V. Resettlement Planning

A. Introduction

Involuntary resettlement (IR) often disrupts the lives and livelihoods of APs by dismantling existing production systems, asset and resource bases, social networks, and cultural ties. APs experience acute social, economic, and psychological alienation and marginalization, often leading to their impoverishment and sometimes an increase in morbidity and mortality.

Traditionally, rehabilitation has been limited to payment of compensation and some skill training to support income-generating activities, which are usually unsustainable. But there has been an increasing realization that this is inadequate and, therefore, R&R activities must also take up income restoration activities aimed at improving or at least bringing the income of project APs to pre-project levels.

While land acquisition may not always displace people, it certainly has an effect on their living standards. ADB and World Bank policies emphasize avoidance of such disturbance and displacement and where such disturbance is unavoidable, the project authority should minimize adverse effects. Resettlement planning is designed to ensure that people who are physically or economically displaced end up no worse off and preferably better off than they were in the pre-project scenario. Resettlement planning should be conceived as an opportunity for improving the livelihoods of APs. APs should be consulted to ensure that mitigation of adverse effects, as well as benefits of resettlement, is appropriate and sustainable.

An RP should set out the strategies to mitigate adverse impacts and maintain or improve living standards of those affected by land acquisition and other resettlement effects. The key aspects that must be addressed are

(i) A resettlement policy framework that provides the basis for the plan;
(ii) Fair and adequate compensation to replace assets;
(iii) Entitlements for all categories of impact;
(iv) IR;
(v) Relocation plans;
(vi) Management framework for resettlement implementation;
(vii) Mechanisms for consultation and grievance redress;
(viii) Time frame for all activities;
(ix) Cost estimates for compensation and resettlement management and implementation;
(x) Sources of funding; and
(xi) M&E.

B. Types of Resettlement Plans

For example, in ADB-assisted projects, the type of RP that is required depends on the “significance” of involuntary resettlement impacts in a proposed project. A full RP is required when IR effects are significant. “Significant” means 200 or more people will experience major impacts, which are defined as (i) being physically displaced from housing, or (ii) losing 10% or more of their productive assets (income generating). A short RP is required for projects with “less significant” IR effects.

1. Full Resettlement Plan

A full RP should have the following components:

(i) Executive summary
(ii) Introduction (brief overview of the project indicating project location, type of civil works to be carried out; and summary of impacts)
(iii) Study methodology detailing process of social assessment, including both quantitative as well as qualitative surveys; consultation process;

methodology for analysis of alternatives; and sources of secondary data.

(iv) Resettlement policies and legal framework, including project-specific entitlement framework and Land Acquisition Act or NH Act, whichever will be used for acquisition of land.

(v) Socioeconomic Profile of the Project Area and Affected Person should include profile of the state and district prepared using secondary sources and by the results of census and socioeconomic survey. The survey results need to be analyzed under different topics, viz., different types of impact; categorization of APs under different impact categories; sociocultural characteristics; economic characteristics or resource base of APs; need for data update and mechanism to update data; and analysis of alternatives.

(vi) Community participation to include consultation and participation mechanism; process and level of consultations; key findings of the consultations; future plan for continued participation; mechanism for disclosure of RP; and methodology for follow-up consultations.

(vii) Land acquisition and impact on assets detailing land acquisition estimates; impact on families losing land and other immovable assets; and mitigation measures and options preferred by APs for their rehabilitation and relocation.

(viii) Impact on women and other vulnerable groups indicating number of women headed; Scheduled Caste (SC); Scheduled Tribe (ST) and BPL households being affected; number of children per women; women's role at the household and community levels; time disposition; impact on income of socially vulnerable households due to land acquisition or loss of livelihood; and mitigation measures provided in entitlement framework.

(ix) Income restoration detailing both short- and long-term income restoration programs (IRPs).

(x) Institutional arrangements and implementation schedule, including roles and responsibilities of different stakeholders and TOR for NGOs. Implementation schedule should have benchmarks by which progress can be measured at appropriate intervals.

(xi) M&E mechanisms detailing methods for internal and external monitoring; concurrent and annual monitoring; mid- and end-term evaluation and TOR for M&E agency.

(xii) Grievance redress mechanism

(xiii) Implementation schedule for resettlement coordinated with the construction schedule

(xiv) Budget for RP implementation

(xv) Sources of funding for land acquisition and resettlement

2. Short Resettlement Plan

The contents of a short RP are

(i) Executive summary

(ii) Introduction (brief overview of the project indicating project location, type of civil works to be carried out; objectives of social impact assessment and RP; methodology followed; and summary of impacts)

(iii) Resettlement policies and legal framework, including project-specific entitlement framework and Land Acquisition Act or NH Act, whichever will be used for acquisition of land.

(iv) Census survey results should include different type of impacts; categorization of APs under different impact categories; need for data update and mechanism to update data; impact on women and other vulnerable groups; and mitigation measures as per policy framework.

(v) Community participation, including consultation and participation mechanism; process and level of consultations; key findings of the consultations; future plan for continued participation; mechanism for disclosure of RP; and methodology for follow-up consultations.

(vi) Land acquisition and impact on assets detailing land acquisition estimates; impact on families losing land and other immovable assets; and mitigation measures and options preferred by APs for their rehabilitation and relocation.

(vii) Income restoration detailing both short-and long-term IRPs

(viii) Institutional arrangements and implementation schedule, including roles and responsibilities of stakeholders and TOR for NGOs

(ix) Monitoring and evaluation (M&E) mechanisms detailing methods for internal and external monitoring; concurrent and annual monitoring; mid- and end-term evaluation and TOR for M&E agency.
(x) Grievance redress mechanism
(xi) Implementation schedule
(xii) Budget for RP implementation
(xiii) Sources of funding for land acquisition and resettlement

C. Indigenous Peoples Development Plan (IPDP)

According to the Constitution of India, indigenous people (IP) are tribal population. The tribal community has distinct sociocultural beliefs and practices and, therefore, are at greater risk of being impoverished due to loss of assets/livelihood. Therefore, if tribal families are affected, it is important that a separate tribal development plan or framework (depending on type of impact and number of tribal families affected) is prepared. The aim of an IPDP is to (a) ensure that indigenous people benefit from development projects; (b) ensure that the development process fosters full respect for their dignity, human rights, and cultural uniqueness; and (c) avoid or mitigate potentially adverse effects caused by developmental activities on indigenous people.

D. Resettlement Planning Gaps

Certain critical gaps that have been identified in various resettlement projects are detailed below in the hope that these deficiencies will be addressed in future projects.

1. Gender Analysis

Case studies show that gender concern is missing not only from resettlement planning documents but also from policy frameworks, despite enough empirical evidence suggesting that men and women are differentially affected by displacement and the resultant resettlement. Cernea (2000) has pointed out that women suffer more severe impacts. Many others have also pointed out instances of discrimination against women in compensation criteria: for instance, entitlement to rehabilitation assistance for unmarried individuals is set in Orissa at 18 years for men, but 30 for women.

In order to capture the gender dimensions of displacement realities and carry out gender-sensitive resettlement planning and implementation, the livelihood, risk, and vulnerability analyses need to be carried out with a gender perspective and its outcomes need to be utilized for preparing RP in general and for designing and implementing income restoration activities in particular.

2. Land Acquisition Plans

It has been noticed across projects that land acquisition estimates prepared during preparation of the project are found to be inaccurate during implementation. This is primarily because of (i) old and poor-quality land maps, which have not been updated; (ii) highways marked on revenue maps and existing highways not matching; (iii) family disputes and separate laws of inheritance under respective religious laws; (iv) lack of proper family settlement records; (v) partition as per physical possession without any supporting document; (vi) old records (e.g., settlers on Zamindari land, as land ownership has not been changed); unclear title and joint ownership; (vii) weaknesses of DPR consultants, PIU staff, and NGO staff; and (viii) inadequate institutional framework at the state level and overdependence on state revenue officials for land acquisition.

In order to avoid such poor estimates, it is important that

(i) Consultants preparing projects deploy dedicated professionals having clear understanding of land issues;
(ii) TOR for consultants carry specific and exhaustive section on land acquisition specifying all the tasks;
(iii) Land records are updated;
(iv) Implementing agency hires revenue department officials right from the planning stage.

This will help NHAI to draw land acquisition plans correctly in the beginning thus avoiding last minute delays. For identification of affected plots, the social team should be given the drawings of proposed approaches on scale of *Sajara* (revenue) maps. The social team should plot the centerline on the revenue maps of the affected villages to derive the list of affected villages and to identify affected plot numbers. On identification of affected plots, *lekhpal* (revenue clerk at the *panchayat* level) should be approached to identify the owners of the affected plots along with their addresses and joint holders (if any). On identification of plot owners and joint holders, questionnaires designed for the survey should be canvassed to include social and economic details of APs.

3. Compensation

Compensation as decided by competent authorities has always been low despite adding a solatium and interest over and above compensation amounts. This is primarily because sales amounts recorded in land transactions are low in order to save on stamp duty, and competent authorities consider sales deeds as the basis for computing compensation.

There are a number of ways to pay fair and adequate compensation:

(i) Compensation at replacement value. However, again there is no fixed method for arriving at replacement value. So far, productivity methodology has been used to arrive at replacement value.
(ii) Negotiated land settlement, which has been successfully implemented in the Allahabad Bypass Project.
(iii) Consent award as implemented for acquiring land for Bangarmau bypass under the Uttar Pradesh State Roads Project.

4. Income Restoration Strategies (IRSs)

Case studies show that income restoration always takes a backseat during project implementation as relocation becomes the top priority for the project authority to carry out the civil works. The other reasons for poor planning of income restoration include

(i) Lack of genuine concern and commitment, on the part of the planning and implementing agencies, to implement income restoration activities;
(ii) PIUs and implementing NGOs often do not have the necessary knowledge, skills, and attitude to design and implement income restoration activities, nor are they trained to do so;
(iii) Income restoration activities are perceived as a practical impossibility within the given time frame of project implementation and, therefore, as an obstacle to be overcome for implementing the main investment project; income restoration activities are limited to some customary training for skill upgrading to enable them to take up new vocations;
(iv) Income restoration activities are often initiated toward the end of the implementation process; as a result, there is hardly any time left to seriously undertake these activities; and
(vi) Assessment of the pre-cutoff date income of APs is limited to a questionnaire-based survey, which is inadequate and unreliable.

In order to prepare practical and sustainable IRPs, it is important that

(i) Reliable baseline data on income (as on or before the cutoff date) of APs is generated during census and socioeconomic survey as an integral part of the preparation of RP;
(ii) NGOs for implementation are selected during the project preparation stage itself; the same implementing NGO should carry out detailed census and socioeconomic surveys;
(iii) Income assessment of APs, livelihood analysis, risk and vulnerability analysis, and perception mapping studies should be an integral part of RP preparation;
(iv) Income assessment should be carried out in a participatory manner (using Participatory Rural Appraisal [PRA] and Participatory Learning and Action [PLA] tools) based on the active involvement of APs, in lieu of the questionnaire-based survey method currently in use;
(v) Income has to be viewed and addressed in the broader context of livelihood restoration (including asset and resource base, market linkages, client base, etc.) and not simply in terms of cash income;
(vi) Income restoration activities need to be conceived and designed, as much as possible, within the already proposed project activities, such as corridor management, safety zone management, and creation of wayside amenities;
(vii) Trades, which are not capital intensive, should be considered by NGO;
(viii) Capacity building for project staff and implementing NGOs are critical;

(ix) Identification of trade should be based on local market surveys, skills assessment, and availability of assets among APs;
(x) In local market survey, NGO should collect information on the requirements of the local market, products and services used in the local market, and supply chain management of the local market;
(xi) Skills assessment should be carried out through individual consultation, as well as group consultation. The database of trainees should include age, sex, current skills, options of trade, and availability of assets among APs;
(xii) Each training module should be prepared by specialist trainers and, as much as possible, training should be conducted on-site; and
(xiii) For every trade selected there should be market linkage, technological support, linkage with the bank, and buy-back arrangements until it is self-sustainable.

E. Preparation of a Resettlement Plan (RP)

Resettlement planning involves a series of activities that have to be carried out in sequence, leading to the finalization of a plan that meets the specific requirements of a project and one that has the concurrence of all the stakeholders. The specific activities are initial social assessment, detailed inventory of assets, census and socioeconomic survey, land acquisition survey, establishing a database of APs and impacts, preparation of an entitlement matrix, determining the basis on which replacement costs will be paid for different categories of assets, plan for conducting consultations with APs, preparing income restoration plans, deciding on any preferential policies that are needed, gender analysis, identifying and addressing the needs of vulnerable groups, budgeting and phased implementation plans synchronized with highway construction schedule, sources of funds to implement RP, institutional arrangements, drafting RP, and disclosure and approval by RPs. These tasks are detailed in the following sections.

1. Initial Social Assessment (ISA)

The first step in resettlement planning is ISA covering macro-level social issues. (See Appendix 1: Model Terms of Reference for Social Impact Assessment and Preparation of Resettlement Plan.) ISA will provide the project authority with a framework for more detailed investigation and for planning mitigation measures to address specific social issues. The major activities to be carried out include

(i) Social screening,
(ii) Preparation of socioeconomic profile of project area,
(iii) Stakeholder analysis and risk assessment, and
(iv) Establishment of legal right of way (ROW).

a. Social screening

The screening should achieve the following objectives:

(i) Identify key social issues relevant to the project objectives, and specify the project's social development outcomes.
(ii) Provide a macro-level socioeconomic profile of the population and available infrastructure facilities for services (disaggregated by gender, ethnicity, vulnerable groups, especially indigenous minorities, youth, and aged; economic aspects, etc.) in the project influence area to identify potential positive impacts toward reducing poverty and adverse impacts of the project on affected communities.
(iii) Identify key stakeholders who are directly affected (positively or negatively) and carry out stakeholder analysis to determine their roles in achieving social development outcomes.
(iv) Inform, consult, and carry out dialogues with stakeholders on matters relating to project alternatives, identification of priorities, and selection of project highways and provide specific recommendations to avoid/minimize high social risks (e.g. activities where it is advisable not to proceed); also develop a consultation framework for participatory implementation.
(v) Identify and analyze the performance of formal and informal institutions that have a stake in the project to influence social development outcomes.

The scope of work under social screening:

(i) Define likely project impact zone (direct/indirect) based on project proposal;

(ii) Collect information through desk review and field visits on existing baseline conditions, include all land uses, structures, and people (for e.g., demography, socioeconomic status, vulnerability, status of infrastructure, and access to people, livelihood programs, market rate of assets, medical support for sexually transmitted diseases, its prevalence, awareness on HIV/AIDS, legal status of land through revenue records within the likely project impact zone);
(iii) 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 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, supervision, and evaluation);
(iv) Explore viable alternative project designs to avoid, where feasible, or minimize social impacts (displacement, impact on vulnerable community, cultural properties, etc.);
(v) 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;
(vi) Screen and prioritize social issues through different techniques, such as ranking and composite index;
(vii) Scope out all issues for which detailed assessment will be required;
(viii) Define social development outcomes for the project and fix indicators and criteria for evaluation at completion; and
(ix) Preparation of Resettlement Policy and Entitlement Framework.

b. Socioeconomic profile of project area

Developmental strategies cannot be successful without a complete understanding of the socioeconomic activities, the communities, and the area. In order to assess the impact of the project on people in the zone of influence, it is important to understand the socioeconomic dimensions of the affected population. The cultural and anthropological behavior of the community also needs to be looked into. Other parameters to be discussed include the physical and economic characteristics of the affected zone. This will help the project authority to decide on more appropriate and responsive mitigation measures in addressing involuntary resettlement. Secondary data should be collected on socioeconomic conditions of the project area. The information to be collected includes

(i) Demography (viz., population and population growth rates by economic region, distribution of rural and urban population, sex ratio, household type, religious groups, social stratification, age group classification of population, literacy level, regional variations in population growth and density);
(ii) Geographical (viz., topography and climate, land use and administrative structure); and
(iii) Economic (viz., state domestic product, poverty, urbanization, work participation rate, percentage of workers, main and marginal workers, occupation pattern, income level, BPL population, economic growth forecasts, customary activities, land tenure, industrial classification and productivity, livestock population and productivity, and relative development index of project districts). Secondary data must be collected at the block level.

c. Stakeholder analysis and risk assessment

For proper resettlement planning, primary stakeholders (APs, host communities) must be identified. Their needs, expectations, and interests should be assessed in terms of

Suitability
(i) Economic characteristics
(ii) Social and functional linkages
(iii) Employment opportunities
(iv) Community environment
(v) Acceptance of plan among the potential APs

Adequacy
(i) Scope
(ii) Availability

(iii) Quality
(iv) Coverage
(v) Reach

The RP is meant to facilitate drawing up of intervention strategies with a view to reducing the adverse impacts of the project and to improve the quality of life among the primary stakeholders. The intervention strategies are to be implemented by secondary stakeholders (Figure 1).

