

Resettlement Planning Document

Updated Short Resettlement Plan for Baran ROB Sub-project
Project Number: 40031
February 2009

India: Rajasthan Urban Sector Development Investment Program

Prepared by Local Self Government Department

The resettlement plan is a document of the borrower. The views expressed herein do not necessarily represent those of ADB's Board of Directors, Management, or staff, and may be preliminary in nature.

Abbreviations

ADB	Asian Development Bank
AH	Affected Household
AP	Affected Persons
BPL	Below Poverty Line
CBO	Community Based Organization
CC	Construction Contractors
CLC	City Level Committees
DC	District Collector
DDP	Desert Development Programme
DSC	Design and Supervision Consultants
EA	Executing Agency
EC	Empowered Committee
GA	Government Agency
GRC	Grievance Redress Committee
ha	Hectare
Hrs	Hours
IA	Implementing Agency
IEE	Initial Environment Examination
IP	Indigenous People
IPIU	Investment Project Management Unit
IPMU	Investment Project Implementation Unit
IR	Income Restoration
LAA	Land Acquisition Act
LSGD	Local Self Government Department
MFF	Multi-tranche Financing Facility
NGO	Non-Government Organization
NRRP	National Resettlement and Rehabilitation Policy
OMC	Operations and Maintenance Contractors
PAF	Project Affected Family
PAH	Project Affected Household
RCC	Reinforced Cement Concrete
RF	Resettlement Framework
RoW	Right of Way
RP	Resettlement Plan
RS	Resettlement Specialist
RUSIDP	Rajasthan Urban Sector Development Investment Program
SC	Scheduled Caste
SDM	Sub Divisional Magistrate
SDS	Social Development Specialist
ST	Scheduled Tribe
ULB	Urban Local Body

SHORT RESETTLEMENT PLAN

A. Scope of Land Acquisition and Resettlement

1. The Investment Program will optimize social and economic development in 15 selected towns¹ in Rajasthan through investments in urban infrastructure (water supply, wastewater management, solid waste management, urban drainage, and urban transport and roads), social infrastructure, and infrastructure support to cultural heritage. The Program will also provide policy reforms to strengthen urban governance, management, and support for urban infrastructure and services.² This short resettlement plan (RP) has been prepared for the urban transport and roads sub-project in Baran.

2. The sub-project involves the construction of ROB at Railway Level Crossing No.37 (Kota-Baran Railway line) on NH-76 (Kota-Shivpuri Road). The Kota-Baran-Shivpuri Road (part of NH-76, Km 468) is the main entrance to Baran town. The sub-project includes: (i) total ROB length including ROB spans, viaduct spans and approach embankment is approximately 900 m; (ii) Construction of one 45m ROB span; (iii) construction of viaduct spans at Kota end, viaduct spans at Baran end; (iv) construction of approach embankment with Reinforced Earth (RE) wall at both sides construction of service road at both sides of ROB approaches; (v) provision of footpath, provision of drain, utility space, crash barrier etc. The subproject, when implemented, will benefit the population of town as well as through traffic of NH-76 with safety, reduced travel time, fuel saving, reduction in accidents, improvement of environmental conditions, etc. The proposed sub-project will serve for at least 20 years i.e. up to 2028. The location of sub-project components is provided in **Map 1**.

3. Sub-project design minimized land acquisition and resettlement impacts. Several alignments were compared and the design chosen will not result in permanent impacts to structures such as residential and commercial structures, and common properties. The scope of land acquisition and resettlement impacts identified is based on design prepared by the experts. While designing the sub-project one of the key considerations was to minimize land acquisition and resettlement impacts. Keeping this in view the construction of ROB and approach roads at both ends have been accommodated within the existing right of way (RoW) of 12.5mtrs. However, construction of ROB would affect temporary shops, mobile/ambulatory hawkers and vendors close to the proposed ROB and approach roads. Appendix 1 shows each sub-project component and expected resettlement impacts. Impacts are temporary and only on small businesses due to the construction of service roads.

B. Socio-Economic Background

4. To estimate the temporary impacts initially a series of transect walks were conducted; this was followed by a 100 percent census and a socio-economic survey conducted in the areas, where the works are to be done. This was conducted with the help of a predesigned tool (Appendix 2). The Census was conducted using a two page questionnaire with a battery of questions to address:

- Name of respondent
- Daily Income from the affected structure
- Whether or not belongs to the under privileged / marginal class
- Details of the Construction Package with Address and Chainage
- Whether location is in urban, peri-urban or rural area
- Type of loss : viz. Residential, Commercial, Kiosks etc

¹ Particularly district headquarters and towns with significant tourism potential.

² The assistance will be based on the State-level framework for urban reforms, and institutional and governance reforms recommended by the Government of India through the Jawaharlal Nehru National Urban Renewal Mission and Urban Infrastructure Development Scheme for Small and Medium Towns.

- Whether the occupant of the structure is a squatter
- Address of the structure
- Whether the affected occupant holds a legal paper for occupancy
- Whether the occupant has Ration Card & enlisted in Voter's list
- Description of the affected structure and its present use
- Description of the affected structure within the RoW
- Parallel Distance of the affected structure along the RoW
- Perpendicular Distance of the affected structure from the Centre line and
- Type of construction of the structure for Roof, Walls, Floor & boundary

5. A Socio-economic Survey on 20% of the occupants of the affected structures was conducted as per the requirements after the completion of Census survey in the stretches of impact of the proposed construction package. This was done with the aid of a structured close ended (for ease of information processing) battery of questions targeted to elicit responses on cardinal socio-economic enquiries :

- Name of the Head of the Household (HH)
- Name of Respondent
- Relationship of the respondent with the HH
- Details of the family type eg. Nuclear, Joint or Extended
- Social class & caste of the family eg. ST, SC, OBC or higher caste
- Details of the family members with corresponding details :
 - Name of each of the family members
 - Age of each of the family members
 - Relationship with the HH
 - Sex of each of the family members
 - Marital status of each of the family members
 - Attained Educational levels of each of the family members
 - Any particular skill of each of the family members
 - Main or marginal nature of work & general work of family members
- Nature of business of Name) of each of the family members
- Source of Annual Income of the Household
- Type of Use of affected structure
- Details of nature of business carried out from the affected structure
- Assets of the Household in terms of movable & immovable property
- Standard of living in terms of expenses on essentials and
- Indebtedness of the Family

6. Based on the findings there are no impacts on private land as the sub-project components will be accommodated within the existing ROW. As per the socio-economic survey, a total of 24 households comprising 132 members would be temporarily affected. The average household size of affected households is 5.5 and the average household income works out to be Rs.6,094/- per month. The minimum construction period estimated for the construction of ROB is two years. As a result these temporary shops/vendors/hawkers etc would have to shift out from the present place and therefore would be eligible for assistance in accordance with the Resettlement Framework of RUIDP. The scope of land acquisition and identified temporary resettlement impacts is presented in the Table 1.

7. As one of the objectives of the Project is reducing poverty levels in the State and identified the Affected Persons (APs) that will be affected during construction and provide improved standard of living to APs it has been decided to present the data disaggregated by economic status. This will help to understand how the Project impacts the poor and the non-

poor. The details of the socio-economic profile of the APs under this sub-project are mentioned below. Of all the APs 88 percent have ration card and about 99 percent is enrolled in voter list. They all have small business and are squatters.

Literacy- Literacy, being an important indicator of social development, affects the demographic characteristics and participation. The Socio-economic survey results show that of the males 94 percent are literate and of the females 83 percent are literate.

Economy- Data on employment shows that all the 24 APs are running their small business (Barbour shop, tea shop, welding shop, repairing shop etc). Only 25 percent of the households are in poor category.

Basic Services

a) Water Supply- Most of the households use hand pump. It is evident that safe water source is not ensured in these locations.

b) Sanitation- During social-economic survey shows that majority in each income group have dry type of latrine facility.

c) Transport Usage and Road safety- All the income groups mentioned that they use public transport mainly for going to market. They usually travel up to 5-20 km for this purpose. Type of transport is bus, jeep and lorry. Their travel time is usually 10 minutes to 2 hours and they pay Rs.10-25 as fare for their travel. There is little information available on road safety. However, a few complained about high level of pedestrian including children and increase in traffic volume and speed as well.

8. The detail socio-economic data is presented in Appendix 3 (Table 1.1-Table 1.7).

Table 1 - Summary of Resettlement Impacts

Magnitude of Resettlement Impact	Number
Permanent Land Acquisition (ha)	0
Temporary Land Acquisition (ha)	0
Temporarily Affected Households	24
Non-titleholder Affected Households (Temporarily Affected)	24
Female Headed Households (Temporarily Affected)	0
IP/ST Household	2
BPL Households (Temporarily Affected)	0
Affected Trees/Crops	33
Affected Utilities(Electric poles, Telephone poles, Transformer etc.)	81
Temporarily Affected Common Structures	2
Average Family Size	5.5
Average Household Income (per month)	Rs.6,094
Income Sources (Temporarily Affected)	Petty business (Tea, pan, repair shop, etc)

Source: Socio-economic survey conducted by DSC, June 2008.

