

# ROADS AND BUILDINGS DEPARTMENT GOVERNMENT OF GUJARAT



## Gujarat State Highway Project - II

## Resettlement Policy Framework

19<sup>th</sup> July, 2013

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# 1. INTRODUCTION

1. The Government of Gujarat (GoG), through the Roads and Buildings Department (R&BD), has taken up the second Gujarat State Highway Project (GSHP-II), covering up-gradation, maintenance and improvement of identified core road network in the state. The GoG has proposed to take up this project with financial assistance from the World Bank. R&BD has retained LEA Associates South Asia Pvt. Ltd., (LASA) for project preparatory works consultancy services for GSHP-II. An Updated Strategic Options Study (USOS) was carried out by the R&BD in 2005-06 which was subsequently revalidated in 2010 for the State Core Road network. The improvements of 1003.22 km in the project includes: (i) upgradation corridors for a length of 644.05 km, involving the strengthening and upgrading of single/intermediate lane roads to standard 2-lane/ 2-lane-with-paved-shoulders / 4-lanes, and (ii) major maintenance, of the remaining 359.17km. In line with the prioritization exercise, R&BD has selected nine corridors, aggregating to about 394 km in length. The upgradation corridors to be taken up for implementation include thirteen corridors. List of project corridors considered under GSHP-II are presented in Table 1-1 and Table 1-2.

**Table 1-1: Project Corridors (widening and upgradation corridors - DPRs prepared)**

| Sl.no | Link Name                               | Length (km) | Present Configuration | Improvement Options |
|-------|---|-------------|-----------------------|---------------------|
| 1     | Dabhoi – Bodeli                         | 38.60       | 2L                    | 2L+PS+HS            |
| 2     | Dhandhuka - Dholera                     | 27.00       | IL                    | 2L+HS               |
| 3     | Atkot – Gondal                          | 35.55       | NTL                   | 2L+HS               |
| 4     | Mehsana-Himatnagar                      | 60.70       | 2L/2L+PS              | 4L+HS+Drain         |
| 5     | Umreth- Vasad (incl. Ladvel -Kapadvanj) | 41.91       | 2L                    | 2L+PS+HS & 4L+FP+CD |
| 6     | Bayad – Lunawada                        | 44.86       | IL, SL/2L             | 2L+HS               |
| 7     | Dhansura – Meghraj                      | 43.05       | SL, IL                | 2L+HS               |
| 8     | Lunawada – Khedapa                      | 56.70       | 2L/SL                 | 2L+HS               |

SL – single lane, 2L – two lane, IL – intermediate lane, NTL – narrow two lane, 4L – four lane, PS – paved shoulders, HS – hard shoulders, FP+CD – footpath with closed drain

**Table 1-2: Project Corridors (widening and upgradation corridors - DPRs to be prepared)**

| Sl.no | Link Name                                     | Length (km) | Present Configuration | Improvement Options |
|-------|---|-------------|-----------------------|---------------------|
| 1     | Bagodara - Bhavnagar                          | 129.30      | 2L                    | 4L                  |
| 2     | Jamnagar – Mewasa (Link to Bhavad-Jamjodhpur) | 68.20       | IL, SL/2L             | 2L+HS               |
| 3     | Tarapur - Anand                               | 34.60       | 2L                    | 2L+PS               |
| 4     | Kheda - Nadiad                                | 29.70       | 2L                    | 2L+PS               |
| 5     | Kapadvanj - Balasinor                         | 29.45       | 2L                    | 2L+PS               |

SL – single lane, 2L – two lane, IL – intermediate lane, NTL – narrow two lane, 4L – four lane, PS – paved shoulders, HS – hard shoulders, FP+CD – footpath with closed drain

# 2. PURPOSE OF RESETTLEMENT POLICY FRAMEWORK

2. Resettlement Policy Framework (RPF) has been formulated based on the applicable and relevant laws relating to the project and also based on the bank OP 4.12 on involuntary resettlement. RPF outlines the principles and procedures, legal framework, operational guidelines, institutional arrangements, entitlements for different types of impacts, disclosure procedures and monitoring and evaluation. This framework will guide in management of social impacts caused by the proposed project and improvement

works to be taken up for subsequent corridors. Preparation of Resettlement Action Plan (RAP), Indigenous Peoples Development Plan (IPDP), strategies of public consultations, especially with the tribal population will be steered through the principles of this RPF. The purpose of preparing RPF is to: (i) bring commonality in resettlement and rehabilitation benefits under the project, (ii) bring together and built upon the current good practices in terms of procedures to address more systematic and institutional issues, (iii) establish institutional arrangements at project level for the implementation of RAP, and (iv) establish mechanism for redressing grievances; and monitoring and evaluation etc. This policy framework will help facilitate consistent preparation of RAPs and IPDPs for project initiatives under GHSP-II. All the Bank-approved social safeguard documents (RAP, IPDP, etc) will be disclosed 120 days prior to the start of the construction.

### **3. OBJECTIVES OF GSHP-II**

3. The Gujarat State Highway Project-I (GSHP-I) successfully implemented by R&BD through 2001 to 2007 with the World Bank assistance, has set many bench marks for other states to follow. The state while appreciating need of sustenance of its economic growth, endorses that infrastructure is one of the key factors and further enhanced quality infrastructure is great value addition. Coming up with second World Bank assisted Gujarat State Highway Project-II (GSHP-II) is such kind of a major initiative.

4. R&BD, GoG with in-principal agreement with the World Bank has finalised a project budget as Rs. 3,600 crore (725 M USD) for GSHP-II. As a pre-requisite towards loan appraisal with the World Bank, R&BD-GoG is meeting the preparedness with first lot of the projects getting ready with finalized designs, its clearances and procurement documents in place. Project interventions include two-laning, wide-two-laning, four-laning and rehabilitation of prioritized road sections across the regions of the state. The project delivery not only have item rate kind of implementation on NCB but also Annuity/BOT channels with some innovative ways of financing/packaging to make projects more attractive and enabling passing of more benefits in favour of next level infrastructure. Besides, GSHP-II is trying to take lead while piloting GREEN highway concept and safer roads initiative through this endeavour.

### **4. SOCIAL SCREENING**

5. At an initial stage of the project preparation, screening of the 1577 km of project corridors, including the DPR corridors to be taken up in the first phase was carried out. Screening site visits, consultations with stakeholders and review of secondary information formed the basis for screening. Key findings of the screening with respect to the social aspects are highlighted in Table 4-1.

**Table 4-1: Findings of the Screening Exercise**

|   |
|---|
| <ul style="list-style-type: none"> <li>• Design cross-sections are proposed to be accommodated within the available RoW to the extent possible, and hence major land acquisition is not envisaged for the DPR corridors. Only at locations unavoidable, acquisition of land shall be taken up, and include: (i) locations requiring geometric improvements, (ii) constricted locations with insufficient RoW to accommodate the basic road width, and (iii) locations requiring improvements for enhanced road safety, approaches to new bridges, etc. There are no major settlements along the corridors which warrant development of bypasses.</li> <li>• Along 2 corridors (Bayad-Lunawada and Mehsana-Himatnagar) of 8 upgradation corridors, the impact on private land is comparatively higher (these two corridors constitute 88 percent of the total land to be acquired in all the 8 corridors – details given in Chapter 6). Sections of the Bayad-Lunawada corridor include widening of 12.4 km of village roads/MDR with RoW less than 15m to two lane standards, while the Mehsana – Himatnagar corridor envisages four-laning of the existing two lane highway triggering additional land acquisition.</li> <li>• Based on the screening site visits and consultations, the available RoW along all the DPR corridors is generally free of encumbrances, with the exception of junctions and settlement stretches. The impacts on these non-titleholders shall be addressed during the detailed designs;</li> <li>• Cattle movement along and across the project corridors were observed along Dabhoi–Bodeli, Atkot–Gondal</li> </ul> |
|---|

and Mehsana-Himatnagar;

- Water bodies comprising open wells, ponds and lakes exist along the corridors. However, impacts over these water bodies would be negligible since they are mostly located away from the road edge. Where these are close to the corridor design measures shall ensure minimum impact on such features;
- The following corridors pass through tribal Talukas notified under Fifth Schedule: DPR corridors: Dabhoi–Bodeli, Dhansura- Meghraj and Lunawada-Khedapa. However, impacts on land owned by tribal communities are not envisaged due to the project approach to minimize land acquisition and impacts on private properties owned by tribal communities are minimal. As per the Operational Policy of the World Bank (OP 4.10-Indigenous Peoples), a project proposed for Bank financing that affects Indigenous Peoples requires a process of Free, Prior and Informed Consultation (FPIC) 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 and requires preparation of an Indigenous Peoples Plan. Accordingly, an Indigenous Peoples Development Plan for the road stretches falling in the above Talukas shall be formulated, and shall include the FPIC of the tribal communities along the corridor, prior to the finalization of the project interventions;
- Road side community consultations during the screening stage revealed that the people welcome the proposed road improvement measures. The following suggestions have been forwarded by road side communities for due consideration while designing the road improvement measures: junction improvements with adequate street lighting, construction of drains and culverts to improve roadside drainage, provision of parking areas with amenities such as public toilets, provision for safety measures in urban stretches such as speed breakers, pedestrian crossings, foot paths, guard rails, sign boards, street lights, etc., and construction of noise barriers at sensitive locations (hospitals, schools, etc).

## **5. PERCEIVED POSITIVE AND ADVERSE IMPACTS**

6. The proposed project has positive as well as adverse impacts. The advantages of the project as perceived by the stakeholders are (i) The project will provide faster movement of people and goods which in turn would provide a boost to local as well as State economy; (ii) The people felt that the interconnectivity of settlements along the corridor will improve substantially; (iii) Help alleviate development constraints in agriculture, commerce, education, health and social welfare; (iv) Travel time would be saved; and (v) Better designs and safety measures will lead to reduction of accidents. Adverse impacts perceived by people are (i) loss of land; (ii) displacement of people; (iii) loss of livelihood; and (iv) loss of community assets. The efforts taken to avoid or minimize adverse impacts have been presented in the following sections.

## **6. LAND ACQUISITION AND RESETTLEMENT IMPACTS**

7. The available RoW along the project corridors varies from corridor to corridor. The proposed improvement has followed CoI approach. The land to be acquired or transferred to achieve encumbrance-free CoI includes private land, government land and reserve forest. Majority of private land which is affected is agricultural land. Apart from land, private structures, cultural properties and community assets will be affected. Majority of the affected private structures are commercial shops which includes small shops/sheds squatted in the government land. Residential structures encroached into the government land also forms part of the affected structures. The community assets include hand pump, water *kundi*<sup>1</sup>, water tanks, community toilet, open-well, seating around tree, rest-shelters, etc.

8. Based on the SIA carried out for the Phase-I project corridors, the total land to be acquired or transferred to achieve encumbrance-free CoI is approximately 54.52 ha. This includes 22.43 ha of private land, 7.11 ha of government land and 24.98 ha of reserve forest. There are 28 villages impacted by private land acquisition and no land will be acquired in tribal villages. Altogether 729 properties (land/structure) will be impacted, apart from 19 cultural properties and 48 community assets.

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<sup>1</sup> On-ground water-storage facility made of bricks and cement, of size 5 sq.m to 8 sq.m.

## 7. APPROACH TO MINIMIZE LAND ACQUISITION AND ADVERSE SOCIAL IMPACTS IN GSHP-II

9. A conscious effort towards avoidance of land acquisition and resettlement impacts has been taken up as an integral part of the entire project preparation and design in GSHP-II. Wherever unavoidable, efforts to minimize impacts through design interventions have been worked out for Phase-I projects and the process shall be followed for future projects. A three stage iterative process to minimise land acquisition and resettlement impacts has been detailed in the following sections.

### 7.1. Improvements to be planned within the available RoW

10. In line with the requirements of the ToR for the assignment, the cross-sections has been designed to accommodate within the available RoW. Only at locations unavoidable, acquisition of land shall be taken up in the project, and could include:

- locations requiring geometric improvements,
- constricted locations with insufficient RoW to accommodate the basic road width, and,
- locations requiring improvements for enhanced road safety, approaches to new bridges, etc.

11. RoW information from each of the R&BD field divisions along the project corridors has been collected.

### 7.2. Adoption of Corridor of Impact (CoI) Approach

12. In GSHP-II, a Corridor of Impact (COI) approach has been followed to reduce impacts on environmental and social features within the road RoW<sup>2</sup>. The corridor of impact considered is the width between the toe walls of the proposed road cross section. *The objective of social inputs to project design has been to ensure that the corridor of impact is reduced, within acceptable design principles and standards, to minimize displacement and other project impacts.* An illustration of the CoI is given in Appendix-1.

### 7.3. Location specific measures to further minimize impacts within the CoI

13. Census and socio-economic surveys of the affected persons within the CoI shall be compiled and possibilities of further reduction of impacts on people shall be worked out as part of design finalization. Properties that could be avoided from being impacted shall be saved, after adoption of necessary design modifications, and adoption of protection measures etc. An illustration of the impacts minimization achieved along a particular settlement stretch is highlighted in Appendix-2.

## 8. APPLICABLE LEGAL AND POLICY FRAMEWORK

14. Applicable Acts and Policies relevant in the context of the project have been reviewed and their relevance to the project outlined in Table 7-1. R&BD will ensure that project activities implemented are consistent with the following regulatory/legal framework.

**Table 8-1: National and World Bank Policies: Relevance and Applicability for the Project**

| Sl. No. | Acts and Policies  | Relevance to this project  | Applicability                       |
|---------|--|--|-------------------------------------|
| 1       | Land Acquisition Act, 1894                                   | Land required for the project shall be acquired as per the provisions of this Act.   | Applicable to all project corridors |
| 2       | National Rehabilitation and Resettlement Policy (NRRP), 2007 | This Policy provides for basic minimum requirements. The State Governments, other requiring bodies can also opt for greater benefit levels than those prescribed in this Policy. | Applicable to all project corridors |

<sup>2</sup> The Right of Way is the lawfully acquired corridor of public land owned by the State Government and administered by the R&BD for transit. The corridor of impact (CoI) is the width required for the actual construction of the road, including carriageway, shoulder and embankments.

| Sl. No. | Acts and Policies   | Relevance to this project  | Applicability  |
|---------|---|--|--|
| 3       | Provisions of the Panchayats (Extension to the Scheduled Areas) Act, 1996                           | One of the important provisions of this act states “the Gram Sabha or the Panchayats at the appropriate level shall be consulted before making the acquisition of land in the Scheduled Areas for development projects and before re-settling or rehabilitating persons affected by such projects in the Scheduled Areas.  | Applicable to Fifth Schedule Areas – project corridors viz., Dabhoi-Bodeli, Lunawada-Khedapa, Dhansura-Meghraj |
| 4       | The Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Act, 2006 | This law provides for recognition of forest rights to Scheduled Tribes in occupation of the forest land prior to 13.12.2005 and to other traditional forest dwellers who are in occupation of the forest land for at least 3 generations i.e. 75 years, up to maximum of 4 hectares. These rights are heritable but not alienable or transferable.   | Applicable to project corridors viz., Dabhoi-Bodeli, Lunawada-Khedapa, Dhansura-Meghraj                        |
| 5       | World Bank OP 4.12 –Involuntary Resettlement  | Cash compensation should be sufficient to replace the lost land and assets; eligibility of benefits include, the PAPs who have formal legal rights to land (including customary and traditional land rights recognised under law), the PAPs who don't have formal legal rights to the land they are occupying; particular attention to the needs of vulnerable groups; timely and relevant information to displaced persons, consulted on resettlement options, and offered opportunities to participate in planning, implementing, and monitoring resettlement; establishment of grievance mechanisms | Applicable to all project corridors  |
| 6       | OP 4.10 – Indigenous Peoples  | Project proposed for Bank financing that affects Indigenous Peoples requires a process of Free, Prior and Informed Consultation (FPIC) 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 and requires preparation of an Indigenous Peoples Development Plan.  | Applicable to project corridors viz., Dabhoi-Bodeli, Lunawada-Khedapa, Dhansura-Meghraj                        |
| 7       | The Right to Information Act, 2005  | The Act provides for setting out the practical regime of right to information for citizens to secure access to information under the control of public authorities, in order to promote transparency and accountability in the working of every public authority.  | Applicable to all project corridors  |

## 9. RESETTLEMENT POLICY FRAMEWORK

15. Resettlement Policy Framework (RPF) has been prepared based on the findings of SIA carried out for the corridors proposed for inclusion in the first phase of the project. The principles and procedures (pertaining to land acquisition and resettlement) adopted for the implementation of the Gujarat State Highways Project (GSHP- I) has been proposed to be adopted for GSHP-II, with modifications in terms of policy requirements triggered due to the recent policies/legislations including but not limited to the National Resettlement and Rehabilitation Policy (NRRP, 2007), apart from incorporation of the learning from implementation of GSHP I and similar World Bank funded state highway projects in other states of India.

## 10. RESETTLEMENT PRINCIPLES AND ELIGIBILITY CRITERIA

16. The RPF is based on the principle that affected people should be in a better-off position or at least at the same level as compared to the pre-project scenario. The RPF will guide in the effective management of social impacts caused by the proposed project. RPF ensures greater acceptability of the project among the community and is expected to facilitate effective communication. The RPF provides the following:

- Entitlements for project affected persons to cover the loss of land, structures and other assets, such as standing crops or trees. The broad categorisation of affected persons is (i) Titleholders; and (ii) Non-titleholders.
- The vulnerable sections among each of the above categories will receive additional support.
- Adverse impacts would be avoided or minimized by exploring all viable alternative project designs. Where the adverse impacts are unavoidable, the project-affected persons will be assisted in retaining or upgrading their standard of living.
- Compensation for land at replacement cost and assistance along with allowances for fees or other charges. Land will be acquired following Land Acquisition Act, 1894 and its amendments. The difference between the land cost decided as per LA Act and the updated Jantri values for the specific land parcel to be acquired will be paid by the project in the form of assistance.



- Compensation for residual unviable land parcels will be provided to those affected persons who are eligible and opting for the same.
- Compensation for loss of structures, other assets will be provided at replacement cost and will be paid before physical displacement from the occupied or affected area.
- Assistance will be provided to those affected persons who lose their livelihood due to the acquisition carried out as part of the project.
- Cut-off date for titleholders will be the date of publication of notification under Section 4(1) of Land Acquisition Act, 1894. For non-titleholders, the date of project census survey or a similar designated date declared by project authority will be considered as cut-off date.
- The households/land owners who are absent during the time of census survey will be entitled for assistance and budget provisions will include them also. However, people moving to the CoI after the cut-off date will not be entitled for any compensation or assistance. If there are any persons/occupants found during RAP implementation, these persons/occupants shall be removed with appropriate notices.
- All those who are not affected but are living within the RoW, will be assisted in case they are required to be removed during the lifetime of the project.
- Vulnerable groups will be identified and given additional support and assistance in re-establishing or enhancing livelihood.
- Loss of common property resources will be compensated and reconstructed at project cost. Enhancement measures also will be provided for community assets located alongside the project corridor in consultation with the community.
- 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 redress mechanism will be established at the district level to ensure speedy resolution of disputes.
- All consultations with PAPs shall be documented. Consultations will continue during the implementation of resettlement and rehabilitation works.