Although the secondary stakeholders implement the intervention strategies, their contribution to the intervention strategy often varies in accordance with their objectives and profile. Thus, while one agency may provide the finance/funds, another may provide the human resources, technical assistance, etc. If the contributions and the desired roles/responsibilities of all stakeholders are defined well, the individual efforts may be harnessed effectively to extract the inherent synergies.

During the initial resettlement planning stage, based on available information and understanding of the objectives of the resettlement issues, a stakeholder table—which delineates the interest in terms of expectation, benefits, ability to commit resources, goal conflicts, etc., for the identified primary and secondary stakeholders—should be drawn up. The table will also depict probable impact of the schemes on stakeholder interests.

This table will be used as the preliminary framework on which the analysis shall proceed. The framework, however, may undergo modification, additions, and/or deletions as the research progresses and as more concrete information becomes available. As such, the preliminary stakeholder table aids in the data collection process by indicating the direction in which it should move and the areas that need emphasis. These tables can be used as the preliminary framework on which the information can be analyzed at the various stages of resettlement as follows:

(i) Organizational responsibilities
(ii) Socioeconomic survey
(iii) Legal framework
(iv) Alternative site identification and selection
(v) Compensation for lost assets
(vi) Land tenure, acquisition, and transfer
(vii) Access to training, employment, and credit
(viii) Shelter, infrastructure, and social services
(ix) Host community surveys
(xi) Involvement of NGOs
(xii) Implementation procedure and institutional set-up (best suited to local conditions)
(xiii) Management strategy for resettlement implementation
(xiv) M&E system and due process

Table 1 shows the direction in which the study should progress and areas that need emphasis. The focus of the analysis will essentially include (but not be limited to) the needs, interests, aspirations, skills, and perceptions of primary stakeholders in relation to the interests of secondary stakeholders and the overall feasible implementation of the program.

d. Establishment of legal right of way (ROW)

During initial stages of resettlement planning, it is important to establish the legal right of way (ROW) available with NHAI/PWD from revenue records. It is essential to refer to revenue records as at times people just donate land to highway construction authorities and, thus, such highways do not have any ROW especially in case of state highways.

2. Social Impact Assessment

This section deals with the approach and methodology followed for data collection and analysis. Social impact assessment and resettlement planning component has four main elements:

(i) Census and baseline socioeconomic survey of potentially affected population,
(ii) Consultation methodology,
(iii) Identification of affected assets, and
(iv) Impact assessment.

These elements have been further elaborated in the following paragraphs.

a. Census and socioeconomic survey

The complete R&R process includes integration of engineering, environment, and social inputs. The R&R team includes social scientists, civil engineers, field supervisors, community organizers, and field investigators doing the census verification, socioeconomic surveys, and public consultations.

Table 1: Stakeholders

Stakeholder Category	Interests (indicative)	Potential/Probable Impacts
Primary Stakeholders		
Vulnerable Groups	• Involvement in planning and implementation process • Access to information • Local support for project • Better sanitation and environment conditions • Better access to other services • Better access to drinking water facilities • Better access to irrigation facilities • Enhanced quality of life • Dispute over area allocation • Employment opportunities	• (+ / -) • (+ / -) • (+ / -) • (+ / -) • (+ / -) • (+ / -) • (+ / -) • (+ / -) • (+ / -) • (+ / -)
Secondary Stakeholders		
Project Authority/NGO/ Line Departments	• Fund flow • Project management • Effective reach of benefits • Successful implementation • Institutional and local support for project	• (+ / -) • (+ / -) • (+ / -) • (+ / -) • (+ / -)

Source: Operations Research Group. 2001. Inception Report on Monitoring of RAP Implementation in Third National Highways Project (World Bank-funded).

The different steps in the process are as follows:

Step 1

Preliminary reconnaissance of the project highway to take into account sections with potential R&R issues. This is to be done with the social scientist in charge, along with the field surveyor and investigators. At this stage, the sections of highways having social impacts and types of impact will be identified.

Step 2

Next, the ROW status of the highway is ascertained through collection of land records from the revenue department. ROW information is important in order to know the land available for widening, and land acquisition requirements. Collection of ROW information may continue simultaneously with the census and socioeconomic surveys. The census survey covers 100% of the potentially affected population within 30 meters (m)/60 m (state highways/national highways) corridor. Following the designs, those within the corridor of impact (COI) are considered eligible for support under the project. The existing centerline provides the benchmark line to survey 15 m/30 m on either side (i.e., within the 30 m/60 m COI). The baseline data will be collected in 30 m/60 m corridor to get information for a wider corridor as it gives more flexibility for deciding widening options. Census data provides the basis for establishing a cutoff date for non-titleholders in order to determine who may be entitled to relocation assistance or other benefits from the project. However, for titleholders, the date of publication of 4(i) notification under LA Act, 1894 or 3D under NH Act, 1956 shall be considered the cutoff date.

The census registers the owners' name, address, legal document, if any, toward the claim of the property, all household members and individuals within the potential COI, their assets and incomes, and sufficient demographic and social information to determine whether they are to be categorized as vulnerable groups with special entitlements under the project. Private landowners, tenants, squatters, and encroachers within ROW shall be covered in the census. Social census team should be preceded by a team of civil engineers responsible for measuring the potentially affected structures perpendicular and along the highway to record the size and shape of the structures. Each structure should be measured and the location recorded.

The socioeconomic survey, which is usually carried out on a sample basis, provides the baseline against which mitigation measures and support are measured. The analysis covers the needs and resources of different groups and individuals, including inter- and intra-household analysis and gender analysis.

Step 3

This step involves deciding the sections, which need realignments and bypasses. This will be executed by measuring the distance of structures from the existing centerline. If the width available does not meet the minimum requirement, then the option of a bypass/alignment vis-à-vis demolition of structures can be considered.

The proximity of location of settlements along the highways is one of the deciding factors in addressing the degree of impact. This process is facilitated by local-level consultations where the needs and opinions of local people are taken into consideration to find out the opinion of the local community about widening the highway through the village and its impacts.

Step 4

The field information is integrated with the engineering designs. Once it is concluded that there is no space for highway expansion and any expansion will affect a large number of households, then an alternative alignment/bypass is identified around the village. This is done by the social scientist with topographic surveyor in-charge. This exercise includes analysis of various alternatives.

Step 5

After the integration of the social and environmental inputs, the final engineering drawings are completed. After this is done, the actual number of affected families is identified, especially in the built up area, where there is reduced COI. To identify legal owners, encroachers, and squatters, revenue records may be used for verification of legal ROW and the boundaries of properties likely to be within the COI. With the completion of final drawings, only those within the actual COI will be considered eligible for entitlement under the project, and the list of affected families will be generated.

b. Consultation methodology

The objectives of the consultation are to disseminate information about the project to the potentially affected population in order to incorporate their views and suggestions for preparing the RP and the design and to assess the economic situation of the settlement. Keeping in view the complexity of the consultation process, consultations at the State, district, and local levels should be undertaken.

Local-level Consultation

For local-level consultations, villages shall be selected from the following categories:

(i) Villages inhabited by population living below the poverty line and with poor infrastructure facilities,
(ii) Villages inhabited by scheduled population, and
(iii) Villages inhabited by population living above the poverty line and with adequate infrastructure facilities.

Women community organizers shall consult with the potentially affected population ingroups. Care should be taken to ensure that each group is not larger than 15 persons. Before initiating the group discussion, social and resource maps should be prepared by the villagers. This helps in building rapport. Local-level consultation helps in finalizing issues, such as proposed location of bypasses (if proposed), distribution of resources in the village, relocation of religious structures, etc.

District-level Consultation

The objective of district-level consultations is to create awareness about the project among the people, district administration, and officials of line departments and NGOs working in the district. These consultations should be held in all project-affected districts. During the consultations, the draft R&R policy and entitlement framework, along with the tentative alignment, should be discussed. Suggestions on design should be invited from participants and it should be incorporated in the design as much as possible.

State-level Consultation

The objective of State-level Stakeholder Workshop is to appraise various stakeholders about the project, its components, and the R&R policy.

Collection of Data from Secondary Sources

Secondary data required for resettlement planning can be collected from various sources:

(i) Centre for Monitoring Indian Economy
(ii) District Census Handbooks of districts
(iii) Tehasil Offices (for cost of agriculture land)

(iv) Census of India
(v) ADB publications on involuntary resettlement
(vi) World Bank operational directives

3. Land Acquisition Survey

In the course of widening and strengthening of highways, land is both acquired, as well as taken on lease. The land taken on lease is temporary in nature and is returned to the owner after a specified period of time as mentioned in the lease agreement. This arrangement is generally known as requisition of land, or at times is also referred to as temporary land acquisition. Land acquisition, on the other hand, is permanent in nature and title of the portion of land acquired is transferred in the name of the department/agency acquiring land.

Requisition of land becomes necessary in the following situations:

(i) When diversion becomes necessary during highway construction.
(ii) Setting up of contractor's camp, hot mix plant, batching plant, etc. have to be put in place.
(iii) At times if ROW is too narrow, dumping of construction material may also require temporary land acquisition. However, such cases are very rare as mostly material is stored in contractor's camps.

However, the agency that takes the land on lease should return it to the owner in the original condition on completion of activities or expiry of lease period.

a. The process

In order to identify affected plots, the Social Team should be given the proposed alignment of bypasses/realignment/widening on scale of Sajara (revenue) maps by the design team. The Social Team will plot the alignment on revenue maps of the affected villages to derive the list of affected villages and to identify affected plot numbers. On identification of affected plots, lekhpal (revenue clerk at the panchayat level) will be approached to identify the owners of the affected plots along with their addresses and joint holders (if any). During the plotting of the centerline, care should be taken to ensure that no land gets severed due to bypasses. On identification of plot owners and joint holders, a questionnaire designed specifically for bypasses, which includes details regarding social and economic aspects of APs, should be completed.

Box 1: When is Land Acquisition Required?

Acquisition of land is required when

1. Corridor of Impact is more than the Right of Way (ROW)
2. Bypass has been proposed to avoid large-scale displacement
3. Realignment has been proposed to improve the geometry of the road and new sections fall beyond the ROW
4. A new bridge has been proposed and approaches for the bridge would require fresh land acquisition
5. No government land is available for resettlement sites

Source: RETA survey, 2004–2005

b. Summary of steps

The steps to be followed in each of the tasks are given below:

(i) Collection of revenue maps of affected area,
(ii) Plotting of highway section on the revenue map,
(iii) Identification of affected plots, and
(iv) Identification of khatedars (titleholders) from the records of lekhpal/patwari (village-level revenue official)

c. Calculating compensation

The Land Acquisition Act does not specify a fixed method for calculating compensation for acquired land and assets. However, the basic element in deciding the amount of compensation is the market value. Within the framework of the law, the courts have interpreted market value as the price that a willing purchaser would pay to a willing seller for a property giving due regard to its existing condition, with all its advantages and potential possibilities. It is, however, not easy to precisely determine what should be the most accurate market value of a given property. The market conditions are never constant. The demand and supply factors vary enormously over a period of time and from place to place. The uniqueness of each property, its location, size, quality, and possible potentialities need to be considered. With these constraints, different methods to determine compensation are in vogue. Some of the methods are discussed here.

d. Sale statistics method

All sales and purchases of land, an immovable property, have to be registered. The registered sale prices can be taken as an indicator of market value of a given piece of land. Sale prices of those lands, which are comparable in time and quality, are only to be considered. The steps involved in calculating compensation according to sales statistics method are as follows:

Step 1
Collect statistics of sales of land/buildings adjacent to ones being acquired for 3–4 years preceding 4(1) notification from Registration Department.

Step 2
Workout average of 3–4 years per acre/hectare rates

Step 3
Average Price (Appraised Price) + 30% of appraised price as solatium + 12% of Appraised Price as additional market value per annum from the date of 4(1) notification to date of award to arrive at compensation.

Step 4
Add damages or incidentals, if any.

Step 5
Calculate interest from date of award at 9% for first 12 months and 15% for the period thereafter.

e. Capitalization method

Where reliable information is not available on the prevailing market value of the land, the capitalization method is used to decide compensation. The following steps are involved in calculating compensation according to the capitalization method (Jamdar 2001).

Step1
Calculate net income
(Gross Income – Expenses = Net Income)

Step 2
Calculate market value
(Net Income x Multiplier[2] = Market Value)

Step 3
Calculate Compensation
(Market Value [MV] + 30% of MV as solatium + 12% of MV per annum as Additional Market Value = Compensation)

Step 4
Add cost of damage/incidental, if any, and add the interest set at 12% per annum for the period of delay in disbursement of compensation from the date of award.

f. Expert assessment

Assessment of the value of certain horticultural crops, plantation crops, buildings, waterways, bunds, etc. requires special expertise. Professional valuers are used for valuing such immovable properties. They take into account the longevity, health, and expected yield levels while assessing income and standard practices along with the age. Experts use multipliers to arrive at a capitalized value of the assets. The multiplier generally used relates to the remaining period in the life of the structures or remaining age of the crops or rental expected.

g. Consent award

Negotiated settlement of compensation stands on a footing different from those of other methods of deciding the market value of the acquired asset. The essential elements are

(i) The landowners and the collector reach an agreement on the matter to be included in the compensation.
(ii) The terms of such agreement form the basis of the award and no further inquiry is necessary.
(iii) Other provisions of the Act do not apply to such awards.

The consent of the landowner is essential to finalize such awards. Once consent is obtained, it cannot be questioned at a later stage. This process comes very close to the market mechanism, where buyers and sellers negotiate the price. It also provides an opportunity to the landowners to participate in the process of determining compensation.

[2] There are no fixed limits on the choice of the multiplier. It is based on precedents. Generally, the multiplier varies between 10 and 20. For buildings based on net rental income, a multiplier of 15 or 20 is used. In assessing the value of plantation or horticultural crops, generally a multiplier of 10 is used.

h. Establishing extent of loss

Extent of loss would be determined primarily in terms of the portion of the structure coming within the COI. In order to establish extent of loss, the following steps need to be taken:

(i) Collect information on total area of the structure/land to be affected.
(ii) Collect information on distance of structure/land from the existing centerline.
(iii) Plot the structure/land on a strip map with existing highway and proposed design.
(iv) The area within COI shall be considered as the affected portion.
(v) Calculate the degree of loss in categories shown below:

- Less than 10% of the total area
- Between 10% and 25% of the total area
- Between 25% and 50% of the total area
- More than 50% of the total area

4. Database of Affected Persons and Impacts

For successful resettlement, it is important to ensure that primary data collected is of highest quality. To this end the questionnaire should be close-ended and coded. Experienced surveyors should be deployed after detailed classroom and on-field training/briefing. The questionnaire should be pre-tested in the field to ensure that questions asked are relevant and flow is smooth. On-field scrutiny of questionnaires is equally important.

The data entry program should have built-in range checks. The Project authority, depending upon the comfort level of officials handling the data, should finalize the language of the program. However, the database prepared should be at the household level and should provide the following information:

(i) Location (chainage, village, block, district, and state) of the affected property
(ii) Type of loss
(iii) Degree of loss
(iv) In case of structures, construction typology of the structure
(v) Household-level information, including social stratification, religion, family type, land tenure, income, expenditure, whether the household is economically or socially vulnerable, health-seeking behavior, whether APs are beneficiaries of any poverty alleviation scheme and, if so, name of such scheme
(vi) Individual-level information, including name of household head, and details of total family members, including gender, age, literacy level, marital status, and relationship with household head, usual activity of each family member, occupational pattern, worker's status, and skills possessed
(vii) Resettlement options preferred
(viii) Eligibility for R&R assistance as per type of loss and entitlement framework
(ix) Estimated compensation

5. Entitlement Matrix

The entitlement matrix is the base for resettlement planning. The matrix summarizes the entitlements provided against various impact categories. The target audience for the matrix is field staff of the project authority, NGOs implementing RP, and the M&E agency. Any impact not identified during the course of project preparation should be addressed in the spirit of the entitlement matrix. Preparing the entitlement matrix would require the following steps:

(i) Preliminary survey of project corridors
(ii) Identification of impacts
(iii) Review of existing legal framework
(iv) Categorizing entitlements
(v) Preparation of matrix

6. Determining Replacement Costs

a. Replacement value of land

Replacement value can be calculated following three different methodologies mentioned below. The highest of the three shall be taken as replacement value.

Methodology # 1

(i) Sample required number of villages and in each village, sample required number of landowners (in all categories viz., marginal, small and large. Within these three categories select sub-samples of irrigated and unirrigated land).
(ii) Obtain structured schedule of inputs of agriculture supplemented by in-depth interview

(IDI) with landowners. A suggested format is available as Annex 4.4.

(iii) Fix the unit of land (bigha/acre/hectare) and study the cropping pattern used.

