

Annex I

Project Process Stages for Pre-feasibility and Feasibility and their Activities and Outputs

A. Inception Report

Activities

- Carry out reconnaissance survey of the proposed project area and identify significant socially sensitive receptors.
- Detail out the methodology for each stage of project preparation—i.e. feasibility, preliminary project report, and detailed project report.
- Identify and list specific techniques/tools, such as checklists and questionnaire schedules to 1) prepare project area profile; 2) social screening; 3) conduct census surveys and stakeholders consultations at different levels; 4) prepare land acquisition plans; 5) calculate replacement cost for assets, such as land and structures; 6) identify feasible livelihood programs; 7) management of cultural properties.
- Identify and provide detailed information on resources required in terms of expertise and required manpower for each stage of project preparation.
- Coordinate work plan with other study team in particular Executing Agencies and technical design team.
- Collect information through desk review and field visits on existing baseline conditions, include all land uses, structures, and people (e.g., demography, socioeconomic status, vulnerability, status of infrastructure and access to people, livelihood programs, market rate of assets, medical support for STDs, its prevalence, awareness on HIV/AIDS, legal status of land through revenue records within the likely project impact zone.
- Identification of key stakeholders involved in various aspects of the project (project implementing and executing agencies and groups from civil society); description of socioeconomic organizations of local communities that may affect project outcomes; carry out public consultation with the likely affected groups, NGOs, district administration, and other stakeholders and document the issues raised and outcomes; and assessment of local capacities in terms of participation in planning, implementation and supervision, and evaluation.
- Explore viable alternative project designs to avoid, where feasible, or minimize social impacts (displacement, impact on vulnerable community, cultural properties, etc.).
- Identify major and minor social impact issues, including identification of congested areas, accident-prone zones, loss of assets, livelihood, poverty, gender, and health issues, and estimate the economic and social impacts on people and land.
- Screen and prioritize social issues through different techniques, such as ranking and composite index.
- Carry out social screening in coordination with other screening exercise (environment and technical)—through desk review and field visits—of the project highways.

Output work plan and program to carry out the study.

B. Pre-feasibility Stage—Social Screening

Tasks

- Define likely project impact zone (direct/indirect) based on project proposal for improvement works and possible project alternatives.

- Scope out all issues for which detailed assessment will be required.
- Define social development outcomes for project and fix indicators and criteria for evaluation at completion.

C. SA and Draft Resettlement Plan

- Carry out specific consultation with likely affected population by alternate options for proposed design alternatives, such as bypasses, widening options, and underpasses, and for calculation of replacement cost;
- Visit all identified roads/highways to develop strip map and indicate all information on structures, utilities, and abutting land use that is likely to be affected within the project impact zone;
- Verify the legal boundaries of the right of way (ROW) according to the revenue records;
- Establish the cutoff date for eligibility criteria;
- Establish the likely types of economic and social impact on people, including on private land, traditional and customary rights, lease land, common property resources, and different usage of legal ROW;
- Assess and analyze social costs of all proposed design options;
- Assess various mitigation options available for addressing the adverse social impacts, and propose the most feasible option;
- Estimate a preliminary cost for broad mitigation options to address adverse impacts, such as land acquisition, transfer, and R&R, and ensure inclusion in the overall project cost;
- Identify cases of likely impact on indigenous communities and magnitude of involuntary resettlement to establish the applicability of GOI/State Government regulation;
- Carry out market surveys to calculate replacement costs for loss of assets;
- Carry out meaningful public consultation with project-affected person and other stakeholders on the types of R&R measures to 1) ensure that the proposed mitigation measures are feasible to assist people to improve their livelihoods and 2) provide opportunities to participate in planning and implementing resettlement programs;
- Conduct FGDs with different social groups, including women, on the various design options, such as location of underpasses, on all alternate alignments, partial or complete access control to avoid or minimize adverse impacts and design the mechanisms to minimize resettlement, to the extent possible, during project implementation;
- Prepare the draft RP in close coordination with the borrower and other stakeholders specially APs, based on type of losses expected, which describes entitlements and mitigation measures needed to assist affected person, specially for the vulnerable, in accordance with national and state rules and legal framework;
- Establish procedure for land acquisition;
- Prepare livelihood restoration as required;
- Estimate mitigation costs to be included in preliminary project cost;
- Identify possible risks to proposed mitigation measures;
- Develop and test resettlement database;
- Capacity and training needs assessment for implementing, monitoring, and evaluating the compliance with the RP; and
- Identify M&E indicators and develop monitoring and reporting mechanism.

