholders</th>
<th>Anticipated Roles of Stakeholders in Tribal areas</th>
</tr>
</thead>
</table>
| Sub-project Implementation Team       | • Participate in public meetings  
• Identify alternatives to avoid or minimize displacement  
• Assist in developing and choosing alternative options for relocation and income generation  
• Help to choose resettlement sites  
• Participate in survey  
• Provide inputs to entitlement provision  
• Assist in preparation of action plan  
• Suggest mechanism for grievance redress  
• Conflict resolution and participate in grievance redress  
• Participate in coordination committee |
| Package Level Implementing NGO        | • Assist in verification of project affected  
• Participate in coordination committee  
• Participate in group meetings  
• Design and implement information campaigns in various forms  
• Support group formation, problem identification and planning for PAPs and hosts,  
• Facilitate for grievance redress of conflict resolution  
• Assist in preparation of action Plans at habitation level with pockets of tribal population |
| Local Community Facilitators/PRIs,    | • Provide information on various aspects of host communities  
• Assist in data collection and design  
• Provide inputs to site selection  
• Identify possible conflict areas with PAPs  
• Identify additional common facilities needed in pockets of tribal population  
• Assist in identification of income generating (IG) schemes  
• Provide inputs for design of IG schemes  
• Help develop a process of consultation between hosts Tribal if any  
• Suggest additional provisions for grievance redress and conflict resolution, if any. |
| Government departments delivering     | • Share information of ongoing programs and implementation status in project affected area.  
tribal and social welfare programs     | • Participate in awareness campaigns and impart information on program benefits, eligibility and process of enrollment |


Implementation Plan

Steps in Implementation of Tribal Development Plan

The steps to be followed under each sub-task are:

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

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

3. To Impart Training

Skill Mapping and Training Need Assessment

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

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

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

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

5. Conduct Mass Awareness Camp

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

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

(a) **Lack of land titles:** Traditionally, in India which is a patriarchal and patrilineal society, land and property are passed from male head to male heir. Payment of compensation to those with legal title is intrinsically gender biased. Because land and property are mainly registered in male names, women are usually excluded from receiving compensation. However, women have user rights over the land and forest, but are rarely allowed to inherit the land they use. Lack of landownership and property rights denies women equal access to compensation. Since the land compensation is based on legal ownership of land and property, almost in all cases, women do not have legal rights to land and property, even though they have enjoyed usufructuary rights and are dependent on them. Hence, they are not eligible for compensation and other benefits that are available.

(b) **Intra-household disparity:** Gender disparities that already exist in society and within the family tend to become aggravated in situations of involuntary displacement, rendering women and children, especially female children, vulnerable. This may manifest itself in greater morbidity or violence or fall in nutritional status. Equity in intra-household distribution of resources should not be assumed.

(c) **Restoration of livelihood:** Restoration of livelihood and income is equally important to women and men. Women are largely engaged in the informal sector—gathering forest produce, working in the fields, or selling grass. Women’s economic activities are an important source of income for households. Loss of private or common property or loss of access to a common property will result in loss of livelihood, adding to women’s economic hardships. Therefore, it is important to enumerate women’s economic activities in planning stage itself.

(d) **Capacity building for income restoration:** Low levels of training and education among women limit the choice of alternatives. Though mostly rehabilitation package includes compensation opportunities for alternative occupations, choices for exploring alternatives and livelihood options for women are limited because of their low levels of skills, education, and exposure. Planning for occupational and livelihood options for women is crucial.

(e) **Involuntary dislocation could increase the burden on women.** The survey shows that, women are responsible for food, fuel, and fodder in the family. Often, fuel and fodder can become scarce as a result of negative environmental effects on natural resources like forest, water, and land. This can have direct impact on women, because they are responsible for gathering fuel and fodder. Unless this impact is addressed in resettlement planning and execution, it could result in women spending more time and resources accessing these basic needs. Also, loss of grazing areas could result in sale of livestock. Studies across the world have shown increase in morbidity and even mortality rates due to involuntary dislocation.

(f) **Restricted mobility and limited exposure affect women’s ability to adjust.** Being less mobile than men, women’s universe is more restricted. Hence, they have limited ability to cope with and adjust to new situations and environments.

(g) **Social impact of dislocation tends to affect women more than men.** Breakdown of community and other social networks as a direct result of dislocation can affect women more than men because women rely and depend on community and other social networks
for emotional and practical support, such as taking care of children. Dislocation can be traumatic if these networks break down. The group discussion with women groups revealed that women largely depend on neighbors and other elders in the village for major decisions while men are out.

h) Road safety tends to concern women more than men in the roadside habitations. Among the women stepping out of house largely walk to their destination or use public transport. Women need to accompany their children to school, or cross the roads to fetch water or use other common facilities. In consultations women report to be more concerned than men about the high risk linked to accidents due to increased traffic speeds and volumes of heavy vehicular traffics that are likely happen after the construction.