## 11. TERMS AND DEFINITIONS

- Agricultural land** means land being used for the purpose of: (i) agriculture or horticulture; (ii) raising of crops, grass or garden produce; and (iii) land used by an agriculturist for the grazing of cattle, but does not include land used for cutting of wood only;
- Assistance** refers to the support provided to PAPs in the form of ex-gratia payments, loans, asset services, etc. in order to improve the standard of living and reduce the negative impacts of the project.
- Below poverty line 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 State BPL list in force.
- Compensation** refers to the amount paid under Consent Award as part of The Land Acquisition Act, 1894. For private property, structures and other assets acquired for the project, it refers to the amount as given in the Entitlement Matrix for the project.
- Cut off Date:** the date of Notification under Section 4(1) of Land Acquisition Act, 1894 shall be the cutoff date where the land acquisition will be required. For non-titleholders the date of census survey shall be considered as the cutoff date.
- Encroachers** are those person/family, who transgresses into the public land (prior to the cut-off date), adjacent to his/her own land or other immovable assets and derives his/her additional source of shelter/livelihood.
- 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.
- Government** refers to the Government of Gujarat.
- Land acquisition** means acquisition of land under the Land Acquisition Act, 1894, as amended from time to time.
- Marginal farmer** means a cultivator with an unirrigated land holding up to one hectare or irrigated land holding up to half hectare;
- Non-Perennial Crop:** Any plant species, either grown naturally or through cultivation that lives for a season and perishes with harvesting of its yields has been considered as a non-perennial crop in the project. For example, paddy, sugarcane, groundnut, etc.

- l. **Notification** means a notification published in the Gazette of India, or as the case may be, the Gazette of State;
- m. **Perennial Crop:** Any plant species that live for years and yields its products after a certain age of maturity is a perennial crop. Generally trees, either grown naturally or by horticultural and yield fruits or timber have been considered as perennial crop in the project. For example, tamarind, coconut, mango, etc. are perennial crops.
- n. **Project Affected Family (PAF)** means- (i) a family whose primary place of residence or other property or source of livelihood is adversely affected or involuntarily displaced by the acquisition of land for the project (ii) any tenure holder, tenant, lessee or owner of other property, who on account of acquisition of land in the affected area of otherwise, has been involuntarily displaced from such land or other property; (iii) any agricultural or non-agricultural labourer, landless person (not having homestead land or agricultural land) rural artisan, small trader or self-employed person; who has been residing or engaged in any trade, business, occupation or vocation in the affected area, and who has been deprived of earning his livelihood or alienated wholly or substantially from the main source of his trade, business, occupation or vocation because of the acquisition of land in the affected area or being involuntarily displaced for any other reason.
- o. **Project Affected Household (PAH):** A social unit consisting of a family and/or non-family members living together, and is affected by the project adversely and/or positively.
- p. **Project Affected Persons (PAPs),** any persons who have economic interests or residence within the project impact corridor and who may be adversely affected directly by the project. PAP include those losing commercial or residential structures in whole or part, those losing agricultural land or homestead land in whole or part, and those losing income sources as a result of project action. PAPs would be of two broad categories, ‘PAPs with Major Impact’ and ‘PAPs with Minor Impact’.
  - a. **Major Impact:** those properties where the major part of the structure/land is affected and becomes untenable and the affected party is unable to live/do business in the unaffected portion of the property, OR, 25% or more portion of the property is affected.
  - b. **Minor Impact:** all other impacts other than major impact will be treated as minor impacts, OR, those properties where a part of the structure/land is acquired and the remaining portion is intact and the affected party can continue to live/do business in the unaffected portion of the property.
- q. **Replacement Cost** of the acquired assets and property is the amount required for the affected household to replace/reconstruct the lost assets through purchase in the open market. Replacement cost will be calculated at R&BD current Schedule of Rates without depreciation. Replacement cost shall be in line with the provisos of the Entitlement Matrix of the project.
- r. **Small farmer** means a cultivator with an un-irrigated land holding upto two hectares or with an irrigated land holding upto one hectare, but more than the holding of a marginal farmer.
- s. **Squatter** means a person/family that has settled on the public land without permission or has been occupying public building without authority prior to cut-off date and is depending for his or her shelter or livelihood and has no other source of shelter or livelihood.
- t. **Tenants** are those persons having bonafide tenancy agreements, written or unwritten, with a private property owner with clear property titles, to occupy a structure or land for residence, business or other purposes.
- u. **Vulnerable Persons:** persons who are physically challenged, widows, persons above sixty years of age, below-poverty line households and woman-headed household.
- v. **Woman-Headed Household:** A household that is headed by a woman who is the major bread-earner of the household. This woman may be a widow, separated or deserted person.

## 12. ENTITLEMENT MATRIX

17. The Entitlement Matrix provisions for the various impact categories have been worked out to update the provisions adopted in Gujarat State Highways Project (GSHP- I). The *update* addresses the modifications required in terms of policy requirements triggered due to the recent policies/legislations including but not limited to the NRRP, 2007 apart from incorporation of the learning from implementation of GSHP I and similar World Bank funded state highway projects in other states of India (Table 12-1).

**Table 12-1: Entitlement Matrix**

| Code | Category of PAP   | Type of Impact          | Unit of Entitlement | Entitlement  | Remarks  |
|------|---|-------------------------|---------------------|--|--|
| 1A   | Titleholder – Agriculture Land / Non-agriculture land / Homestead Land and assets | Loss of land and assets | Land owner(s)       | <ol style="list-style-type: none"> <li>1. Cash compensation at “actual market values”.</li> <li>2. Option for compensation of residual unviable land parcels<sup>3</sup>.</li> <li>3. Registration and stamp duty charges (currently applicable) for the land acquired.</li> <li>4. All fees, taxes and other charges, as applicable under the relevant laws, shall be borne by the project.</li> <li>5. Replacement of water-yielding bores shall be done subject to availability of water in the remaining landholding or anywhere near the beneficiary land in consultation with the affected community. If water is not available, replacement cost of the bore-well at rates decided on case-by-case (without depreciation) based on Gujarat Water Supply and Sewerage Board (GWSSB) Schedule of Rates.</li> <li>6. Financial assistance for replacement of Cattle shed: One-time financial assistance of Rs.15000 for displaced households.</li> <li>7. In case land owners become landless or marginal, financial assistance equivalent to 12 months of minimum agricultural wages of Gujarat (calculated for 25 days in a month), as subsistence allowance.</li> <li>8. Ex-gratia assistance of Rs.20000 for land owners losing upto 500 sq.m of land in lieu of all other benefits.</li> <li>9. In case of severance of agricultural land, an additional grant of 10 percent of the amount paid for land acquisition.</li> <li>10. Advance notice of 4 months to harvest standing crops.</li> <li>11. Crop/tree damage compensation as assessed by</li> </ol> | <ol style="list-style-type: none"> <li>1. Compensation shall be determined as per LA Act, 1894. Difference, if any, between the compensation award as per the LA Act, 1894 and the market value, shall be paid by the project in the form of assistance. The updated Guideline / Jantri values will be adopted for determination of actual market value for the specific land parcel to be acquired.</li> <li>2. Compensation for Timber Trees shall be decided by Forest Department, Gujarat. Compensation for perennial trees and standing crops shall be decided by Agriculture and Cooperation Department, Government of Gujarat.</li> <li>3. The rates for determination of assistances and compensation shall be revised annually during the project implementation period. The revision shall be effected from the 1st day of April every year. The real value of monetary compensation and assistance shall be assessed as follows: (i) Compensation for land shall be based on updated Jantri value; (ii) Compensation for structures/assets shall be based on updated Schedule of Rates; and (iii) Allowances and assistances shall be based on Consumer Price Index (CPI), updated 1<sup>st</sup> of April every year. In case, if Jantri Value or Schedule of Rates is not updated by the 1st of April, compensation and assistance shall be provided based on existing rates. Differences if any, between the existing rates and the updated rates will be provided by the project after publication of the updated rates.</li> </ol> |

<sup>3</sup> Less than 0.4ha in case of irrigated land and less than 1ha in case of non-irrigated land

| Code | Category of PAP                               | Type of Impact    | Unit of Entitlement       | Entitlement  | Remarks   |
|------|---|-------------------|---------------------------|--|---|
|      |   |                   |                           | the concerned Government Departments.<br>12. Right to salvage materials from affected land or structure.   |   |
| 1B   | Titleholder – Residential Structure           | Loss of structure | Land / structure owner(s) | <ol style="list-style-type: none"> <li>1. Compensation at replacement cost determined on the basis of R&amp;BD Schedule of Rates as on date without depreciation.</li> <li>2. Affected structures of size less than 20 sq.m., which are fully affected or if rendered unviable, shall have option to compensation equivalent to cost of provision of residential structure of size 20 sq.m.</li> <li>3. Shifting Allowance: One-time financial assistance of Rs. 10,000.</li> <li>4. Transitional allowance of Rs.10,000 towards temporary arrangements and rentals during the transition period.</li> <li>5. Right to salvage materials from affected land or structure.</li> </ol> | 1. Cost equivalent to the area mentioned in Para-2 shall be estimated based on R&BD Schedule of Rates without depreciation. |
| 1C   | Titleholder- Commercial/ industrial Structure | Loss of structure | Land / structure owner(s) | <ol style="list-style-type: none"> <li>1. Compensation at replacement cost determined on the basis of R&amp;BD Schedule of Rates as on date without depreciation.</li> <li>2. Affected structures of size less than 10 sq.m which are fully affected, or rendered unviable, shall have option to compensation equivalent to cost of provision of commercial structure, of size 10 sq.m.</li> <li>3. Shifting Allowance: One-time financial assistance of Rs. 10,000.</li> <li>4. Transitional allowance of Rs.10,000 towards temporary arrangements and rentals during the transition period.</li> <li>5. Right to salvage materials from affected land or structure.</li> </ol>     | 1. Cost equivalent to the area mentioned in Para-2 shall be estimated based on R&BD Schedule of Rates without depreciation. |

| Code | Category of PAP  | Type of Impact    | Unit of Entitlement       | Entitlement   | Remarks  |
|------|--|-------------------|---------------------------|---|--|
| 1D   | Titleholder-Residential-cum-commercial/ industrial structure   | Loss of structure | Land / structure owner(s) | 1. The entitlement provisions that shall be higher among 1B and 1C shall be provided.   |  |
| 2A   | Tenants-Residential / commercial / industrial Structure        | Loss of structure | Individual / Household    | <ol style="list-style-type: none"> <li>1. For tenants (residential category) requiring relocation, rental allowance for 6 months at the rate of Rs.1000/month in rural areas and Rs.1500/month in urban areas, if the structure is fully affected or the unaffected part of the structure is unviable.</li> <li>2. For tenants (commercial/industrial category), requiring relocation, rental allowance for 6 months at the rate of Rs.1500/month in rural areas and Rs.2000/month in urban areas, if the structure is fully affected or the unaffected part of the structure is unviable.</li> <li>3. Shifting Allowance: One-time financial assistance of Rs. 5000.</li> <li>4. For impacts to structures constructed by the EP, compensation at replacement cost determined on the basis of R&amp;BD Schedule of Rates as on date without depreciation.</li> <li>5. Right to salvage materials from affected land or structure.</li> </ol> |  |
| 3A   | Squatter-Residential / Commercial / Residential-cum-commercial | Loss of structure | Individual / Household    | <ol style="list-style-type: none"> <li>1. Compensation for impacted structures at replacement cost determined on the basis of R&amp;BD Schedule of Rates as on date without depreciation (or)</li> <li>2. (i) Costs towards land and house construction (of area as applicable to EWS housing scheme in Gujarat), for residential squatters (ii) Costs towards land and shop construction (of 100 sq ft area) for commercial squatters, whichever is higher among 3A.1 and 3A.2.</li> <li>3. Shifting Allowance: One-time financial</li> </ol>  | <ol style="list-style-type: none"> <li>1. Training programmes will be offered in coordination with any of the following agencies; <ul style="list-style-type: none"> <li>o Education Department, Govt. of Gujarat (self employment programmes for women).</li> <li>o Tribal Development Department, Govt. of Gujarat (Vanbandhu Kalyan Yojana).</li> <li>o Department of Social Justice and Empowerment; Scheduled Caste Economic Development Corporation (Economic Upliftment Schemes for Scheduled Castes and women).</li> <li>o Commissionerate of Rural Development, Govt. of</li> </ul> </li> </ol> |

| Code | Category of PAP  | Type of Impact     | Unit of Entitlement    | Entitlement  | Remarks  |
|------|--|--------------------|------------------------|--|--|
|      |  |                    |                        | assistance of Rs. 5000..<br>4. Training Assistance for Income Generation: Training in opted areas to any one member of the household losing livelihood. Training cost upto a maximum of Rs. 15000 shall be borne by the project implementation authority.  | Gujarat.<br>2. PIU will carry out periodic review to assess the efficacy of training programmes and suggest corrective measures including need for inter-departmental coordination, as required.   |
| 3B   | Encroachers  | Loss of Assets     | Household              | 1. Ex-gratia for impacted assets at replacement cost.<br>2. Encroachers shall be given advance notice of 4 months in which to remove assets (except trees), and harvest standing crops, if any   |  |
| 4A   | Additional support to vulnerable groups                  |                    | Individual Household / | 1. Training Assistance for Income Generation: Training in opted areas to any one member of the household losing livelihood. Training cost upto a maximum of Rs. 15000 shall be borne by the project implementation authority (or)<br>2. Lump sum amount of Rs.15000 as grant to those who cannot be provided with alternative livelihood sources.  | 1. Training programmes will be offered in coordination with any of the following agencies;<br>o Education Department, Govt. of Gujarat (self employment programmes for women).<br>o Tribal Development Department, Govt. of Gujarat (Vanbandhu Kalyan Yojana).<br>o Department of Social Justice and Empowerment; Scheduled Caste Economic Development Corporation (Economic Upliftment Schemes for Scheduled Castes and women).<br>o Commissionerate of Rural Development, Govt. of Gujarat<br>2. PIU will carry out periodic review to assess the efficacy of training programmes and suggest corrective measures including need for inter-departmental coordination, as required. |
| 5A   | Employees in shops, agricultural laborers, sharecroppers | Loss of livelihood | Individual             | 1. Training Assistance for Income Generation: Training in opted areas to any one member of the household losing livelihood. Training cost upto a maximum of Rs. 15000 shall be borne by the project implementation authority. (or)<br>2. Lump sum Financial assistance equivalent to 6 months of minimum agricultural wages of Gujarat (calculated for 25 days in a month), to those who cannot be provided with training on | 1. Training programmes will be offered in coordination with any of the following agencies;<br>o Education Department, Govt. of Gujarat (self employment programmes for women).<br>o Tribal Development Department, Govt. of Gujarat (Vanbandhu Kalyan Yojana).<br>o Department of Social Justice and Empowerment; Scheduled Caste Economic Development Corporation (Economic Upliftment Schemes for Scheduled Castes   |

| Code | Category of PAP  | Type of Impact                  | Unit of Entitlement | Entitlement   | Remarks  |
|------|------------------|---------------------------------|---------------------|---|--|
|      |                  |                                 |                     | alternative livelihood opportunities.   | and women).<br>o Commissionerate of Rural Development, Govt. of Gujarat.<br>2. PIU will carry out periodic review to assess the efficacy of training programmes and suggest corrective measures including need for inter-departmental coordination, as required. |
| 6A   | Community Assets | Loss of community assets        | Community           | <ol style="list-style-type: none"> <li>Resources such as cultural properties and community assets shall be conserved (by means of special protection, relocation, replacement, etc.) in consultation with the community.</li> <li>Adequate safety measures, particularly for pedestrians and children, landscaping of community common areas, improved drainage, roadside rest areas, etc shall be provided in design of the highways.</li> </ol>   |  |
| 7A   | Scheduled Tribes | Loss of land, structure or both | Household           | <ol style="list-style-type: none"> <li>Cash compensation at the actual market value based on the latest Jantri values. In the event of the latest Jantri values not being equivalent to market rates due to lack of evidence of recent land transactions, enhanced cash compensation for land equivalent to 1.5 times of latest Jantri value of affected tribal land parcel.</li> <li>Entitled for assistance applicable for vulnerable groups.</li> <li>Additional one-time financial assistance equivalent to 500 days minimum agricultural wages towards the loss of customary rights/usages of forest produce.</li> </ol> |  |
| 8A   | Disruption       | Temporary Impact                | Owner(s)            | <ul style="list-style-type: none"> <li>Compensation for temporary use of land or structures outside Right of Way for construction activities shall be made by the Contractor. The use of such land or structure, compensation for the temporary occupation/use of lands and restoration post completion of the occupation shall be through written agreement between land/structure owner and the</li> </ul>  | As laid down in Clause 111 on Precautions for safeguarding the environment, Technical Specifications in the Bid Document.  |

| Code | Category of PAP    | Type of Impact | Unit of Entitlement | Entitlement   | Remarks |
|------|--------------------|----------------|---------------------|---|---------|
|      |                    |                |                     | contractor.<br><ul style="list-style-type: none"> <li>Temporary access would be provided, where necessary.</li> </ul>       |         |
| 9A   | Unforeseen impacts |                |                     | 1. Any unforeseen impacts shall be documented and mitigated in accordance with the principles and objectives of the Policy. |         |



18. The entitlements applicable for PAPs with Major Impact and PAPs with Minor Impact are presented in Table 12-2.

**Table 12-2: Entitlements Applicable for Major and Minor Impact Category**

| Category of PAP   | Entitlements Applicable for Categories of  |  |
|---|--|--|
|   | Major Impact   | Minor Impact   |
| Titleholder – Agriculture Land / Non-agriculture land / Homestead Land and assets | 1A.1, 1A.2, 1A.3, 1A.4, 1A.5, 1A.6, 1A.7, 1A.8, 1A.9, 1A.10, 1A.11, 1A.12  | 1A.1, 1A.2, 1A.3, 1A.4, 1A.7, 1A.8, 1A.9, 1A.10, 1A.11, 1A.12                                |
| Titleholder – Residential Structure   | 1B.1, 1B.2, 1B.3, 1B.4, 1B.5   | 1B.1, 1B.5   |
| Titleholder-Commercial/ industrial Structure                                      | 1C.1, 1C.2, 1C.3, 1C.4, 1C.5   | 1C.1, 1C.5   |
| Titleholder-Residential-cum-commercial/ industrial structure                      | The entitlement provisions that shall be higher among 1B.1, 1B.2, 1B.3, 1B.4, 1B.5 or 1C.1, 1C.2, 1C.3, 1C.4, 1C.5 respectively. | The entitlement provisions that shall be higher among 1B.1, 1B.5 or 1C.1, 1C.5 respectively. |
| Tenants-Residential / commercial / industrial Structure                           | 2A.1, 2A.2, 2A.3, 2A.4, 2A.5   | 2A.4, 2A.5   |
| Squatter-Residential / Commercial / Residential-cum-commercial                    | 3A.1, 3A.2, 3A.3, 3A.4   | 3A.1   |
| Encroacher  | 3B.1, 3B.2   | 3B.1, 3B.2   |
| Additional support to vulnerable groups   | 4A.1 or 4A.2   | Nil  |
| Employees in shops, agricultural laborers, sharecroppers                          | 5A.1 or 5A.2   | Nil  |
| Community Assets  | 6A.1, 6A.2   | 6A.1, 6A.2   |
| Scheduled Tribes  | 7A.1, 7A.2, 7A.3   | 7A.1, 7A.3   |
| Disruption  | 8A.1   | 8A.1   |
| Unforeseen impacts  | 9A.1   | 9A.1   |

19. In addition to the above provisions, other specific provisions shall be followed in case of Bagodara-Bhavnagar corridor to be undertaken in Innovative Finance mode, wherein retrofit of entitlement measures applicable as consistent with Bank's OP 4.12 is taking place.