Annex II

Project Process Stages for Detailed Project Report and their Activities and Outputs

D. DPR Stage—Social Safeguard Instruments

Tasks

- Photograph the affected/displaced family with the affected asset and number each asset;
- Conduct census survey of persons residing/using the corridor of impact (COI) to collect an inventory of types and extent of losses of each affected household, family composition and details on age and sex of all the members of the household, income levels and occupational pattern, vulnerability status, legal ownership status (private, traditional and customary ownership, lease), asset ownership status, and skills possessed. Prepare a fact sheet and attach the photograph of each project-affected person/family;
- Assess in detail all the adverse impacts and categorize each type of losses specific to the project area;
- Conduct FGDs on preliminary design options, such as on accessibility, alignments, safety, drainage, and others and integrate the outputs in the technical design;
- Carry out public consultation with different project-affected social groups about their options and rights pertaining to resettlement and with other stakeholders, such as NGOs, District Administration, tribal welfare department, etc., and provide a plan for continuous public consultation during implementation;
- Identify key formal and informal institutions operating at the village and subregional levels and assess their role in community decision-making processes as these affect project activities;
- Carry out market survey and focus group consultation with different social groups, including women, to prepare socially, technically, and economically feasible income generations schemes, including skill upgradation plans;
- Determine the legal framework of private land, customary and traditional laws governing land tenure, usufruct rights, leasehold and land acquisition, or transfer plans for the total project, including for tree plantation, if any, according to the revenue records (including acquisition for temporary purposes);
- Based on draft detailed designs, conduct field verification and consultation to identify locations for further minimization of social impacts, if any, and integrate with final designs;
- Establish the legal status of AP within COI. Carry out joint verification with the revenue department and borrower of COI to prepare land acquisition plans and provide specific details on the gaps between physical ownership and revenue records, identify land allotted to affected person by government departments and other agencies, if any;
- Modify and update database of project APs on a user-friendly platform;
- Finalize estimate of land required for resettlement and for economic rehabilitation;
- Identify the land and prepare a plan for relocation in consultation with the project displaced people with different social groups, including women and local administration;
- Prepare a plan that ensures the host population will not be adversely impacted and plan for consultation on the impact on resources and infrastructure with increase in population of the host areas;

- Carry out consultation on the draft R&R policy with identified stakeholders to also include project-affected person, organize workshop for other stakeholders, and finalize the same;
- Based on R&R policy, provide an appropriate action plan for additional support for the vulnerable and prepare an IPDP, and other action plans, if necessary;
- Determine the impact on community/cultural property and prepare a management plan for relocation and restoration in consultation with local groups;
- Identify various formal and informal institutions that may provide support for the implementation of RP;
- Assess institutional capacity and propose the institutional arrangement for implementation of RP, addressing grievances, and ensuring gender equity, and identify the roles and responsibilities of each agency;
- Develop a training program on R&R, based on the assessment of the capacity of the implementing agency;
- Develop monitoring indicators and formats for physical and financial progress, process monitoring and impact evaluation and indicators to ensure that the objectives of resettlement are achieved, and that child labor is not engaged in the project;
- Prepare an implementation schedule synchronized with time frame of civil works, and that ensures that no civil works will begin until people are fully compensated and adequately rehabilitated;
- Develop terms of reference for NGOs, external evaluation consultants, and for any other study identified for impact evaluation;
- Conduct risk assessment for proposed mitigation measures; and
- Develop detailed budget based on the outcomes of the study.