Steps to mainstream gender in sub projects under NHIIP

I. Gender segregated data to be collected
Methods: Census and socio-economic questionnaire/FGD

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

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

Mobility
✓ How do men and women travel pattern differs?
✓ Do women move out of their village to access different services?
  o What purposes and at what frequencies?
  o What is the proportion of women who require transport for going to places of work, taking their children to school or for other non-work related activities?
✓ How the needs of transportation vary between men and women?
  o What kind of transport facilities are used by women to go out of the villages?
  o Whether own or public transport?
  o Is there a preference for the use of one kind of transport over the other?
  o When is public transport used?
  o What are the different kinds of public transport used?
✓ Is public transportation available at regular frequencies?
✓ Can one depend on public transportation to perform urgent/important work?
✓ Is public transportation safe? Are there any perceived or encountered problems in the usage of public transport?
✓ What are the problems faced by women while traveling out of the village?
✓ Are public wayside amenities/facilities adequate for traveling by public transportation? If No, what are the amenities that need to be built up - better bus stops, adequate lighting facilities at bus stops, washrooms in bus stops, etc.?
✓ Are any special provisions required to make public transportation journeys comfortable? Like reservation of seats in buses, running of special buses for women, etc.?
✓ What are the genders specific interventions required?

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

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

Organization
- What is the current level of women’s representation in other community decision-making bodies?
- Local organizations
- Are there local organizations (e.g., local governments, national NGOs, CBOs, mass organizations) that address women’s constraints and needs? How can the project link up with them?
- What mechanisms can be used to ensure women’s active participation in project activities?
- What organizations can be used to mobilize and train women in the project activities and livelihood options?
- Incorporate the preferences of community men and women on issues such as: number and location of assets and sharing vs. individual arrangement of assets;
- Highlight women’s strengths in mobilizing savings and resources.
- Incorporate the preferences of men and women in the community on:
  - financing arrangement
  - possible preferential treatment for very poor, female-headed and other disadvantaged families
  - credit or community-based revolving funds for women SHGs

II. Collect quantitative information.

Participatory methodologies (e.g., participatory rapid appraisal, focus group discussions, random interviews, walking tours)
- Collect qualitative information which cannot be collected through surveys.
- Define ways in which men and women beneficiaries and other stakeholders, especially poor women can participate in the project.
- Map out the target areas. Which are the most disadvantaged areas in terms of access to services and poverty level?
- Identify major stakeholder groups and their stake.

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

The Gender Plan should incorporate the following:

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

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

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

Training options
✓ Identify ways to link up with income-generation, literacy, and other activities to support an integrated approach to poverty reduction and women empowerment
✓ Support a decentralized structure to allow linkages between the village and local government.
✓ Include financial and technical capacity building for relevant local government bodies to enable them to effectively support women SHGs.

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

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

Background: HIV Scenario in India

Available evidence on HIV epidemic in India is showing a stable trend at national level. The 2009 estimated adult HIV prevalence in India was 0.31% (0.25% - 0.39%) with prevalence of 0.25% among women and 0.36% among men. Estimates place the number of people living with HIV (PLHIV) in India in 2009 at 24,00,000 (19.3 - 30.4) in 2009. Children (<15 yrs) account for 3.5% of all infections, while 83% are the in age group 15-49 years. Of all HIV infections, 39% (9,30,000) are among women.

The primary drivers of HIV epidemic in India are:

- Unprotected paid sex (with female sex workers)
- Unprotected sex between men (men having sex with men- MSM)
- Injecting drug users (IDU).

Heterosexual route of transmission accounts for 87% of HIV cases detected.

<table>
<thead>
<tr>
<th>States</th>
<th>HIV Estimates</th>
</tr>
</thead>
<tbody>
<tr>
<td>Karnataka</td>
<td>2,50,000 HIV infections</td>
</tr>
<tr>
<td>One among the four high HIV prevalence states in India</td>
<td></td>
</tr>
<tr>
<td>West Bengal</td>
<td>100,000 HIV infections</td>
</tr>
<tr>
<td>Bihar</td>
<td>100,000 HIV infections</td>
</tr>
<tr>
<td>Orissa</td>
<td>50,000 - 100,000 HIV infections</td>
</tr>
<tr>
<td>Rajasthan</td>
<td>50,000 - 100,000 HIV infections</td>
</tr>
</tbody>
</table>

These states of West Bengal, Bihar, Orissa, and Rajasthan in spite of low HIV prevalence have large number of PLHIV due to the large population size.