(iv) The methodology proposes three stages as discussed below:

Stage I

Collect input and output data for each major crop. Input data would include cost of irrigation, labor, pesticides, fertilizers, and seeds. Output would be produce of a particular crop in quintal per unit multiplied by market rate of the produce per quintal and by total extent of the land.

Stage II

If output is Y and input is X, then

Y - X = Z (Surplus)

Stage III

Replacement Value = Z * 20 (no. of years[3])

Checklist:

(i) IDI with the landowner requires strong documentary support.

(ii) In input data, opportunity cost of the land should also be added.

(iii) For market rate of the produce, minimum support price (MSP) of the current year shall be considered.

Methodology # 2

This methodology is also based on the productivity method as # 1 above, but instead of primary data, secondary data collected from the District Statistical Hand Book (DSHB) can be used. From DHSB, data for the previous 5 years under the following headings can be collected:

(i) Total area, as well as total cultivated area

(ii) Yield per hectare

(iii) Price of produce per quintal

The data under produce per hectare should be divided by rate and multiplied by 20 (number of years) to arrive at the replacement value.

Checklist:

(i) Weighted average of produce for the last 5 years shall be considered.

(ii) This method should also be supported by local consultations regarding produce per hectare, minimum support price, input cost, etc. Consultation will help in comparing secondary and primary data.

Methodology # 3

This methodology considers information from sales deeds to arrive at the replacement value. The methodology considers the highest and lowest rates transacted during the last 5 years, and weighted average is calculated to arrive at the replacement value.

b. Replacement value of structures

The replacement cost is worked out based on construction material used and extent of loss as registered during the verification survey. For arriving at the replacement cost, the following steps are required:

(i) Identify the PWD division under which the proposed highway construction/widening has to take place

(ii) Collection of basic schedule of rates (BSR) of that particular division (ensure that latest revision is included)

(iii) Calculate the total area of the affected structure

(iv) Confirm the unit for rate analysis provided in BSR. Convert the measurement data of the structures collected during verification as per the unit followed in BSR

(v) Calculate the replacement cost by multiplying the total units of the structure as measured with the rate provided in BSR as per different categories of construction types

As BSR is usually revised annually, it is more likely to be closer to the replacement value. Hence, it could be a good basis for estimating replacement costs.

Role of District Administration

The district administration and other line departments are responsible for ensuring that the

(i) Extent of loss and replacement value appear on the micro plan, which is formally approved by the District-level Committee.

[3] Generally in projects, which entail land acquisition, a period of 20 years is taken into account for the purpose of calculating replacement value through productivity method.

(ii) BSR shall be procured from the local PWD.

Once the replacement value is worked out, its summary can be reported (as shown in Table 4) whereas details of each individual structure would appear in the micro plan.

7. Contents of the Resettlement Plan

RP should have the following components:

(i) Executive Summary
(ii) Introduction, including project description and summary of social impact assessment
(iii) Study Methodology, including social assessment process, consultation methodology, methodology for land acquisition plan preparation, and type of secondary data to be collected and its sources
(iv) Poverty assessment along the project corridor detailing (i) the process of highway selection using poverty as criteria, (ii) causal relationship between infrastructure and poverty, (iii) current poverty scenario using secondary and primary data, (iv) perceived economic changes due to project highway, (v) probable positive impacts of improved highway, and (vi) scope of poverty reduction
(v) Financing institutions' resettlement policies and national legal framework, including project-specific policy and entitlement framework and process of land acquisition— indicating how policy gaps will be met
(vi) Census and Socioeconomic Survey Analysis detailing objectives of survey, type of impacts identified, categorization of APs according to impact categories, social and economic characteristics of APs, and need for data update along with the mechanism to do so
(vii) Community participation detailing the mechanism for consultation, process, levels of consultations, key findings of the consultations, and mechanism for continued public consultations
(viii) Highway-related diseases, including cause of the spread of highway-related diseases, methodology of survey among truckers, frequent highway users, commercial sex workers (CSWs), key findings, felt needs, and emerging issues
(ix) Minimizing negative social impacts, including information on ROW, design and R&R coordinator, need for resettlement in the project, definition and delineation of COI, summary of impact categories (including severance impacts), measures taken to minimize impacts (such as change in alignment, concentric widening, bypasses, etc.)
(x) Land acquisition and its impact detailing estimate of land acquisition under different heads, such as land required for widening, for bypasses, for ancillary use, for approaches of bridges, etc.; its impact on affected families; land identified for resettlement of displaced families; host community impact and relocation site assessment; and estimated compensation and replacement value. Asset valuation methods to be adopted to pay compensation at replacement rates, coordination of all payments.
(xi) Impact on women and vulnerable groups detailing impact of project on women, such as loss of livelihoods, displacement, etc., empowerment of women through employment in project activities, specific provisions in construction camps for women, and women's participation with other stakeholders, legal framework for indigenous people, evaluation of impact on tribal families, tribal development plan, tribal specific schemes of central and state governments, evaluation of impacts on scheduled castes and BPL families, mitigation measures as per entitlement framework
(xii) IR, including number of APs losing livelihoods, types of losses, income restoration measures under entitlement framework, income restoration options preferred by APs, training needs assessment of APs, identification of trainers, mechanism for implementation of training programs, interagency linkages for IR, alternative individual IRS, basis for identification of alternative IRS, land- and nonland-based IRS, sources of funding, monitoring of IRS
(xiii) Institutional arrangements, including identification of different role players, roles and responsibilities, training needs assessment, identification of areas of capacity building, training programs, and training modules
(xiv) Grievance redress mechanism detailing need for grievance redress mechanism, members of grievance redress cell (GRC), functions of

the cell, and role and responsibilities of each member

(xv) M&E, including identification of process and output indicators, mechanism for internal and external monitoring, reporting system, organizational issues, indicators for monitoring, and monitoring project input and outputs

(xvi) Implementation schedule, including implementation procedure, timing of resettlement,legal possession of land, eviction notice, miscellaneous activities; implementation responsibilities; community participation in RP implementation; tasks for NGOs in implementation; and tentative methodology

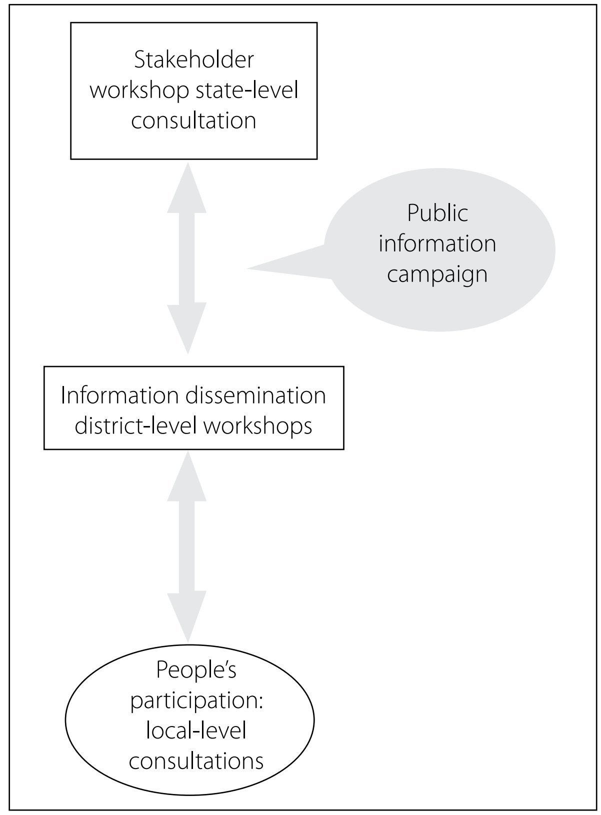
(xvii) Tentative budget detailing the process of arriving at estimated compensation and replacement value, basis for arriving at value of structures, shrines, utilities, wells, hand pumps, bore wells and trees; assistance for various categories of APs; cost toward development of resettlement sites (residential as well as commercial); implementation costs, including fees for NGO; M&E agency; thematic studies; office maintenance cost of field offices; and additional surveys if required. (See Appendix 2: Sample Resettlement Budget Format.)

(xviii) Sources of funding for all land acquisition and resettlement activities in the plan

8. Public Participation and Follow-up Consultation

Participation is a process through which stakeholders influence and share control over development initiatives and the decisions and the resources, which affect them. The effectiveness of R&R programs is directly related to the degree of continuing involvement of those affected by the project. Comprehensive planning is required to ensure that local government, NGOs, host population, and project staff interact regularly, frequently, and purposefully throughout all stages of the project. Participation of persons directly affected by projects is a primary requirement in development of resettlement and rehabilitation, if the programs are to be suited to the needs of the population. Their involvement vastly increases the probability of their successful resettlement and rehabilitation (see Figure 1).

Figure 1: Levels of Consultation



Source: Operations Research Group. 2001. Inception Report on Monitoring of RAP Implementation in Third National Highways Project (World Bank-funded).

Objectives of Consultation

The main objectives of the consultation program are to minimize negative impact in the project corridors and to make people aware of the project. During the consultation process, efforts shall be made to ascertain the views and preferences of the people. The aims of community consultation were to

(i) Understand views of the people affected relating to the impacts of the highway;
(ii) Identify and assess all major economic and sociological characteristics of the village to enable effective planning and implementation;
(iii) Resolve the issues relating to impacts on community property;
(iv) Make explicit the social factors that will affect the development impacts of planned highway improvements and mediate project results;
(v) Identify key stakeholders; and
(vi) Address the issue of how the poor and vulnerable groups may benefit from the project.

Consultation and Participation Mechanisms

The project shall ensure that the affected population and other stakeholders are informed, consulted, and allowed to participate actively in the development process. This shall be done throughout the project, both during p reparation, implementation, and monitoring of project results and impacts (see Table 2).

a. Preparation stage

The consultation process during preparation stage of the project uses IDIs with key informants, focus group discussions (FGDs), seminars, and meetings. The consultation program includes the following:

(i) Heads of households likely to be affected;
(ii) Household members;
(iii) Clusters of APs;
(iv) Villagers;
(v) Village Panchayat;
(vi) Local voluntary organizations and CBO or NGO;
(vii) Government agencies and departments;
(viii) Major project stakeholders, such as women, tribal and ethnic communities, highway-user groups, health professionals, and others; and
(ix) Distribution of project information sheet.

As part of the consultation process, women shall be given the opportunity to voice their views independently.

As part of the preparation for the project, workshops at the district and state levels shall also be conducted with participation of key stakeholders, including local NGOs, academic institutions, government officials, and others. The purpose of these stakeholder workshops is to present and discuss the framework and approach to social impacts and resettlement, and to achieve agreement about implementation mechanisms and coordination among different groups and agencies.

b. Implementation and monitoring stage

During implementation and monitoring, information shall be disseminated to project APs and other key stakeholders through group discussions and one-on-one consultation. The information shall be prepared in local languages as required, describing the main project features, including the entitlement framework. Consultation shall be carried out for cultural, gender-based, and other differences among stakeholders. Where groups or individuals have different views/opinions, particular emphasis shall be laid on the views and needs of the vulnerable groups.

Continuation of Public Consultations

The effectiveness of the resettlement program is directly related to the degree of continuing involvement of those affected by the project. The involvement and participation of APs during implementation will both increase the probability of their successful resettlement and rehabilitation and contribute to the overall project success. Several additional rounds of consultations with APs shall be planned through partnering NGOs during implementation. Consultations during implementation will involve agreements on compensation and assistance options and entitlements with APs and completion of an AP identity card indicating the accepted entitlement package. Other consultations will occur when compensation and assistance are provided and actual resettlement begins.

The following set of activities is required for effective implementation of resettlement.

Disclosure

For the benefit of the community in general and APs in particular, RP will be translated into local languages and be kept at

(i) Public Libraries of the districts,
(ii) Office of Chief Development Officer,
(iii) Libraries of various colleges in the district,
(iv) PWD offices in project districts,
(v) Local panchayat offices,
(vi) Schools in affected villages, and
(vii) Any other public place along the highway.

Public Information Dissemination

Project Implementation Units (PIUs)of NHAI or PWD offices located along the Project Corridors shall provide actual information and policies and other rehabilitation action plan to the people on a continuous basis. For this, the following are proposed:

(i) NGOs involved in the implementation of RP shall organize public meetings and shall appraise the communities about the progress in implementation; and
(ii) NGOs shall organize public meetings to inform the community about the assistance

Table 2: Consultation: Mechanisms for Continued Participation

Project Stage	APs	NGOs	Hosts	Project and Local Officials
Planning	• Participate in public meetings • Identify alternatives to avoid or minimize displacement • Assist in developing and choosing alternative options for relocation and income generation • Help to choose resettlement sites • Participate in survey • Participate in meeting with host population • Provide inputs to entitlement provisions • Assist in preparation of action plan • Suggest mechanism for grievance redressal conflict resolution and participate in grievance redressal • Participate in coordination committees	• Assist in impact assessment • Assist in census and SE survey • Participate in coordination committee • Participate in group meetings • Design and implement an information campaign • Support group formation, problem identification, and planning for APs and hosts • Design and Participatory process • Suggest mechanism for grievance redressal of conflict resolution • Assist in preparation of action Plan	• Provide information or various aspects of host communities • Assist in data collection and design • Provide inputs to site selection • Identify possible conflict areas with APs • Identify social and cultural faclities needed at resettlement sites • Assist in identification of IG schemes • Provide inputs for design of IG schemes • Help develop a process of consultation between hosts and APs • Suggest mechanism for grievance redressal and conflict resolution	• Provide information on PAP skills etc. • Suggest ways to minimize impacts • Indicate local staff and budget capacity for relocation • Assist NGO in information dissemination • Participate in consultations • Examine the feasibility of IG schemes and discuss with APs • Help document consultations
Implementation	• Participate in implementation support activities • Participation in local decision-making activities • Decide on management of common properties • Participate in grievance redressal mechanism • Monitor provision of entitlements • Labor and other inputs of site • Labor and other inputs at site • Credit and other group scheme management • O&M of sites and project inputs • Members of implementation committee	• Provide ongoing information for APs and hosts • Provide support in group management • Monitor entitlement provision by implementation of IG schemes • Assist implementing line departments • Provide support to RP implementation • Training to eligible APs • Support to vulnerable groups • Evaluate community process and social preparation • Provide advice on grievance redressal	• Assist APs in relocation • Manage common property at site • Participate in local committees • Assist APs in integration with hosts • Assist APs in use of new production system • Use established mechanisms for grievance redressal	• Process IG proposals • Participate in grievance redressal • Provide assistance under local schemes • Participate as members of implementation committee

Table 2 continued

Table 2: Consultation: Mechanisms for Continued Participation

Project Stage	APs	NGOs	Hosts	Project and Local Officials
M&E	• Participate in grievance tribunals • Report to project on IG schemes • Report on service quality of sites	• Provide information to project staff on vulnerable groups • Act as M&E agency for project • Act as external monitors for project (where not previously involved)	• Provide inputs to M&E of R&R	• Ongoing interaction with APs to identify problems in IG program • Participants in correctional strategies

AP = affected person, IG = income generation, M&E = monitoring and evaluation, NGO = nongovernment organization, O&M = operation and maintenance, PAP = project-affected person, R&R = resettlement and rehabilitation, SE = socioeconomic.

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

available. Regular updates of the project shall be placed for public display at the PIUs/PWD office.

Follow-up Consultation

Follow-up consultation shall be carried out after the finalization of RP and finalizing of drawings at the local level. Apart from the social expert, highway engineers, and environmental expert shall also be present during follow-up consultations. Such consultations shall be carried out at locations having adverse social impacts.

For effective implementation of RP, it is essential to understand the scope for involving communities and APs in the process. The mechanism for involving communities is suggested on Table 2.

9. Income Restoration Plans (IRPs)

Restoration of pre-project levels of income is an important part of rehabilitating socioeconomic and cultural systems in affected communities. To achieve this goal, preparation of IRPs should proceed exactly as it would have for any other economic development program. IRS should be designed in consultation with APs who should explicitly approve the program.

For details on preparing IRPs see Chapter 6.

10. Gender and Other Vulnerable Groups

Vulnerable groups include scheduled tribes, scheduled castes, single-headed households, those headed by the elderly and women, and families living below the poverty line, destitute, aged, and orphans. It is envisaged that in the course of preparing and implementing RPs, the interests of these vulnerable groups would be adequately protected.

a. Women are likely to be particularly vulnerable

Women are likely to experience differential socioeconomic setbacks due to their disadvantaged positioning within socioeconomic structures and processes. This is likely to be manifested most in the loss of common property resources as a result of their forced eviction from ROW.