Appendix 2

Sample Resettlement Budget Format¹

The indicative resettlement budget presents different expenditure categories. The costs used for the budget are based on information collected during census and socioeconomic surveys, and from the revenue department and the Public Works Department (PWD) Schedule of Rates. The resettlement budget, particularly the compensation and assistance payment components for nonland assets, are computed based on market survey. Land value is collected from revenue officials to arrive at an estimate. It is suggested that during land acquisition an independent committee on Replacement Value Assessment should assess the amounts and the budget modified accordingly.

The Land Value

The compensation paid by the revenue department is always lower than the replacement value because of low registration value in order to avoid stamp duty. This eventually leads to court cases and delays the main investment project. However, the solatium of 30% and annual interest of 12% are added to that figure. Additional assistance is paid to ensure compensation is at replacement value.

The Value of Buildings

The cost of construction varies according to the type of construction. The values of buildings are estimated according to the schedule of rates of PWD division.

Land Value in the Project Area

District	Land Category	Value Per Acre (in Rs)
A	Irrigated agricultural land	
	Unirrigated agricultural land	
	Residential land	
	Commercial land	
	Temporary fallow	
	Land close to national or state highways/MDR/ODR	
	Land close to link roads	
	Other roads	

MDR = major district road, ODR = other district road, Rs = Indian rupees.

Value of Buildings

Building Category	Value per Foot (in Rs) ²
RCC roof, concrete floor, and brick masonry	
Brick wall with tin/asbestos roof	
Mud mortar house with thatched roof	
Wooden structures	

RCC = reinforced cement concrete.

¹ DHV Consultants. 2000. Resettlement Action Plan for Uttar Pradesh (UP) State Roads Project. Unpublished report submitted to UP Public Works Department and the World Bank.

Shrines

Reconstruction of Temple Complex

Sl. No.	Civil Works	Quantity	Unit	Rate (Rs)	Amount (Rs)
1	9" thick brickwork				
2.	RCC roof				
3	15-mm cement plaster				
4	CC flooring				
5	Brick Chabutra				
6	Cement plaster on Chabutra				
7	Purchase of hand pump				
8	Plinth protection around hand pump				
9	Cement plaster on plinth protection				
10	Boundary wall				
11	Fencing				
12	TW door with frame				
13	TW window with frame				
	Total				

CC = cement concrete, mm = millimeter, RCC = reinforced cement concrete, Rs = Indian rupees, TW = timber wood.

Reconstruction of Mosque

Sl. No.	Civil Works	Quantity	Unit	Rate (Rs)	Amount (Rs)
1	9" thick brickwork				
2	RCC roof				
3	15-mm cement plaster				
4	CC flooring				
5	Purchase of hand pump				
6	Plinth protection around hand pump				
7	Cement plaster on plinth protection				
8	Boundary wall				
9	TW door with frame				
	Total				

CC = cement concrete, mm = millimeter, RCC = reinforced cement concrete, Rs = Indian rupees, TW = timber wood.

Other Utilities

Wells

The cost of various types of wells is collected from the office of the Assistant Engineer, Public Health Engineering Department (PHED). The cost of different types of wells in Uttar Pradesh is shown below as an example. These prices will vary for different States.

Trees

Estimate for trees can be collected from the Horticulture and Forest Department. Cost of trees is

calculated based on age and girth of tree. The format is provided below.

Assistance for Squatters and Encroachers

All squatters will be provided Rs24,000 (at current price) under Indira Awas Yojana. Rs20,000 will be toward the residential structure and Rs4,000 toward the construction of toilet.

Shifting Allowance

Affected persons (APs), if displaced, shall be given a one-time grant according the entitlements.