Desk review exercise was conducted and district wise information was assessed from the likely candidate states of Bihar, Orissa, Rajasthan, West Bengal, and Karnataka. The information about the districts and the overall HIV scenario is provided as annexure.

General Factors that contribute to the vulnerability of a particular state include:

- High level of migration both inflow and outflow of people
- Low levels of literacy
- High incidence of poverty
- Low status of women
- Large presence of groups seen to practice high-risk behavior are known as High Risk Groups (HRGs) and are divided into:
  - **Core Groups** comprising of:
    - Female Sex Workers (FSW),
    - Injecting Drug Users (IDUs),
    - Men having Sex with Men (MSM)
Bridge Population (Men who had visited sex workers can act as a potential 'bridge' for HIV transmission to the rest of the population, either through their wives or other sexual partners). The bridge populations being focused on include:
- Single men (not married or men who leave their wife/partner at home) and are going to other states and countries for livelihood (Single male migrants)
- Transport Sector Workforce (Truckers, Helpers, Head Load Carriers, Road Construction Workers)

Implementation Strategy:

Overall objective is to implement behavior change interventions to promote and sustain behaviour change among the key project audiences.

Sub project specific HIV awareness and Prevention plans shall be prepared as part of the Resettlement Action Plan by the DPR consultants based on the risk assessment in their respective project area.

Step 1: Situational assessment: Identify population groups and locations vulnerable to risks along the project road along with factors contributing to vulnerability such as in and out migration, presence of sex workers community etc.

Target Audience:

The HIV prevention interventions would initially aim to spread awareness and sensitize the different audiences that include:
- Road Construction workers
- Local villages where construction workers live and villages adjacent to the project road reaching out to youth, women and young men with messages
- Highway communities: Dhabas, Truckers, Petrol pump staff
- Identified high risk behaviour groups, migrant work force, rural women and adolescent school & college going and out of school youth.
- Adolescent and youth though education sessions in schools, colleges etc.

Intervention Sites:

The behavior change intervention activities will largely be carried out at the company camp sites and at the community level in the project influence area.

- Colonies of construction workers
- Local villages where construction workers live
- Petrol pumps
- Nearby Highway Dhabas
- Places where Sex worker’s operate from

Step 2: Intervention planning: Identify available resources that can be used as part of the HIV prevention work such as STI management Facilities, ICTC centers, and care and support centers. Access available IEC materials and condoms from the concerned AIDS control societies at state and district level.

The sub projects could be divided into packages. The NGO implementing the RAP will also address the issues around the HIV in the project area through communication and referrals.
The contractor will also play an active role by creating an enabling environment for their workforce to attend workplace prevention sessions which will be conducted by the RAP NGO. Refer Environmental Management Plan (EMP) for details.

Support of local NGOs active in HIV awareness and prevention strategy could be sought to cover the project area. Inputs will be taken from the State AIDS Control Society when identifying the active NGOs in the project area.

The implementation of HIV plan should be synchronized with the peak construction time, when maximum workforce is expected on the sites and camp sites are operational.

The implementation of the HIV awareness and prevention plan shall be supervised by the state PCU with the support of a short term Consultant with experience in HIV program management may be hired for the initial six months (for each road stretch) for a period of 5 to 7 days a month. The Consultant will report to the state PCU and will provide hand-holding and supportive supervision of the NGOs so as to ensure that the program is planned and implemented effectively.

The cost of the activities shall be built into the RAP implementing NGO contract.

The following activities are expected of the implementing NGO.

Project Activities:

Output 1: Generate awareness about precautionary measures against HIV/AIDS among the identified project audiences (road construction workers and the general population) with specific focus on identified high risk behaviour groups, migrant work force, rural women and adolescent school & college going and out of school youth.

1.1 Create an Enabling Environment

a. Mobilize support of contractors/companies that are engaged in road development work and strengthen their capacity to undertake HIV prevention activities for their regular and contractual work force.

b. identify and build working relationship and capacities of local level NGO’s/Civil Society organizations and Self Help Groups/ Mahila Mandals/ Youth Clubs so as mobilize their support to take forward the campaign building local capacity in the communities.

1.2 Conduct behavior change communication (BCC) activities:

Common Issues which need to be addressed

- Providing basic education on HIV/AIDS focusing on specific behaviours which increase vulnerability to HIV (unsafe sexual practices, MSM and IDU)
- Increase risk perception
- Addressing concerns around Sexuality and prevailing myths
- Men having sex with men
- Sexually transmitted infections
- Condom use
- Care and support of people living with HIV
- Stigma and discrimination
Behavior change communication constitutes one of the key program components of the project. The BCC interventions will focus on increasing risk perception by providing information on HIV/AIDS and STI, clearing myths and misconceptions, providing information on VCT and making referrals for STI, VCT and care and support services. For effective behavior and attitude change, repeated and reinforcing messages will be provided to the different project audiences.

