

Resettlement Planning Document

Resettlement Plan for Kirti Nagar – New Tehri Road Subproject
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**INDIA: UTTARAKHAND STATE ROAD INVESTMENT
PROGRAM**

Kirti Nagar - New Tehri Road Subproject

SHORT RESETTLEMENT PLAN

**Public Works Department
Government of Uttarakhand
India**

May 2008

SHORT RESETTLEMENT PLAN
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LIST OF ABBREVIATIONS

ADB	Asian Development Bank
AP	Affected Person
BPL	Below Poverty Line
EA	Executing Agency
FGD	Focus Group Discussions
GOI	Government of India
GRC	Grievance Redressal Committee
HH	Household
IPSA	Initial Poverty & Social Assessment
IP	Indigenous Peoples
LA	Land Acquisition
NGO	Non-Government Organizations
NPRR	National Policy on Resettlement & Rehabilitation
PIU	Project Implementation Unit
PMU	Project Management Unit
PRA	Participatory Rural Appraisal
PWD	Public Works Department
RF	Resettlement Framework
RO	Resettlement Officer
RP	Resettlement Plan
R&R	Resettlement & Rehabilitation
SC	Schedule Caste
ST	Schedule Tribe
TOR	Terms of Reference

Executive Summary of the Short Resettlement Plan

A. Description of the Project

1. Under the Uttarakhand State Road Investment Program (USRIP) Phase II, Package-II, the Kirti Nagar-New Tehri road is one of the subprojects as part of Package II, selected for improvement funded by the Asian Development Bank. The selected road is a Major District Road with single road specification and is proposed to be upgraded to intermediate lane with the carriageway of 5.5 metres. The existing carriageway varies between 4.0 metres to 6.0 metres. The key benefits envisaged out of the Project mainly comprise of improved connectivity and accessibility to access to Baghi, Panula, Bhatogi, Bhagirathipuram, Nandgaon, Pipaldali, Jhalhdhar, Gadolia, Kandhikhal, Jakhand, Mainkhandi, Takholi, Malupani, Dugadda, Dungchora and Maletha, besides better transport facility to Mussoorie, New Tehri and Srinagar. Indirect benefits will be available in the form of improved living conditions, a healthier living environment and the prospect of improved health status of the population plus an improved economic climate with employment opportunities.

2. In keeping with ADB's MFF loan procedures; this short Resettlement Plan (RP) has been prepared in accordance with approved Resettlement Framework (RF). This short RP identifies the broad scope of the subproject and outlines the policy, procedures for acquisition of land, compensation and other assistance measures for affected persons and institutional requirements for this subproject under the loan.

B. Objectives of the Short Resettlement Plan

3. This Short Resettlement Plan is prepared to deal with impacts of land acquisition and resettlement issues resulting from the rehabilitation of the said road subproject. The Plan provides an analysis of the impacts, identifies the nature and types of losses, and establishes an entitlement matrix as a guide to payments for compensation and resettlement benefits. The primary objective of this short RP is to prepare a plan, restoring the income and living standards of the affected persons (APs) if any, due to land acquisition within a short period of time without any disruptions in their own economic and social environment.

C. Resettlement Impacts

4. The Project has its objectives of avoiding involuntary resettlement wherever possible, by means of adopting an appropriate technical design, which leads to minimization of the resettlement impact. In keeping with this objective, the technical design aims at minimization of the resettlement impact by means of best utilization of the available space by avoiding private and public assets and land acquisition as far as possible. In keeping with the technical design and the census survey undertaken during 6-12 December 2007. On this basis, the resettlement impacts in this subproject are found to be 'insignificant'¹. Based on the detailed technical design and census survey, the nature of resettlement impacts identified in the subproject mainly comprise of impact on structures. After minimizing the impacts, 4 private assets of various type and use will be affected. A total of 4 households will be affected, with a total population of 26. Out of 4 assets, three are permanent and one semi-permanent. All structures are extended into the public land.