9. There are some sensitive receptors in close proximity to the sub-project site. These include Rajasthan Girls' Polytechnic College; and two hospitals namely, Opera City Hospital, and Radhakrishna Memorial Hospital. The structures housing hospitals and Polytechnic institute will not be directly affected by the sub-project but during construction, their access will be disrupted. The Executing Agency will ensure access and suitable measures to reduce noise and dust pollution near the construction site. Besides, there is one office-cum-residence of Forest Department on the right hand side on Kota-Baran-Shivpuri Road which will also be not directly affected but during construction of ROB access may be disrupted. Further, about 35 commercial units housing motorcar dealer, godown, various shops,

restaurant etc on left side of Kota-Baran-Shivpuri road will also not be directly affected but during construction of ROB their access may be disrupted. The Executing Agency will ensure access to all. Two CPRs would be affected by the sub-project components. They are Rotary Circle made of cement and concrete and one temporary police booth made of wood and tin. Measures adopted to mitigate the social impacts include assistance to affected households, limiting construction work to two years and accommodating as far as possible proposed works within the available RoW.

C. POLICY FRAMEWORK AND ENTITLEMENTS

10. The policy framework and entitlements for the program are based on national laws: *The Land Acquisition Act, 1894 (LAA, amended in 1984)*, and the *National Rehabilitation and Resettlement Policy, 2007*; ADB's *Policy on Involuntary Resettlement, 1995*; and the *agreed Resettlement Framework (RF)*. Based on these, the following core involuntary resettlement principles applicable are:

- (i) Land acquisition, and other involuntary resettlement impacts will be avoided or minimized exploring all viable alternative sub-project designs;
- (ii) Where population displacement is unavoidable, time-bound RPs will be prepared and affected persons (APs) will be assisted in improving or at least regaining their pre-project standard of living;
- (iii) Consultation with APs on compensation, disclosure of resettlement information to APs, and participation of APs in planning and implementing sub-projects will be ensured. Vulnerable groups will be provided special assistance (e.g. SC, ST, BPL, WHH, disabled, orphans, destitute and indigenous people);
- (iv) Payment of compensation to APs including non-titled persons (e.g., informal dwellers/squatters and encroachers) for acquired assets at replacement rates;
- (v) Payment of compensation and resettlement assistance prior to the contractor taking physical acquisition of the land and prior to the commencement of any construction activities;
- (vi) Provision of rehabilitation assistance for loss of income;
- (vii) Establishment of appropriate grievance redress mechanism.

11. Policy framework and entitlements are further discussed in Appendix 4. The entitlement matrix for the sub-project based on the above policies is presented in **Table 2**.

TABLE 2 - ENTITLEMENT MATRIX

SN	Type of Loss	Application	Definition of Entitled Person	Compensation Policy	Implementation Issues	Responsible Agency
1	Temporary disruption of livelihood		Legal titleholders, non-titled APs	<ul style="list-style-type: none"> • 30 days advance notice regarding construction activities, including duration and type of disruption. • Contractor's³ actions to ensure there is no income⁴/access loss consistent with the IEE.⁵ • Assistance to mobile vendors/hawkers to temporarily shift for continued economic activity⁶ • For construction activities involving unavoidable livelihood disruption, compensation for lost income or a transitional allowance for the period of disruption whichever is greater. 	<ul style="list-style-type: none"> • Identification of alternative temporary sites to continue economic activity. 	Valuation Committee will determine income lost. Contractors will perform actions to minimize income/access loss.
2	Impacts on vulnerable APs	All impacts	Vulnerable APs	<ul style="list-style-type: none"> • Livelihood. Vulnerable households will be given priority in project construction employment. 	<ul style="list-style-type: none"> • Vulnerable households will be identified during the census. 	NGO will verify the extent of impacts through a 100% surveys of AHs determine assistance, verify and identify vulnerable households.
3	Loss and temporary impacts on common resources	Common resources	Communities	<ul style="list-style-type: none"> • Replacement or restoration of the affected community. 	-	IPMU and Contractor.
4	Any other loss not identified	-	-	<ul style="list-style-type: none"> • Unanticipated involuntary impacts will be documented and mitigated based on the principles of the Resettlement Framework (RF). 	-	NGO will ascertain the nature and extent of such loss. IPMU will finalize the entitlements in line with the RF.

³ As mentioned in Clause 93.1 of Section VIII: Particular Condition of Contract of Bid Document

⁴ Minimum wage in Rajasthan is Rs.73 per day

⁵ This includes: leaving spaces for access between mounds of soil, providing walkways and metal sheets to maintain access across trenches for people and vehicles where required, increased workforces to finish work in areas with impacts on access, timing of works to reduce disruption during business hours, phased construction schedule and working one segment at a time and one side of the road at a time.

⁶ For example assistance to shift to the other side of the road where there is no construction.

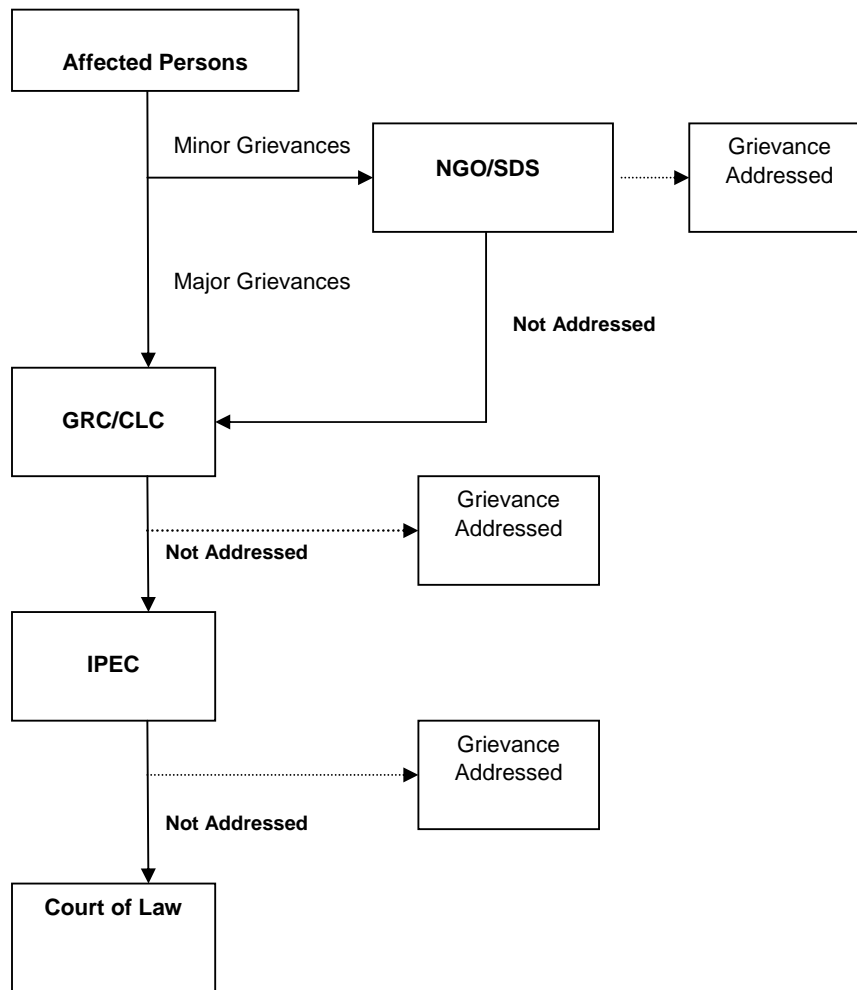
D. Consultation, Information Dissemination, Disclosure, and Grievance Redress

12. The RP was prepared in consultation with stakeholders. Meetings and individual interviews were held involving stakeholders, particularly potentially temporarily affected persons; and transect walks, census, survey and interviews were conducted to determine the potential impacts of sub-project construction to prepare the sample sub-project RP. Following the model developed for the MFF, a town-wide stakeholder consultation workshop was conducted which provided an overview of the Program and sub-projects to be undertaken in Baran; and discussed the Government and ADB's resettlement policies and potential resettlement impacts of the sub-projects in Baran. During the workshop, Hindi versions of the RF were provided to ensure stakeholders understood the objectives, policy principles and procedures for any land acquisition, compensation and other assistance measures for any AP. During consultations, key issues raised were: (i) participants expressed satisfaction that this sub-project will take care of their needs which they have waited for 25-30 years; (ii) they are not hesitant to move or shift if necessary to accommodate the work; (iii) they are willing to provide labor for the sub-project; and (iv) they raised that it is important to repair the roads after sub-project construction. Consultation records are in Appendix 5.