Cost of Wells and Hand Pumps In Uttar Pradesh

Type of Wells	Cost per Unit (in Rs)
Hand pump (25–30 meters deep)	35,000
Wells	100,000
Tube wells (25–30 meters deep)	55,000
Stand post	20,000

Rs = Indian rupees.

Improvement of Ponds

Sl. No.	Civil Works	Quantity	Unit	Rate (Rs)	Amount (Rs)
1	9" thick brickwork				
3	15-mm-thick cement plaster				
8	Boundary wall				
	Total				

mm = millimeter, Rs = Indian rupees.

Cost of Trees as per Age Classification

Trees Species	GBH	Age in years		
		5–10	10–30	>30

GBH = girth at breast height.

Income Generation and Vocational Training

The training budget shall be calculated based on the following:

Transitional Allowance

Eligible AP is given a one-time grant or on equal monthly installment for a specified period (as per policy).

Rental Allowance

Rental allowance is paid to tenants who are displaced.

Economic Rehabilitation Grant

APs losing livelihoods are given a one-time grant.

Estimate of Budget for Training

Head	Amount (in Rs)
Fees of NGO per AP	
Food and accommodation for 7 days	
Cost of materials used in training	
Total	

NGO = nongovernment organization, Rs = Indian rupees.

Resettlement Budget Format

Sl. No.	Item	Unit	Cost/Unit (in Rs)	Total Unit	Total
A	Land Acquisition				
	Acquisition of agriculture land	Hectare			
	Acquisition of residential land	Hectare			
	Acquisition of commercial land	Hectare			
	Total compensation				
	Solatium at 30% (if acquired under LA Act)	Rs			
	Interest at 12% (if acquired under LA Act)	Rs			
	Subtotal				
B	Productive Asset Grants				
	Agriculture	Hectare			
	Residences	Hectare			
	Commercial	Hectare			
	Subtotal				
C	Assistance for Titleholders				
	Agriculture Landowner				
	Subsistence Allowance	Family			
	Transitional Allowance	Family			
	Subtotal				
	Residential Titleholder				
	Subsistence Allowance	Family			
	Transitional Allowance	Family			
	Rental Allowance	Family			
	Shifting Allowance	Family			
	Salvation of demolished material	Family			
	Subtotal				
	Commercial Titleholder				
	Subsistence Allowance	Family			
	Transitional Allowance	Family			
Rental Allowance	Family				
Shifting Allowance	Family				
Salvation of demolished material	Family				
Subtotal					
D	Assistance to Squatters and Encroachers				
	Rental Assistance	Family			
	Subsistence Allowance (vulnerable APs)	Family			

Resettlement Budget Format

Sl. No.	Item	Unit	Cost/ Unit (in Rs)	Total Unit	Total
D	Assistance to Squatters and Encroachers Transitional Allowance (vulnerable APs) Shifting Allowance Salvation of demolished material Assistance for residences under Economically Weaker Section Subtotal	Family Family Family Family			
E	Assistance to Tenants Assistance to tenants (Residential) Assistance to tenants (Commercial) Subtotal	Family Family			
F	Vulnerable Groups Economic Rehabilitation Grant Subtotal	Family			
G	Other Assets Compensation for trees Compensation for hand pumps Compensation for wells Relocation of temples Relocation of Mazar and Mosque Compensation for tube wells Enhancement of tank/ponds Repair of boundary wall of school/college Compensation for stand post Extension of government programs Subtotal	Per tree Per HP Per well Structure Structure No. No. Structure No. AP			
H	Resettlement Sites Development of sites for environment and social sites Subtotal	Family			
I	Income Restoration and Training Assistance toward training for vulnerable group APs, income restoration support Training of PWD and NGO staff Subtotal Preventive measures for HIV/AIDS	Family Lump sum Estimated			
J	Support for RAP Implementation Fee of Impact Evaluation Consultants M&E cost for PWD NGO cost Printing of ID card, policy, and photographs Restoration of buildings of archaeological value Subtotal	Estimated Estimated Estimated Estimated Estimated			
K	Additional Studies	Estimated			
L	Establishment cost of PIU	Estimated			
M	Grand Total				

AIDS = acquired immune deficiency syndrome, AP = affected person, HIV = human immunodeficiency virus, ID card = identity card, LA Act = Land Acquisition Act, M&E = monitoring and evaluation, NGO = nongovernment organization, PIU = Project Implementation Unit, PWD = Public Works Department, Rs = Indian rupees.