D. Socio-economic Profile of Affected Households

5. The census survey identified religious and social categories of the affected households. All 4 affected households are Hindu households and belong to General Category. Only 16 of 26 persons

¹ As per the ADB's 'Handbook on Resettlement' – Resettlement is defined as '**insignificant**' when: (i) less than 200 people are displaced from housing; (ii) less than 200 people will lose fewer than 10% of their productive assets (income). When less than 100 indigenous people/scheduled tribes (individuals) are affected, a full IPDP is not required but impact and mitigation measures can be dealt through the resettlement plan. Short RP is required for 'insignificant' resettlement.

were found to be literate. Three affected households have annual income between Rs. 25,000 to Rs. 50,000. Not a single household falls in the below poverty line (BPL) category.

E. Relocation and Compensation

6. In this subproject, no relocation of households is envisaged as there is no total loss of any residential or commercial structures. Only extended front portions of residences will be affected. The agricultural land was reported to be the encroached portion, for which no compensation can be given as per the entitlement matrix. As far as the relocation is concerned, APs have indicated relocation within their own land. However, in this subproject none of the APs will be displaced. All affected households indicated for cash compensation for partial loss of their structures.

F. Issues related with Indigenous People

7. In the state of Uttarakhand, the scheduled tribe (ST) population constitutes only 3 percent of the total population. In this road subproject, not a single ST household is being negatively impacted. Therefore, no separate Indigenous People Development Plan has been prepared for this road subproject.

G. Gender impacts

8. The Consultants, to look into the status and needs of the women in the subproject area and the potential impact of the Project on them by means of undertaking FGDs with women, undertook a gender analysis during the course of the social assessments. The subproject as per the women's group will benefit them indirectly by means of better access to nearby urban centres, better access to health facilities and educational institutions. In their view, the probable negative impact may include increase in accidents due to greater speed of vehicles. Overall, they felt that the proposed rehabilitation would lead to the greater prosperity in their area.

H. Policy Framework

9. The resettlement principles adopted for this subproject recognize the Land Acquisition (LA) Act 1894 and the entitlement benefits as listed in the National Policy on R&R, (Govt of India) 2006, and the relevant Asian Development Bank's (ADB) policies and operations manuals, in particular the policy on *Involuntary Resettlement* (1995), and Operations Manual F2 on Involuntary Resettlement (2006).

10. The RP is based on the general findings of the census survey, field visits, and meetings with various project-affected persons in the subproject area. Taking into account the various losses, the Entitlement Matrix provides for compensation and resettlement assistance to all affected persons including the non-titleholders in the subproject area. In general terms, the people affected by the Project will be entitled to the following types of compensation and assistance - (i) Compensation for loss of land and crops/trees at replacement value; (ii) Assistance for restoration of income and livelihoods and (iii) Additional assistance to vulnerable groups namely - Female-headed households, Scheduled Castes (SC), Scheduled Tribes (ST), those below poverty line, elderly and disabled. A detailed Entitlement Matrix for the subproject is provided in the main text.

I. Stakeholder Participation and Disclosure of RP

11. Consultations were carried out with the project affected persons in the subproject area. The list of affected persons duly signed is enclosed as Annexure-II. Due consideration was also given for Stakeholder consultations and community participation at different levels in the preparation of the short RP. The short RP will be translated into Hindi and will be made available to the affected people by the Executing Agency (EA) for review and comments. Copies of the short RP will also be made

available at the local level public offices such as revenue offices to stakeholders for local inputs prior to award of civil work contract. The final RP will also be disclosed on the ADB website and PWD website.

J. Institutional Arrangements

12. PWD will be the Executing Agency (EA) for the Project. The Project Management Unit (PMU) with assistance of Social Development & Resettlement specialist, & experienced NGO/agency will have the primary responsibility of the RP preparation and implementation. The PMU would ensure monitoring any changes to subproject design which may require re-evaluation of the need for and adequacy of the RP. The PMU will ensure resettlement budgets are delivered on time to the for timely RP implementation.