13. Information continues to be disseminated to APs and beneficiaries through various media. English and Hindi versions of the RF and RP are placed in the Urban Local Body (ULB) office and APs have accesses to RPs. The NGO engaged to implement the RP will continue consultations, information dissemination, and disclosure. A strategy for continued consultations and participation is in the RF. The RP is available in the ULB office, Investment Program Project Management Unit and Implementation Unit (IPMU and IPIU) offices, and the town library. The finalized RP will also be disclosed in ADB's website, the State Government website, the local government website, and the IPMU and IPIU websites. ADB review and approval of the RP is required prior to award of civil works contracts; and compensation/assistance of APs is required prior to commencement of civil works. Consultation and disclosure activities to be followed are in Appendix 6

14. Grievances of APs will first be brought to the attention of the implementing NGO or Social Development Specialist (SDS). Grievances not redressed by the NGO or SDS will be brought to the City Level Committees (CLC) set up to monitor project implementation in each town. The CLC, acting as a grievance redress committee (GRC) is chaired by the District Collector with representatives from the ULB, state government agencies, IPIU, community based organizations (CBOs) and NGOs. As GRC, the CLC will meet every month. The GRC will determine the merit of each grievance, and resolve grievances within a month of receiving the complaint, failing which the grievance will be addressed by the inter-ministerial Empowered Committee (EC). The Committee will be chaired by the Minister of Urban Development and Local Self Government Department (LSGD), and members will include Ministers, Directors and/or representatives of other relevant Government Ministries and Departments. Further grievances will be referred by APs to the appropriate courts of law. The IPIU will keep records of all grievances received including: contact details of complainant, date that the complaint was received, nature of grievance, agreed corrective actions and the date these were effected, and final outcome. The grievance redress process is shown in Figure 1.

Figure 1: Grievance Redress Process



All costs involved in resolving the complaints will be borne by the IPMU. The GRCs will continue to function throughout the project duration.

E. Compensation and Income Restoration

15. APs experiencing loss of structures will be provided 60 days notice to shift from occupied ROW. A transition allowance based on 3 months' minimum wage rates will be provided as well as shifting assistance. The APs will have rights to salvage materials from structures and other assets. APs experiencing loss of livelihood will be provided 30 days advance notice. APs with moveable structures will also be assisted to temporarily shift for continued economic activity. For example they will be assisted to shift to the other side of the road where there is no construction. Ensuring there is no income or access loss during sub-project construction is the responsibility of contractors. Consistent with the initial environmental examination, contractors will ensure: leaving spaces for access between mounds of soil, providing walkways and metal sheets to maintain access across trenches for people and vehicles where required, increased workforces to finish work in areas with impacts on access, timing of works to reduce disruption during business hours, phased construction schedule and working one segment at a time and one side of the road at a time.

16. Should construction activities result in unavoidable livelihood disruption, compensation for lost income or a transitional allowance for the period of disruption whichever is greater will be provided. Vulnerable APs will be given priority in project construction employment.

17. Compensation and assistance to APs will be made prior to possession of land/assets and prior to the award of civil works contracts.

F. Institutional Framework, Resettlement Costs, and Implementation Schedule

18. The LSGD is the Executing Agency (EA) responsible for overall technical supervision and execution of all sub-projects funded under the Program. The Implementing Agency (IA) is the Project Management Unit of the ongoing RUIDP, which has been expanded and assigned as the IPMU, to coordinate construction of subprojects and ensure consistency across the towns. The EC provides LSGD with central policy guidance and coordination. The IPMU is assisted by: Investment Program Management Consultants (IPMC) who manages the Program and assure technical quality of the design and construction; and Design and Supervision Consultants (DSC), who are designing the infrastructure, managing the tendering of Contractors, and supervising construction.

19. IPIUs have already been established in the project towns to manage implementation of subprojects in their area. CLCs will monitor sub-project implementation in each town. They will appoint Construction Contractors (CC) to build elements of the infrastructure in a particular town (supervised by DSC). Once the infrastructure begins to operate, responsibility will be transferred to the appropriate state or local Government Agency (GA), who will be given training, support and financial assistance through the Program where necessary to enable them to fulfill their responsibilities. They will employ local Operations and Maintenance Contractors (OMC) to maintain and repair the infrastructure as required.

20. Resettlement issues are coordinated by a Social Development Specialist (IPMU SDS) within the IPMU, who ensures that all sub-projects comply with involuntary resettlement safeguards. A Resettlement Specialist (RS) who is part of the IPMC team assists the SDS. SDS, as part of the DSC, have been appointed to work with each IPIU to update the RP in the detailed design stage, and to prepare RPs for new subprojects, where required to comply with Government and ADB policies. NGOs will be appointed to implement RPs. The responsible agencies, resettlement costs, and implementation schedules are provided in Tables 3, 4, and 5, respectively.

Table 3 Institutional Roles and Responsibilities

Activities	Agency Responsible
Sub-project Initiation Stage	
Finalization of sites/alignments for sub-projects	IPMU
Disclosure of proposed land acquisition and sub-project details by issuing Public Notice	IPMU
Meetings at community/household level with APs of land/property	NGO
Formation of Valuation Committees	IPMU
RP Preparation Stage	
Conducting Census of all APs	IPMU/IPIU/NGO
Conducting FGDs/meetings/workshops during SIA surveys	IPIU/NGO
Computation of replacement values of land/properties proposed for acquisition and for associated assets	VC/IPIU
Categorization of APs for finalizing entitlements	IPIU/IPMU
Formulating compensation and rehabilitation measures	IPIU/IPMU
Conducting discussions/meetings/workshops with all APs and other stakeholders	IPIU/NGO
Fixing compensation for land/property with titleholders	VC/IPMU
Finalizing entitlements and rehabilitation packages	IPIU/IPMU
Disclosure of final entitlements and rehabilitation packages	IPIU/NGO
Approval of RP	IPMU/ADB
Sale Deed execution and payment	IPMU
Taking possession of land	
RP Implementation Stage	
Implementation of proposed rehabilitation measures	NGO/SDS
Consultations with APs during rehabilitation activities	NGO/SDS
Grievances redressal	NGO/SDS/GRC
Internal monitoring	IPIU
External monitoring	External Agency

AP=affected person, VC=Valuation Committee, FGD=focus group discussions, GRC = Grievance Redress Committee, NGO = nongovernmental organization, IPMU = investment program management unit, IPIU = investment program implementation unit, SDS = Social Development Specialist, RP=resettlement plan, SIA=social impact assessment.

Table 4 Summary of Land Acquisition and Resettlement Costs

Srl.	Item	Unit	APs	Rate Rs.	Cost.
1.	Relocation & Transfer				
	Loss of livelihood	90 days	24	203	438,480.00
	Shifting assistance	once	24	200	4,800.00
	Additional assistance to Vulnerable groups	Lump sum	2	10,000	20,000.00
	Movement of Electricity poles, telephone pole etc.	81		5000	405,000.00
	Sub Total Item 1				868,280.00
2	Administrative & Implementation costs				
	Implementing NGO covering NGO engagement, cost of census and survey of APs and inventory of assets, cost of information and consultations, training and monitoring (including evaluation by independent agency), and rental of office space and required physical facilities and materials.	Lump Sum			100,000.00
3	Contingencies				
	Price (5%) of Project Cost				48414
	Physical (20%) for unanticipated impacts such as temporary impacts on structures or temporary loss of land				193656
	Total				1,210,350.00

Note- Additional Assistance to Vulnerable Vendors/Shop Owners for loss of Livelihood.

Less than 3 days impact- @ Rs 500/-per day, Between 4 to 7 days impact-@ Rs 400/-per day, Between 8 to 15 days impact-@ Rs 350/-per day, Between 16 to 31 days impact-@ Rs 300/-per day, More than 31 days impact- A lump sum of Rs 10000/-.

Based on assessment made during the socio-economic survey.

Table 5 Schedule of Resettlement Implementation

Activity	Months																	
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
i. Appointment of NGOs	◆																	
ii. Briefing of the CLC on GRC functions	◆																	
iii. Census and socio-economic surveys (issuance of i.d. cards)*	◆	◆																
iv. Consultations and disclosure		◆	◆	◆	◆	◆	◆	◆	◆	◆	◆	◆	◆	◆	◆	◆	◆	◆
v. Confirmation of government land to be used and transfer from other departments	◆	◆																
vi. RP updating**		◆	◆															
vii. RP review and approval (IPMU and ADB)***			◆															
viii. Issue notice to APs				◆														
ix. Compensation and resettlement assistance					◆	◆	◆											
x. Relocation as required					◆	◆	◆											
xi. Skills training as required					◆	◆	◆											
xii. Takeover possession of acquired property								◆	◆	◆								
xiii. Internal monitoring				◆	◆	◆	◆	◆	◆	◆	◆	◆	◆	◆	◆	◆	◆	◆
xiv. Handover land to contractors											◆							
xv. Start of civil works												◆						
xvi. External monitoring												◆						◆
xvii. Rehabilitation of temporarily occupied lands																		Immediately after construction

* The census will be the cut-off date for non-titled APs. For titled APs, the cut-off date is the date of notification.