### **13. QUANTIFICATION BASED ON PRICE INDICES**

20. In order to quantify the compensation amounts to the real value of monetary assistance the rates shall be revised annually during the project implementation period. The revision shall be effected from the 1<sup>st</sup> day of April every year. The real value of monetary compensation and assistance shall be accorded, (i) Compensation for land shall be based on most recent Jantri value; (ii) Compensation for structures/assets shall be based on most recent Schedule of Rates; and (iii) Allowances and assistances shall be based on Consumer Price Index (CPI).

### **14. CENSUS AND SOCIO-ECONOMIC SURVEYS: METHODOLOGY**

21. The census survey shall be carried out for 100% of the Project Affected Families (PAFs) present during the survey period for the project corridor. The last date of the census survey shall be the cut-off date for the PAP/PAF to establish their presence within the project corridor of impact. The census survey shall be based on the final design duly approved by the GoG. The strategy for socio-economic survey should be drawn up based on findings of the SIA exercise. A format of census and socio-economic survey schedule is given in Appendix-3.

### **15. PREPARATION OF SIA AND RAP**

22. Detailed Social Impact Assessment (SIA) shall be carried out to assess the likely adverse impact of the project. Subsequently Resettlement Action Plan (RAP) shall be prepared based on the principles of

RPF. The impact on private land and structures will be compensated and resettlement assistance will be given following the principles of RPF. The RAP shall ensure that the affected persons are: (i) informed about their options and rights pertaining to resettlement; (ii) consulted, provided with technically and economically feasible resettlement alternatives and offered choices among them; (iii) provided prompt and effective compensation at full replacement cost for loss of assets caused due to the project; (iv) provided assistance (such as shifting allowance, transition allowance, etc.) during relocation and for a transition period, to restore their livelihood and standards of living; and, (v) provided with skill development assistance such as training, in addition to the compensation which the affected person is entitled. The outline of RAP is given in Appendix 4.

## **16. INCOME RESTORATION MEASURES**

23. The basic objective of income restoration activities is that no project-affected person shall be worse off than before the project. Restoration of pre-project levels of income is an important part of rehabilitating individuals, households, and socio-economic and cultural systems in affected communities. Income restoration (IR) schemes will be designed in consultation with affected persons so as to benefit them. Based on the information collected on IR activities through the census socio-economic surveys, the implementing NGO will identify suitable IR programme for the affected persons. Steps to be followed for income restoration include:

- Identification of target groups and choosing respective income restoration activities – NGO needs to identify the affected persons and prepare a list of feasible income restoration options. While identifying IR options, the following factors shall also be considered: (i) education level of affected persons, (ii) skill possession, (iii) likely economic activities in the post-displacement period, (iv) extent of land left, (v) suitability of economic activity to supplement the income, and (vi) market potential and marketing facilities.
- Training: option for training on skill enhancement for those losing their livelihood has been provided in the Entitlement Matrix. The beneficiary group includes employees in shops, agricultural labours, sharecroppers, squatters and vulnerable people. Training programmes will be conducted by PIU with assistance from NGO. Periodic review meeting will be carried out by the PIU to assess the efficacy of training programmes and corrective measures, if required, will be suggested for coordination with various training institutes/departments. NGO shall group the affected persons based on their preferred trades and make all the arrangements such as fixing the venue etc.
- Identification of Training Institutes/Departments: based on trades selected, NGO shall have to identify the training institute for different trades / activities who can provide on-the-job training<sup>4</sup>.
- Monitoring: After training, the contracted M&E agency shall carry out the monitoring. Internal monitoring is the responsibility of PIU with support from PMC.

## **17. PUBLIC CONSULTATION AND DISCLOSURE**

24. Individuals and group consultations would be carried out as part of the SIA, RAP and IPDP preparation to understand the needs and concerns of PAPs with regard to various issues such as project impacts, alternative design options, compensation, assistance, resettlement options, value addition to the project etc., (refer Appendix 5 for a sample copy of the Consultation Format). Consultations shall be carried out with respective groups of affected population including women groups, STs, farmers and agricultural labourers, etc. Consultation with the community for affected cultural properties shall be carried out to inform them about the details of the nature of impact (no impact, partial or full) and to obtain their response and views on mitigation measures. All the participants shall be informed in advance

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<sup>4</sup> The suggested institutes for training include Education Department, Govt. of Gujarat (self employment programmes for women); Tribal Development Department, Govt. of Gujarat (Vanbandhu Kalyan Yojana); Department of Social Justice and Empowerment; Scheduled Caste Economic Development Corporation (Economic Upliftment Schemes for Scheduled Castes and women); and Commissionerate of Rural Development, Govt. of Gujarat.

about the date, venue and time of the consultation and their presence to be noted in the form of an attendance sheet. Documentation of details of all public meetings held with people and other stakeholders including government officials shall be carried out. The documentation of these consultations shall be appended to the RAP. In the event of public announcements being made, the details / notices of such announcements including a copy of the text of such announcements shall also be included in the documents.

25. The Disclosure Policy of GSHP-II formulated by R&BD, GoG states that the Policy intends to enhance transparency in decision making process during implementation phase, including those for procurement, financial management, social and environmental safeguards, and to comply with all legal requirements under Right to Information Act, 2005.

26. In order to make the RAP implementation process transparent, a series of public disclosure meetings will be arranged. The RPF and the Executive Summary of RAP/IPDP documents, translated in Gujarati language will be disclosed through public consultations and will also be made available through GSHP Website (<http://gshp2.gujarat.gov.in>). The following project specific information related to social safeguards will be disclosed/updated on the website. Relevant topics shall be disseminated by the implementing NGO among the community to elicit participation.

- Details of construction phase;
- Work opportunities for local labour;
- Notification process;
- Process relating to issuance of identity cards and preparation of microplans;
- Compensation and assistance payment;
- Approved resettlement action plan;
- Approved entitlement matrix;
- Village-wise area of government and private land to be acquired;
- Disbursement status of compensation and assistance given to respective PAPs;
- Details of Grievance Redress Committee, its procedures and mechanism;
- Details of public consultation;
- Complaint handling procedures;
- Details of compensation given to land looser and PAP (Quarterly);
- Details of social/cultural and religious properties to be relocated;
- Details of benefits of project to the public;
- Details of NGO involved in implementation of RAP;
- NGOs role in implementation of RAP;
- Progress Reports.

27. The objective of the consultations is to (i) understand the view of the affected persons on rehabilitation and resettlement issues; and (ii) facilitate delivery of appropriate and acceptable entitlement options.

28. The process and proceedings of such consultations shall be documented and PIU respond to the issues raised during the consultations.

29. All the Bank-approved Resettlement and Rehabilitation documents (RAP, IPDP, etc) will be disclosed 120 days prior to the start of the construction.

## **18. PREPARATION OF INDIGENOUS PEOPLES DEVELOPMENT PLAN**

30. The objective is to design and implement projects in a way that fosters full respect for indigenous people's dignity, human rights, and cultural uniqueness and so that they: (i) receive culturally compatible social and economic benefits; (ii) do not suffer adverse effects during the development process. IPDP looks into the impact of the project on Scheduled Tribe population, especially on the Fifth Schedule Areas (Taluka) through which the project road passes. Public consultations shall be conducted along the project corridors with the communities to obtain their views and suggestions regarding the proposed project interventions, through free, prior and informed consultation. FPIC intends to fully identify the views of affected community and ascertain their broad community support for the project. FPIC has twin objectives such as (i) disseminating details about the proposed project, its adverse and favourable impact on the ST community and (ii) integrating the affected ST households with suitable development programmes (income generating, skill development or capacity building). Informed participation involves organized and iterative consultation through which the views of the affected communities on matters that affect them directly, such as proposed mitigation measures, the sharing of development benefits and opportunities and implementation issues, shall be incorporated into the decision-making process of the project. The concept of FPIC is summarized as follows:

- **Free:** The project shall not coerce, intimidate or unduly incentivize the affected communities to be supportive of the project. The project shall record the discussions with recognized community representatives, key informants, etc.
- **Prior:** Consultation with affected communities shall be sufficiently early in the project planning process: (i) to allow time for project information to be interpreted and comments and recommendations formulated and discussed, (ii) for the consultation to have a meaningful influence on the broad project design options, (iii) for the consultation to have a meaningful influence on the choice and design of mitigation measures, the sharing of development benefits and opportunities, and project implementation.
- **Informed:** Consultation with affected communities shall give details about project operations and potential adverse impacts and risks, based on adequate and relevant disclosure of project information and using methods of communication that are inclusive, culturally appropriate and adapted to the community's language needs and decision making, such that the community fully understand how the project will affect their lives

31. Separate IPDP has been prepared for the three corridors in Phase-I that have been identified with impacts on Tribal population. IPDP (s) would be prepared for subsequent corridors in the event the corridor pass through Fifth Schedule Area.

## **19. GENDER DEVELOPMENT STRATEGY**

32. The proposed road development is expected to open up new economic opportunities for women to upgrade their skills and also better accessibility to educational and health facilities. During consultations, women suggested to provide adequate safety measures especially at school locations. To ensure that women are secure in receiving payments all benefits will be provided in joint account where woman will be first beneficiary.

33. **Women labourers in the construction work force:** there will be requirement of unskilled labourer where women may likely to involve in such work. Women as household members of the skilled and semi-skilled labourers will also stay in the construction camps and will indirectly involve during the construction phase. The construction contractors are expected to bring along their labourer force. Thus, in most cases the labourers, both male and female, will be migratory labourers and there will be involvement of local labourer force, especially for unskilled activities. There will be

involvement of local women also in the local labour force. Foreseeing the involvement of women both directly and indirectly in the construction activities, measures would be taken towards welfare and wellbeing of women and children in-particular during the construction phase.

### **19.1. Facilities for Women in Construction Camps**

34. For women working at the construction site and staying in the labour camps, the following facilities will be ensured (i) temporary housing - during the construction the families of labourers/workers will be provided with the suitable accommodation and facilities for other civic requirements, particularly health and sanitation; (ii) health centre - health problems of the female workers will be taken care of through health centres temporarily set up for the construction camp where medicines and minimum medical facilities to tackle first-aid requirements or minor accidental cases will be provided. In addition, linkage to nearest higher medical care will be ensured whenever required. The contractor will arrange the visit of doctor, at least once in a week, to provide required medical support to the workers in general and women in particular.

35. A strong vigilance mechanism will have to be developed by the contractor to ensure ceasing abuses against women at work places. RAP implementing NGO will provide necessary support to check such exploitation. Scheduling of working hours for women also needs to be regulated. Women, especially the mothers with infants will be exempted from night shifts and from prolonged working hours.

## **20. HIV/AIDS PREVENTION PLAN**

36. It has been proved that infrastructure development project such as highways project will have positive impacts on development and economic growth, but there are some adverse implications among the truckers, road users and local communities who are at risk as far as the vulnerability to HIV/AIDS is concerned. The high risk activities related to unsafe sex are common along the highways. The truck parking areas, bus terminals, rest areas, road side eateries along the corridors are predominant meeting places for sex workers and their clients, mostly trucker community. Apart from trucker community, another most vulnerable group is the construction workers and migrant workers. In view of the health related risks associated with the highway improvement project, a standalone HIV/AIDS Prevention Plan (HPP) has been prepared.

37. HPP assesses and addresses the pertinent issues with respect to the mobility pattern of high-risk groups (HRGs) and bridge population and analyses the potential risk factors on the local communities. HPP also suggests for appropriate mitigation measures and institutional arrangements for the sustainable delivery of project benefits to community. Data from various sources were collected and consultations with identified stakeholders were carried out in all the project corridors and this report presents a comprehensive prevention plan and strategic action plan. HPP (s) would be prepared for subsequent corridors based on the findings of SIA exercises.

## **21. ARRANGEMENTS FOR R&R IMPLEMENTATION**

### **21.1. Environmental and Social Management Unit (ESMU)**

38. ESMU will be headed by an officer of the rank of Executive Engineer (EE), and will be responsible for all activities related to resettlement and rehabilitation. Chief Engineer (World Bank Projects) will have overall responsibility of the project, who will be assisted by Superintending Engineer

(SE). The EE will be assisted by an Environmental Specialist and a Social Specialist. ESMU will be housed in R&BD headquarters in Gandhinagar. One each Executive Engineers at field divisions<sup>5</sup> will be responsible for E&S activities.

**Roles and Responsibilities of EE at State Level:**

- Co-ordinate the implementation of R&R activities with PIU, field staff, engineering and revenue officials;
- Ensure availability of budget for R&R activities;
- Approve micro plans prepared by the NGOs for implementing RAP;
- Monitor the progress related to R&R and LA carried out by NGO and M&E Consultants;
- Hold periodic meetings on R&R implementation and review of activities at Divisional Offices

39. Respective Divisional Offices at field level will assist the PIU in carrying out the R&R activities in roads passing through respective districts.

**Roles and Responsibilities of Divisional Offices at District Level:**

- Ensure continued participation of the people in entire project cycle;
- Verify and send the micro plans for approval of the PIU
- Assist the PIU in monitoring the progress related to R&R and LA carried out by NGO and M&E Consultants;
- Hold periodic meetings on R&R implementation and report to the PIU.

40. The Social Specialist will assist the SE. The Social Specialist shall have a minimum of 5 years of experience in resettlement and rehabilitation in highway projects.

**Roles and responsibilities of Social Specialist at State Level**

- Assist SE to perform R&R activities.
- Co-ordinate with the district administration on LA and R&R. Coordinate and follow-up with Revenue Department member of the ESMU.
- Facilitate the appointment of external agency for impact evaluation and overall monitoring and supervision of implementing NGO.
- Training of NGOs – class –room and on-site.
- Review of reports and documents submitted by the NGO.
- Training to R&BD staff on social aspect management and reporting.
- Preparation of Social Aspect Status Reports for the WB and Government of Gujarat.
- Preparation of periodic progress reports for the WB and Government of Gujarat.
- Documentation of case histories.
- Preparation of reporting formats, checklists, guidelines on social management aspects.
- Translate the executive summary of RAP in Gujarati language and disseminate it among the project stakeholders and at important places along the project road.
- Organize fortnightly meetings with the NGO to review the progress on R&R and report to SE and CE.
- Review micro plan and monthly progress reports submitted by NGO.

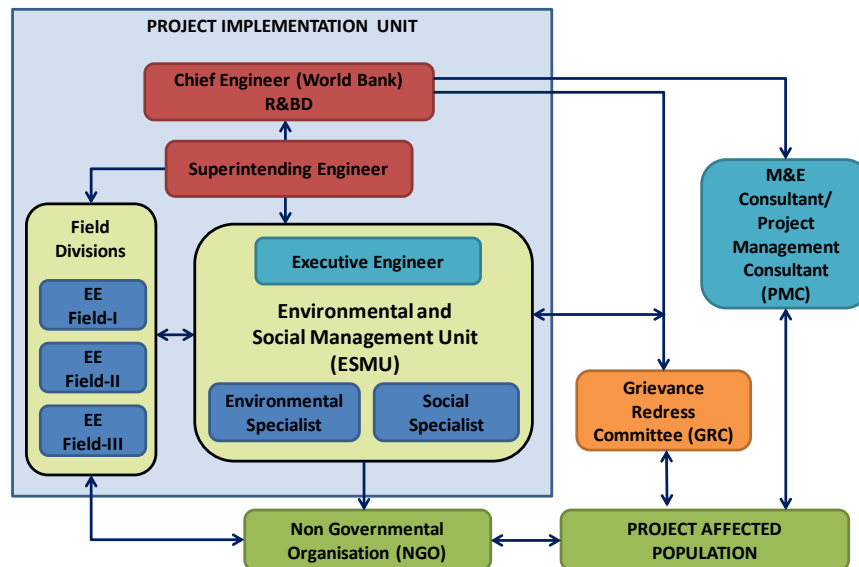
**Roles and responsibilities of Social Specialist at District Level**

- Participate in public consultations.
- Management of conflict resolution exercises for social issues.
- Assistance in-community property & temple relocation cases.
- Monitoring of community enhancement plans.
- Liaison with district administration and concerned departments for dovetailing government social security schemes for the socio-economic wellbeing of the PAPs.
- Develop and maintain a PAP level database including aspects related to losses, compensation, R&R entitlement, release of funds and utilization.
- Assistance in Cross-verification of PAPs identified by the NGO.
- Finalization of individual entitlements in co-ordination with the NGO and PIU.
- Checking of ID cards submitted by the NGO.
- Participation in the ID card distribution process with NGO and PIU.
- Cross-verification of PAP training details submitted by the NGO.
- Coordination with concerned divisions regarding distribution of shifting, subsistence and training allowances.

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<sup>5</sup> The Field Divisions of R&BD are located at Rajkot, Mehsana and Vadodara.

- Assistance and coordination with concerned divisions regarding notification process under RAP.
- Assistance and coordination for resettlement cases with State Road Project Divisions and concerned Government departments.
- Supervision of the socio-economic surveys.



**Figure 21-1: Implementation Arrangements**

- Assistance in redress grievances & coordination of field activities with the NGO.
- Assistance in Market Value Assessment Procedures.
- Technical assistance in creating socio-economic data base of HHs losing land.

41. The proposed implementation arrangement for the management of social issues is given in Figure 21-1.

## 21.2. Role of Revenue Department

42. Acquiring Body have to make an application for acquisition of any land for a public purpose to the Collector of the district concerned and the Collector forwards such applications for acquisition of land to the Land Acquisition Officers concerned. On receipt of such applications, the LAO makes a preliminary enquiry. The land acquisition proceedings begin with a Notification under section 4(1) and survey and investigation will be carried out under section 4(2). Section 5-A provides for filing of objection and afterwards hearing of objection and report of Collector to Government. Declaration under section 6 will be published in the Official Gazette and two daily newspapers of the area, indicating actual location of the land for the project. Land acquisition officer (LAO) takes order for LA from the Government under section 7 and measurement of land done on ground under section 8. Inquiry and offer of compensation by Collector (section 11 to 13) and possession of land will be taken under section 16 after the award is made.

43. In these proceedings, PIU and LAO will carry out the joint verification of land, for which PIU will facilitate. To avoid delay of any sort, it is proposed that PIU may hire an Expert who is conversant with land acquisition procedures or utilise the services of NGO proposed to be in place for RAP implementation. Valuation of assets within affected land will be carried out by respective Departments.

44. The compensation for land and other assets for titleholders (assets alone in the case of non-titleholders) will be disbursed through Revenue Department. R&R assistance as per entitlement provisions for both titleholders and non-titleholders will be disbursed through PIU.