K. Grievance Redressal

13. A Grievance Redressal Committee (GRC) will be established at the subproject level with the primary objective of providing a mechanism to mediate conflict and disputes concerning compensation payments and cut down on lengthy litigation. Headed by the District Collector, the GRC shall comprise of members from the District Land and Revenue Department, representatives of affected people, including women and vulnerable groups. The GRC will meet as and when grievances are referred it for redress, grievances will be redressed within two to four weeks from the date of lodging the complaints. All costs incurred in resolving the complaints will be borne by the projects.

14. All compensation and other assistances will be paid to all APs prior to commencement of civil works. A detailed implementation schedule for the various activities is provided in the main text.

L. Monitoring and Evaluation

15. Both internal and external monitoring will form as the part of implementation process. Internal monitoring will be the responsibility of the PIU. This will include: administrative monitoring, socio-economic monitoring and impact evaluation monitoring. For external monitoring and evaluation, the PMU will engage an independent monitoring and evaluation specialist. The specialist should have the experience in resettlement activities and familiarity with government and ADB resettlement policy. The external monitoring will be done independently and the report by the external expert will be submitted to the ADB.

M. Budget

16. The total estimated cost for resettlement operation and management for the Project is **Rs. 1,47,520.00** (Rupees One Lacs Forty Seven Thousand Five Hundred and Twenty only).

Short Resettlement Plan

A. Description of the Subproject

1. Under the Uttarakhand State Road Investment Program (USRIP) Phase II, the Kirti Nagar-New Tehri road is one of the subprojects as part of Package II, selected for improvement funded by the Asian Development Bank. USRIP is intended to support the State's 'infrastructure vision' under ADB's multi tranche facility. The focus in the second tranche is on improving the condition of the existing road by carrying out rehabilitation and reconstruction works that are mostly confined within edge-to-edge of the road, as decided by the Public Works Department to be applicable in the hilly areas.

2. The selected road is a Major District Road with single road specification and is proposed to be upgraded to intermediate lane with the carriageway of 5.5 metres. The existing carriageway varies between 4.0 metres to 6.0 metres. Since it has been decided to use the formation width in general the question of land acquisition is ruled out. As per the technical design, 5.5 metres of requirement for the carriageway has been taken as the outer limit for conducting census survey.

3. The key benefits envisaged out of the Project mainly comprise of improved connectivity and accessibility to access to Baghi, Panula, Bhatogi, Bhagirathipuram, Nandgaon, Pipaldali, Jhalhdhar, Gadolia, Kandhikhal, Jakhand, Mainkhundi, Takholi, Malupani, Dugadda, Dungchora and Maletha, besides access to better transport facility to Mussoorie, New Tehri and Srinagar. Indirect benefits will be available in the form of improved living conditions, a healthier living environment and the prospect of improved health status of the population plus an improved economic climate with employment opportunities. However, the surveys and assessments undertaken during project preparation also indicate that the subprojects will entail some degree of resettlement impacts.

4. In keeping with ADB's MFF loan procedures; this short Resettlement Plan (RP) has been prepared for this subproject based on the technical design for this road (49.4 km of length). No land acquisition is required for this road and hence there will be no legal titleholders to be affected. However, there are non titleholders who would be losing their assets. Overall, this subproject would experience 'insignificant' impact. This short RP identifies the broad scope of the subproject and outlines the policy, compensation and other assistance measures for affected households and institutional requirements for this subproject under the loan.

5. The Public Works Department (PWD) of the State government is the Executing Agency (EA), of the subproject and will be responsible, through its Project Management Unit (PMU), for overall strategic guidance. The Project Management Unit (PMU) will have the primary responsibility for RP implementation.