The following information should be collected during the socioeconomic survey:

(i) Number of women-headed households
(ii) Socio-demographic characteristics of affected women
(iii) Health status, including number of children per woman
(iv) Women's role in the household economy, i.e. information on usual activity, occupation, etc.
(v) Time disposition
(vi) Decision-making power among women APs
(vii) Occupations, livelihood activities, and asset ownership

As women are often the worst victims of transition between displacement and resettlement, they have to be integrated in the project as full-fledged participants taking part in all stages of the project (from planning through implementation) and on to the post-project stages. This is the only way to make sure that the process of resettlement and rehabilitation is an exercise in equitable distribution of resources and benefits in a gender-sensitive manner.

b. Tasks

The following tasks should be accomplished during preparation, as well as implementation stage:

(i) Ensure involvement of women in the project
(ii) Ensure facilities are provided in construction camps
(iii) Provide support to vulnerable groups other than women

c. Steps

Under each task below the listed steps should be followed.

d. How women can be involved in the project

Participation of women can be ensured specifically in the following ways:

(i) Ensure women take part in the consultation process.
(ii) Ensure that women are consulted and invited to participate in group-based activities to gain access and control over resources. Compensation for land and assets lost should be the same for all the affected or displaced families; special care needs to be taken by NGOs for women's groups, while implementing acquisition and compensation as well.
(iii) Ensure that women are included in the issuance of identity cards, opening accounts in the bank, receiving compensation amounts through cheques in their name, etc. This will further widen the perspective of participation by the women in project implementation.
(iv) Provide separate training to women's groups for upgrading skill in alternative livelihoods and assist beneficiaries to start production and businesses.
(v) Initiate women's participation through self-help group formation in each of the villages affected by the project. These groups can then be linked to special development schemes of the Government.
(vi) Encourage women to evaluate the project outputs from their point of view, and their useful suggestions should be noted when taking necessary action for further modifications in the project, creating better and congenial situation for increasing participation from women.

If all these are done in a participatory manner, it might bring sustainable results in terms of income restoration of women as a vulnerable group.

e. Involvement of women in construction activities

Wherever possible, women's involvement in construction activities should be encouraged in order to help them have access to benefits of project activities. The construction works for widening and strengthening the project corridor starts after the R&R activities are over and COI is clear of any encroachment and other encumbrances. The construction contractors set up their construction camps in identified locations, where labor force required for construction activities will be provided with temporary residential accommodation and other necessary infrastructure facilities. The labor force required for construction activities has to be of a highly skilled nature, as there is a lot of mechanized work in construction of the highway. In addition, unskilled labor, which women can certainly contribute, is required.

Apart from this, women as family members of skilled and semi-skilled laborers will also stay in the construction camps and will be indirectly involved during the construction phase. The families of laborers will include their children. The construction contractors are expected to bring along skilled labor whereas local labor available will be used for unskilled activities. The labor force, both migratory as well as local, will have both male and female members.

11. Implementation Schedule

All major activities in RP must be clearly scheduled over the implementation period. While these activities have discrete components that can be put on a time line, there is a close interrelationship of each activity to the whole. It is further cautioned that specific situations may require an increase in time allotted to a task. Such situations include, but are not limited to, local opposition, seasonal factors, social and economic concerns, training of support staff, and financial constraints.

Implementation of resettlement consists of three main phases:

(i) Resettlement Planning
(ii) Preparation and Resettlement Implementation
(iii) M&E

Under each of these stages there are specific activities that must be identified and scheduled over the entire period of resettlement planning and implementation.

The *resettlement planning phase* comprises census/surveys; drafting the RP; review and approval of RP; land acquisition plans; establishment of the management structure for the project, including for resettlement (PIU); hiring of NGOs; training; disclosure of RP; information campaign; and community consultation.

The *resettlement implementation phase* involves setting up field offices as required and staffing them; completing land acquisition and preparing awards; updating inventory of assets of APs; finalizing list of APs; valuation of compensation; payments of compensation, including all entitlements; formation of grievance redress committees (GRCs); relocation of displaced households and businesses; clearing of COI and handing over for construction work.

Monitoring and evaluation consists of both internal and external monitoring. Besides internal monitoring for management purposes, it is important to have independent external monitoring of resettlement implementation.

Implementation Responsibility—It is the responsibility of the project authority to ensure that RP is successfully implemented in a timely manner. The project authority shall be assisted by the partnering NGO. The roles and responsibilities of various role players are presented in Table 3.

Community Participation in the Implementation of Resettlement

The institutional arrangement as explained in R&R policy already provides the continued involvement of the communities, especially the project APs and project DPs in the implementation of RP. Project authority shall ensure that

(i) Stakeholders are consulted at every stage of the project;
(ii) Women's perceptions are built into the RP implementation plan;
(iii) The host community is consulted so that community assets are optimized and enhanced;
(iv) APs participate in creation of community assets, and the upkeep and maintenance of assets created by the project; and
(v) An institutional mechanism is evolved involving the people, the gram panchayats, and the formal and informal peoples' committees to ensure sustainability of the development process beyond the RP implementation period.

Tasks for NGOs in Implementation

Table 4 details the tasks to be carried out by NGO at different stages of the project.

Table 3: Roles and Responsibilities in Resettlement Planning and Implementation

Implementation Staff	Roles and Responsibilities
Project Director of PIU/PWD	• Overall responsibilities for R&R activities in the field, including land acquisition • Make budgetary provisions for R&R activities • Liaison with district administration for land acquisition and implementation of RP • Participate in state- and district-level committee meetings • Preparing TOR and Contracting NGO for implementation and external agency for M&E • Organize training for field staff and NGO for capacity building for implementation • Prepare TOR for any studies required and qualitative dimensions to the implementation of RP • Facilitate appointment of consultants to carry out the studies and coordinate them • Monitor financial progress on RP implementation
DRO/CRRO	• Coordinate with district administration and NGO responsible for RP implementation • Translate R&R policy into local language • Prepare pamphlets on policy for information dissemination • Print policy and identity cards for APs • Ensure that contractors have paid the mutually agreed amount to the landowner for borrow pits • Ensure that land is returned to the owner within the stipulated period as in agreement and land returned is not unproductive • Ensure the development of resettlement sites and agriculture land as and when required • Ensure that land acquisition plans as per the alignment is submitted to district administration for acquisition • Participate in allotment of residential and commercial plots • Liaise with district administration for dovetailing of government schemes for IR • Coordinate with NGO appointed for implementation of RP • Ensure inclusion of APs who might not have been covered during the census survey • Facilitate opening of joint account in local banks to transfer the rehabilitation assistance for APs and also organize distribution of cheque payment of compensation and rehabilitation assistance, through transparent manner in *Gram Sabha* (village meetings) for distribution of cheques • Monitor physical progress of RP implementation, including physical shifting of APs • Participate in every district-level meetings • Prepare monthly progress report • Organize bimonthly meetings with NGO to review progress of R&R
NGO	• Coordinate with CRRO/DRO to implement RP activities • Verification of APs listed out in RP • Issue identity cards to APs • Develop rapport with APs • Assist the R&R Coordinator in organizing public information campaign at the commencement of R&R activities • Distribute pamphlets on R&R policy and also explain the mitigation measures to alleviate feelings of insecurity among APs • Assist APs in receiving the payment of compensation, opening of bank accounts and facilitate vulnerable APs in ensuring that they get their dues on time and are not left out to deteriorate to the stages of impoverishment • Facilitate opening of joint bank accounts • Generate awareness about alternative livelihood options and their viability, the resource base and other opportunities to enable APs to make informed choices and participate in their own development • Conduct awareness campaigns regarding HIV/AIDS among truckers and CSWs • Prepare micro plans for economic rehabilitation of APs • Enable APs to identify alternative sites for relocation • Participate in consultation process for allotment of residential and commercial plots

Table 3 continued

Table 3: Roles and Responsibilities in Resettlement Planning and Implementation

Implementation Staff	Roles and Responsibilities
NGO	• Ensure preparation of resettlement sites complete with basic facilities • Participate in meetings organized by the project authority • Submit monthly progress reports • Identify training needs of APs for income-generating activities and ensure that they are adequately supported during the post-training period on enterprise development and management, the backward and forward linkages, credit financing, and marketing of the produce • Participate in the disbursement of cheques at public meetings and Gram Sabhas • Ensure women-headed households and vulnerable APs are given their dues in both compensation and rehabilitation assistance

AP = affected person, CRRO = Contract Resettlement and Rehabilitation Officer, CSW = commercial sex worker, DRO = District Rehabilitation Officer, IR = income restoration, M&E = monitoring and evaluation, NGO = nongovernment organization, R&R = resettlement and rehabilitation, RP = resettlement plan, TOR = terms of reference.

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

Table 4: Tasks of NGOs in Resettlement Implementation

Task	Methodology
• Develop rapport with APs	Fortnightly and monthly meetings with APs documentation
• Develop rapport with Project Authorities particularly the Social Officer	Fortnightly meetings with CRRO/DRO of PWD documentation
• Identify the need for land acquisition	Participatory
• Identify the need to evict squatters/encroachers	Participatory
• Identify the likely consequences of the project on communities' economic livelihoods	Participatory and by setting up of Public Information Centre
• Identify APs, verify on the basis of census survey carried out, and facilitate distribution of identity cards	Validity survey; participatory
• Distribute R&R policy and entitlement packages	Participatory
• Assist APs in getting the compensation for their land and properties acquired for the project	Participatory
• In consultation with project authority and Revenue Department, help APs identify suitable land for relocation and for agricultural purposes and assist in negotiating its transfer to APs and, in case suitable government land is unavailable, assist AP to locate a landowner willing to dispose and assist in negotiation of purchase price	Participatory
• Determine the entitlements of each AP by reviewing the R&R Policy and RP	Discussion with PD and officials
• In close consultation with APs for ensuring acceptability, help project authorities in making arrangements for smooth relocation of APs and their business	Regular meeting with APs
• Advise APs on best use of grants under the R&R package to ensure sustainability of income	Regular meeting with APs
• Investigate the availability of various government development programs and examine their relative merits for recommending to APs, and accordingly orchestrate training programs for sustainable livelihood of APs and assist in required skill development by networking with Revenue department, other government departments, and NGOs of the area	Literature survey of secondary sources of information, Meetings with other functionaries
• Help APs to redress their grievances by generating awareness among APs on the grievance redress mechanism and assisting APs with mitigation	Regular meeting with APs
• Develop micro-level plans for R&R in consultation with APs and ensure their agreement on options and choices made	Regular meeting with APs, Capacity building, Identify specific IG schemes
• Consult with APs regarding finalization and development of a relocation site	
• Draw up a list of benefits due to APs	
• Make arrangement for shifting of DPs to relocation site	
• Propose utilization of grant moneys due to APs	
• Ensure involvement of APs in existing government development programs	
• Update the data bank on APs due to any changes in project and development of impact indicators	
• Undertake specific assignments from CRRO/DRO for the welfare of the affected community	
• Assist in identifying tree species selected by the community and facilitate tree planting	

AP = affected person, CRRO = Contract Resettlement and Rehabilitation Officer, DP = displaced person, DRO = District Rehabilitation Officer, IG = income generation, NGO = nongovernment organization, PD = Project Director, PWD = Public Works Department, R&R = resettlement and rehabilitation, RP = resettlement plan.

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

VI. Resettlement Implementation

A. Introduction

Resettlement implementation commences when the project is launched and the necessary resources (funds and human resources) are deployed. The most important requirement is the establishment of the institutional (management) structure, as proposed in the RP, to provide leadership for the entire resettlement program. While resettlement has discrete components that can be put on a time line, there is a close interrelationship among the different activities. During implementation, specific situations can arise leading to additional time and resource requirements, besides routine interventions by project authorities. Such situations include—but are not limited to—seasonal factors, social and economic concerns, training of support staff and financial constraints, lack of coordination between project authorities and various line departments, etc. This chapter is designed to guide those involved in resettlement through the various implementation stages.

The steps involved in resettlement implementation are

(i) Mobilization of Resources, including resettlement management structure, funding, trained staff, field offices.

(ii) Initial Tasks, which focuses on basic data to be collected by NGOs to initiate the implementation program, including from both primary and secondary sources.

(iii) Valuation of Structures and Assets provides information on the process to be adopted for valuation of affected structures and the role of district and other line departments.

(iv) Land Acquisition primarily details the situation requiring land acquisition, NGO's role in LA process, methodologies for calculation of compensation and replacement value, etc.

(v) Preparation of Micro Plan and ID Cards focuses on contents of the micro plan, activities to be carried out in preparation of micro plans, steps to be followed for preparation, and issue of ID Cards.

(vi) Disbursement of Compensation and Other Assistance describes the process of disbursement of compensation and other assistance and related roles and responsibilities of NGOs.

(vii) Community Participation and Consultation focuses on conducting community consultations, timing (specific situations), and also a checklist for guidance while conducting consultations.

(viii) Institutional Mechanisms for Grievance Redress details the need for such a mechanism, institutional arrangements, and NGO's role in the grievance redress process. The grievance redress process has been presented in Figures 2 and 3.

(ix) Resettlement Sites and Relocation describes the role of NGOs in the review of sites identified at planning stage; identification, selection, and development of resettlement sites; relocation of APs and CPRs; and host surveys and consultations.

(x) Income Restoration Program provides information on short- and long-term income restoration activities; also include the role of NGOs regarding activities, such as identification of target groups, identification of income restoration activities, skills mapping, training needs assessment, identification of trainers, training arrangements, and monitoring of APs.

(xi) Addressing Social Issues related to highways focuses on social issues to be addressed in R&R activities. This is done mainly with reference to NGO's role in awareness generation and monitoring of trafficking of women and children, use of child labor in construction activities and other hazardous activities in the project area, highway/road safety aspects, and sexually transmitted disease sexually transmitted disease (STD)/HIV/AIDS.

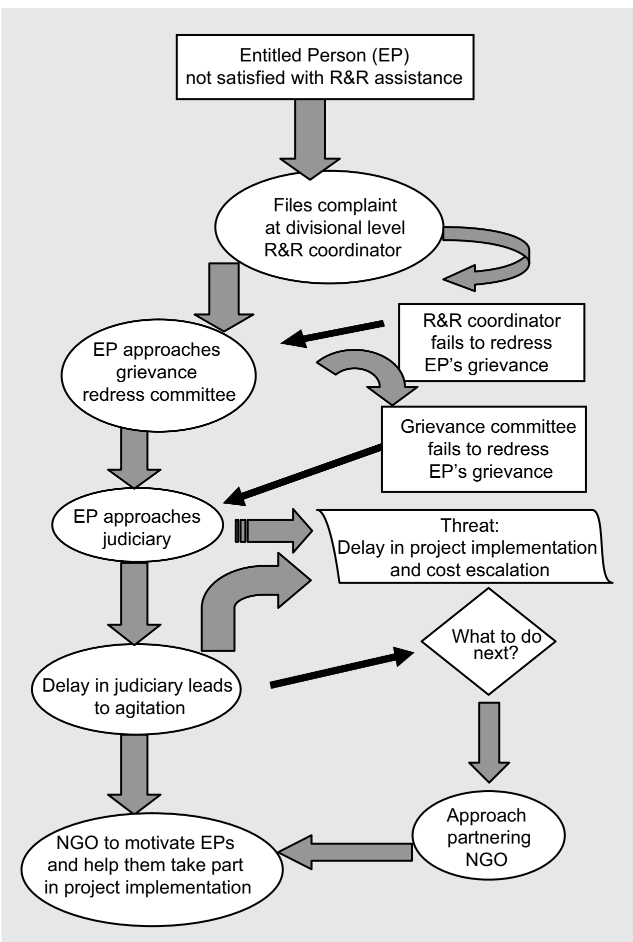
(xii) Special Attention to Vulnerable Groups identifies the vulnerable sections of society, such as women, scheduled population, families living below the poverty line, etc. NGOs are involving these sections in the mainstream through employment, providing additional benefits, through consultations, etc.

(xiii) Monitoring and Evaluation explains the difference between internal and external monitoring, importance of external monitoring, role of NGOs in monitoring, evaluating impact of implementation on the lives of APs, objectives and advantages and processes to conduct evaluation.