Appendix 3

Entitlement and Photo Identity Card¹

CLIENT

NAME OF PROJECT _____

Village/Town :.....

District:.....

I.D. Card No.

Structure No.

Name of the EP.....

Schedule No.....

Ownership Category

Type of Structure

Type of Loss

Unit of Entitlement

Annual Income of HH

No. of Family Members

Vulnerability

Relocation Option

Address for Communication



Location: km

Occupation

Religion

Vulnerability Criteria

Permanent Address

¹ DHV Consultants. 2000. Resettlement Action Plan for Uttar Pradesh (UP) State Roads Project. Unpublished report submitted to UP Public Works Department and the World Bank.

Losses Assessed

Type of Loss	Unit	Extent of Loss	Remarks
1. Agriculture a. Land b. Assets Type			
2. Non-agriculture a. Land i. TH : Residential ii. TH : Commercial iii. NTH : Residential iv. NTH : Commercial b. Structures i. TH : Residential ii. TH : Commercial iii. NTH : Residential iv. NTH : Commercial			
3. Livelihood:			
4. Trees: Types:			
5. Crops: Types:			
6. Business (kiosks)			
7. Others:			

NTH = non-titleholder, TH= titleholder.

Entitlements

A. Compensation for the Loss of	Unit	Rate	Amount (Rs)
1. Land			
a. Agriculture			
b. Residential			
c. Commercial			
2. Structures			
a. Residential			
b. Commercial			

Entitlements

A. Compensation for the Loss of	Unit	Rate	Amount (Rs)
3. Assets			
4. Trees			
5. Crops			
6. Others			
B. Assistance			
1. Market/Replacement Value Difference			
a. Land			
b. Structure - residential			
c. Structure - commercial			
d. Assets			
2. Transitional Allowance			
3. Shifting Assistance			
4. Rental Allowance			
5. Training Assistance			
6. Economical Rehabilitation Grant			
7. Govt. Scheme for Vulnerable Group			
8. Others			
Total (in Rs)			

Payment	Date	Cheque No.	Amount	Signature
1. First Installment				
2. Second Installment				
3. Third Installment				

Signature:

NGO Representative_____
CRRO/DRO_____
C.A._____
Project-Affected Person

Appendix 4

External Monitoring and Evaluation of Resettlement Implementation Sample Terms of Reference¹

BACKGROUND OF THE PROJECT

A. Provision for Evaluation

The resettlement plan (RP) includes a provision for mid-term and post-project monitoring and evaluation (M&E) by external consultants. The RP implementation has already been initiated. Therefore, (project authority) requires services of reputed consultancy firm for M&E of RP implementation.

B. Scope of Work

The scope of work for independent M&E consultant will be

- (i) Concurrent monitoring of resettlement and rehabilitation (R&R) implementation progress as laid out in RP prepared for the Project by Social Assessment Consultant
- (ii) Evaluation of R&R progress and achievement of projected R&R objectives
- (iii) Formulation of necessary measures to resolve problems and improve R&R implementation
- (iv) Development of monitoring formats and computerized monitoring system
- (v) Development of detailed list of specific and measurable indicators to indicate achievement of physical targets and fulfilment of program objectives. These indicators should cover
 - Organization performance,
 - Community mobilization and participation,
 - Financial progress,
 - Grievance redress,
 - Performance of rehabilitation activities,

- Women's development,
- Impacts of income restoration programs,
- Progress of LA and adequacy of compensation, and
- Availability of support services.