B. Scope and Objectives of the SRP

6. This Short Resettlement Plan is prepared to deal with the impact of resettlement impact resulting from the improvement of the said road subproject. The plan has been prepared on the basis of survey findings and consultations with various stakeholders in

accordance with the ADB's policy on Involuntary Resettlement (1995), and Operations Manual F2 on Involuntary Resettlement (2006) and other social safeguard policies designed by the Bank to protect the rights of the affected persons and communities. The following issues have been identified and discussed in this SRP:

- Type and extent of loss of assets, loss of income and livelihood opportunities, common property resources and other social assets, if any.
- Impact on vulnerable groups and identification of indigenous groups and impact on women, if any.
- Identification of issues through consultation with affected persons and other stakeholders.
- Existing policies and guidelines and legal framework and formulation of project specific entitlements.
- Entitlement matrix with provisions for relocation assistance.
- Estimation of cost for implementation of R&R activities.
- Institutional framework for the implementation of plan and including monitoring and evaluation mechanism.

C. Resettlement Impacts

7. The Project has its objectives of avoiding involuntary resettlement wherever possible, by means of adopting an appropriate technical design, which leads to minimization of the resettlement impact. In keeping with this objective, the technical design aims at minimization of the resettlement impact by means of best utilization of the available space by avoiding private and public assets. Initial site visits and the originally planned widening to two-lanes, brought forth the possible large number of resettlement issues. The discussion among the social, engineering and traffic specialist reflected that considering the current and project traffic, the double-laning is not required. Based on the available width and likely improvement strategy, it was agreed in consultation with the PIU to confine the improvement within the existing formation width, thereby saving large number of private assets and avoided land acquisition. Hence, the minimization of resettlement was achieved mainly by reducing the corridor of impact.

8. In keeping with the technical design and the census survey undertaken during 6-12 December 2007. On this basis, the resettlement impacts in this subproject are found to be 'insignificant'². Based on the detailed technical design and census survey, the nature of resettlement impacts identified in the subproject mainly comprise of – (i) structures and (ii) temporary impact on income. After minimizing the impacts, 4 private assets of various type and use will be affected. Type and use of various structures with number of households and project affected persons as enumerated during the census survey are summarized in Table-1. From the table it becomes apparent that no impact was found on the commercial structures in this subproject. The total affected 4 households with a total of 26 persons comprise of an average family size of 6.5 members each. The details of affected persons have been provided in **Annexure-I** of this report.

² As per the ADB's 'Handbook on Resettlement' – Resettlement is defined as '**insignificant**' when: (i) less than 200 people are displaced from housing; (ii) less than 200 people will lose fewer than 10% of their productive assets (income generation). When less than 100 indigenous people/scheduled tribes (individuals) are affected, a full IPDP is not required but impact and mitigation measures can be dealt through the resettlement plan. Short RP is required for 'insignificant' resettlement. However, short RP must (i) summarize the impacts and extent of losses; (ii) the policies and legal framework applicable; (iii) arrangements made for asset valuation, payments of compensation and relocation; (iv) responsibilities in delivering entitlement, consultation with APs, grievance resolution; (v) cost estimates; and (vi) monitoring.

Table-1: Types and Uses of Assets to be Affected

Types of Structures	No. of Assets	No. of Households	No. of Affected Persons
Residential	0	0	0
Residential cum Commercial	1	1	7
Residential cum Agriculture	3	3	19
Agriculture land	0	0	0
Other (Boundary walls, old structure, open land etc.)	0	0	0
Total	4	4	26

Source: Census Survey, Dec. 2007.

Table-2: List of Affected Families

SI No.	Head of the Household	Father's Name	Location	Chainage KMs.	Area Affected Sq.m	Social Category	Legal Status
1	Om Prakash lakhera	Sankar Dutt Lakhera	Amroli	12.2	37 (resi)	GEN	Encroacher
2	Ramesh Lakhera	Sankar Dutt Lakhera	Amroli	12.2	37 (resi)	GEN	Encroacher
3	Dinesh Lakhera	Sankar Dutt Lakhera	Amroli	12.2	59.94 (resi)	GEN	Encroacher
4	Smt. Jomma Devi	W/O Late Bachan Singh	Chawadutt Banitoli	4.2	23.8 (resi)	GEN	Encroacher

Source: Census Survey, Dec. 2007.