*If there are IDU's identified in the intervention areas the project team will work with the NGO's implementing TI's so as implement the needle exchange program for them.*

**Communication Approaches:**

**a. One-to-one Interaction:**
The Outreach Team and Peer Educators will carry out one-to-one interactions. As part of the one-to-one interactions, the target audiences will be reached with messages on HIV and AIDS issues and correct usage of condoms. Information on where STI treatment and VCTC services can be availed will be provided.

**b. One-to-group interactions:**
The Outreach Team and Peer Educators will conduct group interactions on a daily basis with the different audiences. These sessions will be in smaller groups of five to seven people, where the health educators will facilitate discussions on issues around HIV/AIDS and STIs. The communication support materials especially flip charts would be used and besides giving key messages alongside the visuals, audience participation would be a key aspect. Condom education will include condom demonstrations highlighting correct and consistent usage. Condom-fliers giving pictorial messages on condom usage will also be distributed along with free condoms.

**c. Mid media programs:**
Mid media programs will be organized to increase awareness, sensitize the communities on the needs of PLHIV and address issues of stigma and discrimination. Puppet shows, video shows, local folklore like and street theatre will be used for reaching communities. The project will take steps in involving other local CBOs who will be invited to participate in the mass awareness events.

The project would observe World AIDS day, Migrants day and the International Candle Light Memorial day by organizing large community events which include rallies, seminars and the candle light march.

**1.3 Condom promotion: Ensuring condom availability and imparting condom usage skills:**

As part of the BCC activities, condom demonstrations will be conducted to build skills among the community for correct usage. These sessions would attempt to address the myths associated with condom usage. Messages on dual protection would be emphasized. Condom supply will be increased and condoms would be made accessible by creating outlets in strategic locations. Availability will be ensured through various mechanisms like accessing free condoms from different sources especially the State AIDS Control Society and from government hospitals.
Output 2: Provide increased access to preventive services which includes STI treatment and Integrated Testing & Counseling Service

2.1 Ensure linkages for quality STI care services and VCT referrals

The BCC activities would stress on seeking early treatment for STI. STI services will be made available through referral clinics linked to the project.

The project will build linkages with the government Voluntary Counseling and testing Centre (VCTC) and refer Client’s who perceive risk and want to undergo the test. Referral slips will be provided to people being refereed from the project areas.

Linkages will be built with the Community Care Center’s (CCC’s), ART center and other NGOs and health care providers implementing care, support and treatment projects and other services to increase access to health care and improve quality of life for people living with HIV/AIDS (PLHIV) and their children.

Monitoring plan:

The project management team will develop and operationalise a monitoring system to track the progress of the project. Progress against output indicators will be assessed during monthly meetings in order to make sure that project activities are resulting in the desired outputs within the allotted timeframe.

The means of verification includes the reports of NGOs engaged, medical records of the patients that are maintained by the Doctor, field reports, meeting minutes, anecdotes, case studies, focus group discussions, and feedback from the community. The Outreach team will prepare their daily reports which will be consolidated into a monthly activity report. The outreach monthly report will be shared with the social/ safety officer of the Contractor who will include the details of the work done by him and will consolidate and make available quarterly reports to the PIU and PCU for review and inputs.

The PCU will monitor the program by visiting the project site to assess the project progress.

Some of the indicators against which the project progress will be measured include:

- Number and Type of stakeholders who are sensitized
- Number of peers trained as peer educators this quarter;
- Number of target population reached through one-on-one and in small-groups by peer education;
- Number of members from PLHIV networks who participated in the project activities
- Number of mid media events organized in the quarter;
- Number of target population reached by other IEC events;
- Number of new and old BCC contacts made;
- Number and types of STIs treated;
- Number of referral slips distributed;
- Number and kind of BCC materials developed/ and distributed;
- Number of condoms distributed;
- Number of people who accessed STI Services
- Number of people who accessed STI Services VCT services;
- Number of PLHIV provided/ referred for care, support and treatment by type; and
- Number of support group meetings held.
The Third Party Audit consultants for RAP implementation will review and assess the progress and overall quality of the intervention. The review would look into the aspects of organization, project management, personnel, financial, service delivery, and beneficiaries. This will also include site visits to review the project progress with project staff and participating NGOs, associations and reviewing referral systems for availability, accessibility, appropriateness, and quality of prevention to care services for each site.
### CONSULTATION FRAMEWORK