### **21.3. Implementation Support by NGO**

45. As prescribed in the World Bank Operational Policy<sup>6</sup>, GSHP-II envisages involvement of NGOs in the implementation of RAP. The Terms of Reference of RAP Implementing NGO is presented in Appendix 6. The roles and responsibilities of NGO are summarized as follows:

- Explain to PAPs about the potential adverse impacts and proposed mitigation measures and, R&R entitlements;
- Distribute the dissemination materials including pamphlets on RAP and other aspects;
- Facilitate ESMU in organizing public information campaign at the commencement of R&R activities;
- Prepare the micro plans;
- Participate in the meetings organized by ESMU;
- Provide support for implementation of RAP;
- Prepare and issue identity cards to identified PAFs;
- Facilitate opening of joint bank accounts (PAPs and his/her spouse) for individual PAPs;
- Assist PAPs in receiving compensation, focusing on vulnerable PAPs to ensure that they get their dues on time;
- Generate awareness about the productive use of compensation money and R&R grants;
- Explain the resource base and other opportunities to enable them to make informed choices and participate in their own development;
- Ensure that vulnerable PAPs are given their dues both for payment of compensation and rehabilitation assistance;
- Submit monthly progress reports to ESMU;
- Identify training needs of PAPs for income generating activities and ensure they are adequately supported during the post-training period on respective income generating activities, and,
- Ensure that the grievances and problems faced by PAPs are presented to the Grievance Redress Committee for their resolution.

### **21.4. Grievance Redress Mechanism**

46. The project proposes to establish a Grievance Redress Committee (GRC) to hear the complaints of project affected persons and resolve the same. The process will promote settlement of disputes and reduce litigation. GRC will be set up at the district level with District Collector as head. The following persons will be the members of GRC:

- District Collector or his designated representative of at least the rank of Assistant District Collector (preference would be given to women officers);
- The District Development Officer of the Department of Revenue;
- The Executive Engineer, PIU;

47. GRC will be responsible for the following: (i) Support PAPs in resolving issues related to R&R and LA; (ii) Record grievance and resolve them within stipulated time; (iii) Inform PIU about any serious cases; and (iv) Report to the aggrieved parties about the decisions of the PIU.

48. ESMU 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 EPs. The decision of the GRC will not be binding to PAPs. This means the decision of the GRC does not insist PAPs taking recourse to court of law, if he/she so desires. Broad functions of GRC are as under:

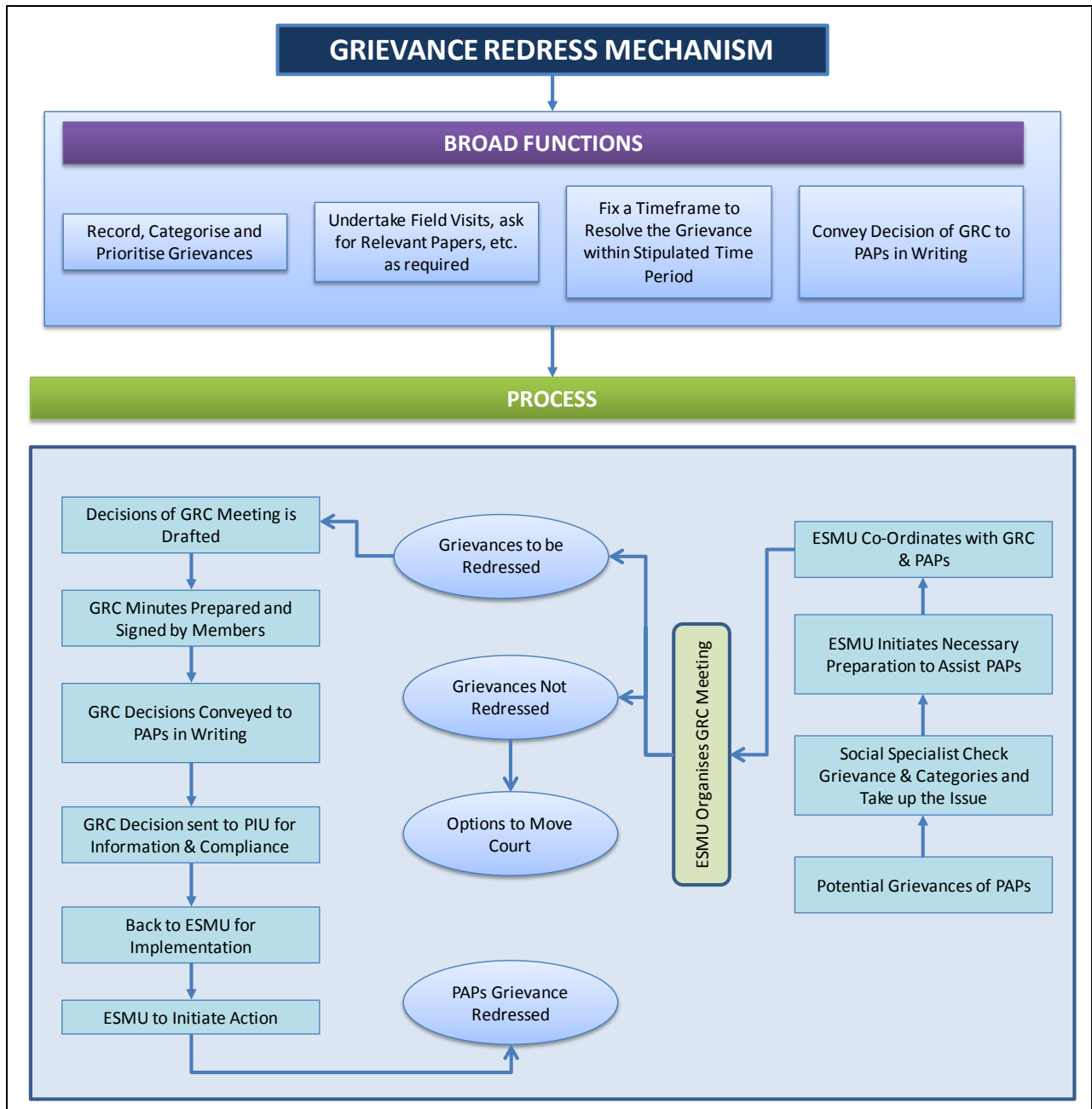
- Record the grievances of PAPs, categorize and prioritize them and provide solution to their grievances related to resettlement and rehabilitation assistance.
- The GRC may undertake site visit, ask for relevant information from Project Authority and other government and non-government agencies, etc 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 ESMU about the status of their case and their decision to PAPs for compliance.

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<sup>6</sup> Annex A: Involuntary Resettlement Instruments, OP 4.12. The World Bank Operational Manual. December 2001.



49. The GRC will be constituted within 3 months by an executive order from GoG from the date of mobilization of RAP implementing NGO.



### 21.5. List of Documents/Information Required to Establish Ownership and access Compensation

50. The PAP should produce the following documents/information to establish ownership to property and access compensation:

- Land Records [7/12 – 8A, *Khedut Pothi*<sup>7</sup>];
- Statement showing details of the land under acquisition.
  - Survey number of the land;
  - True area of land for the purpose of award;

<sup>7</sup> Khedut Pothi is a booklet where the details of land holdings of individual farmers are recorded. The Khedut Pothi is maintained by the Revenue Department and a copy of the same is issued to each farmer.

- Tenure of the land [such as new tenure, old tenure, etc];
- Category of land [*Jarayat* (irrigated), *Bagayat* (unirrigated), *Kyari* (block), etc].
- Statement showing the details of claims filed and evidence produced by the interested persons.
  - Name of the Claimant (whether owner, lessee, tenant, etc);
  - Claim (area of land, number of trees, area and details of structures, details of other damages);
- ID card issued by PIU and cross verified by the NGO.
- Details of Bank Account for transfer of compensation amount.

### **21.6. Compensation and Assistance Procedures**

51. ESMU will facilitate for joint verification of land by LAO. Valuation of assets within affected land will be carried out by respective Departments<sup>8</sup>. Implementing NGO will facilitate and assist in the valuation of assets.

52. Micro-Plan will be prepared for each affected person. Micro-Plan will have details of affected area of land and the compensation for the same (including compensation for various assets located within the affected land) along with entitlements as per the Resettlement Policy Framework for respective members of households. NGO will prepare the Micro-Plan.

53. The compensation for land and other assets for titleholders (assets alone in the case of non-titleholders) will be disbursed through Revenue Department.

54. Assistance as per entitlement provisions for both titleholders and non-titleholders will be disbursed through PIU.

55. Any grievances arise during valuation of land or other assets and estimation of entitlements will be referred to the Grievance Redress Committee. This will also be facilitated by NGO.

### **21.7. Complaint Handling Mechanism**

56. Being a project involving large scale of civil works along with implementation of RAP/IPDP/HPP, the project is likely to receive suggestions, complaints, inquiries, etc. R&BD recognizes the importance of this and hence intends to address such issues through the Complaints Handling Procedures for GSHP-II, under which a centralized monitoring of all the complaints received from and through various mechanisms / individuals can efficiently take place under the information of WB.

57. Complaints Handling Procedure ensures that any citizen can lodge complaints with (i) any officer not below the rank of executive engineer in charge of the work, and (ii) any officer in charge of the redress systems in vogue in the state. Complaints related to (i) project services (new proposal/alteration in the scope of project, ongoing /completed project services in the areas of quality, procurement, R&R, environment and inaction/delayed action) and (ii) personnel (misbehaviour, corruption, service matter).

58. Complaints Handling Procedures assigns SE, PIU as the Chief Complaint Handling Officer with set roles and responsibilities. He is mainly responsible for complaints not related to personnel. Complaints related to personnel require to be dealt with as per the existing system. Training to the employees working under WB wing needs to be given for clear understanding of the procedures involved and to treat the complaints as an opportunity for improvement and not to discriminate / antagonize the complainant in future dealings.

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<sup>8</sup> Timber trees – Forest Department; Perennial trees and standing crops – Agriculture and Cooperation Department; Built-up structures – Roads and Buildings Department; Water resources – Gujarat Water Supply and Sewerage Department.

59. Details of complaint handling procedures, response time frame, roles and responsibilities of CHO, format of the complaint register, etc are given in Appendix 7.

### **21.8. Mechanism for Training and Capacity Building**

60. Training and development of project staff is an integral part for implementation GSHP-II. Training needs identification shall be carried out at State level (PIU), Regional level (Divisional offices of R&BD) and at Field level, based on which focused training modules shall be developed. This is with the objective of (i) strengthening in-house capacity to implement the RPF/RAP/IPDP/HPP; (ii) creating awareness, providing the tools for implementation and accompanying set of management procedures to all departments; and (iii) developing competence within key officials to provide training in their respective level.

61. The topics for training and capacity building includes:

- a. Introduction to social & R&R issues (R&R policies at state/national/international level, social issues pertaining to R&R ( participation of women, poverty assessment, anti poverty programmes, highway related diseases, road safety, transparency, right to information);
- b. Land acquisition (Acts, policies, valuation of land, concept of replacement value, /market value, institutional mechanism etc.);
- c. Social Impact Assessment and RAP/IPDP/HIV/AIDS Awareness, prevention plan (social screening, census survey, socioeconomic survey, methodology, focus group discussions, institutional survey, free, prior informed consultation, data analysis report preparation);
- d. Resettlement Policy Framework (category of PAPs, category of impacts, valuation of assets (land, structure, crops, trees, community assets, etc.), entitlements, women and vulnerable groups, temporary impacts, disruption/damage during construction and respective mitigation measures);
- e. RAP/IPDP/HPP implementation (updating PAP database, joint verification of affected structures/land and affected population, preparation of Micro Plan, grievance redress procedures, conflict resolution packages, assistance and training for income restoration, monitoring and evaluation of social safeguards implementation).

62. The training programs shall be conducted with the help of local, state and national level training institutions and experts in various aspects of social management and safeguard issues. PIU will also identify courses offered by the premier institutions in India on social management and safeguard issues and enable participation of project staff. Towards enhancing the capacity of the R&BD engineers on social safeguards management, R&BD has over the past few years deputed engineers for participation in various safeguards training and capacity building programs.

## **22. MONITORING AND EVALUATION**

63. Internal monitoring of the implementation of social safeguards will be carried out by the PIU with support of Project Management Consultant/Supervision Consultant. Towards enhancing the quality of RAP/IPDP implementation, in addition to the internal monitoring by the PIU, external monitoring will be done by a third-party agency or Project Management Consultant (PMC) for technical as well as

environmental/social aspects. The role of third-party agency/PMC towards external monitoring of social safeguards will include the following:

- Conduct periodic monitoring of RAP/IPDP implementation on quarterly basis to provide early alert to redress any potential problems; and,
- Conduct mid-term, annual and end term monitoring to assess target achievements and slippages with respect to implementation of RAP/IPDP.

64. The RAP will contain indicators and benchmarks for achievement of the objectives under the resettlement programme. These indicators and benchmarks will be of (i): proposed indicators, indicating project inputs, expenditures, staff deployment, etc; (ii) output indicators, indicating results in terms of numbers of affected People compensated and assisted, training held, details of disbursements, etc; and (iii) impact indicators, related to the longer-term effect of the project on communities.

65. The benchmarks and indicators will be limited in number, and combine quantitative and qualitative types of data. 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 PIU on a regular basis. Provision will be made for participatory monitoring involving the PAPs. Illustrative set of monitoring indicators for physical progress, financial progress and grievance redress have been presented in Appendix-8.

## **23. COORDINATION WITH CIVIL WORKS AND CERTIFICATION**

66. The resettlement program will be co-coordinated with the timing of civil works. The required co-ordination has contractual implications, and will be considered in procurement and bidding schedules, award of contracts, and release of cleared CoI sections to project contractors. The project will provide adequate notification, counselling and assistance to affected persons so that they are able to move or give up their assets without undue hardship before commencement of civil works and after receiving the compensation.

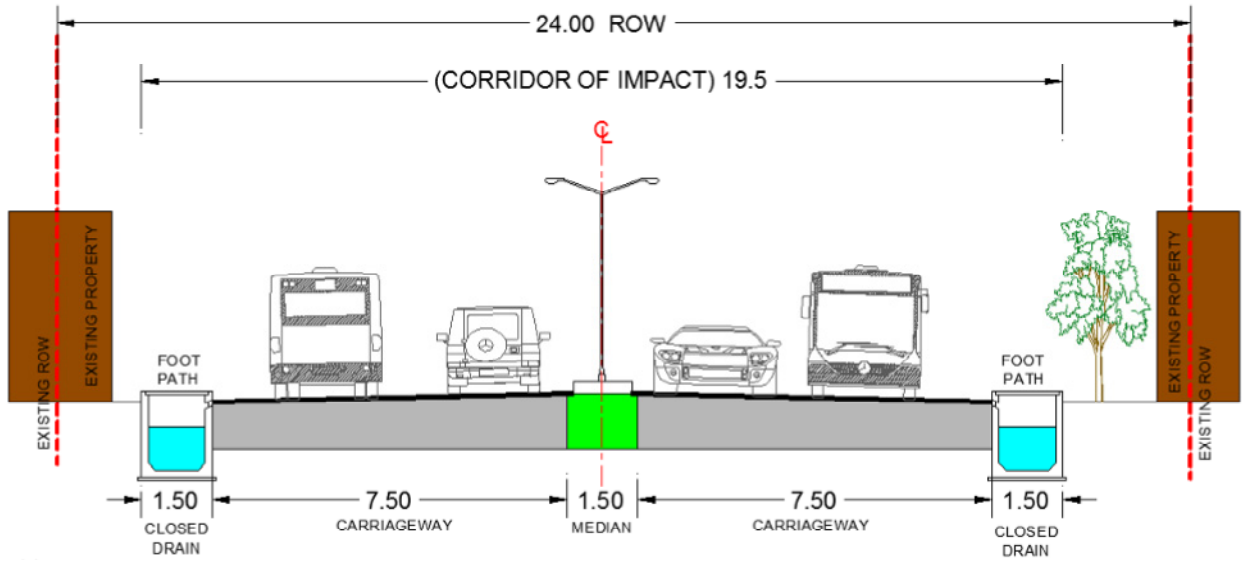
67. Actions to be completed prior to bid and award of contract include: (i) resettlement action plan should be approved by the GoG; (ii) the action plan should be disclosed in the web site and other public places accessible to the local people; (iii) the first notification for private land acquisition should be issued; (iv) the issue of identity cards to eligible PAPs should be completed.

The actions to be completed prior to handing over the stretch to the contractor includes: (i) acquisition of private land should be completed and compensation for land and assistance as per entitlement matrix should be disbursed; and (ii) transfer of Government land should be completed or no objection should be obtained from the land owning agency.

## **24. RESETTLEMENT BUDGET**

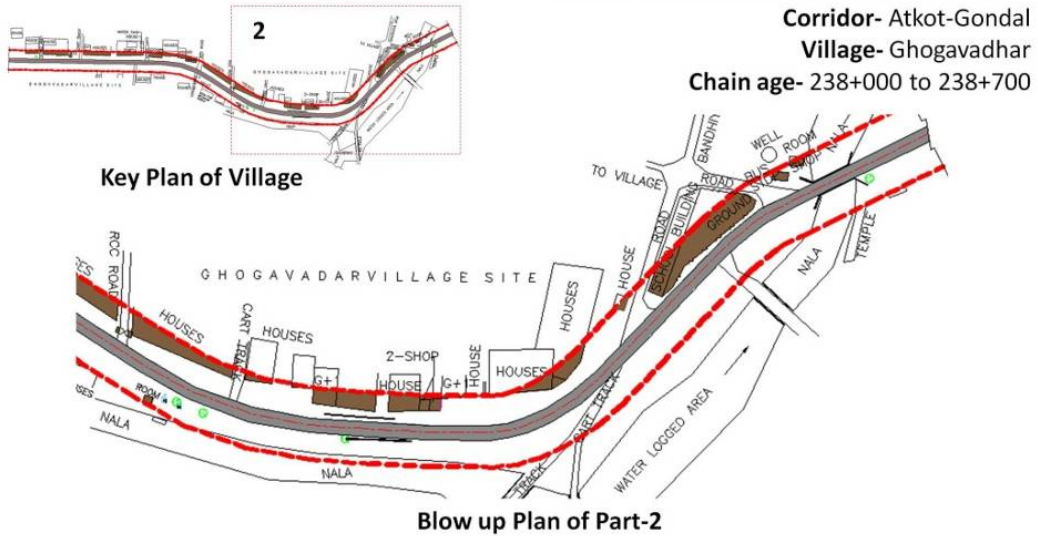
68. The resettlement budget will comprise itemized estimate of compensation for land, structures, trees, crops, various resettlement assistances, rehabilitation and replacement of community assets and cultural properties, institutional cost, cost towards implementation, engagement of RAP implementation agency, evaluation consultants, etc. All LA and R&R paid in cash would be met out of GoG funds. Other costs relating to consultancies, goods and works for implementation of RAP would be met with Bank funds following Bank procurement procedures.