** The RP will be updated based on final detailed design and AP census and surveys.

*** Endorsement and disclosure of finalized RPs consistent with the RF to be undertaken.

G. Monitoring and Evaluation

21. RP implementation will be closely monitored to provide the IPMU with an effective basis for assessing resettlement progress and identifying potential difficulties and problems. Internal monitoring will be undertaken by the IPIU with assistance from the IPMU. Internal monitoring will involve: (i) administrative monitoring to ensure that implementation is on schedule and problems are dealt with on a timely basis; (ii) socio-economic monitoring during and after any resettlement impact utilizing baseline information established through the socio-economic survey of APs undertaken during project sub-preparation, and (iii) overall monitoring to assess AP status. Job charts will be given to the SDS. The job charts will indicate the targets to be achieved during the month. Monthly progress report will be prepared and submitted to the IPMU, reporting actual achievements against the targets fixed in their respective job charts and reasons for shortfalls, if any. The IPIU will be responsible for managing and maintaining AP databases, documenting results of AP census, and verifying asset and socio-economic survey data which will be used as the baseline for assessing RP implementation impacts. The EA will appoint an independent agency to undertake external monitoring to document: (i) restoration of income levels; (ii) changes and shifts in occupation pattern; (iii) changes in AP type of housing; (iv) assessment of APs access to amenities, such as water, electricity, and transportation; and (v) performance of NGO, IPIU, and IPMU in resettlement implementation. The independent agency will monitor sub-projects twice a year and submit reports directly to the EA (IPMU). The EA will submit all external monitoring reports to ADB for review. Further details are in the RF.

Appendix 1

Components and Resettlement Impacts

Component	Impact
Total ROB length including ROB spans, viaduct spans and approach embankment is approximately 900 m	Temporary on small business men during construction
Construction of one 45m ROB span	Temporary on small business men during construction
Construction of viaduct spans at Kota end, viaduct spans at Baran end	Temporary on small business men during construction
Construction of approach embankment with RE (Reinforced Earth) wall at both sides construction of service road at both sides of ROB approaches	Temporary on small business men during construction
Provision of footpath, provision of drain, utility space, crash barrier etc.	Temporary on small business men during construction

CENSUS OF AFFECTED PERSONS & SOCIO-ECONOMIC SURVEY

Name of the Field Supervisor	Date: / /2004
Name of the Investigator	Time: Fr To
Schedule No.	<input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/>

1.0 सामान्य जानकारी

1.1 पैकेज (नाम) :-----

1.2 चैनेज (कि.मी.) :Start End

1.3 (1) जिला :-----

(2) ब्लॉक / खण्ड / पंचायत समिति :-----

(3) गाँव :-----

(4) कस्बा / शहर :-----

1.4 स्थिति (लोकेशन)

1	ग्रामीण	2	अर्द्ध शहरी	3	शहरी
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1.5 हानि का प्रकार:

1	आवासीय
2	व्यावसायिक
3	आवासीय व व्यावसायिक
4	कियोस्क / खोखा लकड़ी आदि का
5	कृषि / खेतीहर भूमि
6	अन्य (कृपया लिखें)

1.6 प्रभावित ढांचा क्या उपवेशी (स्कैवेटर) हैं ? (1) हां (2) नहीं

2.0 ढाँचे का विवरण

2.1 ढाँचे का क्रमांक :

2.2 ढाँचे का पता : -----

2.3 ढाँचे के परिवारों का विवरण:

2.4 क्या आपके पास ढाँचे / कृषि भूमि के कानूनी कागजात (जमाबंदी की नकल / किसान पास बुक) हैं।

(1) हाँ (2) नहीं

3.0 नामांकन

3.1 क्या आपके पास राशन कार्ड है ?

1. हाँ 2. नहीं

3.2 यदि हां, प्रश्न 3.1 में है तो कितने वर्ष से (केवल वर्षों में लिखें)

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3.3 क्या आपका नाम वोटर लिस्ट में है ?

(1) हाँ (2) नहीं

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4.0 आर.ओ.डब्ल्यू में ढाँचे का विवरण

कं.सं.	4.1 ढाँचे का प्रकार	4.2 आर.ओ.डब्ल्यू में ढाँचे का प्रकार	4.3 वर्तमान उपयोग
1			
2			
3			
4			
5			

कोड: 4.1

1	आवास	6	ढाँचा व प्लॉट
2	व्यावसायिक	7	चार दीवारी
3	आवासीय एवं व्यावसायिक	8	रुफ सैड (केवल छत के ढका हुआ)
4	खाली प्लाट	9	कंटीले तारों से घिरा हुआ
5	कृषि भूमि	10	घर बारी
		11	अन्य (लिखें)

कोड 4.2

1	स्थायी	2	अर्द्धस्थायी	3	अस्थायी
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कोड 4.3

1	आवासीय	4	कार्यालय	7	फार्म हाउस
2	व्यवसायिक	5	बाड़ा (पशु घर)	8	अन्य (लिखें)
3	आवासीय एवं व्यवसायिक	6	कृषि भूमि		

कोड 4.4 – ढाँचे का माप

- सड़क के समान्तर दूरी (चौड़ाई) (मीटर में)
- सड़क के लम्बवत दूरी (लम्बाई) (मीटर में)
- सड़क के मध्य से दूरी (बाएं) (मीटर में)
- (दाएं) (मीटर में)

4.5 निर्माण के प्रकार

छत			
1	आर.सी.सी./आर.बी.सी.	3	पत्थरकी पट्टी से
2	एस्वेस्टस/टिन/जिंक	4	छप्पर
दीवार			
1	मिट्टी	3	पत्थर से बनी
2	ईट से बनी	4	अन्य (लिखें)
फर्श			
1	मिट्टी	3	कंकरीट
2	पत्थर	4	अन्य (लिखें)
चार दीवारी			
1	कंटीला तार	3	पत्थर से बनी
2	ईट से बनी	4	पत्थर / ईट से अस्थायी

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HOUSEHOLD SCHEDULE FOR SOCIO-ECONOMIC DATA UPDATION SURVEY

1.0 परिवार का विवरण :

1.1 परिवार के मुखिया का नाम : -----

1.2 उत्तरदाता का नाम : -----

1.3 उत्तरदाता का परिवार क मुखिया से सम्बन्ध:

1	स्वयं	6	बहू	11	साला	<input type="checkbox"/>	<input type="checkbox"/>
2	पुत्र	7	पोता / पोती	12	भतीजी		
3	भाई	8	बहिन	13	भतीजा		
4	पुत्री	9	जेठानी / देवरानी	14	अन्य (लिखें)		
5	पत्नी	10	दामाद				

2.0 सामाजिक समूह विवरण

2.1 परिवार का प्रकार

1	संयुक्त	2	एकल	3	विस्तृत (एक्स टेन्डेड)	<input type="checkbox"/>
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2.2 जातिगत संरचना

1	अनुसूचित जाति	3	अन्य पिछड़ी जाति	<input type="checkbox"/>
2	अनुसूचित जन जाति	4	उच्च जाति	

कोड यहां से देखकर करें
परिवार के मुखिया से संबंध के लिए कोड

1	स्वयं	6	बहू	11	साला
2	पुत्र	7	पोता/पोती	12	भतीजी
3	भाई	8	बहिन	13	भतीजा
4	पुत्री	9	जेठानी/देवरानी	14	अन्य (लिखें)
5	पत्नी	10	दामाद		

वैवाहिक स्थिति के लिए कोड

1	विवाहित	6	अलग-अलग (बिना किसी कानूनी कार्यवाही के)	7	बिछुड गये/उजड़ गये
2	अविवाहित	5	विधवा		
3	तलाक शुदा	6	विधुर		

शैक्षणिक स्तर के लिए कोड

1	निरक्षर	6	दसवी कक्षा तक	11	अन्य (लिखें)
2	स्कूल के बिना पढ़ने लिखने की जानकारी	7	बारवी कक्षा तक	99	लागू नहीं होता
3	शिक्षित स्कूल में जा रहे है	8	स्नातक		
4	प्राईमरी कक्षा तक	9	स्नातकोत्तर		
5	आठवीं कक्षा तक	10	व्यावसायिक		

सामान्य क्रिया कलाप के लिए कोड

1	रोजगार	4	विद्यार्थी	7	स्कूली उम्र का बच्चा किन्तु स्कूल नहीं जाता (6 व र्ज या उससे अधिक आयु के)
2	बेरोजगार	5	वृद्ध/सेवा निवृत्त	8	विकलांग
3	घर का कार्य	6	बच्चा (स्कूल न जाने वाले 6 वर्ष स कम आयु के)	9	अन्य (लिखें)

मुख्य व सीमान्त मजदूर की परिभाषा

1. मुख्य (यदि वर्ष में 183 दिनों या इससे अधिक दिनों तक कार्य करते हैं)
2. सीमान्त (यदि वर्ष में 183 दिनों से कम कार्य करते हैं)

व्यवसाय के लिए कोड

1	कृषि कार्य/काश्तकार	6	सरकारी नौकरी	11	अन्य (लिखें)
2	खेतीहर मजदूर	7	प्राइवेट नौकरी		
3	कृषि पर आधारित कार्य जैसे पशुपालन, मधुमक्खी पालन आदि	8	उद्योग एवं व्यापार		
4	गैर खेतीहर मजदूरी जैसे ईट, पत्थर, सड़क कार्य आदि	9	व्यावसायिक (डाक्टर, इंजिनियर, आदि)		