<table>
<thead>
<tr>
<th>Project Preparation</th>
<th>Information dissemination and consultation with APs during field surveys:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• project description and its likely impacts</td>
</tr>
<tr>
<td></td>
<td>• objective and contents of the surveys</td>
</tr>
<tr>
<td></td>
<td>• general provisions of compensation policy</td>
</tr>
<tr>
<td></td>
<td>• mechanics and procedures for public participation and consultation</td>
</tr>
<tr>
<td></td>
<td>• resettlement options (reorganization on remaining land, relocation to a</td>
</tr>
<tr>
<td></td>
<td>fully developed resettlement site, or cash compensation)</td>
</tr>
<tr>
<td></td>
<td>• grievance redress procedures</td>
</tr>
<tr>
<td></td>
<td>• feedback on the availability of PAPs to participate in income generation</td>
</tr>
<tr>
<td></td>
<td>activities in the sub-project, where relevant</td>
</tr>
</tbody>
</table>

It is a good practice to prepare a brief Public Information Booklet (PIB) for distribution to all the PAPs; the **project will work towards publishing such a PIB.**

The PIB will very briefly explain the sub-project objectives, likely benefits and adverse impacts, general provisions of the compensation policy, and grievance redress mechanisms.

<table>
<thead>
<tr>
<th>Information dissemination to local authorities after completion of census &amp; inventory and during the SIA/RAP/IPDP preparation:</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Sub-project components</td>
</tr>
<tr>
<td>• proposed policies and procedures including proposed resettlement strategies</td>
</tr>
<tr>
<td>• a summary of impacts</td>
</tr>
<tr>
<td>• request for identification of resettlement sites, if necessary</td>
</tr>
<tr>
<td>• tentative implementation schedule</td>
</tr>
<tr>
<td>• roles and responsibilities of the sub-project proponents and local authorities</td>
</tr>
</tbody>
</table>

Consultation with community and other key stakeholders:

- feedback regarding relocation site(s)
- preferences for the mode of compensation for affected fixed assets (i.e., cash or land-for-land)

In case a tribal community will be affected by the project, the consultation will also touch on the socio-cultural implications of the draft RAP / TDP and the project

- When the draft RAP / TDP are available they should be provided to key stakeholders and local NGOs in their native language and put in a public place. Feedback should be requested and incorporated into the final documents. The feedback could be received through email, phone, face-to-face interaction, meetings etc.

Details of all the public meetings held with people and local government officials with dates, location and the information provided and the major emerging issues should be documented. It is recommended that RAP and other documents include this list, as an attachment. Where public announcements are made, the details, together with a copy of the text of the announcements should be provided in the documents.
Indigenous Population have their own representative organizations that provide effective channels for communicating local preferences. Traditional leaders occupy pivotal positions for mobilizing people and should be brought into the planning process, with due concern for ensuring genuine representation of the tribal population. NGOs of respective areas should be mobilized in this process.

The draft RAP/IPDP/SIA should be discussed with local authorities and a copy of the document should be kept with provincial and district level authorities. PAPs should be informed through public announcements on the availability of the draft documents at the district and local government level.

| Project Implementation | Information dissemination and consultation with PAPs during RAP implementation:
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Sharing RAP document with local authorities</td>
<td>• Major policy resettlement policy provisions and grievance redress mechanism should be informed to the APs and beneficiary households in the project area through village level public meetings.</td>
</tr>
<tr>
<td>One to one meeting with the PAPs to explain their eligibility</td>
<td>• Placing of micro plan for compensation and resettlement in affected villages for review and minimize grievances</td>
</tr>
<tr>
<td>Payment of compensation to PAPs in public meeting to maintain transparency</td>
<td>• Household consultation for skill improvement training, use of compensation amount and livelihood restoration</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Public Participation in Project Monitoring and Ex-Post Evaluation</th>
<th>• Establish Stakeholder Monitoring Group (SMG), consisting with affected people and civil society members. The group will be responsible for monitoring of all aspects of resettlement implementation and provide feedback to the PIU</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• Participation of PAPs in monitoring will provide project management with a more accurate reflection of PAPs reactions and perceptions.</td>
</tr>
</tbody>
</table>
Suggestion and Complaint Handling Mechanism (SCHM)

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

SCHM Users

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

Management of SCHM

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

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

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

- To respond to as many inquiries/comments as possible
- To receive and sort concerns/grievances
- To forward them to appropriate team members for resolution as per recommendation of the EAP Head
- To track/monitor complaint/grievance acknowledgement and resolution
- To review and report on complaint/grievance data and trends to the MORTH EAP Head, who in turn will report to MORTH CVO, NHIIP Project Oversight Committee, and WB

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

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

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

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

On-line Form for Suggestions and Complaints

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

Subject: ______________________
NHIIP Road: ____________________
Content: _______________________
Your email: _____________________