### Appendix-1: Corridor of Impact and Right of Way - Illustration



**Appendix-2: Minimization of impacts – Illustration: Ghogavadar Village, Atkot-Gondal**

**BASE scenario: Development of Settlement in full ROW**



Length of part 2- 370 M  
Total Number of Affected Properties in Part 2- **21**

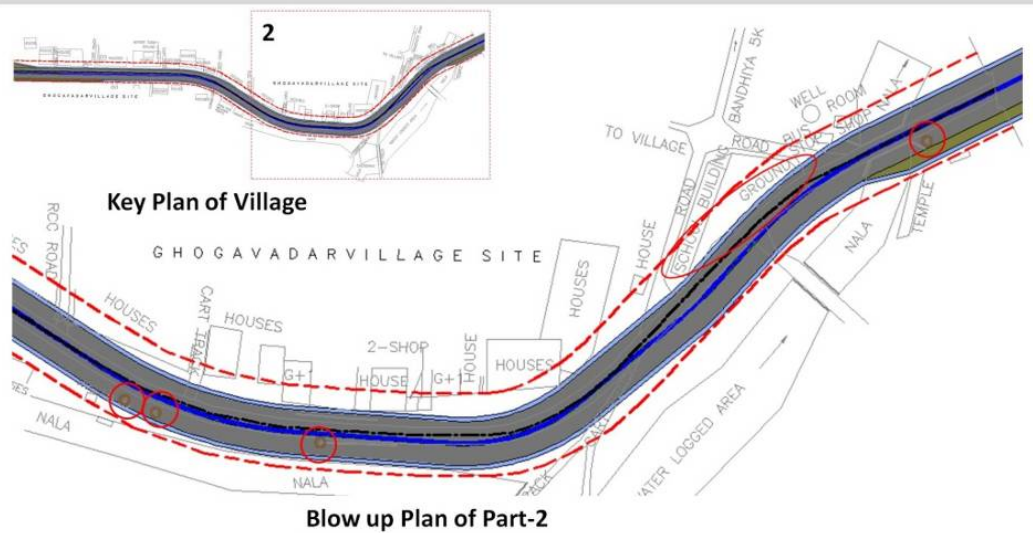
**Type of Affected Properties & Trees**

- |            |                  |          |
|------------|------------------|----------|
| Houses- 12 | Shops- 4         | Trees- 4 |
| Shrines- 2 | Bus Stop- 1      |          |
| School- 1  | Entrance Gate- 1 |          |

**LEGEND**

- Existing Carriageway
- Affected Properties
- Existing RoW

**Adopted scenario: Development of Project Corridor with due consideration of Consultations and Socio Economic Survey**



Length of part 2- 370 M  
Properties affected after Mitigation Measures- **Only 2**  
Partial affect- **1 (School Boundary wall)**

**Type of Affected Properties & Trees**

- Shrines- 2 Trees- 4

**LEGEND**

- Carriageway
- Median
- Parking
- Drain/Footpath
- New Alignment
- Old Alignment
- Existing RoW

### Appendix-3: Census and Socio-Economic Survey Schedule

**ROADS AND BUILDINGS DEPARTMENT, GOVT. OF GUJARAT**  
**PPWCS, GUJARAT STATE HIGHWAY PROJECT-II,**  
**CENSUS AND SOCIO ECONOMIC SURVEY OF PROJECT AFFECTED HOUSEHOLDS**

Form No. \_\_\_\_\_ Date \_\_\_\_\_

Name of Investigator \_\_\_\_\_

Name of Supervisor \_\_\_\_\_

ID No. \_\_\_\_\_ Chainage \_\_\_\_\_ Distance of Structure from C/L: \_\_\_\_\_

Address: \_\_\_\_\_ Village: \_\_\_\_\_ Block: \_\_\_\_\_ District: \_\_\_\_\_

Phone No: \_\_\_\_\_ Mobile No. \_\_\_\_\_ P/S: \_\_\_\_\_ P/O: \_\_\_\_\_

**1. Type of the Use**

|    |                  |   |            |    |                    |           |                |    |             |                  |           |    |            |
|----|------------------|---|------------|----|--------------------|-----------|----------------|----|-------------|------------------|-----------|----|------------|
| 1  | Residential      | 2 | Commercial | 3  | Mixed (C+R)        | 4         | Industrial     | 5  | Petrol Pump | 6                | Fam House | 7  | Government |
| 8  | Agricultural     | 9 | Orchard    | 10 | Under construction | 11        | Open land/Plot | 12 | Plantation  | 13               | Grazing   | 14 | Religious  |
| 15 | Community Assets |   |            |    | 16                 | Graveyard |                |    | 17          | Others (specify) |           |    |            |

**2. Type of Loss due to the project**

|   |           |   |      |   |                    |   |            |   |                |
|---|-----------|---|------|---|--------------------|---|------------|---|----------------|
| 1 | Structure | 2 | Land | 3 | Land and structure | 4 | Livelihood | 5 | Others (.....) |
|---|-----------|---|------|---|--------------------|---|------------|---|----------------|

**3. Type of Ownership:**

|   |         |   |            |   |       |   |        |   |           |   |                |
|---|---------|---|------------|---|-------|---|--------|---|-----------|---|----------------|
| 1 | Private | 2 | Government | 3 | Trust | 4 | Temple | 5 | Community | 6 | Others (.....) |
|---|---------|---|------------|---|-------|---|--------|---|-----------|---|----------------|

**4. Ownership Status of Property user**

|   |                 |   |  |  |   |        |   |        |   |          |   |              |   |                       |
|---|-----------------|---|--|--|---|--------|---|--------|---|----------|---|--------------|---|-----------------------|
| 1 | Titleholder     | 1 | If Titleholder, any portion of the land or structure (or both) encroached into government land |  |   |        |   | Yes    | 1 | No       | 2 |              |   |                       |
| 2 | Non-Titleholder | 2 | If non-titleholder, specify category   |  | 1 | Leased | 2 | Tenant | 3 | Squatter | 4 | Sharecropper | 5 | Kiosk/ Mobile Vendors |

5a. Survey No. \_\_\_\_\_ House No. \_\_\_\_\_

|                         |       |      |         |
|-------------------------|-------|------|---------|
|                         | Bigha | Acre | Hectare |
| 5b. Total Land Holding: | Sq.ft | Sq.m | other   |

5c. Number of agricultural labourers working in the field (other than family members) – use separate sheet for each labourer (address question 19 to 27)

5d. Since how long does the agricultural labourer working in the same farm (number of months)

**6. Extent of Impact**

|   |         |   |      |
|---|---------|---|------|
| 1 | Partial | 2 | Full |
|---|---------|---|------|

|                                     |                                 |                                  |     |   |    |   |                        |   |
|-------------------------------------|---------------------------------|----------------------------------|-----|---|----|---|------------------------|---|
| 7a. Age of Building _____           | 7b. No. of Years Occupied _____ | 7c. Legal electricity connection | Yes | 1 | No | 2 | <b>8. Which Floor?</b> |   |
| 7d. Legal Property Document         |                                 |                                  | Yes | 1 | No | 2 |                        |   |
| 7e. Name of head of HH: _____       | 7f. S/o _____                   |                                  |     |   |    |   | G                      | 1 |
| 9. If Tenant/Lessee:                |                                 |                                  |     |   |    |   | G+1                    | 2 |
| Name and Address of the owner _____ |                                 |                                  |     |   |    |   | G+2                    | 3 |

10. If the property is on rent then the amount of rent being paid per month: Rs. \_\_\_\_\_

**11. Assets affected in the Property**

| S. No | Assets     | Units Owned | S. No | Assets              | Units Owned | S. No | Assets              | Units Owned |
|-------|------------|-------------|-------|---------------------|-------------|-------|---------------------|-------------|
| 1     | Trees      |             | 8     | Motor Pump          |             | 15    | Temple              |             |
| 2     | Dug Well   |             | 9     | Boundary Wall       |             | 16    | Seating around Tree |             |
| 3     | Tube Well  |             | 10    | Barbed Wire Fencing |             | 17    | Country Stove       |             |
| 4     | Open Well  |             | 11    | Cattle Shed         |             | 18    | Bathroom            |             |
| 5     | Water Tap  |             | 12    | Temporary Shed      |             | 19    | Others              |             |
| 6     | Water Tank |             | 13    | Washing place       |             |       |                     |             |
| 7     | Hand Pump  |             | 14    | Shrine              |             |       |                     |             |

**12. Structure types Details**

| Wall  | Reed   | Bamboo | Cane     | Mud    | Brick | Others |
|-------|--------|--------|----------|--------|-------|--------|
|       | ①      | ②      | ③        | ④      | ⑤     | ⑥      |
| Roof  | Thatch | Tin    | Asbestos | Tiles  | RCC   | Others |
|       | ①      | ②      | ③        | ④      | ⑤     | ⑥      |
| Floor | Mud    | RCC    | Tiles    | Marble | Stone | Others |
|       | ①      | ②      | ③        | ④      | ⑤     | ⑥      |

**13. Social Category**

|     |  |       |        |           |      |      |          |        |
|-----|--|-------|--------|-----------|------|------|----------|--------|
| 1.  | Scheduled Caste (SC) [Community Name _____]  | 1     |        |           |      |      |          |        |
| 2.  | Scheduled Tribe (ST) [Community Name _____]  | 2     |        |           |      |      |          |        |
| 3.  | Primitive Tribe Group [Community Name _____] | 3     |        |           |      |      |          |        |
| 4.  | Other Backward Community (OBC)               | 4     |        |           |      |      |          |        |
| 5.  | General                                      | 5     |        |           |      |      |          |        |
| 13a | Religion                                     | Hindu | Muslim | Christian | Sikh | Jain | Buddhist | Others |
|     |  | ①     | ②      | ③         | ④    | ⑤    | ⑥        |        |
| 14  | Whether Woman Headed Household               | Yes   | 1      | No        | 2    |      |          |        |
| 15  | Family Type                                  | Joint | 1      | Nuclear   | 2    |      |          |        |

**16. What type of business are you doing, in case of commercial use**

| S. No | Category           | Options         |                    |                 |                     |                    |                     |              | Others |
|-------|--------------------|-----------------|--------------------|-----------------|---------------------|--------------------|---------------------|--------------|--------|
|       |                    | Tea Stall       | Dhaba              | Sweet Shop      | Hotel               | Restaurant         | Motel               | Pan Shop     |        |
| 1.    | Refreshments       | ①               | ②                  | ③               | ④                   | ⑤                  | ⑥                   | ⑦            | ⑧      |
|       |                    |                 |                    |                 |                     |                    |                     |              |        |
| 2.    | Service Industry   | Tailoring       | Hair Cutting       | Cobbler         | Blacksmith          | Two wheeler repair | Four wheeler Repair | Cycle repair | Others |
|       |                    | ①               | ②                  | ③               | ④                   | ⑤                  | ⑥                   | ⑦            | ⑧      |
| 3.    | Retail Activity    | Grocery         | Chemist            | Furniture       | Petrol Pump         | Electric Shop      | Hardware            | Electronics  | Others |
|       |                    | ①               | ②                  | ③               | ④                   | ⑤                  | ⑥                   | ⑦            | ⑧      |
| 4.    | Other Services     | STD/PCO         | Photocopy          | Weighing bridge | Godowns             | Cold Storages      |                     |              | Others |
|       |                    | ①               | ②                  | ③               | ④                   | ⑤                  |                     |              | ⑧      |
| 5.    | Institutional      | School          | Government Offices | PHC/CHC         | Veterinary Hospital | Anganvadi          |                     |              | Others |
|       |                    | ①               | ②                  | ③               | ④                   | ⑤                  |                     |              | ⑧      |
| 6.    | Industry           | Cotton/ ginning | Chemical           | Oil Extraction  | Dairy               |                    |                     |              | Others |
|       |                    | ①               | ②                  | ③               | ④                   |                    |                     |              | ⑧      |
| 7.    | Manufacturing Unit | Stone/ quarry   | Building materials | Cast iron       |                     |                    |                     |              | Others |
|       |                    | ①               | ②                  | ③               |                     |                    |                     |              | ⑧      |
| 8.    | Small-scale        | Food            | Agri- processing   |                 |                     |                    |                     |              | Others |
|       |                    | ①               | ②                  |                 |                     |                    |                     |              | ⑧      |

17. Capital Investment on Business (at the time of initiating business). Land (Rs.) \_\_\_\_\_ Structure (Rs.) \_\_\_\_\_ Material (Rs.) \_\_\_\_\_

18. Value of the property [opinion of the respondent]: Land Cost (Rs.) \_\_\_\_\_, Structure cost (Rs.) \_\_\_\_\_



**19. Socio-economic profile**

| Codes for Relationship with Head of the Household |                   |    |               |    |                      |    |                 |    |                       |    |                |    |                 |    |             |
|---|-------------------|----|---------------|----|----------------------|----|-----------------|----|-----------------------|----|----------------|----|-----------------|----|-------------|
| 1   | Head of Household | 2  | Wife          | 3  | Husband              | 4  | Son             | 5  | Daughter              | 6  | Son-in-law     | 7  | Daughter-in-law | 8  | Grandfather |
| 9   | Grandmother       | 10 | Grandson      | 11 | Grand daughter       | 12 | Brother         | 13 | Sister                | 14 | Brother-in-law | 15 | Sister-in-law   | 16 | Father      |
| 17  | Mother            | 18 | Father-in-law | 19 | Mother-in-law        | 20 | Grandson-in-law | 21 | Grand daughter-in-law | 22 | Uncle          | 23 | Aunt            | 24 | Cousin      |
| 25  | Nephew            | 26 | Niece         | 27 | Any other (specify): |    |                 |    |                       |    |                |    |                 |    |             |

| Member Number                          | 1  | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 |  |                             |
|--|--|---|---|---|---|---|---|---|---|----|----|----|--|-----------------------------|
| <b>A. Name</b>                         |  |   |   |   |   |   |   |   |   |    |    |    | Write down the names of all people who live and eat together in this household starting with head. |                             |
| <b>B. Relationship</b>                 |  |   |   |   |   |   |   |   |   |    |    |    |  |                             |
| <b>C. Sex</b>                          | Is the NAME male or female?                        |   |   |   |   |   |   |   |   |    |    |    |  |                             |
|  | M  | M | M | M | M | M | M | M | M | M  | M  | M  |  |                             |
| <b>D. Age</b>                          | How old was NAME on the last birthday?             |   |   |   |   |   |   |   |   |    |    |    |  |                             |
|  | F  | F | F | F | F | F | F | F | F | F  | F  | F  | Record the age on last birthday  |                             |
| <b>E. Marital Status</b>               | ①  | ① | ① | ① | ① | ① | ① | ① | ① | ①  | ①  | ①  | Married  |                             |
|  | ②  | ② | ② | ② | ② | ② | ② | ② | ② | ②  | ②  | ②  | Unmarried  |                             |
|  | ③  | ③ | ③ | ③ | ③ | ③ | ③ | ③ | ③ | ③  | ③  | ③  | Divorced   |                             |
|  | ④  | ④ | ④ | ④ | ④ | ④ | ④ | ④ | ④ | ④  | ④  | ④  | Separated  |                             |
|  | ⑤  | ⑤ | ⑤ | ⑤ | ⑤ | ⑤ | ⑤ | ⑤ | ⑤ | ⑤  | ⑤  | ⑤  | Widow/Widower  |                             |
|  | ⑥  | ⑥ | ⑥ | ⑥ | ⑥ | ⑥ | ⑥ | ⑥ | ⑥ | ⑥  | ⑥  | ⑥  | Single Un-wed mother   |                             |
| <b>F. Education</b>                    | The class till which the person has been educated. |   |   |   |   |   |   |   |   |    |    |    |  |                             |
|  | ①  | ① | ① | ① | ① | ① | ① | ① | ① | ①  | ①  | ①  | Illiterate   |                             |
|  | ②  | ② | ② | ② | ② | ② | ② | ② | ② | ②  | ②  | ②  | Primary (Upto Class 3)   |                             |
|  | ③  | ③ | ③ | ③ | ③ | ③ | ③ | ③ | ③ | ③  | ③  | ③  | High School (Class 4 – 7)  |                             |
|  | ④  | ④ | ④ | ④ | ④ | ④ | ④ | ④ | ④ | ④  | ④  | ④  | Secondary (Class 8 - 10)   |                             |
|  | ⑤  | ⑤ | ⑤ | ⑤ | ⑤ | ⑤ | ⑤ | ⑤ | ⑤ | ⑤  | ⑤  | ⑤  | Higher Secondary (Class 11 – 12)   |                             |
|  | ⑥  | ⑥ | ⑥ | ⑥ | ⑥ | ⑥ | ⑥ | ⑥ | ⑥ | ⑥  | ⑥  | ⑥  | Vocational   |                             |
|  | ⑦  | ⑦ | ⑦ | ⑦ | ⑦ | ⑦ | ⑦ | ⑦ | ⑦ | ⑦  | ⑦  | ⑦  | ⑦  | Higher (Graduate or higher) |
| ⑧                                      | ⑧  | ⑧ | ⑧ | ⑧ | ⑧ | ⑧ | ⑧ | ⑧ | ⑧ | ⑧  | ⑧  | ⑧  | Technical (Graduate or higher)   |                             |
| <b>G. Physical/mental disabilities</b> | Is the NAME physically or mentally challenged?     |   |   |   |   |   |   |   |   |    |    |    |  |                             |
|  | ①  | ① | ① | ① | ① | ① | ① | ① | ① | ①  | ①  | ①  | ①  | Yes                         |
|  | ②  | ② | ② | ② | ② | ② | ② | ② | ② | ②  | ②  | ②  | ②  | No                          |
| <b>H. Occupation</b>                   | Is the NAME working?                               |   |   |   |   |   |   |   |   |    |    |    |  |                             |
|  | ①  | ① | ① | ① | ① | ① | ① | ① | ① | ①  | ①  | ①  | ①  | Yes                         |
|  | ②  | ② | ② | ② | ② | ② | ② | ② | ② | ②  | ②  | ②  | ②  | No                          |
|  | What is the main activity at the place of job?     |   |   |   |   |   |   |   |   |    |    |    |  |                             |
|  | ①  | ① | ① | ① | ① | ① | ① | ① | ① | ①  | ①  | ①  | ①  | Artisans                    |
|  | ②  | ② | ② | ② | ② | ② | ② | ② | ② | ②  | ②  | ②  | ②  | Farmer                      |
|  | ③  | ③ | ③ | ③ | ③ | ③ | ③ | ③ | ③ | ③  | ③  | ③  | ③  | Agriculture Labour          |
|  | ④  | ④ | ④ | ④ | ④ | ④ | ④ | ④ | ④ | ④  | ④  | ④  | ④  | Business/Trade              |
|  | ⑤  | ⑤ | ⑤ | ⑤ | ⑤ | ⑤ | ⑤ | ⑤ | ⑤ | ⑤  | ⑤  | ⑤  | ⑤  | Govt. Service               |
|  | ⑥  | ⑥ | ⑥ | ⑥ | ⑥ | ⑥ | ⑥ | ⑥ | ⑥ | ⑥  | ⑥  | ⑥  | ⑥  | Private service             |
| ⑦                                      | ⑦  | ⑦ | ⑦ | ⑦ | ⑦ | ⑦ | ⑦ | ⑦ | ⑦ | ⑦  | ⑦  | ⑦  | Industrial labour  |                             |
| ⑧                                      | ⑧  | ⑧ | ⑧ | ⑧ | ⑧ | ⑧ | ⑧ | ⑧ | ⑧ | ⑧  | ⑧  | ⑧  | Construction labour  |                             |
| ⑨                                      | ⑨  | ⑨ | ⑨ | ⑨ | ⑨ | ⑨ | ⑨ | ⑨ | ⑨ | ⑨  | ⑨  | ⑨  | Housemaid  |                             |
| ⑩                                      | ⑩  | ⑩ | ⑩ | ⑩ | ⑩ | ⑩ | ⑩ | ⑩ | ⑩ | ⑩  | ⑩  | ⑩  | Others (specify)   |                             |
| <b>I. Working Days</b>                 |  |   |   |   |   |   |   |   |   |    |    |    | Number of working days in a month  |                             |
| <b>J. Reason for not working</b>       | What was the main reason for the NAME not working? |   |   |   |   |   |   |   |   |    |    |    |  |                             |
|  | ①  | ① | ① | ① | ① | ① | ① | ① | ① | ①  | ①  | ①  | ①  | Persons who are not working |
|  | ②  | ② | ② | ② | ② | ② | ② | ② | ② | ②  | ②  | ②  | ②  | No work available           |
|  | ③  | ③ | ③ | ③ | ③ | ③ | ③ | ③ | ③ | ③  | ③  | ③  | ③  | Seasonal inactivity         |
|  | ④  | ④ | ④ | ④ | ④ | ④ | ④ | ④ | ④ | ④  | ④  | ④  | ④  | Household family duties     |
|  | ⑤  | ⑤ | ⑤ | ⑤ | ⑤ | ⑤ | ⑤ | ⑤ | ⑤ | ⑤  | ⑤  | ⑤  | ⑤  | Old (>65 yrs)               |
|  | ⑥  | ⑥ | ⑥ | ⑥ | ⑥ | ⑥ | ⑥ | ⑥ | ⑥ | ⑥  | ⑥  | ⑥  | ⑥  | Student                     |
| ⑦                                      | ⑦  | ⑦ | ⑦ | ⑦ | ⑦ | ⑦ | ⑦ | ⑦ | ⑦ | ⑦  | ⑦  | ⑦  | Physically Challenged  |                             |
| <b>K. Income</b>                       | How much does the NAME earn in a month (Rs.)       |   |   |   |   |   |   |   |   |    |    |    |  |                             |
|  |  |   |   |   |   |   |   |   |   |    |    |    |  |                             |