4.0 भूमि का उपयोग

4.1 कृपया निम्न जानकारी दें,

भूमि का प्रकार	स्वयं की कुल भूमि	आर.ओ.डब्लू. में आने वाली भूमि का क्षेत्रफल
सिंचित (स्थानीय माप में)		
असिंचित (स्थानीय माप में)		
बाग-बगीचा (स्थानीय माप में)		
घरवारी भूमि (वर्ग मीटर में)		
अन्य (लिखें)		

4.2 क्या आपके पास इस प्रभावित भूमि के अलावा भूमि है। 1.हां 2.नहीं
यदि हां, प्रश्न संख्या 4.2 में है तो इस प्रकार की भूमि का माप (एकड़ में) -----

5.0 परिवार की आमदनी

कृपया अपने परिवार की पिछले वर्ष की आमदनी सभी स्रोतों से बताये।

क्र.	मद	आमदनी (रुपये में)
अ	कृषि	
1	अपनी भूमि पर खेती से	
2	पांती/बंटाई पर ली गई भूमि से	
3	अतिक्रमण की गई भूमि से	
4	पांती/बंटाई पर ली गई भूमि से	
5	कृषि यंत्रों को किराये पर देने से	
ब	कृषि आधारित व्यवसाय से	
6	दुग्ध उत्पादन, मुर्गी पालन, बकरी पालन, सुअर पालन, भेड़ पालन आदि	
7	उद्यान से	
स	जंगलात	
8	जलावन इंधन से	
9	जंगल उत्पाद से	
10	कुटीर उद्योग से	
11	उद्योग एवं व्यापार से	
12	व्यवसाय /पेशा से	
13	सरकारी नौकरी से	
14	प्राइवेट नौकरी से	
15	गैर खेतीहर मजदूरी से	
16	खेतीहर मजदूरी से	
17	किराये से (मकान दुकान आदि से)	
18	अन्य (लिखें)	

6.0 ढाँचे का उपयोग (केवल व्यावसायिक ढाँचे के लिए)

6.1 ढाँचे का उपयोग

1. दुकान
2. गोदाम
3. वर्कशॉप
4. कार्यालय (ऑफिस)

6.2 आप किस प्रकार का व्यवसाय कर रहे हैं।

1	चाय की दुकान	2	ढाबा	17	नाई की दुकान	25	अन्य (लिखें)
2	किराना	10	फल एवं सब्जी	18	धोबी की दुकान		
3	कपड़े की (रेडिमेड)	11	स्नैक्स	19	क्लिनिक		
4	कपड़े की (कटपीस)	12	पान / बीड़ी / सिगरेट	20	मोटल		
5	दवाई	13	साईकिल रिपेयर	21	होटल		
6	ऑटो रिपेयर	14	टायर रिपेयर	22	बिजली का सामान		
7	स्पेयर पार्ट्स	15	टेलरिंग	23	कुटीर उद्योग		
8	मिठाई	16	जनरल स्टोर	24	वैल्लिंग		

7.0 सम्पत्ति

7.1 कृपया निम्न सम्पत्ति की जानकारी दे

सामान	कल स्वयं की ईकाईयां (संख्या)	बाजार मूल्य (रुपये में)
बाड़ा / पशु घर		
फार्म हाउस		
पम्प हाउस		
सिंचाई इकाईयां (संख्या)		
ओपिन वेल		
ट्यूबवेल		
लिफ्ट इरिगेसन		
वित्त (फाईनेन्स) रुपये में		
सेविंग एकाउन्ट		
लॉग टर्म डिपोजिट		
रिकरिंग डिपोजिट		
करेन्ट एकाउन्ट		
अन्य घरेलू सम्पत्ति		
टी.वी. / टेप / रेडियो		
साईकिल / मोटर साईकिल		
जेवर / घड़ी		
फर्नीचर		
बर्तन		
बैलगाड़ी / बुध्दी / उंटगाड़ी		
लकड़ी / लोहे का हल		
फावड़ा / हंसिया		
ट्रेक्टर / थ्रेसर		
पशुधन		
पशु		
मुर्गी		
बकरी / भेड़ / सुअर		

8.0 जीवन स्तर (वार्षिक खर्च)

क्रमांक	मद	व्यय (रुपयों में)
1	खाने पर	
2	जलावन/ईंधन पर	
3	कपडो पर	
4	स्वास्थ्य (दवाई) पर	
5	शिक्षा पर	
6	आने जाने एवं संचार पर	
7	पर्व/त्यौहार पर	
8	कृषि (जैसे बीज, खाद, पानी, कृषि यंत्र आदि किराये पर)	
9	अन्य (लिखें)	
10	कुल	

9.0 कर्ज

9.1 कृपया अपने पिछले वर्ष के कर्जों के बारे में जानकारी दें।

स्रोत	कुल कर्ज (रुपयों में)	अदा किया (रुपये में)	शेष (रुपये में)
बैंक से (नाम)			
प्राइवेट कर्जदाता से			
अन्य			

APPENDIX 3

Table 1.1 Socio-economic Survey Summary

Location	SN	Name of Owner	Family Member	Social category	Family Type	Annual Income	Type of Structure	Main occupation	Nature of Impact
Railway Crossing Kota to Baran R.H.S	1	Ram Kishan Gujjar	07	OBC	Nuclear	75000	Temporary wooden shop	Tea shop	Will be Affected During Construction
	2	Salauddin Ansari	05	Muslim	Nuclear	50000	Temporary wooden shop	Electronic motor repairing shop	Will be Affected During Construction
	3	Puranmal Meena	04	ST	Nuclear	90000	Temporary wooden shop	Pan, bidi shop	Will be Affected During Construction
	4	Ramrattan Gujjar	07	OBC	Nuclear	50000	Iron Teen Block	Tea shop	Will be Affected During Construction
	5	Sattar Khan	05	Muslim	Nuclear	60000	Temporary wooden shop	Welding, tyre repairing shop	Will be Affected During Construction
	6	Amrit Lal Goachar	05	GEN	Nuclear	90000	Temporary wooden shop	Pan, bidi shop	Will be Affected During Construction
	7	Rameshwar Agrawal	06	GEN	Nuclear	40000	Temporary wooden, Steel shop	Tea, breakfast shop	Will be Affected During Construction
	8	Ram Niwas Sen	01	OBC	Nuclear	55000	Temporary wooden shop	Barber shop	Will be Affected During Construction
	9	Ibrahim	07	Muslim	Nuclear	90000	Temporary wooden, Steel shop	Welding, tyre repairing shop	Will be Affected During Construction
	10	Siddiq Mohmad	06	Muslim	Joint	90000	Temporary wooden, Steel shop	Motor cycle repairing shop	Will be Affected During Construction
	11	Surajmal Suman	07	GEN	Joint	50000	Temporary wooden, Steel shop	Tea shop	Will be Affected During Construction
L.H.S Kota to Baran	12	Ranchandra Suman	10	OBC	Joint	80000	Temporary wooden, Steel shop	Grain shop	Will be Affected During Construction
	13	Krishna Kumar Sharma	10	Gen		60000	Temporary wooden, Steel shop	Grain shop	Will be Affected During Construction
	14	Badri Lal Nagar	05	OBC	Joint	80000	Temporary wooden, shop	General, tea shop	Will be Affected During Construction
	15	Nandlal Suman	05	OBC	Nuclear	36000	Shop on Wheel	Snacks shop	Will be Affected During Construction
	16	Rajendra Kumar	06	GEN	Joint	55000	Teen Blocked shop	Tea shop	Will be Affected During Construction
L.H.S Baran To Kota	17	Surendra Kashyap	01	OBC	Nuclear	1,50000	Metal Wooden block	Pan, bidi shop	Will be Affected During Construction
	18	Santilal Rathore	04	OBC	Nuclear	1,08000	Teen Blocked shop	Tea, breakfast shop	Will be Affected During Construction

Location	SN	Name of Owner	Family Member	Social category	Family Type	Annual Income	Type of Structure	Main occupation	Nature of Impact
	19	Rajendra Prajapati	04	OBC	Nuclear	1,08000	Teen Blocked shop	Tea, breakfast shop	Will be Affected During Construction
	20	Dinesh Sakyawala	06	SC	Nuclear	50000	Temporary wooden, Steel shop	Auto repair	Will be Affected During Construction
	21	Satnarayan Agrawal	05	GEN	Nuclear	1,08000	Iron Temporary Blocked	Tea, breakfast shop	Will be Affected During Construction
	22	Ramvilash Yogi	08	OBC	Joint	1,10000	Iron Temporary Blocked	Tea, breakfast shop	Will be Affected During Construction
	23	Rajendra Suman	04	OBC	Nuclear	40000	Metal Wooden block	Tea, breakfast shop	Will be Affected During Construction
	24	Ramkalyan Meena	04	ST	Nuclear	30000	Metal Wooden block	Tea breakfast shop	Will be Affected During Construction