B. Initial Tasks

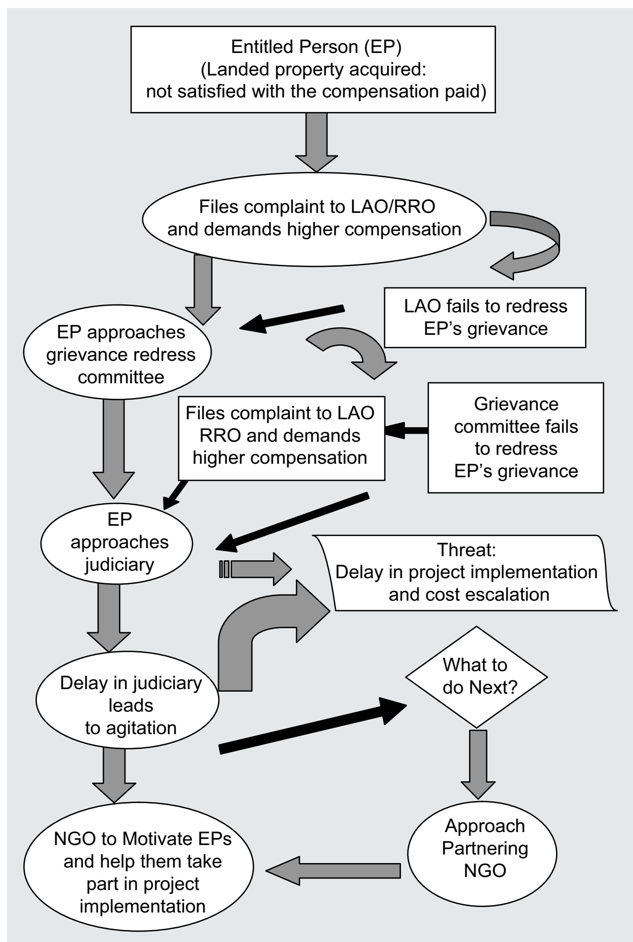
Verification of baseline data generated by DPR consultants is the first task to be undertaken by the implementing NGO. This also involves correcting and updating available data wherever required. It could

Figure 2: Flowchart for Grievance Redress Mechanism (Resettlement Assistance)



NGO = nongovernment organization, R&R = resettlement and rehabilitation.
Source: DHV Consultants. 2000. Resettlement Action Plan for Uttar Pradesh (UP) State Roads Project. Unpublished report submitted to the UP Public Works Department and the World Bank.

Figure 3: Flowchart for Grievance Redress Mechanism (Land Acquisition)



LAO = land acquisition officer, NGO = nongovernment organization, R&R = resettlement and rehabilitation, RRO = resettlement and rehabilitation officer.
Source: DHV Consultants. 2000. Resettlement Action Plan for Uttar Pradesh (UP) State Roads Project. Unpublished report submitted to the UP Public Works Department and the World Bank.

include recording changes in the number of affected people and updating the inventory of affected properties and assets.

1. Tasks

The main initial tasks involved in the verification and updating exercise are as follows:

(i) Collection of related documents (print and electronic) from NHAI
(ii) Preliminary verification survey
(iii) Detailed verification survey

2. Steps

The various steps to be followed to achieve the tasks are described below.

3. Collection of Documents

The implementing agency should collect the following documents from NHAI/PWD:

(i) Resettlement Plan
(ii) List of APs prepared by DPR consultants
(iii) Completed socioeconomic survey forms
(iv) Photographs of structures likely to be affected
(v) Videocassettes/CDs of the entire stretch (cross-reference document in a digital form)
(vi) Videocassettes/CDs of consultation meetings with APs by DPR consultants
(vii) Strip-plan containing COI data, chainage, etc.

4. Preliminary Verification Survey

This has the following three steps:

(i) Familiarization with the area and rapport building with APs, including identification of opinion leaders
(ii) Preliminary verification and updating of the list of APs and structures likely to be affected
(iii) Demarcation of chainage at 50-m interval and two consecutive edges of COI joined by a straight line

5. Detailed Verification Survey

The steps in undertaking a detailed verification survey are as follows:

(i) Modifications, if required, in the socioeconomic survey questionnaire to ensure that all the required information has been collected
(ii) Preparation of discussion guidelines/checklist for detailed survey
(iii) Training of survey staff by key professionals of NGO and pre-testing of the questionnaire
(iv) Advance (1 or 2 days) information to APs about the dates and time of visit by the NGO teams for the detailed survey
(v) Conducting a detailed verification survey
(vi) Repeating the detailed verification survey, if required, to ensure that all APs are included

C. Valuation of Structures and Assets

On completion of verification, the implementing NGO should undertake valuation of affected structures. NGO should deploy its civil engineer or alternatively hire the services of a government-approved valuer to carry out this task. The objective is to establish the extent of loss and estimate the replacement cost.

1. Tasks

The major tasks are as follows:

(i) Measurement of each affected structure and other immovable assets
(ii) Establishing construction typology
(iii) Establishing extent of loss
(iv) Estimation of replacement cost

The first two tasks run parallel with the verification activity. These provide the required information for valuation. Additional information required would include Basic Schedule of Rates (BSR). BSR provides the consolidated unit rates for permanent, semipermanent, and temporary constructions. Details as to how such consolidated unit rates have been arrived at are also explained in BSR. Using the analysis as guide, the engineer can arrive at the compensation value of a structure. BSR also provides rates for hand pumps, dug-wells, tube wells, etc. including installation charges.

2. Steps

The steps to be taken for each task listed above are as follows:

3. Establishing Extent of Loss

Extent of loss would be determined primarily in terms of the portion of the structure coming within COI. In order to establish extent of loss, the following steps need to be taken:

(i) Collect information on total area of the structure/land to be affected.
(ii) Collect information on distance of structure/land from the existing centerline.
(iii) Plot the structure/land on a strip map with existing highway and proposed design.
(iv) The area within COI shall be considered as the affected portion.
(v) Calculate the degree of loss in categories shown below:

- Less than 10% of the total area
- Between 10% and 25% of the total area
- Between 25% and 50% of the total area
- More than 50% of the total area

4. Estimation of Replacement Cost

The replacement cost is worked out based on construction material used and extent of loss as registered during verification survey. For arriving at the replacement cost, the following steps should be taken:

(i) Identify the PWD division under which the proposed highway construction/widening has to take place
(ii) Collect BSR of that particular division (ensure that the latest revision is included)
(iii) Calculate the total area of the affected structure
(iv) Confirm the unit for rate analysis provided in BSR. Convert the measurement data of the structures collected during verification according to the units followed in BSR
(v) Calculate the replacement cost by multiplying the total units of the structure as measured with the rate provided in BSR according to different construction types

As BSR is usually revised annually, it is more likely to be closer to the replacement value. Hence, it could be a good basis for estimating replacement costs.

5. Role of District Administration

The district administration and other line departments are responsible for ensuring the following:

(i) The extent of loss and replacement value appears on the micro plan, which is formally approved by the District-level Committee.
(ii) BSR can be procured from the local PWD.

Once the replacement value is worked out, this can be summarized in the format shown in Table 5, whereas details of each individual structure would appear in the micro plan.

Table 5: Format for Reporting Replacement Values for Structures

Construction Typology	Total Number of Structures	Total Area (m^2)	Extent of Loss (m^2)	Replacement Value arrived at per m^2	Total Cost
Structure – Residential					
Permanent					
Semipermanent					
Temporary					
Structure – Commercial					
Permanent					
Semipermanent					
Temporary					

m^2 = square meter

D. Land Acquisition

1. Tasks

NGOs play a very limited role in the entire land acquisition process, as most of the activities are the responsibility of the Competent Authority, who is assisted by revenue officials. NGOs facilitate the acquisition process. The various tasks related to this activity are as follows:

(i) Preparation of land acquisition plan
(ii) Socioeconomic survey of titleholders
(iii) Preparation of micro plans
(iv) Preparation and distribution of ID cards
(v) Calculation of replacement value of land
(vi) Public consultation and disclosure

2. Steps

The steps to be followed in each of the tasks are given below.

3. Preparation of Land Acquisition Plan

If asked to do so by the Competent Authority, in the case of acquisition being carried under the NH Act, 1956, where the competent authority is from NHAI. The steps will be as follows:

(i) Collection of revenue maps of affected area
(ii) Plotting of the highway on the revenue map
(iii) Identification of affected plots
(iv) Identification of khatedars (plot owners) from the records of *lekhpal/patwari*

Verification of revenue records followed by verification on the ground of identified plots and owners would be carried out by the implementing NGO. In order to ensure proper and effective verification, it is advisable to hire the services of retired revenue officials (such as *lekhpal* and *patwari*,) *kanungo* (revenue official above patwari), and *naib tehsildar* (Revenue official at Tehasil level [administrative unit]) having the requisite experience.

4. Socioeconomic Survey of Titleholders

The steps to be followed include

(i) Preparation of structured schedule
(ii) Pre-testing and modification/finalization
(iii) Recruitment and briefing of investigators/ field enumerators
(iv) Random field checking by field supervisor on sample basis to ensure error-free data
(v) Collation and computerization of data
(vi) Updating socioeconomic tables and analysis in RP

5. Preparation of Micro Plans

(Refer to Chapter VI.E.1 on Preparation of Micro Plan)

6. Preparation and Distribution of ID Cards

(Refer to Chapter VI.E.2 on Preparation of Micro Plan and Issue of ID Cards.)

7. Calculation of Replacement Value

(Refer to Chapter V.E.6 on Determining Replacement Costs.)

8. Public Consultation and Disclosure

NGO shall conduct public consultation in the villages/ settlement where land needs to be acquired for the following reasons:

(i) To inform plot owners losing land
(ii) To distribute ID cards
(iii) To disburse compensation
(iv) To inform APs about their entitlements
(v) To explain the concept of replacement value and methodology to be followed to arrive at the replacement value

The steps to be followed are

(i) Inform APs about the day and agenda of the consultation
(ii) Keep the agenda ready
(iii) Prepare minutes of the meeting
(iv) Note names and obtain signatures of participants on a sheet of paper along with the minutes of the meeting
(v) Ensure that the group is made up of not more than 15 participants

This public disclosure meeting shall also be conducted after finalization of entitlements and replacement value.

In addition to the above, the implementing NGO would also need to keep itself abreast of the steps in land acquisition as laid down under the Land Acquisition Act, 1894 and National Highways Act, 1956, as well as the provisions relating to the determination of compensation to be awarded to APs.

9. Main Steps in Land Acquisition

Main steps involved in the land acquisition process are as follows:

(i) Publication of preliminary notification and start of survey
(ii) Payment for damage on account of survey, if any
(iii) Hearing of objections, if any
(iv) Issue of Declaration that land is required for a public purpose
(v) Issue of order for acquisition of land by the competent authority
(vi) Marking and measurement of land
(vii) Notice to persons interested
(viii) Inquiry into measurements, value, and claims and award by competent authority
(ix) Payment of compensation
(x) Possession of acquired land

10. Method of Calculating Compensation

(Refer to Chapter V.D.3 on Compensation.)

Box 2: Contents of a Micro Plan

A micro plan normally has four sections as given below. A summary indicating financial implications under assistance and compensation also has to be included in the micro plan.

(a) Identification
(b) Socio-demographic information
(c) Economic information
(d) Entitlement (compensation and assistances)

Identification section will include

(a) Schedule/Questionnaire no. (completed among APs)
(b) Location of the structure and its number (e.g., for village Dahi, the code would be 'D'. If the structure is the first one getting affected and is on the North of the road, code would be D1N. Similarly, one on the South would be D1S).
(c) Chainage (This is very important as this the only common indicator between micro plan and strip map.)
(d) Name of District, block, and village
(e) Distance of the affected structure

Socio-demographic information will include

(a) Name of household head and other family members
(b) Relation of other family members to the head
(c) Age, sex, marital status, literacy level; caste configuration of every individual

Economic information will include

(a) Occupation practices
(b) Income and expenditure
(c) Usual activity
(d) Any skill possessed
(e) Ownership detail, such as ration card; name in voter's list; whether owner of the structure or tenant or shareholder, etc. may also feature here

Entitlement section will include

(a) Loss (of structure or land, etc.)
(b) Category, such as residential, commercial, etc.
(c) Entitlement as per loss and category (in line with entitlement framework)
(d) Compensation as assessed by the engineer
(e) Replacement value as productive asset grant (difference between compensation and market value)
(f) Whether vulnerable or not–as this finalizes the entitlements

The annexes of the micro plan include

(i) Methodology followed for arriving at the replacement value
(ii) Justification of entitlement proposed (give reference to clauses of entitlement framework)
(iii) Tentative list of trades in which APs would be trained and amount required thereof.

Source: Prepared by the author.

E. Preparation of Micro Plan and Issue of ID Cards

1. Preparation of Micro Plan

A micro plan is the base document for the entire implementation process. The entitlements and compensation are finalized on the basis of micro plans. However, it is a live document and may undergo changes as the implementation progresses. The base for preparing the micro plan is the verification exercise. Before preparing the micro plan, NGO staff should be well-versed in the policy and entitlement framework, definitions of BPL families, vulnerable families, economic rehabilitation grants, transitional allowances, subsistence allowances, shifting allowances, replacement value, etc. (The definitions are given in this handbook.)

a. Tasks

The preparation of the micro plan includes the following tasks:

(i) Verification and socioeconomic updating survey
(ii) Valuation of structures (as described in Chapter 5)
(iii) Calculation of replacement value for structures and land as suggested in Chapter 5 (both privately owned and common property)
(iv) Preparation and finalization of micro-plan formats
(v) Self-verification of the prepared micro plan by the implementing NGO
(vi) Submission of the micro plan to NHAI/PWD through PIU
(vii) Approval of the micro plan by NHAI/PWD
(viii) Formal approval of the micro plan by DLC

The steps to be followed for each task have been described in respective chapters, hence are not repeated here.

Once the micro plan is prepared and verified by NGO, it will be submitted to the local PIU which, in turn, will send it to NHAI for approval. The micro plan, once approved by NHAI/PWD, shall be presented to DLC for its formal approval. After preparing the micro plan, the NGO shall arrange for a public disclosure for transparency.

2. Preparation and Issue of ID Cards

Once the final verification of APs is carried out and micro plans prepared, identity cards (ID cards) stating the identification of APs, information on losses, and eligible entitlements are prepared and distributed to the concerned APs. ID cards not only identify the person as project affected, but also carry certain vital information, such as

(i) Loss type and extent of loss, and
(ii) Entitlements to compensation and other assistance.

See Appendix 3: Entitlement and Photo Identity Card.

b. Steps

For ID card preparation and distribution, the following steps would have to be taken:

(i) Holding of preliminary group meetings for sharing of importance of ID cards with APs and for raising awareness about the whole exercise
(ii) Taking still photographs of APs (concurrent activity with verification exercise)
(iii) Preparation of ID card format
(iv) Approval of the draft ID card format by NHAI
(v) Preparation of ID cards by filling up all the required information as per approved format, including pasting of photographs. ID cards shall be prepared not only for available APs, but also for those who have moved out on their own
(vi) Ensuring signatures of PAP, NGO representative, and Contract Resettlement and Rehabilitation Officer (CRRO) on the card
(vii) Lamination of ID cards (lamination will make it tamper-proof)
(viii) Consultation with individual APs to inform them about the importance of ID cards and its contents in detail
(ix) Issue of ID cards in the presence of witnesses. Date of distribution shall be fixed and APs shall be pre-informed about the date of distribution of ID cards.

F. Disbursement of Compensation and Other Assistance

1. Disbursement of Compensation

APs are generally entitled to two types of payment: (i) statutory compensation for property, and (ii) additional payments to ensure they get replacement value for their assets and are also able to reestablish their livelihoods as provided by the project's resettlement policy and reflected in the entitlement matrix.

Disbursement of statutory compensation is primarily the responsibility of the Revenue Department. NGOs have a limited role, which includes the following facilitation tasks:

(i) To give prior information to APs about the date of disbursement of compensation.
(ii) To ensure that APs carry their ID cards on the appointed date.
(iii) At the time of disbursement, NGOs are present to assist the competent authority in the disbursement process.
(iv) Since NGOs are in constant touch with APs, they should identify and confirm the actual title holder at the time of disbursement.
(v) To ensure that every title holder losing immovable assets is compensated and has received the compensation cheque.

In case of land acquisition under NH Act, 1956 (where the competent authority is from NHAI and not from the Revenue Department), if NGO is already on board for implementation, it may assist the competent authority in preparing cheques and in identifying and confirming eligible titleholders during actual disbursement.

2. Disbursement of Assistance

a. General tasks of implementing NGOs

The general tasks of NGO in this regard are to

(i) Determine and document the entitlement of each AP on the basis of the RP in consultation with CRRO/District Rehabilitation Officer (DRO). Entitlements shall be determined based on the project-specific entitlement framework.
(ii) Assist the project authorities in ensuring a smooth transition (during part or full relocation of APs), helping APs to take salvaged materials and shift with proper notice. In close consultation with APs, NGOs shall inform CRRO/District Rehabilitation Officer (DRO) about the shifting dates agreed with APs in writing and the arrangements desired by APs with respect to their entitlements.
(iii) Assist APs in opening bank accounts, explaining the implications, the rules and obligations of a joint account, and how to access the resources APs are entitled to.
(iv) Ensure proper utilization of the available R&R budget. NGOs shall ensure that APs have found economic investment options and are able to restore the loss of land and other productive assets. NGO shall advise CRRO/DRO to disburse the entitlements to the eligible persons/families in a transparent manner and shall report to NHAI the level of transparency achieved in the project.

b. Specific tasks of implementing NGOs

The specific tasks of the implementing NGO regarding disbursement of assistance are

(i) Preparing disbursement plan in a phased manner. Phasing can be on the basis of category, such as kiosks; squatters, encroachers, and titleholders; or it can be on the basis of location, such as contiguous settlements. Phasing can also be on the basis of priority stretches.
(ii) Drawing up phase-wise list of APs to be assisted, following preparation of disbursement plan.
(iii) Making a formal request to CRRO/DRO for the release of required funds.
(iv) Opening of bank accounts. Past experience showed that CRRO/DRO and NGO encountered problems when opening accounts in the joint names of APs, NGOs, and CRRO/DRO. Such accounts also have operational problems. To simplify the procedure, the following steps are suggested:

- Open a joint account (preferably in the branch of the bank where NHAI has its main account) in the name of CRRO/DRO and implementing NGO.