| Member Number                                   | 1   | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 |                                     |  |
|---|---|---|---|---|---|---|---|---|---|----|----|----|-------------------------------------|--|
| <b>L. Skills</b>                                | <b>Any skill possessed by the person?</b>                           |   |   |   |   |   |   |   |   |    |    |    |                                     |  |
|   | ①   | ① | ① | ① | ① | ① | ① | ① | ① | ①  | ①  | ①  | ①                                   | Tailoring  |
|   | ②   | ② | ② | ② | ② | ② | ② | ② | ② | ②  | ②  | ②  | ②                                   | Electrical   |
|   | ③   | ③ | ③ | ③ | ③ | ③ | ③ | ③ | ③ | ③  | ③  | ③  | ③                                   | Plumbing   |
|   | ④   | ④ | ④ | ④ | ④ | ④ | ④ | ④ | ④ | ④  | ④  | ④  | ④                                   | Electronic / Watch Repair  |
|   | ⑤   | ⑤ | ⑤ | ⑤ | ⑤ | ⑤ | ⑤ | ⑤ | ⑤ | ⑤  | ⑤  | ⑤  | ⑤                                   | Lather works   |
|   | ⑥   | ⑥ | ⑥ | ⑥ | ⑥ | ⑥ | ⑥ | ⑥ | ⑥ | ⑥  | ⑥  | ⑥  | ⑥                                   | Handicraft   |
|   | ⑦   | ⑦ | ⑦ | ⑦ | ⑦ | ⑦ | ⑦ | ⑦ | ⑦ | ⑦  | ⑦  | ⑦  | ⑦                                   | Carpentry/masonry  |
|   | ⑧   | ⑧ | ⑧ | ⑧ | ⑧ | ⑧ | ⑧ | ⑧ | ⑧ | ⑧  | ⑧  | ⑧  | ⑧                                   | Others (specify)   |
| <b>M. Possession of Documents</b>               | <b>Whether the NAME possess the documents or NAME member in any</b> |   |   |   |   |   |   |   |   |    |    |    |                                     |  |
|   | ①   | ① | ① | ① | ① | ① | ① | ① | ① | ①  | ①  | ①  | ①                                   | APL Ration Card (if included in the Card)                        |
|   | ②   | ② | ② | ② | ② | ② | ② | ② | ② | ②  | ②  | ②  | ②                                   | BPL Ration Card (if included in the Card)                        |
|   | ③   | ③ | ③ | ③ | ③ | ③ | ③ | ③ | ③ | ③  | ③  | ③  | ③                                   | Voters ID Card   |
|   | ④   | ④ | ④ | ④ | ④ | ④ | ④ | ④ | ④ | ④  | ④  | ④  | ④                                   | Driving Licence  |
| ⑤   | ⑤   | ⑤ | ⑤ | ⑤ | ⑤ | ⑤ | ⑤ | ⑤ | ⑤ | ⑤  | ⑤  | ⑤  | Job ID Card of NREGS (if yes, mark) |  |
| <b>N. Beneficiary of any other govt schemes</b> | ①   | ① | ① | ① | ① | ① | ① | ① | ① | ①  | ①  | ①  | ①                                   | Yes  |
|   | ②   | ② | ② | ② | ② | ② | ② | ② | ② | ②  | ②  | ②  | ②                                   | No   |
| <b>O. Participation</b>                         | <b>Whether the NAME participates in the following</b>               |   |   |   |   |   |   |   |   |    |    |    |                                     |  |
|   | ①   | ① | ① | ① | ① | ① | ① | ① | ① | ①  | ①  | ①  | ①                                   | Casted vote in the last legislative assembly/parliament election |
|   | ②   | ② | ② | ② | ② | ② | ② | ② | ② | ②  | ②  | ②  | ②                                   | Casted vote in the last panchayat/local body election            |
|   | ③   | ③ | ③ | ③ | ③ | ③ | ③ | ③ | ③ | ③  | ③  | ③  | ③                                   | Whether member of any political party                            |
|   | ④   | ④ | ④ | ④ | ④ | ④ | ④ | ④ | ④ | ④  | ④  | ④  | ④                                   | Whether member of any CBO/religious body, etc.                   |
|   | ⑤   | ⑤ | ⑤ | ⑤ | ⑤ | ⑤ | ⑤ | ⑤ | ⑤ | ⑤  | ⑤  | ⑤  | ⑤                                   | Whether holds any position in such organisations                 |
|   |   |   |   |   |   |   |   |   |   |    |    |    | If yes, mention the position        |  |
|   |   |   |   |   |   |   |   |   |   |    |    |    | Name of the Organisation            |  |

**20. Major and Minor Impact**

|   |     |   |    |   |
|---|-----|---|----|---|
| A. After the acquisition of land / structure, will you able to continue farming / business in the unaffected land / structure           | Yes | ① | No | ② |
| B. If No, are you willing to give up the residual land / structure to the project authority against suitable compensation or assistance | Yes | ① | No | ② |
| C. Whether any plans or possibility to relocate outside the RoW   | Yes | ① | No | ② |
| D. Any suggestion of the respondent with respect to que.20.   |     |   |    |   |

**21. Rehabilitation Options**

| S. No. | Resettlement Options                   | Choice (✓) | Priority (1,2,3...) | S. No. | Resettlement Options      | Choice (✓) | Priority (1,2,3...) |
|--------|--|------------|---------------------|--------|---------------------------|------------|---------------------|
| 1      | Alternative shop/residence             |            |                     | 5      | Provide land against land |            |                     |
| 2      | Employment during project construction |            |                     | 6      | Self-relocation           |            |                     |
| 3      | Employment during maintenance          |            |                     | 7      | Others (specify)          |            |                     |
| 4      | Training to improve the skill level    |            |                     | 8      | Others (specify)          |            |                     |

**22. Assets Owned (other than affected one)**

| Agricultural Properties |                        |   |           | Other Properties |       |            |                        | Other Assets (livestock) |
|-------------------------|------------------------|---|-----------|------------------|-------|------------|------------------------|--------------------------|
| Irrigated/ Wet Land     | Un Irrigated/ Dry Land | Orchard/Waste/ Barren/Horticulture Land | Equipment | House Plot       | House | Farm House | Business Establishment |                          |
| Area                    | Area                   | Area                                    | Number    | Area             | Area  | Area       | Area                   | Number                   |
| Value                   | Value                  | Value                                   | Value     | Value            | Value | Value      | Value                  |                          |
|                         |                        |   |           |                  |       |            |                        |                          |

**23. Agriculture (only affected crop)**

| Name of Crop | Cropping pattern in a year |        |        | Yield Per Acre | Farmgate Price (Rs/quintal) |
|--------------|----------------------------|--------|--------|----------------|-----------------------------|
|              | Single                     | Double | Thrice |                |                             |
|              |                            |        |        |                |                             |
|              |                            |        |        |                |                             |

**24. Household Expenditure (Amount in Rs)**

| Total household expenditure monthly (approximate in Rs.) |                            |       |         | Rs.                                    |       |
|--|----------------------------|-------|---------|--|-------|
| Sl. No.  | Category                   | (Rs.) | Sl. No. | Category                               | (Rs.) |
| 1  | Food (Monthly)             |       | 6       | Health (Monthly/Annual)                |       |
| 2  | Education (Monthly/Annual) |       | 7       | Cooking fuel (Monthly)                 |       |
| 3  | Cloth (Monthly/Annual)     |       | 8       | Social Functions (Annual)              |       |
| 4  | Local Travel (Monthly)     |       | 9       | Vehicle Maintenance (Monthly / Annual) |       |
| 5  | Leisure (Monthly/Annually) |       | 10      | Out Station travel (Monthly / Annual)  |       |

**25. Debts: (Amount in Rs)**

| Total household debt (approximate in Rs.), if any |                       |       | Rs.     |                    |       |
|---|-----------------------|-------|---------|--------------------|-------|
| Sl. No.   | Category              | (Rs.) | Sl. No. | Category           | (Rs.) |
| 1   | Crop/Agriculture Loan |       | 4       | Loan on vehicles   |       |
| 2   | Loan on Assets        |       | 5       | Loan for education |       |
| 3   | Jewell Loan           |       | 6       | Personal Loan.     |       |

**26. Household Items**

| Sl. No. | Items                  | Yes / No |    | Sl. No. | Items                            | Yes / No |    |
|---------|------------------------|----------|----|---------|----------------------------------|----------|----|
| 1       | TV                     | Yes      | No | 7       | Food processor / Mixer / Grinder | Yes      | No |
| 2       | Refrigerator           | Yes      | No | 8       | Computer / Laptop                | Yes      | No |
| 3       | Two Wheeler            | Yes      | No | 9       | Air Conditioner                  | Yes      | No |
| 4       | Four Wheeler           | Yes      | No | 10      | Air Cooler                       | Yes      | No |
| 5       | Telephone/Mobile Phone | Yes      | No | 11      | Microwave Oven                   | Yes      | No |
| 6       | Washing Machine        | Yes      | No | 12      | Others (specify)                 | Yes      | No |

**27. Health Status**

| 1   | Have you or any family members been affected with any disease (consider for last one year) |                     |           |               | Yes                 |               | No      |  |
|-----|--|---------------------|-----------|---------------|---------------------|---------------|---------|--|
|     |  | Respiratory         | Digestive | Gynec related | Eye related         | Ortho related | General |  |
|     |  | ①                   | ②         | ③             | ④                   | ⑤             | ⑥       |  |
| 2   | If yes, type of disease (mention name of disease)  |                     |           |               |                     |               |         |  |
| 2.a | If others (specify)  | If others (specify) |           |               | If others (specify) |               |         |  |

**28. Drawing of the Affected Structure / Land with measurement** [Total area and affected area of structure as well as land to be recorded – assets like hand pump, borewell, trees, agri crops, etc located within the affected area also to be recorded]

| LHS | Sketch of Structure | RHS |
|-----|---------------------|-----|
|     |                     |     |

**Note for Enumerators:**

- [1] Q.No.3. Confirm the availability of Patta and mark as owned / encroachment.
- [2] Q.No.4. Squatter: No legal ownership over the land occupied.
- [3] Q.No.19. All the relationship should be specified with respect to the household head only.
- [4] Q.No.29. Specify the distance from Centre Line to the property Boundary and Building Line. Mention all the dimensions of the building and plot boundaries in 'meters' only.
- [5] Women Headed Household: The households headed by woman member of the family who is the sole/leading bread-earner of the family.

## APPENDIX 4

# RESETTLEMENT ACTION PLAN - OUTLINE

## A. EXECUTIVE SUMMARY

|           |  |
|-----------|--|
| <b>1.</b> | <b>INTRODUCTION.....</b>   |
| 1.1       | PROJECT BACKGROUND.....  |
| 1.2       | RESETTLEMENT ACTION PLAN: OBJECTIVES.....                        |
| 1.3       | RIGHT OF WAY AND CORRIDOR OF IMPACT.....                         |
| 1.4       | SUMMARY OF LAND ACQUISITION AND RESETTLEMENT IMPACTS.....        |
| 1.5       | MINIMIZATION OF RESETTLEMENT IMPACTS IN FIFTH SCHEDULE AREA..... |
| 1.6       | RAP STRUCTURE.....   |
| <b>2.</b> | <b>LEGAL AND POLICY FRAMEWORK.....</b>                           |
| 2.1       | RESETTLEMENT POLICY FRAMEWORK.....                               |
| 2.2       | ENTITLEMENT MATRIX.....  |
| 2.3       | POTENTIAL RESETTLEMENT IMPACTS.....                              |
| <b>3.</b> | <b>SOCIO-ECONOMIC PROFILE.....</b>                               |
| 3.1       | SOCIO-ECONOMIC PROFILE.....                                      |
| <b>4.</b> | <b>IMPACTS ON PEOPLE AND COMMUNITY ASSETS.....</b>               |
| 4.1       | MINIMISATION OF RESETTLEMENT IMPACTS.....                        |
| 4.2       | POTENTIAL IMPACTS.....   |
| 4.3       | IMPACT ON PROPERTIES.....  |
| 4.4       | SOCIO-ECONOMIC PROFILE OF AFFECTED POPULATION.....               |
| <b>5.</b> | <b>STAKEHOLDER CONSULTATIONS.....</b>                            |
| 5.1       | CONSULTATION.....  |
| 5.2       | OUTCOMES OF CONSULTATIONS.....                                   |
| 5.3       | OVERVIEW OF DESIGN MODIFICATIONS.....                            |
| <b>6.</b> | <b>OTHER SOCIAL ISSUES.....</b>                                  |
| 6.1       | ROAD SAFETY ISSUES.....  |
| 6.2       | HIV/AIDS ISSUES.....   |
| 6.3       | GENDER ISSUES.....   |
| <b>7.</b> | <b>IMPLEMENTATION ARRANGEMENTS.....</b>                          |
| 7.1       | INSTITUTIONAL ARRANGEMENTS FOR THE PROJECT.....                  |
| <b>8.</b> | <b>RESETTLEMENT BUDGET.....</b>                                  |
| 8.1       | SUMMARY OF RESETTLEMENT COSTS.....                               |

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## Appendix 5: Consultation Format

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### COMMUNITY CONSULTATION – DISCUSSION GUIDE Dabhoi-Bodeli Corridor

#### ROADS AND BUILDINGS DEPARTMENT, GOVT. OF GUJARAT PPWCS, GUJARAT STATE HIGHWAY PROJECT-II,

##### Introduction

- Government of Gujarat has taken up the second Gujarat State Highway Project (GSHP-II), covering upgradation, maintenance and improvement of identified core road network for loan appraisal with the World Bank. Roads and Building Department (R&BD), the responsible body for managing the project, has retained M/s LEA Associates South Asia Pvt. Ltd. (LASA) as Project Preparatory Works Consultants to prepare pertinent plans on widening and upgradation of highways.
- As a pre-requisite towards loan appraisal with the World Bank, R&BD has selected ten corridors at this stage, aggregating to 459.71km length for detailed project report. This includes widening and upgradation of Dabhoi-Bodeli corridor.
- The project corridor Dabhoi-Bodeli starts from Dabhoi at km 29+700 and ends at km 68+000 near Bodeli. The total length of the proposed corridor is 38.735 km. Corridor of Impact (CoI) is 12 m for two-lane sections and 21.75 m for four-lane sections.
- Consultation intends to disseminate the information regarding the proposed development as well as to know the opinion of the people regarding resettlement issues, road safety measures and potential impacts of the project.

##### Discussion Points – General

- Awareness and opinion about the project
- Road safety issues along the corridor [road accidents/avoidance/suggestions etc – specific cases of accidents taking place in particular locations – reasons for such accidents – increase/decrease in accidents]

##### Discussion Points for Commercial / industrial Category

- Extent of impact [in terms of loss of property – loss of livelihood – any improvement in business expected due to the project, etc.]
- Will you be able to continue your business in the same location – if relocating to another place, implications on rent, business etc - how much time required to relocate the structure or restore the affected business/livelihood
- Tenants – usual notice period from land/building owners
- Opinion regarding compensation and assistance for affected properties
- Opinion about Rehabilitation and Resettlement for fully affected structures or if livelihood affected

## COMMUNITY CONSULTATION – DISCUSSION GUIDE Dabhoi-Bodeli Corridor

### Discussion Points – for Residential Category

- Extent of impact [in terms of loss of land – loss of structure – loss of other assets, etc.]
- Will you be able to live in the same building – if you are relocating to another location, what would be the implications
- Tenants – usual notice period from land/building owners
- Opinion regarding compensation and assistance
- Opinion about Rehabilitation and Resettlement for fully affected structures or if livelihood affected

### Discussion Points – Religious Structures / Common Property Resources

- Extent of impact [in terms of loss of land – loss of structure – loss of other assets, etc.]
- Age of the structure – important festivals/events of pilgrim/tourist attraction - period of such celebrations – pilgrim/tourist population
- Relocation of religious properties / common property resources – Involvement of Panchayats – Any community based organizations

### Discussion Points – Agriculture Land

- Extent of impact [in terms of loss of land – loss of agriculture crops – loss of other assets, etc., any improvement in agriculture production or development in terms of marketing expected due to the project]
- Type of crops cultivated in a year [average farm-gate price of various crops cultivated, marketing centers, area of cultivation]
- Details regarding cropping pattern [number of crops in a year, any share-cropping pattern, usual arrangement of share-cropping or contract farming]
- Dependence on Bore-wells or other irrigation facilities [arrangement for bore-well or other irrigation facilities] – Cost of Bore-well or other irrigation facilities – cost sharing pattern.



**GOVERNMENT OF GUJARAT**  
**ROADS AND BUILDINGS DEPARTMENT**

**REQUEST FOR PROPOSAL**

**RFP No.:**

**Selection of NGO**  
**SERVICES**

**NGO SERVICES FOR IMPLEMENTATION**  
**OF SIA, RAP, TDP AND R & R ACTIVITIES**  
**UNDER GSHP-II PHASE-I**

**April 2013**

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**Section. 7**  
**Terms of Reference**

# Implementation of Resettlement Action Plan

## Terms of Reference for Non-Government Organizations

### I. BACKGROUND OF THE PROJECT

The Government of Gujarat (GoG), through the Roads and Buildings Department (R&BD), has taken up the second Gujarat State Highway Project (GSHP-II), covering up-gradation, maintenance and improvement of identified core road network in the state. The GoG has proposed to take up this project with financial assistance from the World Bank. The improvements of 1577 km in the project includes: (i) upgradation corridors for a length of 983 km, involving the strengthening and upgrading of single/intermediate lane roads to standard 2-lane/ 2-lane-with-paved-shoulders / 4-lanes, and (ii) major maintenance, of the remaining 594 km. In line with the prioritization exercise, R&BD has selected ten corridors, aggregating to about 463 km in length, as projects to be taken up for implementation in the first phase of the project.