To determine whether the goals of R&R viz., restoration or increase of affected person's (AP's) living standards are achieved by evaluating the

- (i) Application of R&R policy,
- (ii) Functioning of the R&R institutional set-up,
- (iii) Timely delivery of entitlements under the R&R policy,
- (iv) Functioning of consultative and participatory arrangements,
- (v) Operation of designed economic activities, and
- (vi) Functioning of the grievance redress mechanism.

Tasks to be Carried Out by M&E Consultants

The firm selected for the assignments shall be responsible for

- (i) Submitting an inception report within 3 weeks; on signing up of the contract, including a work plan for the whole contract period, staffing, and personnel deployment plan.
- (ii) Preparing quarterly progress reports to be submitted to the client, with weekly progress and work charts as against the scheduled time frame for RP implementation.
- (iii) Preparing and submitting half yearly reports on a regular basis and to be submitted to the client.

¹ DHV Consultants. 2000. Resettlement Action Plan for Uttar Pradesh (UP) State Roads Project. Unpublished report submitted to UP Public Works Department and the World Bank.

- (iv) Submitting a completion report at the end of the contract period.

Reporting in writing, as well as photographs, videotapes, etc., taken during the assignment, shall be submitted in support of the reports. Accounts reports, both on expenditure on administration as well as training and other heads, shall be submitted with the quarterly and the completion reports.

In addition to these above, the firm shall prepare and submit separate descriptive reports on participatory micro plans with full details of the Participatory Rapid Appraisal exercises conducted.

Condition of Services

The firm shall ensure that RP is implemented effectively and properly. The prime responsibility of the firm shall be to assess whether each and every eligible AP has received appropriate and justified entitlement and that, at the end of the project R&R services, the eligible APs have improved (or at least restored) their previous standard of living.

All documents created, generated, or collected during the period of contract in carrying out the services under this assignment will be the property of the client. The firm without explicit permission of the client shall disclose no information gathered or generated during and in carrying out this assignment.

Time Frame for Services

The firm will be initially contracted for a period of 1 year from the date of commencement. Agreement may be extended depending upon the services provided by the firm.

Payment Schedule

Sl. No.	Payment Schedule	Percentage of the Contract Value (%)
1	On award of the assignment	10
2	On submission of inception report	15
3	On submission of half yearly report	25
4	On submission of Draft final report	30
5	On submission of final report	20

Team for the Assignment

The consultants are free to recommend a team commensurate with the requirements of the project, subject to the following conditions:

- (i) That the proposal should accompany a personnel deployment schedule, clearly indicating whether the deployment is home office-based or in the field.
- (ii) That the consultants must propose sufficient female professional staff in their teams.
- (iii) Junior support personnel and administrative staff will not be considered as “technical/professional” members.

Data to be Provided by the Client

Client will provide to the Consultants the copies of census data, RP Land Acquisition Plan, etc. collected/prepared by the design consultants/social experts.

About the Handbook on Resettlement for Highway Projects in India

The Handbook is designed as a guide to planning and implementing involuntary resettlement and as a reference document for orientation workshops and for training purposes. The detailed guidelines on resettlement plan preparation and implementation are presented in an easy to understand format. Each chapter covers a specific aspect of managing involuntary resettlement in highway projects.

About the Asian Development Bank

ADB aims to improve the welfare of the people in the Asia and Pacific region, particularly the nearly 1.9 billion who live on less than \$2 a day. Despite many success stories, the region remains home to two thirds of the world's poor. ADB is a multilateral development finance institution owned by 67 members, 48 from the region and 19 from other parts of the globe. ADB's vision is a region free of poverty. Its mission is to help its developing member countries reduce poverty and improve their quality of life.

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Asian Development Bank
6 ADB Avenue, Mandaluyong City
1550 Metro Manila, Philippines
www.adb.org
Publication Stock No. 101007
ISBN 978-971-561-637-9



Printed in the Philippines