- Transfer the amount indicated in the approved micro plan to the joint account of CRRO/DRO and NGO.
- Open separate accounts for all eligible APs in the same branch (CRRO and/or NGO shall introduce AP. The bank may accept the ID Card issued by NHAI/PWD as document for introduction).
- Transfer (in stages) amounts from the joint account of CRRO and NGO to the individual accounts of APs.

However, if the amount to be disbursed is less than Rs2,000 (or $45), no joint account has to be opened. For disbursement of shifting allowance, no joint account will be required.

For opening of bank accounts, NGO shall

(i) Make copies of the photographs taken during verification. Expense of making copies of photographs shall be borne by project authority.
(ii) Inform APs in advance of the date for opening of joint accounts (at least a week before).
(iii) Arrange for a vehicle for bringing APs to the Bank on the fixed date. Expense incurred toward hiring a vehicle shall be borne by project authority.
(iv) Accompany the selected group to the Bank. The joint account should preferably be opened in a Bank, where the project authority has its account. NGO shall fill the requisite forms, paste the photographs, obtain the signature/ thumb impression of APs on the forms, and submit completed forms to the Bank.

Preparing cheques for disbursement. After opening bank accounts, NGO shall prepare cheques for disbursement. Cheques shall be signed by CRRO/DRO and NGO's authorized representative. (It is also quite possible that all APs may not be available for opening of joint accounts at one point of time. NGO shall ensure that issue dates of cheques prepared for disbursement of assistances is not prior to that of opening of joint accounts.)

Organizing a joint meeting of CRRO and bank officials. After preparation of cheques, NGO shall call a joint meeting of CRRO/DRO and bank officials to fix up a date for disbursement.

Distributing the cheques and getting them deposited in the bank. NGO must ensure the distribution of cheques to the concerned APs according to the fixed venue and time. Another related function is getting the cheques deposited in concerned banks. For account payee cheques (amounting to more that Rs2,000), AP need not be taken to the bank for depositing cheques. The following needs to be ensured in this regard:

Account Payee Cheques

(i) The deposit slip shall be given to AP after keeping a copy of the same with NGO and CRRO/DRO.
(ii) NGO shall maintain a register with names of APs to whom cheques have been disbursed along with the cheque numbers and dates of issue. This register will have the photocopies of the deposit slips pasted on it.

While giving the deposit slip to AP, NGO shall take signature/thumb impression of AP on the photocopy.

Bearer Cheques

(i) For bearer cheques, NGO shall inform APs about the date of disbursement in advance (at least a week before).
(ii) NGO shall arrange for a vehicle to bring APs to the bank. Cost of hiring vehicles shall be borne by the project authority.
(iii) NGO shall take signature/thumb impression of AP on the photocopy of the bearer cheque. AP should produce the ID card distributed earlier at the time of receiving the bearer cheque.
(iv) For bearer cheques, NGOs shall maintain a register with the names of APs to whom cheques have been disbursed along with the cheque numbers and dates of issue. This register will have the photocopies of the bearer cheques.

G. Community Participation and Consultation

1. What is Community Consultation?

Effectiveness of RP implementation is directly related to the degree of involvement of those affected by the project. This is also an essential requirement of the resettlement process, if it has to be responsive to the needs of the affected population. Their involvement vastly increases the probability of their successful resettlement. It also serves as "tool for managing two-way communication between the project sponsor and the public. Its goal is to improve decision making and build understanding by actively involving individuals, groups, and organization with a stake in the project. This involvement will increase a project's long-term viability and enhance its benefits to locally affected person and other stakeholders."

Community participation and consultation is not an isolated event or activity. It is a continuous process and an approach that needs to inform all the activities to be undertaken for the implementation of RP.

2. Type of Consultations

The types of consultation with the communities of affected person could include the following:

(i) *Information*: It is a one-way communication where AP is a passive listener. NGO informs AP about the project or date of next consultation, etc. This kind of consultation normally takes place at the inception stage of the project, when NGO has just moved in.

(ii) *Interactive*: A two-way process where ideas and views are actively shared. This kind of consultation starts from rapport-building stage, where not only the project is discussed, but also the other problems of AP that may not even have any remote connection with the project. Casual interaction with APs also comes under this type of consultation.

(iii) *Decision making*: Another two-way interaction, where views of APs are seriously sought for certain issues, such as relocation of APs and/or CPRs, finalization of sites, etc.

3. When to Conduct Consultations?

Consultations are required at various stages as listed below:

(i) When NGO moves in, rapport building with APs is the first activity and requires consultation. This is carried out at the time of verification survey.

(ii) At the time of verification survey, one-to-one consultations are held while updating baseline socioeconomic information.

(iii) Shifting of non-titleholders from COI. This issue may require several rounds of consultations.

(iv) Identification and finalization of site for relocation of CPRs and APs, marketplace, etc.

(v) Relocation of APs, CPRs, etc.

(vi) Awareness generation for control of highway-related diseases

(vii) Highway/Road safety aspects

(viii) To arrive at a replacement value of a structure or land

(ix) Identification of APs eligible for training and assessment of training needs

(x) Identification and finalization of trades for training

(xi) Identification of master trainer and assessment of trainer

(xii) Formation of self-help groups or CBOs or formation of any other groups for eco-rehab.

It is desirable that a representative from the project authority is present during consultations. Box 3 has the key points of consultations.

Box 3: Key Points of Consultations

1. Semi-structured guidelines in accordance with the agenda will always come handy in any consultation.
2. Ensure that separate consultations are held for male and female groups, commercial and residential APs, etc.
3. Ensure that the group is small (not more than 12–15 members in a group).
4. Ensure that all participants sign the attendance sheet and the sheet is attached to the proceedings.
5. If a consultation is being held to arrive at a major decision or decisions, preferably it should be videographed. However, still photography for every consultation held is a must. Photographs must be attached to the proceedings.

Ensure that every proceeding is filed in duplicate.

Source: Summarized by author.

4. Checklist

(i) Consultation is a continuous process and not always a planned one. At times, a situation demands consultation and has to be carried out on the spot. However, for a planned consultation, APs shall be informed at least a day before.

(ii) Decision taken during consultation should be followed up, and the final decision must be made public.
(iii) Ensure that staff involved in consultation is well acquainted with language and culture of APs and have adequate experience in interactive planning methods.
(iv) Facilitator shall prompt and guide the group, but shall never get involved in the decision-making process. Asking too many unrelated questions may drift the group from the decided agenda.
(v) It is always better to start the discussion with village problems and gradually shift to project-related issues. The facilitator should try to address the problems being faced by the community and should have a positive approach.

H. Institutional Mechanisms for Grievance Redress

1. Need for Grievance Redress Mechanism

Effective redress of grievances of project-affected person is crucial to smooth implementation of highway construction to prevent time and cost overruns. In order to ensure effective redress of grievances, appropriate institutional mechanisms have to be in place. According to existing provisions in the LA Act, aggrieved APs can, at different stages of land acquisition, represent their cases to the Land Acquisition Officer or even to courts for redress and seek higher compensation. The common reason for delay in implementation of projects is grievances of people losing land. Considering this, district-wise Grievance Redress Committees (GRCs) are formed by NHAI at all project locations. In order to strengthen the grievance redress mechanism, a joint meeting of LAO/Competent Authority and CRRO/DRO could be organized on a fixed date every month to hear grievances. Moreover, Lok Adalats (dispute redressal body) could also be held for quick disposal of cases.

2. Institutional Arrangement

The institutional arrangements for grievance redress need to be put in place, according to RP. Usually, the arrangements have to be made at the panchayat, district, and project levels.

a. Panchayat-level Committee (PLC)

The Panchayat-level Committee (PLC) would be constituted by *sarpanches*, *pradhans*, women members of the general body of Gram Sabha of villages covered under the panchayat and the ward members. The major role and responsibility of PLC would be to

(i) Meet regularly at a known venue, date, and time, specifically to redress grievances;
(ii) Help people identify their problems and raise relevant queries;
(iii) Provide help in amicable settlement of disputes at the community level; and
(iv) Carry forward the un-redressed grievances to GRC at the district level.

b. Grievance Redress Committee

Apart from District Magistrate as head of the committee at the district level, the committee is composed of NGO representatives; representatives of people (viz., Member of Parliament, Member of Legislative Assembly, etc.); and representatives from blocks, districts, line departments, and APs.

GRC shall meet regularly (at least once a month) on a pre-fixed date (preferably on 7th day of the month). The committee will assign responsibilities to one of its members to implement the decisions of the committee along with the NGO contracted for RP implementation. This will not only help proper assessment of the situation, but also in suggesting corrective measures at the field level. GRC shall deliver its decision within a month of case registration.

The Divisional Commissioner of the area shall hear appeals against the decisions of GRC.

The functions of GRC are to

(i) Provide support for APs on problems arising out of property acquisition;
(ii) Record grievances; categorize, prioritize, and solve them within a month;
(iii) Inform project authority of serious cases within an appropriate time frame;
(iv) Report to the aggrieved parties about the developments regarding their grievance and decision of project authority; and
(v) Prioritize cases based on the following criteria:

- Land and structures of DPs
- Land and structures of adversely affected APs
- Land and structures of partially affected APs

c. NGO's role in grievance redress

The implementing NGO has an important role to play in redress of grievances—as a link between APs and project authorities. In the course of facilitating the redress of grievances, NGO is supposed to carry out the following tasks:

(i) Public Consultation for information dissemination regarding functions and importance of GRC;
(ii) Assessment of APs' grievances on a continuous basis;
(iii) Accompanying and representing APs at the Grievance Committee Meetings; and
(iv) Documentation of all cases referred to GRC and maintenance of the related records.

d. Public consultation regarding functions and importance of GRC

NGO shall hold public consultation meetings with APs to disseminate information aboutthe composition, functions, and importance of GRC and how to approach it in case of need. NGO shall also share with APs information regarding the role of PLC with regard to grievance redress.

e. Assessment of AP's grievances

NGO shall continuously monitor and keep an eye on the grievances of APs through informal interactions during their visits to the project villages.

f. Accompany and represent APs at GRC meetings

In order to effectively represent APs, NGO will

(i) Nominate a suitable person (from NGO staff) to be a member of GRC.
(ii) Make APs aware of GRCs.
(iii) Train APs on the procedure to file a grievance application and to confirm that a statement of claim from the concerned AP accompanies each grievance application.
(iv) Help APs in filling the grievance application and also in clearing their doubts about the procedure, as well as the context of the GRC award.
(v) Record the grievance and bring it to the notice of GRCs within 7 days of receipt of the grievance from APs.
(vi) Submit a draft resolution with respect to the particular grievance of AP, suggesting multiple solutions, if possible, and deliberate on the same in the GRC meeting through the NGO representative in GRC.
(vii) Accompany APs to the GRC meeting on the decided date; help AP to express his/her grievance in a formal manner, if requested by GRC; and again inform APs of the GRC decisions within a stipulated period (say in 3 days' time) of receiving a decision from GRC. NGO shall maintain related records of the GRC proceedings and document all cases referred to it.

I. Resettlement Sites and Relocation

1. Tasks

Relocation is invariably a painful process for DPs and needs to be handled with utmost care and sensitivity so as to minimize adverse impacts on them. Relocation involves three major tasks:

(i) Identification and development of resettlement sites
(ii) host surveys and consultation,
(iii) Relocation of APs, and
(iv) Relocation of CPRs.

The role of NGO is critical not only in identifying and developing resettlement sites, but also in relocating APs and CPRs, due to their intimate interaction with the affected communities.

2. Steps

Steps for identification of land for relocation of APs and/or CPRs are as follows:

a. Identification of DPs

(i) NGO shall prepare village wise lists of DPs and CPRs to be relocated.

(ii) Based on the list and entitlement framework, NGO shall work out the total area of land required. Referring to the entitlement framework is important as the area of land to be given to APs varies for residential and commercial DPs.

(iii) NGOs shall review adequacy of sites tentatively identified during resettlement planning.

b. Consultation with APs

(iv) NGO shall initiate the process of consultations (one or more) with APs on the issue of relocation site selection.

(v) During these consultations, NGO shall try to find out whether the group/community already has any specific site(s) in mind, and determine whether the sites tentatively identified during resettlement planning are still acceptable to APs. If not, NGO shall list out community's/group's preferences.

c. Site selection

(vi) In case the group has already identified a potential site, NGO shall visit the site along with representatives of the community to assess site adequacy and suitability. NGO shall also collect information regarding its title and availability from local revenue department. In case the identified land is government/ community land, NGO shall have to obtain No Objection Certificate (NOC) from the Circle Officer.

(vii) For identification of relocation sites for CPRs, the needs of APs, as well as those of other interested parties, such as the priest of the affected temple, committee members of the temple, people living in that village who are not affected, people using a particular hand pump but who are not affected, etc., have to be considered. People living away from the highway also use CPRs.

(viii) In case APs do not have an identified site, NGOs have to carry out the following activities:

- Collect information on government/ community land available in the vicinity of project highway from the office of Circle Officer/Circle Inspector.
- NGO shall prepare a consolidated village wise list of government and community land. For relocation, NGO shall ensure that APs are relocated along with their peers so as to maintain the existing social fabric. Based on this information, NGOs shall estimate the area of land required at a particular resettlement site.
- NGO shall collect information regarding land title and its availability for the purpose of resettlement. This information can be collected from sources, such as revenue/land records department, urban or rural local bodies, etc.
- NGO shall verify the list by visiting the sites and also confirm that plots are free from encroachment and other encumbrances.
- NGO shall examine all plots for their adequacy and suitability.
- NGO shall arrange to bring the representatives of APs for finalization of plot.

(ix) NGO shall ensure that the identified site is not far away from the affected site. For relocation of CPRs, such as temple, hand pump, village gates, wells, etc., NGO shall try to motivate APs to donate private land. As much as possible, no government/community land shall be used for relocation of CPRs, especially for the religious and cultural structures. In case private land is not available, NGO shall follow the process mentioned above under point number 7 for identification of government/ community land.

(x) After selection of sites, NGO shall arrange for site visits by APs for their approval. NGO shall also hold consultation sessions with APs. A series of consultations may be required at various sites. Once approval of APs is obtained, NGO shall approach the Circle Officer to obtain NOC to use the land for resettlement. The application for NOC would be by NHAI/ PWD, clearly citing the purpose.

d. Site development

(xi) After obtaining the NOC, NGO will hand over the site to CRRO/DRO for development and other construction activities as required. Before handing over the site to the contractor for development, NGO, along with CRRO/DRO, will conduct a group discussion with APs to identify their preferences in the resettlement sites.

(xii) In case the site identified is close to an existing village or is a part of an existing village, NGO will take the host population into confidence. NGO will conduct group discussions and, if possible, one-on-one discussion (if the settlement is small) explaining the reason for shifting APs. NGO shall also conduct needs assessment among the host population in order to assess the pressure on existing infrastructure due to influx of APs. In case additional infrastructure, such as drinking water facility, roads, streetlights, drainage, additional rooms and teachers in school, health center, etc., is required it shall be provided before shifting APs.

3. Relocation of APs

Once the resettlement site is ready, NGO will initiate the process of relocating APs and CPRs. The specific steps to be undertaken by NGO are

a. Ensuring access to information

(i) NGO shall give prior information to APs about the likely date of relocation. Preferably, this notice will be given at least a month before the date to allow APs to prepare for their shift to the new residence/place of business. Shifting should preferably be done in a phased manner.

(ii) NGO shall prepare a list containing the following information:

- Name of AP and dependents
- Name of the resettlement site where they will be relocated
- Date of relocation
- Whether AP has received all compensation and other assistance as per entitlement framework

b. Preparation for relocation

(iii) Prior to physical relocation of APs, NGO shall ensure that APs have received all eligible compensation and assistance.

(iv) In case a group of (residential or commercial) APs are to be resettled at a particular site, NGO shall also be responsible for distribution/allotment of plot/house/commercial units to individual APs. The allotment can be done through lottery or any other method as decided unanimously between NGOs and concerned group of APs.

c. Shifting to relocation site

(v) On the fixed day, NGO will arrange vehicles for shifting APs and their belongings. Care should be taken to ensure that their belongings are not damaged during shifting. Cost of hiring vehicles shall be borne by APs.