Keeping in view the adverse impact the project will have on the people due to the implementation of the project, the Project Implementing Unit (PIU) of R&BD will appropriately resettle and rehabilitate the project affected persons (PAPs)/ project affected families (PAFs) in accordance with the Resettlement Action Plan (RAP) proposed for the purpose. For the implementation of the RAP, the PIU will appoint local NGO having experience in carrying out such activities. The recruited NGO shall associate with the Environmental and Social Management Unit (EMU, SMU) of PIU to implement the RAP.

### II. TASKS

The NGO shall be responsible for the implementation of the RAP that includes mitigating the adverse effects of the project. The NGO shall facilitate the land acquisition process on behalf of **R&BD**, In addition, remain responsible for the development of a comprehensive livelihood system to facilitate the PAPs to take advantages of the options available as per the RAP.

Dissemination of Information: Key task is to provide full information to the PAPs on the R&R policy, provisions, approach to land acquisition and R&R, time frame for implementation, roles and responsibilities of implementing agency and grievance redress mechanism.

### **III. TASKS**

NGO shall assist R&BD in all aspect of implementation of Tribal development plan proposed to be implemented under this project

#### **Consultation**

The NGO shall educate the PAPs on their rights, entitlements and obligations under the RAP. It shall disseminate information to the PAPs on the possible consequences of the project on the communities' livelihood systems and the options available, so that they do not remain ignorant. It shall explain to the PAPs the need for land acquisition, the provisions of the policy and the entitlements under the RAP. This shall include communication to the roadside squatters and encroachers about the need for their eviction, the timeframe for their removal and their entitlements as per the RAP.

#### **Land Acquisition**

The NGO will facilitate PAP in land acquisition process up to receipt of compensation cheques in consultation with R&BD.

NGO will support land losers to complete the required documents to access compensation cheques.

NGOs will facilitate disbursement of compensation cheques.

#### **Verification**

The NGO shall undertake joint verification with the Field Offices of R&BD of the project affected persons to identify PAF eligible as per the cut-off date for R&R entitlement and shall update the database accordingly. The NGO shall verify the information already contained in the RAP and the individual losses of PAPs and validate the same and suggest suitable changes if required.

During the identification and verification of the eligible PAPs and PAFs, the NGO shall ensure that each of them are contacted and consulted. The NGO shall conduct consultation with the women including women headed households.

Verification exercise shall include actual measurement of the extent of total property loss/damage, and valuation of the same. Prepare & put up updated data base on individual losses required for preparation of micro-plans before EMU / SMU PIU. After getting approval of the same from EMU / SMU PIU, The NGO shall display the list of eligible PAFs in the affected villages for PAF's to verify.

The PAFs will be provided 15 days time period to verify the list. This process will enable eligible PAFs to be included in the list. NGOs will accordingly update and finalize the list, if required in consultation with EMU / SMU PIU.

The NGO will identify and verify the community assets that are likely to be affected by the project.

The NGO will identify PAFs and/or community asset coming within the Right of Way(RoW) / Corridor of Impact (CoI) after the cut-off date, and notify the same to the field office of R&BD and shall remove such properties or community structure from the RoW, through appropriate consultation and shall inform them that any project benefits do not apply to them.

### **Distribution of Identity Cards**

After finalization of verification the NGO shall distribute Identity Cards to all PAPs. The identity card should include a photograph of the head of the PAF, the extent of loss, and entitlement i.e. Compensation and assistance, as applicable. The Identity Cards are to be signed by the responsible person at respective Field Offices of R&BD and counter signed by the R&R Specialist of Social management Unit.

### **Prepare Micro Plan:**

The NGO shall prepare Micro Plans that details out category of PAF, asset lost, compensation and all types of assistance, alternate livelihood options; details of resettlement, specific training requirement for skill up gradation and institutions responsible for training. A separate plan has to be prepared for shifting of community assets.

### **Training and Support for income restoration**

In addition to providing assistance given in the entitlement package, the NGO shall be responsible for training and assistance of PAPs in establishing linkages with government programs.

The NGO shall train PAPs losing their livelihood for suitable income restoration programs, depending on the skills and interest of the PAPs. The NGO shall prepare individual Income Restoration Plan, as a part of the Micro Plan. The NGO shall assist the PAPs to establish linkages with Government departments, district administration, etc., and ensure that the PAPs are included in the development schemes, as applicable especially with reference to vulnerable groups, in pension schemes for senior citizens, widow pensions, schemes for women or women

headed households, schemes for handicapped persons etc. NGO shall coordinate with the following training institutes as identified in the RAP.

- Education Department, Govt. of Gujarat (self-employment programmes for women).
- Tribal Development Department, Govt. of Gujarat (Vanbandhu, Kalyan Yojana).
- Department of Social Justice and Empowerment; Scheduled Caste Economic Development Corporation (Economic upliftment Schemes for Scheduled Castes and women).
- Commissionerate of Rural Development, Govt. of Gujarat

### **Disbursement of Assistance and delivery of entitlements**

The NGO shall assist SMU in ensuring all the PAFs obtain their full entitlements under the RAP before being dispossessed; to ensure benefits due to the PAFs under the Resettlement Policy Framework (RPF) are provided to the PAFs. Where options are available, the NGO shall provide advice to PAPs on the relative benefits of each option. The NGO shall assist the PAPs in opening bank accounts explaining the implications, the rules and the obligations of a joint account and how she/he can access the resources she/he is entitled to.

### **Relocation**

The NGO shall assist the project authorities in ensuring a smooth transition guiding the PAFs through the resettlement period. In consultation with the PAFs, the NGO shall inform the SMU about the date of relocation as suggested by PAF within stipulated time given in notice.

The NGO shall advise the PAPs on utilization of R&R benefits to create productive asset. NGOs will verify and prepare utilization certificates for the assistance disbursed to PAFs. The funds will be disbursed against the approved plan for creating productive asset.

### **Grievance Redressal**

The NGO shall make PAPs aware of the grievance mechanism set out in the RAP and shall assist them to resolve the grievances. The NGO shall help the PAPs to file a grievance application.

The NGO shall record the grievance and bring the same to the notice of the Grievance Redress Committees (GRC) within 7 (seven) days of receipt of the

grievance from the PAPs. It shall submit a draft resolution with respect to the particular grievance of the PAPs, suggesting solutions to concern officer of R&BD who in turn shall present them in the GRC meeting.

The NGO shall assist R&BD and PAP in the GRC process.

### **Coordination between PAPs and the EMU / SMU**

The NGO shall facilitate consultation between the PAPs and the EMU / SMU and or concerned R&BD staff. This will be achieved through meetings with both the EMU / SMU representatives and the PAPs as and when necessary which will be documented.

### **Conduct Public information campaign**

The NGO shall assist the EMU / SMU to undertake public information campaign at the commencement of the project to inform the affected communities regarding the project RAP and the RPF.

### **Participation in Gram Sabhas**

The NGO may participate in Gram Sabhas of respective villages. Besides contacting PAPs on an individual basis to regularly update the baseline information, NGO shall inform the project details to the Gram Sabhas on a regular basis. NGO shall encourage participation of PAPs in such meetings by discussing their problems regarding LA, R & R and other aspects relating to livelihood restoration.

### **Awareness Creation on Road Safety**

The NGO shall conduct Road Safety Awareness to the children of schools and community at large in the villages located along the Project Roads through IEC materials, signboards and interactive discussions.

### **Awareness Creation on HIV/AIDS Prevention**

NGO shall carry out awareness programs along the corridors at identified locations such as toll-plazas, construction camp sites and truck-parking lay-by in respective corridors. For the purpose, the IEC materials as well as technical advice from GSACS will be utilized in a timely manner.

The NGO shall ensure in collaboration with EMU / SMU that medical facilities and health check-ups which may include diagnosing of STD/HIV for the workers are provided at the construction camps.

- Interaction with industrial units and sensitization
- Awareness programmes for migrants
- Facilitating medical health care services including STI treatment
- Interaction with CHCs, ICTCs
- Coordination with Target Intervention NGOs, Link Worker Schemes and other agencies working in the field of HIV/AIDS awareness and prevention
- Conduct sensitization programmes for R&BD personnel, contractors and other stakeholders
- Interaction with transporters and brokers
- To educate all PAPs / PAFs and all concern stakeholders regarding importance of periodic health check up
- Ensure availability of condoms (both socially marketed & govt.) through established condom depots

### **Consultation in Scheduled Areas**

NGO shall carry out consultation in Scheduled Areas during project implementation, (i) consultation with affected households for livelihood restoration, and (ii) consultation with communities and key stakeholders (Tribal Development Department, Taluka Development Offices and other Development Agencies working for the welfare of Scheduled Tribes) to ensure broader community support for the project ,and to aware all the above offices about Tribal Development Plan proposed to implement under the project.

### **Awareness Creation on Gender and other Social issues**

NGO shall assist PIU in ensuring that the Contractors comply with applicable labor laws (including prohibition of child labor).

NGO shall assist the EMU / SMU in ensuring facilities for women such as (i) temporary housing - during the construction the families of laborers/workers are provided with suitable accommodation and facilities for other civic requirements, particularly health and sanitation; (ii) health centre - health problems of the female workers are taken care of through health centers temporarily set up for the construction camp where medicines and minimum medical facilities to tackle first-aid requirements or minor accidental cases are provided.

### **III. CONDITION OF SERVICES**

#### **Duration of Services**

The time line for initiating the RAP implementation will be provided by the PIU. From initiation, the duration of the services will be for three years. The NGO shall help the EMU / SMU in all other matters deemed necessary to implement the RAP in its spirit and entirety.

All documents prepared, generated or collected during the period of contract, in carrying out the services under this assignment will be the property of R&BD. No information gathered or generated during and in carrying out this assignment shall be disclosed by the NGO without explicit permission of the PIU.

#### **Location of NGO**

In order to carry out the above tasks, employees of NGO are to be stationed at a location mutually agreed with PIU if found necessary, besides central office at Ahmedabad/ Gandhinagar.

#### **Reporting**

Reports are to be submitted to EMU / SMU. All supporting documents such as photographs, video graphs, primary and secondary information collected, etc., taken during the assignment shall be submitted in support of the reports, along with an electronic copy of the documents. The following deliverables has to be submitted.

#### **Inception Report**

The NGO shall submit to the EMU / SMU an inception report detailing plan of action, manpower deployment, time schedule, and detailed methodology, within 21 days of the commencement of the assignment.

#### **Monthly and Quarterly Progress Reports**

The NGO shall also submit monthly progress reports on the activities carried out during that month and proposed activities for the next month. The monthly progress reports shall include data on input and output indicators as required by the EMU / SMU, with work charts as against the scheduled timeframe of RAP implementation. All progress reports shall include data on input and output indicators as required by the EMU / SMU. NGO shall also submit Quarterly progress report depicting all the aforesaid details.



The monthly progress report shall have to be submitted on or before Third working day of every month.

The quarterly progress report shall have to be submitted on or before 7<sup>th</sup> of the First month in the following quarter.

### **Monthly Work Plan**

The work plan for the each coming month shall have to be submitted in the monthly meeting along with that of the current month clearly showing site visits, targets v/s achievements, and various other elements.

The NGO shall document in full details, the consultation/ counseling processes, and a full description of the training imparted (or facilitated) as part of the assignment. The progress achieved in land acquisition as per entitlements shall be documented and shall be submitted to the EMU / SMU as a part of the monthly progress report.

### **Status Reports**

The NGO shall prepare and submit the status report in consultation with EMU / SMU as and when asked by R&BD besides at every WB mission visit. NGO shall also prepare Power Point presentation on status report during WB mission visit in consultation with EMU / SMU as and when required during the entire contract period.

### **Draft Final Report**

NGO shall submit a Draft Completion Report at the end of the contract period summarizing the actions taken during the project, the methods used to carry out the assignment, and a summary of support, compensation and assistance given to the PAPs (a guideline content of the Final Report is given in Appendix).

### **Final Report**

NGO shall submit final completion report complying all the remarks / comments of EMU / SMU PIU R&BD on Draft Final Report at the end of the contract period summarizing the actions taken during the project, the methods used to carry out the assignment, and a summary of support, compensation and assistance given to the PAPs (a guideline content of the Final Report is given in Appendix).

### **Participation in Periodic Review Meeting of PIU**

NGO Team Leader shall participate in the periodic review meetings of the PIU to

discuss about the progress of the assigned tasks, issues and constraints in carrying out any specific task, etc.

### **Submission of Meeting Records**

Minutes of the meeting shall be prepared for all the meetings with EMU / SMU and PAPs, GRC Meetings, various consultations with the PAPs, consultations with respect to shifting of community assets, joint verification of affected land and structures, etc., shall need to be recorded and submitted to the EMU / SMU.

### **Submission of Micro Plans**

All micro plans have to be submitted, with the status of disbursement and payment of compensation, on a monthly basis. Where changes occur during the project implementation, the NGO will update the relevant Micro Plans and resubmit them to the EMU / SMU.

### **Data, Services and Facilities to be provided by the Client**

The EMU / SMU will provide to the NGO copies of the Resettlement Action Plan / Tribal Development Plan / HIV-AIDS Prevention Plan, PAP database, land acquisition details, and any other relevant and available reports/data related to the respective project corridors.

### **Time Schedule**

It is estimated that the NGO services shall be required for a period of Two years. The NGO shall carry out all assigned tasks based on the milestones as set out by the EMU / SMU. The period of service shall be extended, if found necessary and on the basis of the performance of the NGO, for a period mutually agreed upon by both the parties (PIU and the NGO).

### **Payment**

All payments will be linked to the completion of tasks as per milestones assigned by the EMU / SMU. The payment to the NGO will be made against outputs as given below.

| Sl. No. | Output  | Payment Schedule  |
|---------|---|---|
| 1       | Upon Approval of Inception report<br>(should be submitted within 1 month)   | 10% of total Contract value. At the end of first month from commencement of the services with Bank Guarantee of 10% of Contract value |
| 2       | Joint verification of assets within RoW, dissemination and distribution of Entitlement Matrix, issue of Identity card for eligible PAPs. Submission of monthly work plans, MPRs and a QPRs.<br>(should be completed within 5 <sup>th</sup> month)   | 15% of the total contract value   |
| 3       | Submission of Micro Plan for Title Holders/Non-Title Holders and approval of the same by EMU / SMU, Disbursements of entitlement for PAPs, final data analysis report containing additional and or missing census details, Submission of monthly work plans, MPRs and QPRs.<br>(should be completed within 9 <sup>th</sup> month) | 30% of the total contract value   |
| 4       | Training and need assessment for income restoration, submission of monitoring and evaluation schedule of PAPs on the implementation of RAP, Submission of monthly work plans, MPRs and QPRs.<br>(should be completed within 24 <sup>th</sup> month)   | 15% of the total contract value   |
| 5       | On approval of Draft final report summarizing the action taken and RAP implementation works to be fulfilled by NGO, Submission of monthly work plans, MPRs and QPRs.<br>(should be completed within 30 <sup>th</sup> month)   | 15% of the total contract value   |
| 6       | On approval of final report summarizing the action taken and RAP implementation works to be fulfilled by NGO, Submission of monthly work plans, MPRs and QPRs, if any<br>(should be completed within 33 <sup>rd</sup> month)  | 15% of the total contract value   |

### **Team for the Assignment**

The NGO shall depute a team of professionals to the site. The constitution of the Core Team and their required qualification and experience shall be as follows.

| <b>Sl. No.</b> | <b>Position</b>                               | <b>Number of Position</b> | <b>Qualification/Experience</b>  |
|----------------|---|---------------------------|--|
| 1              | Project Manager /Team Leader                  | 1                         | Project Manager / Team Leader should be a post-graduate, preferably in social sciences. S/he should have about 10 years' experience in implementation of R & R and rural development works. S/he should have held responsible position in the previous assignments and should possess participatory management skills. Knowledge of local language is necessary. The Project Manager must have been with the NGO for at least 2 years. |
| 2              | Social Specialists cum Community Facilitators | 2                         | Should be graduate or equivalent in social sciences with at least five years field experience. They shall have experience in implementation of R & R and rural development works, Knowledge of prevailing R&R policies including WB's R&R policies. Should have at least three years of experience in community consultation. Knowledge of local language and experience of working in the region desired. One person must be woman.   |
| 3              | Land acquisition facilitator                  | 1                         | Should be a retired revenue officer having knowledge of prevailing land acquisition Act and land acquisition process, prevailing R&R policies including WB's R&R policies and its implementation to be able to liaison with the revenue department.  |
| 4              | Land Acquisition Specialist                   | 1                         | Should be a graduate or equivalent in social science with five years field experience in Land Acquisition should having knowledge of prevailing land acquisition Act and land acquisition process , to be able to liaison with the revenue department.   |

## **Appendix**

### RAP implementing NGO

#### Contents of final report

1. Introduction
  - a. Background of the Project
  - b. Action Plan for RAP Implementation
2. Details of Joint Verification
3. Status of Distribution of ID Cards
4. Details of Consultations carried out with PAPs
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6. Training and Support given to PAPs for income restoration
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9. Road safety awareness programmes
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- g. Details of sensitization programmes for R&BD personnel, contractors and other stakeholders
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11. Details of Consultation in Scheduled Area
- a. Consultation with Affected ST Households
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12. Awareness creation on Gender and Social Issues
- a. Awareness creation on gender issues
  - b. Health care facilities and working conditions of women in construction camp sites
13. Achievement of Targets: Physical and Financial [stage-wise]
14. Summary and Way Forward

# **COMPLAINTS HANDLING PROCEDURES**

## **Gujarat State Highway Project- II**

**Roads and Buildings Department,  
Government of Gujarat**

**AUGUST 2011**

## **COMPLAINTS HANDLING PROCEDURES**

### **Rationale and Purpose of Complaints Handling Procedures for Gujarat State Highway Project-II**

According to the rules of Business 1990, as amended up to 23rd November 2010 (under article 166 of constitution of India), subjects allocated to road and Building Department includes developments, planning, construction and maintenance of assigned roads. Roads assigned to the R & BD are the roads constructed/ to be constructed through plan allocation of the budget. R&BD is therefore accountable to the public for delivery of services w.r.t above charter. In keeping consonance with the mandated accountability and with a view to having good governance, various systems are being implemented to handle complaints and redressals in the department.

### **Systems in GOG**

There are a few systems which address to different grievances and take redressal measures. These systems are owned and operated by state's other agencies for which they have a separate mandate, rules and procedures. R & B cannot impose on these systems and has to integrate and align to the needs of these systems.

### **Swagat (State Wide attention on Grievances by Application of Technology)**

This is a web based computerized redressal system owned, operated and monitored by the office of Hon CM since May 2003. Swagat project is being hosted on every 4th Thursday of the month in the presence of Chief Minister in the Jansampark Department of Chief Minister Office. In his presence with all the department heads and the district representatives, the grievance of the common man are addressed through Video conferencing and solutions are provided online to the common man immediately. This is a three tier redressal system. Grievances not finding satisfactory redressal at the bottom tier go up successively. Grievances of serious nature, longer pendency and /or pertaining to policy matters find direct access to top tier.