Table 1.2 Type of Loss

Type of Loss	Percentage
Commercial	100
Total	100.0

Table 1.3 Nature of Affected Structure within ROW

Nature of Affected Structure	Percentage
Semi Permanent	62.5
Temporary	37.5
Total	100.0

Table 1.4 Type of Construction of Roof of Affected Structure

Type of Roof	Percentage
Asbestos / Tin / Zinc	29.2
Thatched Roof	70.8
Total	100.0

Table 1.5 Type of Construction of Wall of Affected Structure

Type of Wall	Percentage
Stone masonry	20.8
Others (mention) None	79.2
Total	100.0

Table 1.6 Type of Family of the Affected Persons by income Group

Family Type	Core poor	Intermediate poor	Transitional poor	Low Income Group	Middle Income Group	High Income Group	Total
Joint	0	0	66.7	0	25.0	22.2	31.8
Nuclear	0	0	33.3	100.0	75.0	77.8	68.2
Total	0	0	27.3	13.6	18.2	40.9	100.0

Table 1.7 Caste Group of the Affected Persons by Income Group

Caste	Core poor	Intermediate poor	Transitional poor	Low Income Group	Middle Income Group	High Income Group	Total
SC	0	0	0	33.3	25.0	0	9.5
ST	0	0	0	0	0	12.5	4.8
OBC	0	0	50.0	33.3	25.0	50.0	42.9
General	0	0	50.0	33.3	50.0	37.5	42.9
Total	0	0	28.6	14.3	19.0	38.1	100.0

Appendix 4 POLICY FRAMEWORK AND ENTITLEMENTS

A. Policy and Legal Framework

The policy framework and entitlements for the Program are based on national laws: *The Land Acquisition Act, 1894* (LAA, amended in 1984) the National Resettlement and Rehabilitation Policy, 2007 (NRRP); and ADB's *Policy on Involuntary Resettlement, 1995*.

The salient features of Government and ADB policies are summarized below.

1. Government Policy

a. National Resettlement and Rehabilitation Policy, 2007

The NRRP stipulates the minimum facilities to be ensured for persons displaced due to the acquisition of land for public purposes. The objectives of the Policy are:

- (i) to minimize displacement and to identify non-displacing or least displacing alternatives;
- (ii) to plan resettlement and rehabilitation of project affected families (PAFs) or project affected households (PAHs), including tribal and vulnerable households;
- (iii) to provide improved standard of living to PAFs or PAHs; and
- (iv) to facilitate a harmonious relationship between the requiring body and PAFs.

Though NRRP is applicable for projects where over 400 PAFs in the plains or 200 PAFs in hilly or tribal areas are displaced, the basic principles can be applied to resettling and rehabilitating PAFs regardless of the number affected. NRRP's provisions are intended to mitigate adverse impacts on PAFs. While key principles of NRRP are similar, and for some items go beyond ADB's Policy on Involuntary Resettlement (1995), NRRP excludes linear projects (which acquire only narrow strips of land). Linear impacts and temporary linear impacts (which is the likely impact of the Program) are not covered by NRRP. Further, there is no law on resettlement in the country. The law relating to the acquisition of privately owned immovable property is the Land Acquisition Act of 1894 (LAA, amended 1984) discussed in the following section.

b. Land Acquisition Act, 1894

The LAA provides a framework for facilitating land acquisition in India. LAA enables the State Government to acquire private land for public purposes. LAA ensures that no person is deprived of land except under LAA and entitles APs to a hearing before acquisition. The main elements of LAA are:

- (i) Land identified for the purpose of a project is placed under Section 4 of the LAA. This constitutes notification. Objections must be made within 50 days to the District Collector (DC, the highest administrative officer of the concerned District).
- (ii) The land is then placed under Section 6 of the LAA. This is a declaration that the Government intends to acquire the land. The DC is directed to take steps for the acquisition, and the land is placed under Section 9. Interested parties are then invited to state their interest in the land and the price. Under Section 11, the DC will make an award within one year of the date of publication of the declarations. Otherwise, the acquisition proceedings shall lapse.

- (iii) In case of disagreement on the price awarded, within 6 weeks of the award, the parties (under Section 18) can request the DC to refer the matter to the Courts to make a final ruling on the amount of compensation.
- (iv) Once the land has been placed under Section 4, no further sale or transfer is allowed.
- (v) Compensation for land and improvements (such as houses, wells, trees, etc.) is paid in cash by the project authorities to the State Government, which in turn compensates landowners.
- (vi) The price to be paid for the acquisition of agricultural land is based on sale prices recorded in the District Registrar's office averaged over the three years preceding notification under Section 4. The compensation is paid after the area is acquired, with actual payment by the State taking about two or three years. An additional 30 percent is added to the award as well as an escalation of 12 percent per year from the date of notification to the final placement under Section 9. For delayed payments, after placement under Section 9, an additional 9 percent per annum is paid for the first year and 15 percent for subsequent years.

2. ADB's Policy on Involuntary Resettlement, 1995

The three important elements of ADB's involuntary resettlement policy are (i) compensation to replace lost assets, livelihood, and income; (ii) assistance for relocation, including provision of relocation sites with appropriate facilities and services; and (iii) assistance for rehabilitation to achieve at least the same level of well-being with the project as without it.

For any ADB operation requiring involuntary resettlement, resettlement planning is an integral part of project design, to be dealt with from the earliest stages of the project cycle, taking into account the following basic principles:

- (i) Involuntary resettlement will be avoided whenever feasible.
- (ii) Where population displacement is unavoidable, it should be minimized.
- (iii) All lost assets acquired or affected will be compensated. Compensation is based on the principle of replacement cost.
- (iv) Each involuntary resettlement is conceived and executed as part of a development project or program. APs need to be provided with sufficient resources to re-establish their livelihoods and homes with time-bound action in co-ordination with civil works.
- (v) APs are to be fully informed and closely consulted.
- (vi) APs are to be assisted to integrate economically and socially into host communities so that adverse impacts on the host communities are minimized and social harmony is promoted.
- (vii) The absence of a formal title to land is not a bar to ADB policy entitlements.
- (viii) APs are to be identified and recorded as early as possible to establish their eligibility, through a census which serves as a cut-off date, and prevents subsequent influx of encroachers.
- (ix) Particular attention will be paid to vulnerable groups including those with out legal title to land or other assets; households headed by women; the elderly or disabled; and indigenous groups. Assistance must be provided to help them improve their socio-economic status.
- (x) The full resettlement costs will be included in the presentation of project costs and benefits.

C. Comparison of Borrower's Policy with the RF

The NRRP represents a significant milestone in the development of a systematic approach to address resettlement issues in India. LAA, 1894 however gives directives for acquisition of land in public interest and provides benefits only to titleholders. Table 1 presents a comparison of Government policies (LAA and NRRP) in comparison with the RF which is consistent with ADB's involuntary resettlement policy.

Table 1: Comparison Between the Borrower's and ADB's Involuntary Resettlement Policy

	Policy Principles	LAA	NRRP	Remarks	Compliance of proposed RF with ADB's IR Policy
1.	Involuntary resettlement should be avoided where feasible.	×	✓	LAA is applicable wherever private land is to be acquired by Government for public purpose.	This is addressed in the RF. The locations for project components have been identified in such a manner that IR is avoided to the extent possible. These IR impacts shall be further minimized during detailed designs.
2.	Where population displacement is unavoidable, it should be minimized by exploring viable project options.	×	✓	LAA is applicable wherever private land is to be acquired by Government for public purpose.	This is addressed in the RF. The locations for project components have been identified in such a manner that IR is avoided to the extent possible. These IR impacts shall be further minimized during detailed designs.
3.	If individuals or a community must lose their land, means of livelihood, social support systems, or way of life in order that a project might proceed, they should be compensated and assisted so that their economic and social future will generally be at least as favorable with the project as without it. Appropriate land, housing, infrastructure, and other compensation, comparable to the without project situation, should be provided to the adversely affected population, including indigenous groups, ethnic minorities, and pastoralists who may have usufruct or customary rights to the land or other resources taken for the project.	×	✓	According to the ADB's IR policy full RP is required when 200 or more people will experience major impacts. A Short RP is required when resettlement is insignificant when less than 200 people will experience major impacts. According to the NRRP, RP should be prepared when it involves resettlement of more than 500 families (roughly about 2,000 persons) in plain areas and 200 families (roughly about 1,000 people) in hilly areas, Desert Development Programme (DDP) blocks, areas mentioned in Schedule V and Schedule VI of the Constitution of India.	The RF addresses the IR impacts. The entitlements to the APs are outlined in the Entitlement Matrix.