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

SCHM Reporting Format

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

1. Date
2. Subject
3. Road
4. Content
5. Email (of the complainant)
6. Acknowledgment date (Date when EAP sent an email to the complainant to acknowledge that the email has been received, the issue will be handled within that period of time and the response/feedback will be provided to the complainant by that deadline)
7. Responsible Person
8. Deadline for Feedback
9. Actual Date for Feedback
10. Solution/Feedback on the Suggestion/Complaint
11. Additional Comment (e.g., if the person was unsatisfied with the feedback/solution provided and indicated that he/she will go to another authority to complain)

The entries 1-5 should be filled in automatically once an on-line form is submitted. The other entries are to be entered manually by the EAP and each State-level PIU. All SCHM-related reports are to be consolidated by the EAP.
## Framework of Training Program on Social Management

<table>
<thead>
<tr>
<th>Training Topics</th>
<th>Resource agency/persons</th>
<th>Trainee/Participants</th>
<th>When</th>
<th>Frequency</th>
</tr>
</thead>
<tbody>
<tr>
<td>Environmental and social management in NHIIP project-Orientation</td>
<td>MoRTH/PMC</td>
<td>EAP (staff- SDS, Environmental Specialist, SE etc), PCU (SE/Social Officer, etc)</td>
<td>For EAP/PCU, at the project launch</td>
<td>One day/One time</td>
</tr>
<tr>
<td>Baseline data, methods of data collection/verification, and overall M&amp;E of indicators</td>
<td>As above</td>
<td>Relevant staff of EAP, PCU, PST</td>
<td>For EAP/PCU, at the project launch; For PCU and PST: when a subproject meets the readiness criteria</td>
<td>Two days/Once a year</td>
</tr>
<tr>
<td>Resettlement policies and legal framework/ Resettlement action plan</td>
<td>MoRTH-EAP/PMC</td>
<td>PCU (SE/Social Officer, etc), PST, and other line departments</td>
<td>When subproject meets readiness criteria</td>
<td>First year- Six monthly; once a year from second year</td>
</tr>
<tr>
<td>Rehabilitation steps</td>
<td>As above</td>
<td>Relevant staff of EAP, PCU, PST</td>
<td>For EAP, before signing project agreement; For PCU and PST: when a sub-project meets the readiness criteria</td>
<td>One day/Once a year</td>
</tr>
<tr>
<td>Grievance redressal process</td>
<td>As above</td>
<td>Relevant staff of EAP, PCU, PST</td>
<td>For EAP, At project launch; For PCU and PST: after project implementation</td>
<td>One day/Once a year</td>
</tr>
<tr>
<td>Progress reporting and participatory monitoring</td>
<td>As above</td>
<td>Relevant staff of EAP, PCU, PST</td>
<td>For EAP and PST, At the project launch; For PST: During the first six month of project implementation</td>
<td>First year- six monthly; Once a year from second year</td>
</tr>
<tr>
<td>Gender mainstreaming in project implementation process</td>
<td>As above</td>
<td>Relevant staff of EAP, PCU, PST</td>
<td>For EAP, At the project launch; For PCU and PST: after awarding the contract</td>
<td>One day/Once a year</td>
</tr>
<tr>
<td>Labour, EHS, and HIV/AIDs</td>
<td>As above and other supports as necessary</td>
<td>Relevant staff of EAP, PCU, PST</td>
<td>For EAP, before signing project agreement; For PCU and PST: before awarding the contract</td>
<td>One day/Once a year</td>
</tr>
</tbody>
</table>

Sub-project specific RAPs will include detail training/capacity development programs for PSTs, NGOs, and PAPs. Some examples of such training programs are presented below.