(vi) After shifting APs to their new location, NGO shall monitor them regularly. If any conflict arises between the relocated APs and the host community, NGO shall immediately bring it to the notice of CRRO/DRO to resolve the problem amicably.

4. Relocation of Common Property Resources

Relocation of CPRs include temples, village gates, hand pumps, wells, etc. Except for temples, once the relocation site for CPRs is handed over to CRRO, NGO's role is practically over. But for religious structures, unless the deity is reestablished (sthapana), the relocation process is still not complete. The specific steps that NGO should take are

(i) Discuss with APs and other interested parties, such as the priest, members of the temple committee, etc., to finalize the date for shifting, rituals to be followed, etc. NGO will have to conduct several rounds of consultations to arrive at a unanimous decision by the community. For smooth relocation, NGO will form a Village-level Committee (VLC) composed of village elders, schoolteachers, panchayat members, and other influential persons in the village. VLC members shall be identified during group discussions with the villagers.

(ii) NGO will ensure that the community adheres to the date fixed for shifting the deity.
(iii) On the day of shifting, NGO will mobilize the community, facilitate the rituals, and ensure that the deity is shifted as agreed with the community.

J. Income Restoration

To restore and improve pre-project levels of APs' incomes and to rehabilitate the socioeconomic and cultural systems in affected communities, income restoration plan must be efficiently implemented. Income restoration programs should proceed exactly as in any other economic development program. A key to success is that the schemes should be designed in consultation with APs and should be explicitly approved by them.

1. Types of Income Restoration

a. Short-term activities

Short-term income restoration activities are designed to restore APs' income during the periods immediately before and after relocation. For this, NGO shall ensure that

(i) Adequate compensation is paid before relocation
(ii) Short-term, welfare-based grants and allowances are provided as per entitlement matrix, such as

- One-time relocation allowance;
- Free transport to resettlement areas or assistance for transport/shifting allowance;
- Free or subsidized items; and
- Transitional/subsistence allowance or grants until adequate income is generated, special allowances for vulnerable groups.

(iii) APs' access to project-related employment opportunities according to skills and needs are promoted, such as

- Under the main investment project;
- On relocation teams (e.g., drivers, food provision, etc.); and
- On resettlement sites, if any (e.g. construction, transport, maintenance, etc.).

b. Long-term activities

NGOs should develop a range of feasible long-term income restoration options that will be generated once the census surveys and consultation are over. Income restoration activities will be generated in consultation with the community. As much as possible, mechanisms to dovetail existing government poverty alleviation programs shall also be developed in consultation with the community, NHAI/PWD, and District Rural Development Agency (DRDA).

2. Tasks

Specifically, the tasks to be undertaken by NGOs for restoration of income of APs are as follows:

(i) Identification of target groups
(ii) Identification of income restoration activities
(iii) Training

- Training Needs Assessment (TNA)
- Identification of trainers/training agencies
- Arrangements for training

(iv) Monitoring of APs engaged in new vocations

3. Steps

The steps to be followed under each task are given below.

a. Identification of target groups

(i) NGO shall ensure that both directly and indirectly affected persons (IAPs) have been covered. IAPs will include helpers in roadside eateries or in petrol pumps who are affected, or persons who transport APs' goods from one place to another for a living.
(ii) For identification of IAPs, NGO shall conduct FGDs in the affected settlements/villages as it is difficult to identify such people merely from a quantitative survey.
(iii) Once such APs are identified, pretested structured forms shall be completed for collection of socioeconomic information.

b. Identification of income restoration activities

(i) Prepare a list of feasible income restoration options.

(ii) Identify government schemes and programs that can be dovetailed with the options of APs.

(iii) NGO shall conduct IDIs with concerned DRDA officials and managers of Lead Banks of the area to identify various economic activities (source of funding and forward and backward linkages) that could be carried out in the project area.

(iv) Analyze the data collected by DPR consultant during RP preparation. This analysis could provide NGOs the number of APs against each trade or options proposed.

(v) Organize meetings with APs to elicit their views and preferences regarding income restoration options.

(vi) While identifying income restoration options, the following factors shall also be considered:

- Education level of APs
- Skill levels
- Available economic activities in the post displacement period
- Extent of land available after acquisition
- Suitability of economic activity to supplement income
- Market potential and marketing facilities

(vii) Match the options of APs with their socioeconomic characteristics according to the data collected using the socioeconomic survey. Based on socioeconomic characteristics and options preferred by APs, NGO may have to reassign trades to APs. This exercise will provide the first level of screening.

(viii) Following finalization of the draft list, NGO should work out the input cost and monthly income that will accrue out of the individual trades, market potential, etc. NGO shall ensure that the trades/activities selected have low initial cost and require low technology that matches the resources available in the area.

(ix) With a draft list of trades, NGO will approach APs for one-on-one consultation to finalize the trade. NGO will explain the rationale, expected income, input cost, skills required to run the venture, and other modalities regarding proposed trades. This would help APs to make an informed decision on selection of trades.

4. Training

a. Training of key officials and NGO staff

The following modules can be used to provide training during initial orientation and also to conduct repeat training sessions for project staff (both at the head office and at the field level) and NGO personnel.

(i) *Overview of social issues*: social issues, methodology followed for social impact assessment (SIA), entitlement framework, and detailed resettlement policy

(ii) *Land Acquisition*: Land Acquisition Act, 1894; NH Act, 1956; and state-specific amendments

(iii) *Resettlement*: planning and preparation for relocation, implementation issues, requirements for identification and finalization of resettlement areas

(iv) *Rehabilitation*: economic rehabilitation, requirements for identification and finalization of alternative economic rehabilitation schemes, training needs of APs

(v) *Public Consultations*: issues to be discussed during various project stages viz., preparation, implementation and post-implementation; public consultation in project delivery; techniques of public consultations

(vi) *Social Impact Assessment*: definition; steps; output; required surveys viz., screening, census, socioeconomic surveys, verification, etc.; issues relating to preparation of entitlement framework; institutional capacity

Training of APs—One of the strategies for economic sustenance of APs is to help them improve their productive capability by imparting new skills or upgrading of skills through training. Generally, APs are either dependent on agriculture or have low skill endowment. Hence, training becomes an important component. For APs who intend to diversify their economic activity, suitable IRS should be identified on an individual or group basis and training provided accordingly. Besides training in specific skills, general entrepreneurship development should also form part of the training program, mainly to improve management capabilities.

b. Training needs assessment

With trades finalized, NGOs should conduct skill mapping of APs. NGOs should match the skills and preferred options. If the options do not match the skills, NGOs should provide the required training.

c. Identification of trainers/training institutions

The steps to be followed are

(i) Based on trades selected, NGO shall have to identify master trainer and/or training institute for different trades/activities.

(ii) For selection of trainers, NGO must consult the following officials

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

Since these departments also provide training under various government schemes, consultation with these agencies will help NGO to identify and finalize the list of trainers.

(iii) NGO shall try to engage trainers/training institute who can provide on-the-job training. For example, in package IV of the Third National Highways Project (TNHP), training for electricians was provided by a trainer who also takes on contracts for repair of electrical items and household electrical fittings. After providing classroom training, he employed trainees and, for his new contracts, sends them for work along with one of his old employees. Thus, trainees are able to consolidate their training and also earn income.

d. Training arrangements

The steps to be followed are

(i) After identification of trainers and/or training institute, NGO shall prepare different groups of APs as per trades selected.

(ii) NGO shall discuss and finalize with CRRO the date for training, venue, arrangement of vehicle for transporting APs to training venues, training material required, etc.

(iii) NGO shall inform APs at least a week in advance about the date of training.

(iv) On the day of training, NGO will take APs to the venue and drop them back. If APs are living far from the venue, NGOs shall arrange for their stay.

5. Monitoring of APs

(i) After providing training and required raw materials for starting new vocations, NGOs shall monitor APs in order to take corrective measures, if required. The broad aspects to be monitored are

- Comfort level of APs in new activity,
- Interest shown by AP,
- Marketability, and
- Income accrued.

(ii) NGOs shall monitor every AP, initially on a fortnightly basis and later on a monthly basis.

(iii) NGO shall document observations.

(iv) In case NGO observes any negative trends, AP should be trained again in the activity. If AP is not comfortable with the activity, new vocations should be selected in consultation with APs and family members.

6. Challenges in Income Restoration

In highway sector projects, income restoration interventions are much more complex due to occupational diversity of APs. For example, there may be a mix of a large number of land titleholders (large, small, and marginal farmers; and sharecroppers) due to by-passes and non-titleholders engaged in small business enterprises (vehicle repair shops, small motels, other rural/semi-urban small activity-based shops, commercial squatters) as displaced people. This occupational diversity poses a problem for mitigation measures in the context of economic rehabilitation. The task becomes even more challenging due to the inherent pressure of completing highway construction work within a short time.

It has been suggested that dovetailing with government development schemes may help income restoration of APs. Currently, the Government of India has two major pro-poor development programs being implemented nationwide. These programs, known as *Swarnajayanti Gram Swarozgar Yojana* (SGSY) and *Sampoorna Grameen Rozgar Yojana* (SGRY), were launched in 1999 and 2001, respectively.

In view of the limited time frame (2–3 years) that the implementing NGOs have, a possible integration of the income restoration component of RP with government programs, even in few feasible cases, is a truly challenging task.

K. Addressing Other Social Issues

1. Tasks

In addition to involuntary resettlement, there are other social issues concerning highways. These are:

- Trafficking of women and children,
- Child labor,
- HIV/AIDS and other highway-related diseases, and
- Road safety.

This section is not a complete treatment of the subject, but highlights key consideration of social issues in road development. Separate agencies may be tasked to address these issues or a common TOR maybe prepared for addressing IR and non-IR related social impacts.

2. Steps

The role of NGOs in implementing social responsibility is limited to generating awareness on the above issues. For awareness generation campaigns, NGOs will adopt the following steps:

3. Trafficking of Women and Children

(i) Identification of target group and preparation of IEC material
(ii) Identification of location for display of IEC material (based on consultation with community and CRRO/DRO)
(iii) Monitoring of households where migration is common (monitor the reasons for migration, period, income accrued, etc.)
(iv) Identification of locally based employment opportunities (preferably low skill-based): this will require IDIs with Director of DRDA, Manager of Lead Bank, and any independent entrepreneur in the area; consultation with community and CRRO/DRO
(v) Monitoring of APs involved in high-risk behavior (monitor their route, contacts, behavior, occupational pattern, etc.): this can be done through informal discussions with the target groups
(vi) Identification of hot spots through regular field visits
(vii) Organization of awareness generation camps (video–audio segments will be more effective, short films on trafficking, skits, walks, etc. apart from display material and lecture sessions)

4. Child Labor

(i) Prepare action plan based on information collected during verification exercise
(ii) Keep constant vigil on construction camps and sites
(iii) Tie up with environmental officer (EO) of Supervision Consultants: this will lend support for monitoring of sites and camps
(iv) Have regular meetings with Manager (NHAI/PWD), CRRO/DRO, Supervision Consultants, and Contractors on these issues: explain impacts on children and their families
(v) Hold regular consultation with families
(vi) Ensure that contractor has provided health and education facilities in camps: NGO may get help from EO
(vii) Have consultations with Headmasters of nearby schools for enrollment of children; CRRO/DRO should also participate in such consultations

(viii) NHAI/PWD can help schools with procurement of educational materials
(ix) In the absence of schools, NGOs shall try to enroll children in informal schools, such as night schools, *charwaha* (grazing ground) schools, etc.
(x) NGO will identify nonhazardous activities to keep children engaged in meaningful economic activity
(xi) Regularly review the activities and indicators identified
(xii) Ensure that local organizations working on child labor are also consulted in the process
(xiii) Review action plan prepared for child labor rehabilitation from time to time

5. HIV/AIDS

(i) Tie up with State AIDS Control Society (SACS), which provides IEC materials free of cost. NHAI/PWD can be requested to issue letters to SACS to introduce NGO and to make available the IEC material.
(ii) Prepare skits, *nukkad natak* (street plays or thematic road shows) and other visual aids for awareness generation
(iii) Hold camps at regular intervals
(iv) Hold regular meetings with officials of Truckers' Association and medical and paramedical staff of health centers along the highway for regular checking of truck crew members
(v) Distribution of free condoms (if possible) or else make truckers aware of the importance of condoms and other safe sex methods
(vi) Keep regular vigil on persons indulging in high-risk behavior
(vii) Identify and train commercial sex workers (CSWs) in alternative IRS

6. Highway/Road Safety

(i) Collect information on accidents from police stations situated along the project highway.
(ii) Segregate information by type of accidents, for example, accidents of two trucks, accident of a truck and a car, accident of a truck and a cyclist, accident of a car and a pedestrian, etc.
(iii) Identify accident sites where maximum pedestrians or any slow-moving vehicle meets an accident, and locations where accidents are fatal. The accident sites thus identified shall be the location for awareness generation camps.
(iv) NGO shall hold FGD with residents of settlements along the project highway to identify accident sites involving local population. Many accidents may not be reported to police.
(v) NGO shall consult officer-in-charge of police stations situated along the project highway to elicit information on fatal accidents and steps taken by local police in the matter.
(vi) During consultation with APs, NGO shall try to identify reasons behind accidents as this will help NGO to prepare IEC materials or to put up necessary signboards, etc.
(vii) NGO apart from preparing IEC materials, such as posters, pamphlets, car or truck stickers, shall tie up with supervision consultant to put up all necessary signboards and highway markings. For example, a village is situated just next to a sharp turn. A motorist in a high speed fails to negotiate the curve and hits a person. A signboard saying "sharp bend ahead" or "a settlement after bend" will caution the motorist to drive slow thus avoiding accidents.
(viii) NGO shall distribute the IEC materials in the settlement along the project highway.
(ix) Thematic wall paintings on highwayside eateries or other shops frequented by regular highway users or habitants of settlements shall be carried out by NGO.
(x) Messages on highway/road safety can be disseminated through nukkad natak and/or small video film, as visuals are more effective. NGO shall hire *bhajan mandalis* (theater artist groups) for such activities.
(xi) NGO shall invite opinion leaders, such as village elders, schoolteachers, or unemployed educated youths, for training on highway/road safety issues. After receiving training, this group will, in turn, train other villagers.
(xii) For training, invite an officer of responsible position in traffic police from the nearest urban area.
(xiii) Target women and children, as they are the most vulnerable and prone to highway/road accidents.
(xiv) Train schoolchildren on aspects of highway/road crossing and other safety issues.

L. Special Attention to Vulnerable Groups

Vulnerable groups include scheduled tribes (STs), scheduled castes(SCs), women-headed households and families living below the poverty line, the destitute, elderly and orphans. In the course of preparing and implementing RPs, interests of these vulnerable groups should be adequately protected.

1. Women are likely to be Particularly Vulnerable

Women are likely to experience differential socioeconomic setbacks due to their disadvantaged positioning within socioeconomic structures and processes. This is likely to be manifested most in the loss of CPRs as a result of their forced eviction from ROW.

During verification and updating of the socioeconomic survey, NGOs shall collect information on the following:

(i) Number of women-headed households
(ii) Socio-demographic characteristics of affected women
(iii) Health status, including number of children per woman
(iv) Women's role in household economy (employment, waged, non-waged labor)
(v) Time disposition
(vi) Decision-making power among women APs

As women are often more adversely affected during the transition between displacement and resettlement, they have to be integrated in the project as full-fledged participants taking part in all the stages of the project (from planning through implementation) and on to the post-project stages. This is the only way to ensure that the R&R process is an exercise in equitable distribution of resources and benefits in a gender-sensitive manner.

a. Tasks

(i) Ensure involvement of women in the project
(ii) Ensure facilities are available in construction camps
(iii) Carry out responsibilities toward vulnerable groups other than women

b. Steps

Participation of women can be ensured specifically in the following ways:

(i) Involve women in the consultation process.
(ii) Ensure that women are consulted and invited to participate in group-based activities to gain access and control over resources.
(iii) Ensure that women actually take part in issuance of ID cards, opening accounts in the bank, receiving compensation through cheques in their name, etc. This will further widen the perspective of participation by women in project implementation.
(iv) Provide separate training for women's groups for upgrading skills in alternative livelihoods and assist them until the beneficiaries start production and business.
(v) Initiate women's participation through self-help group formation in each village affected by the project. These groups can then be linked to special development schemes of the Government, such as SGSY.
(vi) Encourage women to evaluate the project outputs from their point of view, and their suggestions should be noted when taking action for further modifications in the project, creating better and congenial situation for increasing their participation.