	Policy Principles	LAA	NRRP	Remarks	Compliance of proposed RF with ADB's IR Policy
4.	Any involuntary resettlement should, as far as possible, be conceived and executed as a part of a development project or program and resettlement plans should be prepared with appropriate timebound actions and budgets. Resettlers should be provided sufficient resources and opportunities to reestablish their homes and livelihoods as soon as possible.	×	✓	According to the ADB's IR policy full RP is required when 200 or more people will experience major impacts. A Short RP is required when resettlement is insignificant when less than 200 people will experience major impacts. According to the NRRP, RP should be prepared when it involves resettlement of more than 400 families (roughly about 2,500 persons) in plain areas and 250 families (roughly about 1,250 people) in hilly areas, Desert Development Programme (DDP) blocks, areas mentioned in Schedule V and Schedule VI of the Constitution of India.	The RF addresses the IR impacts. The entitlements to the APs are outlined in the Entitlement Matrix.
				LAA does not provide for resettlement. However, it specifies the time limit for acquisition, though the project / program for which it is conceived need not necessarily be time-bound.	A time-bound action plan and implementation schedule for the IR activities is outlined. The key RP activities are identified and the responsibilities for the same outlined.
5.	The affected people should be fully informed and closely consulted on resettlement and compensation options. Where adversely affected people are particularly vulnerable, resettlement and compensation decisions should be preceded by a social preparation phase to build up the capacity of the vulnerable people to deal with the issues.	×	✓	LAA recognizes only titleholders, who are to be notified prior to acquisition.	Consultations have been carried out with APs. This will be further consolidated by the RP implementing NGO. The plan for information disclosure in the project, including the RF.
6.	Appropriate patterns of social organization should be promoted, and existing social and cultural institutions of resettlers and their hosts should be supported and used to the greatest extent possible. Resettlers should be integrated economically and socially into host communities so that adverse impacts on host communities are minimized. One of the effective ways of achieving this integration may be by extending development benefits to host communities.	×	✓	-	This is addressed in the Entitlement Matrix.
7.	The absence of formal legal title to land some affected groups should not be a bar to compensation. Affected persons entitled to compensation and	×	✓	LAA provides for every affected person to receive a notification prior to acquisition and for a hearing in case of any objection. Acquisition	The process for verification of impacts and establishing the eligibility of the

	Policy Principles	LAA	NRRP	Remarks	Compliance of proposed RF with ADB's IR Policy
	rehabilitation should be identified and recorded as early as possible, preferably at the project identification stage, in order to prevent an influx of illegal encroachers, squatters, and other nonresidents who wish to take advantage of such benefits. Particular attention should be paid to the needs of the poorest affected persons including those without legal title to assets,, female-headed households and other vulnerable groups, such as indigenous peoples, and appropriate assistance provided to help them improve their status.			under the Act is permitted within one year from the date of declaration of intent to acquire, failing which, the process has to start again. LAA does not regard non-titleholders as APs. <i>The Rajasthan Urban Housing and Habitat Policy, 2006</i> aims to provide tenurial rights to urban slum dwellers with special emphasis on persons belonging to scheduled castes, scheduled tribes, weaker sections, physically handicapped and widows. This is consistent with recognizing those without legal titles and the vulnerable.	APs is outlined in the RF.
8.	The full costs of resettlement and compensation, including the costs of social preparation and livelihood programs as well as the incremental benefits over the "without project" situation, should be included in the presentation of Project costs and benefits.	x	✓	According to the ADB's IR policy full RP is required when 200 or more people will experience major impacts. A Short RP is required when resettlement is insignificant when less than 200 people will experience major impacts. According to the NRRP, RP should be prepared when it involves resettlement of more than 500 families (roughly about 2,500 persons) in plain areas and 250 families (roughly about 1,250 people) in hilly areas, Desert Development Programme (DDP) blocks, areas mentioned in Schedule V and Schedule VI of the Constitution of India.	The RF addresses the IR impacts. The entitlements to the APs are outlined in the Entitlement Matrix.
				The NRRP's concept of replacement cost is not clearly defined. However, the NRRP does consider various compensation packages to substitute the losses of APs.	This is addressed in the Entitlement Matrix
9.	To better assure timely availability of required resources and to ensure compliance with involuntary resettlement procedures during implementation, eligible costs of resettlement and compensation may be considered for inclusion in Bank loan financing for the project, if requested.	x	✓	-	The impacts have been assessed and RP costs according to the entitlement matrix have been worked out. These costs are included in the Project Costs.

Appendix 5

Public Consultation

MINUTES OF MEETING PUBLIC CONSULTATION

CHADRAA-

21/5/08

C-1
01

कापीलपु नगर पालिका चक्रवर्ती विभाग बारा (बा.प्र.०)

मिनिंग दिनांक 21/5/08 समय 3:30 PM

श्रीमान् विभागाध्यक्ष महोदय के कोशिका संख्या 4219-20
 दिनांक 21/5/08 के निर्देशानुसार कार. सू. कां. डी. पी.
 फ्लो II की समीक्षा बैठक श्रीमान् चक्रवर्ती जी वकील
 महोदय नग. पा. 0 हलके की अध्यक्षता में नगर
 पालिका मध्यम हलके के पाठ संस्था की बैठक
 कापीलपु नगर पालिका चक्रवर्ती ठा. हलके में का. सू.
 विभागीय प्रमुख श्रीमान् राजा सिंह साठ तीठ कीदर श्री. हलकी
 - 3. कार. सू. कां. डी. पी. विभाग आलवाप हलके की
 मा. लक्षण अधीपता महोदय साविकीय विभाग विभाग
 हलके, जलदाय विभाग के प्रतिनिधी के साथ नग. पा. 0
 सदस्य साहब के उपस्थित हुए निम्नी उपस्थिति दर्ज
 किंगपी मेरठ घुनी हों पर बैठक की उपपित्री
 प्रारम्भ की।

(Handwritten mark)

श्रीमान् राजा सिंह साहब ठा. नग. पा. 0 मध्यम के
 पदाधिकारी सदस्य साहब के कार. सू. कां. डी. पी.
 योजना के सम्बन्ध में जानकारी प्राप्त की गयी
 कार. सू. कां. डी. पी. योजना के फ्लो II में
 कृपया जाने वाले विभाग कार्य पर विचार

- 2 -

निर्मात्र स सर्व समिति को निम्न निर्देश दिया गया है।

- 1- रेणुका नदी पर प्रक्रिया निर्माण :- श्रीमान् राजा सिंह R.W.D.P. COMSL द्वारा सदन के समक्ष रेणुका नदी पुलियन निर्माण के बारे में बताया गया कि पुलिया का सर्वे कार्य एवं मिट्टी के बिन्दु का कार्य पूर्ण हो चुका है। शीघ्र ही शीघ्र ही कार्य चल रहा है। उक्त कार्य हेतु A.D.B. से ढलान व बंध के लिए 'जमावत' कार्य 16 करोड़ की स्वीकृति प्राप्त हो गयी है। अतः उक्त कार्य अगले जते की स्वीकृति प्राप्त हो सकी जायेगी। कुल मिलाकर 20 करोड़ का निर्माण सम्पन्न जाये।
- 2- कस्ता ढलान में पेयजल व्यवस्था :- कस्ता ढलान में पेयजल व्यवस्था हेतु ~~12.00~~ 12.00 करोड़ की स्वीकृति प्राप्त हो गयी है। मिलके अगस्त P.H.E.D. द्वारा स्थापित कार्य सम्पन्न होगा। उक्त स्वीकृति प्राप्त होना शीघ्र ही वागुण्डे के उक्त कार्य सम्पन्न जायें। अतः उक्त कार्य अगले जते की स्वीकृति प्राप्त हो गयी है।
- 3- सरकारी पानी विभाग हेतु नालों का निर्माण :- कस्ता ढलान में सरकारी पानी विभाग हेतु नालों का कार्य पूर्ण हो चुका है। उक्त कार्य हेतु 2 करोड़

copy

(कामखिम नगर पाण्डि एडवकाट जिया वारी रागत)

Name: 3pm.

May 31st, 2008.

RUIDP-CLC Meeting - CHHABRA.