<table>
<thead>
<tr>
<th>Training Topics</th>
<th>Resource agency/persons</th>
<th>Trainee/Participants</th>
<th>When</th>
<th>Frequency</th>
</tr>
</thead>
<tbody>
<tr>
<td>Environmental and social management in NHIIP project</td>
<td>MoRTH/PMC/PST</td>
<td>NGOs, Contractor staff</td>
<td>Within first month of contract award</td>
<td>Once a year</td>
</tr>
<tr>
<td>Resettlement policies and legal framework</td>
<td>MoRTH/PMC/Bank staff/PST</td>
<td>NGOs, Contractor staff</td>
<td>As above</td>
<td>Once a year</td>
</tr>
<tr>
<td>Resettlement action plan</td>
<td>MoRTH/PMC/PST</td>
<td>NGOs, Contractor staff</td>
<td>As above</td>
<td>Once a year</td>
</tr>
<tr>
<td>Baseline data, methods of data collection/verification, and overall M&amp;E of indicators</td>
<td>As above</td>
<td>PST, NGOs, Contractor staff</td>
<td>Before contract is awarded</td>
<td>Once a year</td>
</tr>
<tr>
<td>M&amp;E of indicators</td>
<td>NGOs</td>
<td>PST, PAPs, construction supervision consultant</td>
<td>When the contract is awarded</td>
<td>One day/One time</td>
</tr>
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<td>----------------------------------------------------------------------------------</td>
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<tr>
<td>Preparation of micro plans</td>
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</tr>
<tr>
<td>Rehabilitation steps</td>
<td>MoRTH/PMC/PST</td>
<td>NGOs, Contractors staff</td>
<td>As above</td>
<td>One day/One time</td>
</tr>
<tr>
<td>Economic development and skill building/enhancement</td>
<td>As above+ resource person as needed</td>
<td>NGOs</td>
<td>When the contract is awarded</td>
<td>One day/One time</td>
</tr>
<tr>
<td>Road safety</td>
<td>As above</td>
<td>NGOs, Contractor staff</td>
<td>Within first two months of contract award</td>
<td>One day/Once a year</td>
</tr>
<tr>
<td>Grievance redressal process</td>
<td>As above</td>
<td>NGOs, Contractor staff</td>
<td>When the contract is awarded</td>
<td>One day/One time</td>
</tr>
<tr>
<td>Progress reporting and participatory monitoring</td>
<td>As above</td>
<td>NGOs, Contractor staff</td>
<td>When the contract is awarded</td>
<td>One day/One time</td>
</tr>
<tr>
<td>Gender mainstreaming in project implementation process</td>
<td>As above+ expert NGO</td>
<td>NGOs, Contractor staff</td>
<td>When the contract is awarded</td>
<td>One day/Once a year</td>
</tr>
<tr>
<td>Labour, EHS, and HIV/AIDs</td>
<td>As above</td>
<td>NGOs, Contractor staff</td>
<td>Within the first three months of civil works begins</td>
<td>One day/Once a year</td>
</tr>
</tbody>
</table>

**Examples of trainings programs for PAPs/Local communities**

| Rehabilitation steps and R&R assistance                                           | NGOs                | PAPs                                          | After sub-project is awarded | One day/One time |
| Economic development and skill building/enhancement                                | NGOs                | PAPs                                          | As above                     | As per the social management (SM) plan |
| Road safety                                                                       | NGOs                | PAPs/local community groups                   | As above                     | One day/Once a year |
| Grievance redressal process                                                       | NGOs                | PAPs/GRC committee                            | As above                     | One day/Once a year |
| Labour, EHS, and HIV/AIDs                                                          | NGO                 | PAPs                                          | As above                     | One day/Once a year |
| Literacy and awareness raising trainings                                           | NGOs                | PAPs, Women’s self-help groups                | As above                     | As per SM plan    |

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*Annexure-13*
<table>
<thead>
<tr>
<th>Frequency</th>
<th>To be Prepared by</th>
<th>To be submitted to</th>
<th>Input/output</th>
<th>Key indicators/information to be reported</th>
</tr>
</thead>
</table>
| Monthly   | PST (R&R Officer) | PCU                | Process indicators | • **Staff:** Number of staff and agencies involved for RAP and/or Social Management Plan implementation; and status of staff being mobilized.  
• **Consultation:** Number of consultation meetings held (PAPs, other stakeholders); Number of women in consultation meetings; Number of field visits by NGOs etc.  
• **Grievances:** Number (%) and types of grievances received and resolved; % of complaints cases at the court  
• **Procedures:** Effectiveness of compensation delivery system (procedures being followed); Coordination between line agencies; |
|           |                   |                    | Output indicators | • **LA:** Area (%) of private and public land acquired/ transferred; Number of people affected? Number of plots affected.  
• **Structures:** Number and type of private, public, and cultural structures impacted. Status of relocation of cultural structures, status of demolition of public/private structures.  
• **Trees and crops:** Number and types of private and public trees acquired; types and area of crops that have been affected.  
• **Compensation and R&R:** Status of disbursement of R&R assistances (verification of PAPs, preparation of ID card- for titleholders and non-titleholders; preparation of micro plan, approval of micro-plan, disbursement of assistance/Number of people (%) who received compensation before the construction begins. Number of displaced persons resettled or assisted for self-relocation? Proper documentation of RAP activities implementation (e.g. HIV awareness, consultation process, distribution of assistance, etc), % of tribal populations who have already received compensation and/or R&R assistance  
• **Trainings:** Number of people/days that are provided with trainings on income generations, HIV/AIDs etc, road safety etc. |
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</table>
| Quarterly  | PCU (Social Officer) | MoRTH/World Bank | Process indicators | • **Staff**: Number of staff and agencies involved for RAP and/or Social Management Plan implementation; adequacy of designated staff.  
• **Consultation**: Number of consultation meetings held; Number of women participated in consultation meetings; Number of field visits by NGOs etc.  
• **Grievances**: Number (%) and types of grievances received and resolved; Number of complaints cases at the court  
• **Procedures**: Effectiveness of compensation delivery system; Coordination between line agencies; |
| Six Monthly | Independent Third Party Assessment | PST/PCU | Process indicators | • **LA**: Area of private and public land acquired; Size of cultivated or uncultivated land? Number of people affected?  
• **Structures**: Number, type, and size of private, public, and cultural structures impacted.  
• **Trees and crops**: Number and types of private and public trees acquired; types and area of crops that have been affected.  
• **Compensation and R&R**: Number of people (%) who received compensation before the construction begins; Number (%) of affected persons resettled during this period? % of IPs who have already received compensation and/or R&R assistance on time; Proper documentation of compensation and R&R assistances made over this period; Interval or time lag between approval of micro plan and the release of the fund.  
• **Trainings**: Number of people/days that are provided with trainings on income generations, HIV/AIDs etc.  
• **Staff**: Number of staff and agencies involved for RAP and/or Social Management Plan implementation; Adequacy of skill-mix and authority of staff involved  
• **Consultation**: Number of consultation meetings held; Number of grievances received and resolved during this period; Number of women participated in consultation meetings; Number of field visits by NGOs etc.  
• **Procedures**: Effectiveness of compensation delivery system; Coordination between line agencies. If there is a time lag in LA |
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| Twice a year | Independent third party evaluation | MoRTH/PIU/PST/World Bank | Includes both process and output indicators | process, how did it happen? Appropriate explanations and proposed interventions needed from the project authority should be presented.  
- **Reporting**: On-time monthly and quarterly reporting.  
- The report should also provide opinions of PAF with regards to implementation of rehabilitation and resettlement plan. Both qualitative and quantitative data should be included.  