All these must be done in a participatory manner to generate sustainable results in terms of income restoration of women.

c. Involvement of women in construction

Wherever possible, women's involvement in construction activities should be encouraged to help them gain access to benefits of project activities. The construction works for widening and strengthening the project corridor starts after the R&R activities are over and COI is clear of any encroachment and other encumbrances. The construction contractors set up their construction camps on identified locations, where the labor force required for construction activities will be provided with temporary residential accommodation and other necessary infrastructure facilities. The labor force required for construction activities has to be of a highly skilled nature, as there is a lot of mechanized work in construction of the highway. In addition, unskilled labor, to which women can certainly contribute, is also required.

Apart from this, women as family members of the skilled and semiskilled laborers will also stay in the construction camps and will be indirectly involved during the construction phase. The families of laborers will include their children. The construction contractors are expected to bring along skilled labor whereas local labor will be used for unskilled activities. The labor force, both migratory as well as local, will have both male and female members.

d. NGO's role in ensuring facilities in construction camps

Foreseeing the involvement of women in the construction activities, both directly and indirectly, NGOs shall ensure that certain measures are taken by the construction contractor toward the welfare and well-being of women and children during the construction phase, such as

(i) *Temporary Housing*: During the construction, the families of laborers/workers should be provided with residential accommodation suitable for nuclear families.

(ii) *Health Center*: Health problems of workers should be taken care of by providing basic health care facilities through health centers temporarily set up for the construction camp. Day Crèche Facilities: It is expected that among the women workers there will be mothers with infants and small children. Provision of a day crèche may solve the problems of such women, who can leave behind their children in such a crèche and work for the day in the construction activities.

(iii) *Proper Scheduling of Construction Works*: Owing to the demand of a fast construction work, it is expected that a 24-hour-long work schedule would be in operation. Women, especially mothers with infants, should be exempted from night shifts as much as possible.

(iv) *Education Facilities*: The construction workers are mainly mobile groups of people. They are found to move from one place to another taking along their families with them. Thus, there is a need for educating their children at the workplace.

(v) *Control of Child Labor*: Compliance to labor laws should be strictly adhered to. It will be the responsibility of NGOs along with CRRO and the EO of the supervision consultants to ensure that no child laborer is engaged in the activities.

(vi) *Special Measures for Controlling STDs, HIV/AIDS*: Solitary adult males usually dominate the labor force of construction camps. They play a significant role in spreading STDs. In the construction camps as well as in the neighboring areas, they are found to indulge in high-risk behavior giving rise to STDs and HIV/AIDS.

While it is difficult to stop such activities, it is wise to make provisions for means of controlling the spread of such diseases. NGO shall conduct awareness camps for the target people, both in the construction camp and in neighboring villages. NGO shall have to tie up with SACS for awareness and IEC materials, and supply of condoms (at concession rates) to male workers may help to a large extent in this respect.

e. Other important action points

(i) Cases of compensation to women should be handled with care and concern considering their inhibited nature of interaction.

(ii) All compensation and assistance should be paid into a joint account in the name of both spouses except in the case of women-headed households and women wage earners.

(iii) NGO shall prepare a list of able-bodied and willing women APs for construction activities and hand over the list to CRRO/DRO to be forwarded to the contractor.

(iv) NGOs must propose at least one woman as part of key personnel. The proposed key person shall be available to work at the site for at least 50% of the duration of the contract.

(v) Women key persons may be replaced during the period of the contract only with women key persons of equivalent qualifications and experience.

(vii) NGOs will assign a "technical/professional" team to work at the site, which will consist of at least 33% women members. Junior support personnel and administrative staff will not be considered as "technical/professional".

2. NGO's Responsibilities toward Other Vulnerable Groups

(i) Identification of SC and ST families as per impact category, such as residential, commercial, agriculture, etc.

(ii) Collect socioeconomic information on affected households, including land tenure system (during verification exercise).

(iii) Prepare a dossier based on the information collected. In case a large number of tribal people are affected, a separate Indigenous Peoples Development Plan (IPDP) shall be implemented DPR consultants normally prepare IPDPs. However, NGO shall verify/review the plan based on its own assessment of the area.

(iv) Ensure that the affected SC and tribal households are represented during various consultations.

(v) Ensure that the affected SC/ST families receive the provisions made in RP according to the entitlement framework.

(vi) Ensure that the ST families are resettled following their traditional settlement pattern, housing, concept of dwelling space utilization, livestock raising, kitchen gardening, and other necessary requirements. For this, elaborate consultations shall be made on each and every aspect with APs.

(vii) Ensure that the tribes are allowed to participate in the planning process, implementation, and M&E of R&R.

(viii) Ensure that nothing is imposed upon tribal households in the name of upliftment. If any betterment (on the outsider's terms) is to be suggested, these communities should be made fully aware of the facilities, their uses and maintenance, through persuasive and participatory approaches so that they are convinced of accepting such facilities.

(ix) Ensure that community properties, such as their shrines; sacred groves, etc., are relocated as per their custom and culture. Community gathering places shall be provided according to their choice in the resettlement site.

(x) Caution is needed on the part of NGOs to avoid any imposition that may harm/disturb the ethnic identity of the people.

(xi) Ensure that income restoration activities are provided as per their skill, expertise, and preferences.

(xii) Procure the government order from the concerned department to determine the cut-off line for identification of BPL families and ensure that assistance to such families is provided according to the entitlement framework.

M. Monitoring and Evaluation Mechanisms

1. Types of Monitoring

Monitoring is essentially an exercise in strategic learning that can be used for enhancing the quality of RP implementation. According to existing arrangements, there are two types of monitoring being undertaken in NHAI/PWD projects, namely (a) internal, which is normally carried out by the project authority itself and (b) external or independent monitoring by an external agency.

a. Internal monitoring

During project preparation, and as part of RP, the DPR consultants develop monitoring and reporting formats for resettlement activities. The organizational unit responsible for monitoring resettlement on behalf of NHAI/PWD is called PIU that oversees the progress, through regular progress reports from the implementing NGOs. This overall monitoring and reporting framework provides a routine flow of information from field level to headquarters of NHAI/PWD.

b. External monitoring

In addition to internal monitoring, external monitoring is also required to provide an independent assessment of resettlement implementation and impacts and to suggest adjustments of delivery mechanisms and procedures as required. NHAI/PWD hires consultants for concurrent monitoring of implementation of the resettlement exercise. (See Appendix 4: External Monitoring and Evaluation of Resettlement Implementation Sample Terms of Reference.)

M&E consultants use both qualitative, as well as quantitative research tools. Verification of micro plans and interviewing of aggrieved APs require pretested structured questionnaires. Other methods applied are group discussion with APs and informal/formal IDIs with CRROs, project directors, officials of line departments, and contractors.

2. Tasks

a. NGO's tasks

The objective of M&E consultants is not only to ensure smooth implementation of the R&R program, but also to ensure that NGOs have followed the steps provided in RP and approved policy of the project authority. Therefore, NGO has to ensure

(i) Deployment of professionals as agreed in their technical proposal. In case any professional is required to be replaced, the replacement should have similar qualifications and experience.

(ii) Adherence to the agreed time-plan. Any modification, if required, should be carried out in consultation with the concerned CRRO/DRO, and the hired M&E agency should be informed accordingly.

(iii) Proper documentation is done, including

- Documentation of socioeconomic data
- Preparation of micro plans
- Documentation of consultations
- Documentation of DLC and GRC meetings
- NGO's monthly progress reports
- Skill mapping
- Documentation of income restoration activities

(iv) Process documentation has to be followed in carrying out the following:

- Verification exercise
- Consultations
- Identification of relocation sites
- Relocation of APs and CPRs
- Income restoration activities
- Awareness generation for social responsibility

b. Responsibilities of an EMA

The external monitoring agency (EMA) is responsible for

(i) Verification of reports submitted by NGOs, including micro plans

(ii) Field-checking of the delivery of the following

- Payment of compensation, including amounts and timing
- Assessment and confirmation of replacement value, including approach and methodology adopted for arriving at the replacement value
- All assistance and compliance with entitlement framework
- Preparation and adequacy of resettlement sites
- Adequacy and quality of houses in resettlement sites
- IRP and strategy in terms of adequacy and potential income level
- Training, including process adopted for training needs assessment, selection of trainees, trades selected for training, selection process of master trainer or training agency
- Identification and rehabilitation (including assistance) of vulnerable groups in line with the entitlement framework
- Identification of relocation sites for APs and CPRs
- Relocation of APs

(iii) Survey among sample APs to assess their knowledge and concerns regarding the resettlement process, entitlements, and rehabilitation process.

(iv) Observe public consultations for APs; review the documentation of consultations held by implementing NGO; identification of gaps (if any) and suggest remedial measures (defined format for documentation).

(v) Observe the functioning of the resettlement operation at all levels in order to assess its effectiveness and compliance with RP.

(vi) Observe the DLC meeting (on sample basis); review the documentation of DLC meetings by NGO.

(vii) Check the type of grievance issues and the functioning of grievance redress mechanisms by reviewing appeals at all levels and interviewing aggrieved APs.

(viii) Advise NHAI/PWD regarding possible improvements in RP implementation.

3. Frequency of Monitoring

(i) The progress of RP implementation is monitored monthly.
(ii) Process documentation/review is carried out on a quarterly/annual basis.

4. Impact Evaluation (IE)

a. What is impact evaluation?

It is a systematic identification of effects—positive or negative, intended or not—on APs caused by the project. IE helps in better understanding the extent to which the benefits of RP interventions, as provided in the entitlement framework, reach APs and the nature and magnitude of their effect.

b. Objective of impact evaluation

A social and economic assessment of the results of delivered entitlements and the measurement of the income and standard of living of APs before and after resettlement is the main objective of IE.

c. Advantages of impact evaluation

(i) It strengthens accountability.
(ii) It compares effectiveness of alternative interventions.
(iii) It provides answers to certain critical questions, such as

- To what extent are RP interventions making a difference in the lives of APs?
- What are the results on the ground?
- How can they be improved?

(iv) Systematic analysis and rigor provide NHAI/PWD with an added confidence in decision making.

d. How to conduct impact evaluation?

IE, like monitoring, requires both qualitative and quantitative research tools on a much larger scale as compared to monitoring.

(i) The questionnaire prepared for IE is based on (a) project objectives and (b) M&E indicators developed by DPR consultants (may undergo certain modifications).
(ii) The questionnaire is pre-tested and finalized.
(iii) The survey is carried out on a sample basis, and respondents are selected using random sampling.
(iv) The survey includes

- Socio-cultural and demography;
- Economy;
- Compensation and R&R assistance: its reach, adequacy, and usage pattern;
- Perception of APs toward the project, highway/road safety issues, and activities carried out by NGO on social responsibility aspects; and
- The relocation process; reach, adequacy, and usage of infrastructure created; etc.

The qualitative aspect is assessed through group discussions with APs; formal/informal IDIs with PD, CRRO/DRO, line departments, such as revenue, etc; social and resource mapping of resettlement sites; Venn diagram; wealth ranking, etc. The qualitative information supplements the quantitative information.

Frequency: Twice (mid-term and end of term). Based on mid-term evaluation, corrective measures are taken as required; and final evaluation or end term is carried out at the end of the project cycle.

5. Monitoring and Evaluation Indicators

Development of appropriate indicators is the key to any M&E exercise. Table 6.2 provides a suggested list of indicators. These could be suitably modified by NGO/M&E agency in consultation with the project stakeholders. Keeping an eye on these indicators would help NGO to undertake appropriate and timely corrective measures in order to ensure successful implementation of R&R.

6. General Monitoring Tools

Table 7 contains methods/tools that will be required for measuring the indicators suggested in Table 6:

(i) Structured schedule
(ii) In-depth interview
(iii) Core Rapid Appraisal

Table 6: Monitoring and Evaluation Indicators

Physical Indicators
Total land area acquired Number of families whose land, residence, and business establishment were affected and structures totally demolished Number of families allotted residential structures/plots Number of families allotted agriculture land, commercial structure/plots Extent of agriculture land, and commercial plots/structures distributed Extent of residential plots/structures distributed Total area of community and government land transferred for resettlement sites and infrastructure Number of families that received productive asset grant (agriculture and business) Number of families that received house construction grant, transitional, shifting, and rental allowances Number of families that received economic rehabilitation grant Distribution of ID Cards
Social Indicators
Area and type of house and facility Morbidity and mortality rates Communal harmony Women time disposition and decision-making power Literacy level, drinking water, schools, health facilities, and other community infrastructures
Economic Indicators
Annual household income and expenditure Number of families living below poverty line Utilization of compensation Number of APs and women gainfully employed in project Number of families brought above the poverty line Number of shop sites purchased Skill mapping Selection of IRS Training of APs APs in new vocations Extent of agriculture land purchased by APs
Community Participation Indicators
Number of meetings for dissemination of information on resettlement Number of meetings with affected families to finalize R&R options Number of families approaching the Grievance Redress Cell Selection of resettlement sites Number of families self relocated
Grievance Redress Indicators
Number of APs referred to GRC Cases referred to GRC but pending settlement and those settled Number of grievance cell meetings Number of village-level meetings Number of field visits by CRRO and number of cases disposed by CRRO to the satisfaction of APs
Financial Indicators
Amount disbursed for acquisition of land, structure, wells, trees, etc. Amount disbursed for productive assets grant (agriculture and business) Amount disbursed for house construction grant, transitional allowance, economic rehabilitation grant, shifting assistance, rent, assistance to tenants Amount disbursed for restoration of CPR, community infrastructure, conservation of religious structures Amount disbursed for extension of development programs, training, and capacity building Fees paid to NGO for RP implementation and to consultants for M&E activities Amount disbursed for training of implementation staff of PWD

AP = affected person, CPR = common property resource, CRRO = Contract Resettlement and Rehabilitation Officer, GRC = grievance redress committee, ID Card = identity card, IRS = income restoration scheme, M&E = monitoring and evaluation, NGO = nongovernment organization, PWD = Public Works Department, R&R = resettlement and rehabilitation, RP = resettlement Plan.

Source: 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) Group discussion and other PRA techniques, such as social and resource mapping, livelihood analysis, seasonality, etc.

N. Proposed NGO Team

Implementation of resettlement requires teamwork, and the team has to be multidisciplinary in its composition. Every member of the team has to have a specific role to play. Table 8 gives a suggested team structure, which may change according to the needs of projects.

NGO should also hire the services of a government-certified valuer on a short-term basis. NGO should have experience in implementation of projects in the following fields:

(i) Rural Development, including forestry
(ii) Health (specifically in HIV/AIDS)
(iii) Resettlement and Rehabilitation (in any field, such as highways, roads, irrigation, industry, etc.)
(iv) Income Generation Schemes (individual level or at the group level, such as formation of self-help groups, etc.)

NGO should also possess

(i) Experience in handling large-scale databases
(ii) Experience in using Participatory Rural Appraisal/Rapid Rural Appraisal/Core Rapid Appraisal techniques
(iii) Financial strength (must show at least 3 years audited financial statements; various sources of income—domestic as well as international)

Table 7: Techniques for Conducting Monitoring and Evaluation

Sl. No	Technique	Method	Group Size	Staff Required	Time
1	Key informant interview	Interview selected local with special knowledge or experience	10–25 per group	Interviewer, observer, and moderator	Selection plus 3-hour interview per village
2	Focus group discussion	Specific topic discussed in open-ended group sessions	8–12 per group	Interviewer, observer, and moderator	2 hours per group per village
3	Community interview	Open public meeting with prepared questionnaire	Large number (more than 20)	At least 2 interviewers	1 day per village
4	Structured direct observation	Observation of people and things plus individual or group interviews, if desired	Large or small numbers	Team of 4 or 5	Several days
5	Informal surveys	Nonprobability sampling with open-ended questionnaires	Sample size of 40–50 respondents	Team of 4 or 5 surveyors	1 day per village

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

Table 8: Proposed Team for Resettlement Implementation

Position	Years of Experience	Qualification	Field of Specialization
Team Leader	15 (of which minimum 5 years in highway/road sector and should have adequate experience of leading a multidisciplinary team)	Master's degree in Sociology; Social Anthropology; Economics; Geography; MSW or MBA (Rural Development) from recognized Universities /Institutions	Resettlement and rehabilitation or rural development
Key Professional I	10 (should have adequate experience in handling large-scale database)	Master's degree in Economics or Statistics or MBA from recognized Universities /Institutions	Quantitative data collection and content analysis
Key Professional II	10 (should be well-versed with PRA and RRA techniques)	Master's degree in Sociology; Social Anthropology; Economics; Geography; MSW or MBA (Rural Development) from recognized Universities /Institutions	Qualitative data collection and content analysis
Key Professional III	10 (should have adequate experience in implementation of IRPs	Master's degree in Sociology; Social Anthropology; Economics; Geography; MSW or MBA (Rural Development) from recognized Universities /Institutions	Planning and implementation of IRS
Key Professional IV	10	Degree in Civil Engineering	Highways, roads, and buildings

IRS = income restoration scheme, MBA = Master in Business Administration, MSW = Master of Social Work, PRA = participatory rural appraisal, RRA = rapid rural appraisal.

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