निम्न आधिकारी / सदस्य उपस्थित रहे।

S.No.	Name	Designation	Signature
01.	श्रीमती चंद्रम वर्मा	Chairman, Municipal Council	
2.	श्री के बाबू चक्र जैरा	अध्यक्ष	
3.	श्री राजा सिंह जी	R.U.D.P. Shah Technical Consultant N-EN PWD.	
4.	श्री लक्ष्मण गुण	JEN RUIDP	
5.	श्री निरज बानसिया	JEN PHEO	
6.	श्री के. के. खेमी	JEN PHEO	
7.	श्री बसुकी राज	JEN RUIDP	
8.	श्री गणेश चौरिया जय		
9.	श्रीमती कृष्णा गौड़ बसुया	20012-5	
10.	श्री सुरेश नारा जय	1200000	
11.	श्री जितेंद्र खेमी जय		
12.	श्री भावरी प्रसाद वर्मा जय		
13.	श्री नीती चक्र गवैया जय		
14.	श्री नरेंद्र जयल वर्मा जय		
15.	श्री जगदीश वर्मा		
16.	श्रीमंजरी शर्मा	20012-5	
17.	श्रीमंजरी शर्मा	कंसर्वेशनरी	
18.	श्री राजीव खिजम	JEN (लिवाइ विभाग)	

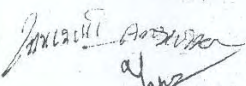
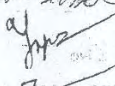
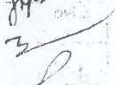
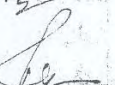
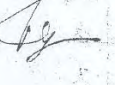
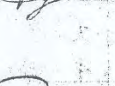
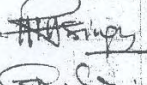
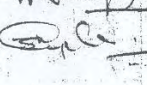
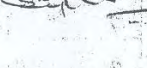
S.No.	NAME	DESIGNATION	SIGNATURE
19.	श्री गणेश जी गवैया	सदस्य	

List of Participants:

Following Officers attended the Presentation made by consultant RUSDIP on
31.05.2008

S.No	Name	Designation	Signature
1	राम करम भादव	Chairman	
2	विठ्ठल खुमन	V. Chairman	
3	राजेश शर्मा	EO	
4	Dr. RAJIV GARG	Ex-Em RUSDIP	
5	अशोक भादव	Mem. MB	
6		Mem. MB	
7	Neeraj Bamniya	Const. Eng. & Arch. cons.	
8	Nalin Sarda	सि. ए. ए. (मेम्बर)	
9	Bhargava Jha	मेम्बर (मेम्बर)	
10	हरि शर्मा	पार्षद	
11	सत्येंद्र - दुर्गा	पार्षद	
12	सुरेश कुमार गोवाल	पार्षद	
13	गोपाल शर्मा	पार्षद	
14	विठ्ठल शर्मा	पार्षद	
15	सुधीर कुमार	पार्षद	
16	श्री मते गोपाल शर्मा		
17	श्री लाल शर्मा - एंगी लाल	अ. ए. ए. ए.	
18	श्री मते गोपाल शर्मा	पार्षद	
19	इमरान - चौधरी		
20	जयदीप शर्मा	पार्षद	
21	श्री मते गोपाल शर्मा	पार्षद	
22	श्री मते गोपाल शर्मा	पार्षद	
23	श्री मते गोपाल शर्मा	पार्षद	
24	श्री मते गोपाल शर्मा	पार्षद	
25	श्री मते गोपाल शर्मा	पार्षद	

A.T.O

S.No	Name	Designation	Signature
26	सीमा शर्मा	IAS पॉपट	
27	श्री मती राजकुमार शर्मा	IAS पॉपट	
28	श्री अशोक शर्मा	IAS पॉपट	
29	श्री अशोक शर्मा	IAS पॉपट	
30	श्री अशोक शर्मा	IAS पॉपट	
31	श्री अशोक शर्मा	IAS पॉपट	
32	Raja Singh	Team leader DSC III	
33	S. K. S. Arora	Shakti Technical Consultant	
34	S. K. S. Arora	RA [Emul.] DSC III	
35		STC Bhawan	

LIST OF PEOPLE CONSULTED**Location: Kota-Baran- Shivpuri Road****Date: 17.06.08****Time: 5.30 PM****Duration of Discussion (in Hrs): 50 mints**

Sl. No.	Name	Profession	Sex	Age	Social Category
1	Sri Ramkrishan	Tea Stall	M	47	SC
2	Sri Baba Siddiqui Nazir	Elictric Motor Repairing	M	30	Gen
3	Sri Shankarlal	Business Man	M	47	OBC
4	Sri Rajendra Kumar Vijay	Tea Stall	M	36	Gen
5	Ms. Badri Bai	Tea Stall	F	40	ST
6	Sri Virendra Kumar Agarwal	Hotel	M	52	Gen
7	Sri Surendra Kashyap	Pan Shop	M	28	Gen

Appendix 6 CONSULTATION AND DISCLOSURE

A. Consultation

Consultations will be held with special emphasis on vulnerable groups. Encouraging public participation in consultations informs the public of the Program and serves as a venue for the public to express their opinion on priorities which the Program should address.

The key stakeholders to be consulted during RP implementation and Program implementation includes:

- (i) all APs, including vulnerable households;
- (ii) program beneficiaries;
- (iii) host populations in resettlement sites;
- (iv) elected representatives, community leaders, and representatives of community-based organizations;
- (v) local NGOs;
- (vi) local government and relevant government agency representatives; and
- (vii) Program staff, IPMU, IPIU, and consultants.

Consultations conducted during RP implementation will identify help required by APs during rehabilitation. Continuing involvement of those affected by sub-projects is necessary in the resettlement process. The IPIU will ensure that APs and other stakeholders are informed and consulted about the sub-project, its impact, their entitlements and options, and allowed to participate actively in the development of the sub-project. This will be done particularly in the case of vulnerable APs, who will be encouraged to choose options that entail the lowest risk. This exercise will be conducted throughout the sub-project—during preparation, implementation, and monitoring of sub-project results and impacts.

The implementing NGOs will ensure that views of APs, particularly those who are vulnerable, related to the resettlement process are looked into and addressed. The NGOs will ensure that APs consulted are informed of the outcome of the decision-making process, and will confirm how their views were incorporated. Since resettlement is a continuous process and baseline data/information will be collected, the implementing NGO will regularly update the baseline information.

B. Disclosure

Information was and continues to be disseminated to APs for the sample sub-projects. Finalized RPs will be disclosed in ADB's website, IPMU websites, and IPIU or town websites; and information dissemination and consultation will continue throughout program implementation.

The IPIU SDS will conduct consultations and disseminate information to all APs. RPs will be translated into the local language and made available at offices of the: (i) Urban Local Bodies (ULBs); (ii) relevant local government line agencies; and (iii) IPMU and IPIUs. RPs will also be kept in the public libraries, accessible to citizens as a means to disclose the document and at the same time creating wider public awareness.

22. The RF and RPs will be disclosed in the following websites: IPMU, IPIU, State Government, local governments, and ADB. The IPMU will issue notification of implementation start dates for each sub-project. The notice will be issued by the IPMU in local newspapers one month ahead of implementation. This will create awareness of project implementation. The IPMU and IPIUs will provide information on IR policies and features of

the RP. Basic information such as sub-project location, impact estimates, entitlements, and implementation schedule will be presented in the form of a brochure that will be circulated among APs. Posters containing basic RP information will also be posted in different localities to increase awareness. Copies of RP summaries will be kept in the IPMU and IPIU offices and will be distributed to any AP consulting on resettlement issues. The RF will be made available in local language during public meetings. This will enable stakeholders to provide inputs on the resettlement process, prior to award of civil work contracts.

23. An intensive information dissemination campaign for APs will be conducted by the IPIU with assistance from the implementing NGO at the outset of RP implementation. All the comments made by the APs will be documented in the sub-project records and summarized in sub-project monitoring reports. A summary of consultation and disclosure activities to be followed for each sub-project are in Table 1.

Table 1: Consultation and Disclosure Activities

Program Phase	Activities	Details	Responsible Agency
Investment Program Bridging Phase	Mapping of the Program areas	Area to be mapped, clearly showing survey numbers of titleholders of land/property proposed for acquisition	IPMU in coordination with DC's offices and other local bodies.
	Stakeholder identification	Cross section of stakeholders to be identified in order to facilitate their participation in the Program.	IPMU and IPIUs in consultation with stakeholders.
	Program/sub-project information dissemination; Disclosure of proposed land acquisition	Leaflets containing information on the Program and sub-project to be prepared. Public notice issued in local newspapers (and disclosed on IPMU/IPIU websites) including survey numbers and names of titleholders for land to be acquired concurrent with consultation with titleholders.	SDS and RS from IPMU. IPMU may seek the assistance of CAAP consultants for leaflet preparation. Notice will be issued from the DC's office. SDS IPMU and SDS IPIU to disclose on the web.
	Stakeholder consultations	Further consultations with affected titleholders and households. Consultations with non-titled APs and other stakeholders during sub-project scoping.	SDS IPIU and NGO.
RP Preparation Phase	SIA surveys	Surveys to be conducted. Summary RF to be disclosed in local language through printed materials to APs particularly those who are vulnerable and other stakeholders.	IPIU to conduct surveys. SDS IPIU to disclose RF to stakeholders (including making it available in IPMU/IPIU offices and government agency offices), SDS IPMU to disclose on the web.
	Formulating compensation and resettlement assistance measures	Conducting stakeholder consultations particularly APs in and reflecting issues raised in revised RP.	SDS IPIU and NGO.
	Disclosure of final entitlements and rehabilitation packages	Provision of RPs to all stakeholders particularly APs. Conducting consultations and distributing local language versions of the summary RP.	SDS IPMU, and SDS IPIU to disclose on the web. SDS IPIU and NGO to conduct consultations.
RP Implementation Stage	Disclosure of RP	Review and approval of RP by EA. Review and approval of RP by ADB. Web disclosure of the RP.	EA to provide ADB with RP for review and approval. SDS IPMU, and SDS IPIU to disclose on the web.
	Consultation with APs during RP implementation	Consultations with APs.	NGO with monitoring from IPIU and external agency.