**Output indicators**

- **LA**: Area of private and public land acquired; Size of cultivated or uncultivated land? Number of people affected?  
- **Structures**: Number, type, and size of private, public, and cultural structures impacted.  
- **Trees and crops**: Number and types of private and public trees acquired; types and area of crops that have been affected.  
- **Compensation and R&R**: Number of people (%) who received compensation before the construction begins; Number (%) of affected persons resettled during this period? % of IPs who have already received compensation and/or R&R assistance on time; Proper documentation of compensation and R&R assistances made over this period; Interval or time lag between approval of micro plan and the release of the fund.  
- **Trainings**: Number of people/days that are provided with trainings on income generations, HIV/AIDS etc.  

- **Staff**: number of staff dedicated to RAP and/or SMP implementation; Adequacy of staff and their skills;  
- **Consultations**: Is there adequate evidence of proper consultation being carried out with PAPs for R&R assistance? How well the consultations with community members are going in implementing RAP/SMP?  
- **LA**: Has the LA been carried out prior to civil works? Were there adequate compensation, processes, and documentation followed for LA, structures, trees, crops etc?  
- **R&R**: Has the R&R been adequately and timely carried out for both titleholders and non-titleholders?
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<tbody>
<tr>
<td></td>
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<td><strong>Gender</strong>- How well gender is mainstreamed? Is there adequate gender disaggregated data available?</td>
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<td><strong>Indigenous Peoples</strong>- How well IPs has been consulted? Is there adequate evidence of proper IP consultations?</td>
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<td><strong>Grievance</strong>- Has the GRM been adequately functioning? Are the PAPs happy with the GRM mechanism?</td>
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<td><strong>Sample survey</strong>—A sample survey should be conducted to measure whether project affected people's economic situation have improved. This exercise should clearly spell out before and after economic conditions of the displaced households.</td>
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<td><strong>Reporting</strong>—how well the monitoring reports—monthly, quarterly, and six-monthly—have been submitted to relevant authorities?</td>
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<tr>
<td>At the end of project</td>
<td>Impact Evaluation- Independent party</td>
<td>MoRTH/ PIU/World Bank</td>
<td>Includes both process and output indicators</td>
<td><strong>LA and R&amp;R</strong>- % of PAPs who have more income now compared to their before LA status; Growth in market areas; Good practices and lessons learned on LA and R&amp;R.</td>
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<td><strong>Grievance</strong>- Success in conflict handling practices at different level of project implementation- EAP, PCU, and PST/PIU level.</td>
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<td><strong>Consultations</strong>- Change in community consultation practices/behavior; Improvement in institutional coordination/consultations.</td>
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<td><strong>Gender</strong>- % increase in women's participation in community meeting; % decrease in gender gap in education, health, employment status.</td>
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<td><strong>Tribal Peoples</strong>- % increase in household income of IPs;</td>
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<td><strong>Survey</strong>: A survey consisting both quantitative and qualitative will be applied, to verify or derive above mentioned information.</td>
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<td></td>
<td><strong>Accountability</strong>—how adequately the monitoring reports have been submitted to relevant authorities?</td>
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</table>