### **Media Response System**

This is an online system to respond to the news in media criticizing GOG actions. The system is owned, operated and monitored by information department. A copy of media report is sent to the concerned department. The department has to decide whether to react or not on the media report. System mandates a fixed time frame for reaction. A repository is maintained and reviewed.

### **MP/MLA references**

The state has a computerized integrated work flow document management System. (IWDMS) Under this system, sub system for trekking MP/MLA references exists. The system treks the reference from receipt to final disposal. This system is owned, operated and monitored by CM office in respect of all the references from MP/MLA received by CM office.



## **Vigilance commission**

Functionally it is an independent office not reporting to any of the Government departments. Its mandate is to look into complaints involving allegations of monetary misappropriation against government employees and inferior quality of works. It functions through government machineries overseen by a team of a few officers loaned from GOG departments. It also now offers proactive vigilance. The commission has its own web site with a facility to register complaints directly.

## **Anti Corruption Bureau**

Anti Corruption bureau has been established to enhance, responsibility of Govt. employee and to make Govt. administration corruption free. The Bureau receives complaints from any person regarding misconduct of any government employees. It has its own website with necessary contact details and a facility for online complaint booking.

## **ATVT centers**

This is the most recent citizen oriented online services put up by the state government, owned and operated under revenue officers. One prant officer, with a team of support derived from various departments, looks after two talukas. He caters to public oriented time bound services like issuance of cast certificate, ration card etc. Complaints are also received and passed on to the responsible local counter part for necessary action.

## **System specific to R&BD**

Deputy Secretary (Enquiry) is the officer responsible to the head of the department for handling complaints and redressal. All written complaints other than anonymous complaints received by the department are sent to DS (Enquiry) who in turn with help of CE (QC) processes the complaints. Anonymous complaints are sent to the committee of three Chief Engineers who depending upon the gravity of matter decides whether to process the complaint further or not. Complaints received from non governmental agencies are primarily acknowledged by the complaint receiving officer before sending the same to DS (Enquiry) through the head of the department. Such complaints flow to DS (Enquiry) either from various field officers or through other sources. Acknowledgement is stamped on the complaints received from government machineries/ vigilance commission. Well drawn rules and procedures are followed to process the complaints.

Thus GOG and the R&BD in GOG have complaint handling procedures... But for Gujarat State Highway Project II which is being prepared with loan assistance from WB, R&BD at the behest of WB desires putting up within R&BD procedures for this project for interfacing with the existing mechanisms so that a centralized monitoring of all the complaints received from and through various mechanisms / individuals can efficiently take place under the information of WB and without budging inside the existing mechanisms.

Visibility of Project and implementing agency:

Any bench mark project always gets media coverage and floor dissemination. In addition, following steps shall give the project and its implementing agency adequate focus.

Publication of Annual budget book

MP/MLA interaction

Web site for Gujarat State Highway Project. This site shall have project related information such as name of roads, status, contact details officers in charge, procedure for complaints handling and other details agreed upon for disclosure.

Web site of R&BD

Workplace display of work specifications and contact details

Display of names and contact details at the Division office

Tele phone directory of the R&BD having the contact details of the officers working for the project

Proactive disclosure under RTI act and other publications decided under disclosure policy for the project.

Disclosing this mechanism on the web site

Accessibility for complaint:

Save for the limitations inherent to the various existing systems, any citizen can lodge complaints.

With any officer not below the rank of executive engineer in charge of the work

With any officer in charge of the redressal systems (listed above) in vogue in the state

Save for the limitations inherent to the various existing systems, complaints can be lodged in following modes.

- Through modes specified in the redressal systems in vogue in the state (listed above)
- Through telephone SMS and orally for MPs/MLAs and other dignitaries
- Through letter/fax
- Through email
- Through web site of GSHP
- Through web site of R&BD
- Through WB

### **Categories of Complaints**

#### **Related to project Services**

- New proposal / alteration in the scope of project
- On going/ completed project services
  - Quality
  - Procurement
  - R & R
  - Environment
- Related to inaction / delayed action

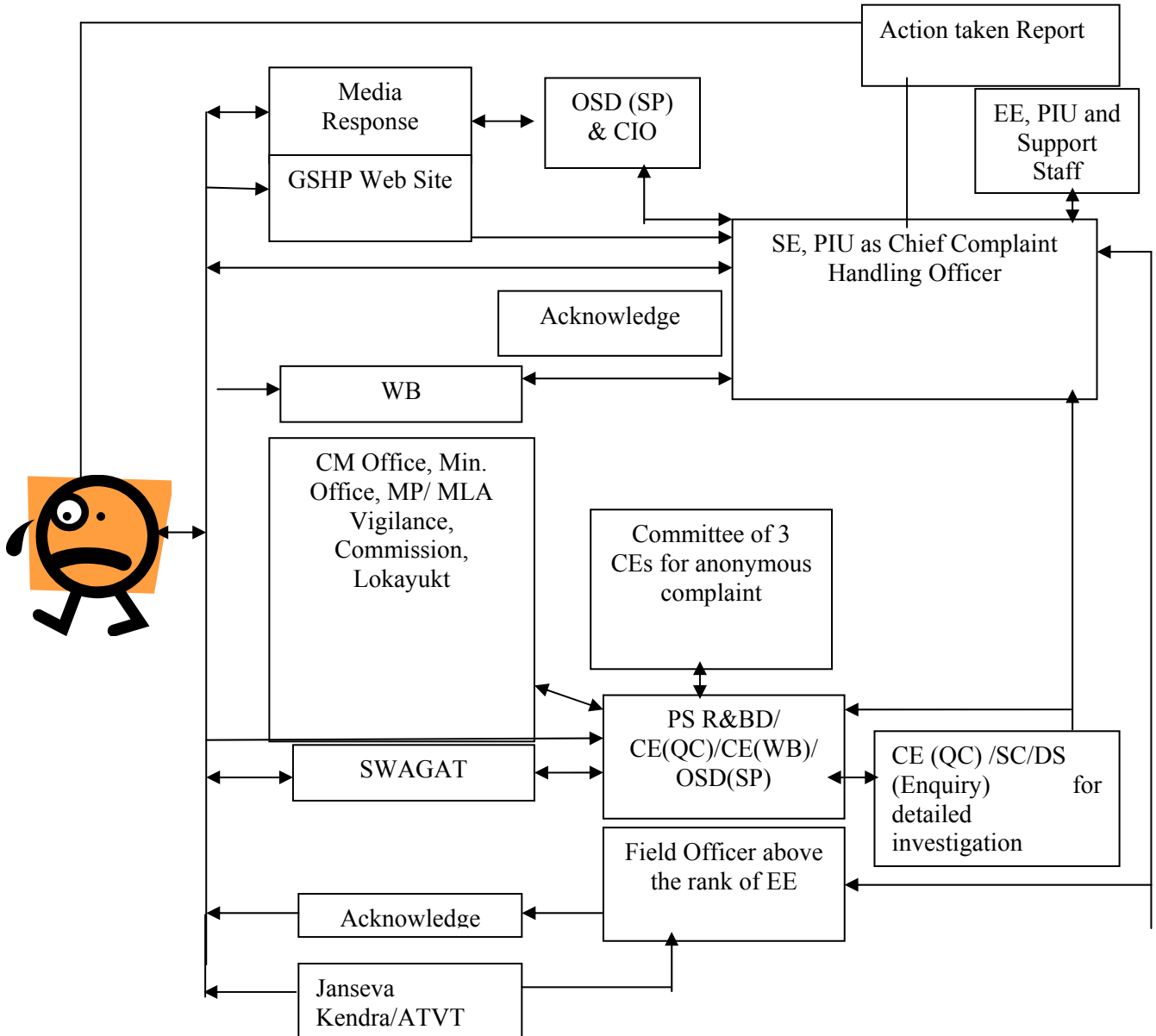
#### **Related to Personal**

- Misbehavior
- Corruption
- Service matter

**Responsiveness**

Complaints shall be processed as depicted in the following chart. SE, PIU shall be designated as chief complaint handling officer with set role and responsibilities. He shall mainly be responsible for complaints not related to personnel. Complaints related to personnel shall be dealt with as per the existing system. Training to the employees working under WB wing shall be given for clear understanding of the procedures involved and to treat the complainant in future dealings and not to discriminate / antagonize the complainant in future dealings.

**Flow Chart for Complaint Handling:**



## **Role and responsibility of CHO**

With respect to complaints received from other agency owned systems:

On monthly basis

He shall collect record of the complaints and responses transpired through the systems.

For Media Response, SWAGAT, MP/MLA references he shall collect details from OSD(SP)

For ATVT centers, he shall collect details from all the field officers under WB wing

For Vigilance commission and Anti corruption bureau, he shall collect details from DS (Enquiry)

He shall maintain record of such transpirations

He shall prompt concerned delegated officer/employees for pending responses in respect of complaints received through SWAGAT, MP/MLA referencing and ATVT Centers.

And

He shall inform the WB about the incidence and final disposal of the complaints in details.

With respect to complaints received directly within the department

All the written complaints save for complaints related to misbehavior of the employees and service matters of the employees, shall flow to the CHO. On receipt of such complaints he shall promptly acknowledge the receipt. Complaints of misbehavior and service matters shall be passed on the DS (Enquiry) in sending the prompt acknowledgement.

Telephonic Complaints from MP/MLA/Dignitaries shall be treated as written complaints and shall be treated accordingly. Other telephonic complaints shall not be entertained. Complaints making telephonic complaints shall be requested to give written complaint.

He shall cause the decision on anonymous written complaints by sending them to the standing committees of three Chief Engineers. Anonymous Complaints decided for further action shall be treated as written complaint and shall be processed.

Any complaint logged on the GSHP web site shall have automated acknowledgement and transfer of complaint to the CHO. Any complaint lodged on R&B website shall be treated as written complaint. CHO shall obtain such complaints from Chief Information Officer of the department on fortnight basis and process the same.

If complaint is received through SMS (from other than MP/ MLA/ Dignitaries), the sender shall be requested for written complaint. SMS from persons other than MP/MLA/Dignitaries shall not be

processed. SMS of MP/MLA/Dignitaries shall be printed out and treated as written communication. No acknowledgement shall be required.

Record of all the complaints (written, anonymous and telephonic/sms) shall be maintained in prescribed formats by the CHO. The incidence of all the process able complaints shall be informed to the WB in details.

CHO shall act in stipulated time frame to get the complaint processed through the existing system of complaint handling. For achieving this, he shall regularly monitor the status of complaints. He shall also place before CE(WB) the records every month. CHO shall inform the decision to the complainant under the intimation of WB.

**5 Performance Benchmarks – time  
(for complaint received from other than R & B Department)**

**TABLE-1**

| Complaint received from    | Response time frame               |  |  | Monitoring Period                   |
|----------------------------|-----------------------------------|--|--|-------------------------------------|
|                            | Acknowledgement on receipt by CHO | Intermediate response to whom complaint received | Final response   |                                     |
| World Bank Office          | within 15 days after receipt      | Not more than 30 days                            | Depending upon the depth of investigation and involvement of other agencies, within 30 days after getting the detailed report of Investigation or from other Agency. | Monthly                             |
| Media response system      | As per system                     |  |  | Monitored by Information department |
| SWAGAT                     | As per system                     |  |  | CM office monitors online           |
| GSHP web site              | Immediate, automatic              | Not more than 35 days                            |  | Monthly                             |
| Janseva Kendra/ATVT Center | As per system                     |  |  | Monthly                             |
| Other Offices              | within 10 days                    | Not more than 45 days                            |  | Monthly                             |
| Vigilance                  | within 10 days                    | Not more than 45 days                            |  | Monthly                             |
| ACB                        | As per system                     |  |  | Monthly                             |

Note: In exceptional cases the time of disposing off the complain may be more if it requires field investigations / preparing proposals etc.

**6 - Performance Benchmarks – time  
(for complaint received within R & B Department)**

**TABLE-2**

| Complaint directly addressed to  | Response time frame  |                       |  | Monitoring Period |
|--|--|-----------------------|--|-------------------|
|  | Acknowledgement on receipt by CHO                                    | Intermediate response | Final response   |                   |
| CHO & S.E-PIU  | within 10 days   | within 30 days        | Depending upon the depth of investigation and involvement of other agencies, within 30 days after getting the detailed report of Investigation or from other Agency. | Monthly           |
| Any other concerned project Officer of of R & B D,not below rank of E.E. | within 7 days by concerned project Officer of R & B with copy to CHO | within 45 days        |  | Monthly           |
| Any other Officer of R & B Department, Gandhinagar                       | within 10 days   | within 45 days        |  | Monthly           |

### **Anonymous Complaint**

On receiving of any such complaint, CHO will cause it to put up before committee of Chief Engineer's of GoG, R & B D for decision of processing of such complaints. After the receiving the decision of committee, CHO will process such complaint as per Table-2 as per the decision.

### **Oral Complaint**

On receiving of any complaint by SMS or by telephone from the high dignitaries like Hon'ble MP, Hon'ble Minister, MLA of existing assembly etc. by CHO, he will take necessary action on such complaints as per Table-2.

## **6.0 GRIEVANCE PROCEDURE**

In case, Complainant does not receive a decision within time specified in section of Complaint Handling Process or is aggrieved by a decision, then he may prefer to lodge complaint in higher bureaucratic/political/judiciary enclave.

**Format of Complaint Register**

| Sr. No. | Name & Address of Complainant | Date of receipt | Name of office and Officer by whom complaint received | Date & Letter No. | Brief description of complaint | Category of complaint | whether intimated to World Bank | If Yes, Date & letter No. | Date & letter no. of receipt of complaint by CHO | Brief of intermediate action taken by CHO | Letter No. & Date | Whether complaint require involvement of other Agency /Officer for detailed Report on complaint (Y/N) | If Yes, Name of office and Officer to whom complaint referred | Letter No. & Date | Date of receiving of detailed Report from other Agency /Officer | Date & letter no. of final Disposal | whether final disposal intimated to World Bank (Y/N) | If Yes, Date & letter No. | Feedback received from the complainant |
|---------|-------------------------------|-----------------|---|-------------------|--------------------------------|-----------------------|---------------------------------|---------------------------|--|---|-------------------|---|---|-------------------|---|-------------------------------------|--|---------------------------|--|
| 1       | 2                             | 3               | 4   | 5                 | 6                              | 7                     | 8                               | 9                         | 10   | 11  | 12                | 13  | 14  | 15                | 16  | 17                                  | 18   | 19                        | 20                                     |
|         |                               |                 |   |                   |                                |                       |                                 |                           |  |   |                   |   |   |                   |   |                                     |  |                           |  |
|         |                               |                 |   |                   |                                |                       |                                 |                           |  |   |                   |   |   |                   |   |                                     |  |                           |  |
|         |                               |                 |   |                   |                                |                       |                                 |                           |  |   |                   |   |   |                   |   |                                     |  |                           |  |
|         |                               |                 |   |                   |                                |                       |                                 |                           |  |   |                   |   |   |                   |   |                                     |  |                           |  |

Note:

- (1) The complaint register for all complaints is to be maintained at field offices and CHO Office (Office of S.E., PIU)
- (2) CHO will inform every month about status of the complaint to PD and on quarterly basis to P.S, R & B D

**Appendix-8:**

**Monitoring Indicators for Physical Progress**

| Sl. No | Monitoring Indicators   | Implementation Target | Revised Implementation Target | Progress this Month | Cumulative Progress | % against Revised Implementation Target |
|--------|---|-----------------------|-------------------------------|---------------------|---------------------|---|
| 1      | Land acquired – private (acre)                                    |                       |                               |                     |                     |   |
| 2      | Land transferred – government (acre)                              |                       |                               |                     |                     |   |
| 3      | Compensation for land (INR)                                       |                       |                               |                     |                     |   |
| 4      | Compensation for structure  |                       |                               |                     |                     |   |
| 5      | Preparation and dissemination of leaflets to various stakeholders |                       |                               |                     |                     |   |
| 6      | Preparation and approval of plans                                 |                       |                               |                     |                     |   |
| 7      | Number of joint bank accounts opened                              |                       |                               |                     |                     |   |
| 8      | Issuance of identity cards  |                       |                               |                     |                     |   |
| 9      | Submission of monthly progress reports                            |                       |                               |                     |                     |   |
| 10     | Shifting allowance for all affected categories                    |                       |                               |                     |                     |   |
| 11     | Livelihood Restoration Allowance for affected categories          |                       |                               |                     |                     |   |
| 12     | Vulnerable groups   |                       |                               |                     |                     |   |
| 13     | Community Assets  |                       |                               |                     |                     |   |

**Monitoring Indicators for Financial Progress**

| Sl. No | Category                      | Estimated Cost (INR) | Progress this month |
|--------|-------------------------------|----------------------|---------------------|
| 1      | Land Acquisition              |                      |                     |
| 2      | R&R Assistance                |                      |                     |
| 3      | NGO Services and M&E Services |                      |                     |

**Monitoring of Grievance Redress**

| Sl. No | Particulars                                | 1st Quarter | 2nd Quarter | 3rd Quarter | 4th Quarter |
|--------|--|-------------|-------------|-------------|-------------|
| 1      | No. of cases referred to GRC               |             |             |             |             |
| 2      | No. of cases settled by GRC                |             |             |             |             |
| 3      | No. of cases pending with GRC              |             |             |             |             |
| 4      | Average time taken for settlement of cases |             |             |             |             |
| 5      | No. of GRC meetings                        |             |             |             |             |
| 6      | No. of PAPs moved court                    |             |             |             |             |
| 7      | No. of pending cases with the court        |             |             |             |             |
| 8      | No. of cases settled by the court          |             |             |             |             |



### Illustrative Evaluation Indicators of Atkot-Gondal Corridor

| Indicators                       | Pre Project Baseline  | Mid Term Evaluation | End Project Evaluation |
|----------------------------------|---|---------------------|------------------------|
| <b>ECONOMIC</b>                  |   |                     |                        |
| Below Poverty Line               | Nil   |                     |                        |
| Household income (Annual)        | < Rs. 24000 = 2 out of 29 (7%)<br>Rs. 24001-48000 = 5 out of 29 (17%)<br>Rs. 48001-72000 = 7 out of 29 (24%)<br>Rs. 72001-120000 = 3 out of 29 (10%)<br>> Rs. 120001 = 12 out of 29 (41%)   |                     |                        |
| Occupation                       | Business/Trade – 9 out of 53 (17%)<br>Private service – 2 out of 53 (4%)<br>Agriculture labour – 3 out of 53 (6%)   |                     |                        |
| Average household expenditure    | Food (monthly) – Rs.2800<br>Education (yearly) – Rs.2624<br>Health (monthly) – Rs.1306<br>Local travel (monthly) – Rs.1103  |                     |                        |
| Percentage of earning women      | 28% (13 out of 46 female population)  |                     |                        |
| Average monthly earning of women | Rs.2875 (average earnings of 13 out of 46 working women)  |                     |                        |
| <b>ASSET OWNERSHIP</b>           |   |                     |                        |
| Ownership of household assets    | Television – 19 out of 29 (66%)<br>Refrigerator – 11 out of 29 (38%)<br>2-wheeler – 14 out of 29 (48%)<br>4-wheeler – 3 out of 29 (10%)<br>Telephone – 16 out of 29 (55%)<br>Washing machine – 2 out of 29 (7%)<br>Computer – 2 out of 237 (7%) |                     |                        |