9. **Titleholders and Non-titleholders details:** The private structures likely to be affected belong to encroachers. The details of ownership by various types of impacts are given in Table-3.

Table-3: Legal Status of Affected Assets

Categories of losses	Encroachers	Squatters	Titleholders	Total
Residential	0	0	0	0
Residential cum Commercial	1	0	0	1
Residential cum Agriculture	3	0	0	3
Agriculture land	0	0	0	0
Other (Boundary walls, old structure, open land etc.)	0	0	0	0
Total	4	0	0	4

Source: Census Survey, Dec. 2007

10. Residential structures and boundary walls will be marginally affected. No relocation is required. The extent of losses of various kinds is provided in Table-4 as given below.

Table-4: Extent of Impact

Categories of losses	Upto 10%	10 to 30 %	30 to 50 %	50 to 70%	Above 70%
Residential	0	0	0	0	0
Residential cum Commercial	0	0	0	0	0
Residential cum Agriculture	1	3	0	0	0
Agriculture land	0	0	0	0	0
Other (Boundary walls, old structure, open land etc.)	0	0	0	0	0
Total	1	3	0	0	0

Source: Census Survey, Dec. 2007.

11. Out of 4 private assets, 3 are permanent and semi-permanent assets, as shown in Table-5.

Table-5: Type of Construction

Type of Construction	No. of Structures	No. of Affected Persons
Permanent	3	20
Semi permanent	1	6
Temporary	-	-
Total	4	26

Source: Census Survey, Dec. 2007.

D. Socio-economic Profile of the Affected Households

12. Only one household have 7 family members and the average size of affected household works out to be 6.5, which is understandable considering the rural background of the project area. The size of affected household has been summarized in Table-6.

Table-6: Family Size of Households

Number of Family Members	No. of Households
Less than 5	1
5-7	2
7-10	1
10-15	-
Not Available	-
Total	4

Source: Census Survey, Dec. 2007.

13. The survey also identified social composition of the affected households. All 4 households belong to General category, as shown in Table-7.

Table-7: Social Composition of PAHs

Sl. No.	Social Category	No. of Households
1.	General Caste	4
2.	SC	0
3.	ST	0
4.	OBC	0
	Total	4

Source: Census Survey, Dec. 2007

14. Literacy among the affected persons was found to be high. Out of total 26 PAPs, 10 were found to be illiterate therefore denoting low level of literacy. The educational attainment and literacy is detailed out in Table-8.

Table-8: Educational Attainment of PAPs

Sl. No.	Educational Attainment	No. of PAPs
1.	Functional Literate	0
2.	Primary	6
3.	Middle	0
4.	Higher Secondary	3
5.	Senior Secondary/ graduate	5
6.	Technical	2
7.	Illiterate	10
	Total	26

Source: Census Survey, Dec. 2007.

15. Out of total 4 households, 2 are engaged in cultivation and 1 is engaged in own small business as given in Table-9.

Table-9: Main Occupation of Affected Households

Sl. No.	Occupation Category	No. of Households
1.	Cultivators	2
2.	Agricultural/ Labours	0
3.	Trade/ Business	1
4.	Government Service	0
5.	Private Service	1
6.	Other (old age)	0
	Total	4

Source: Census Survey, Dec. 2007.

16. The annual income of affected families varies between less than Rs. 25000.00 to above Rs. One lac. No household earns less than Rs. 25000.00 per year. Three households earn between Rs. 25000.00 and Rs. 50000.00. The details are given in Table-10.

Table-10: Annual Income of Households

Sl. No.	Annual Income (in Rs.)	No. of Households
1.	Less than 25000	0
2.	25000-50000	3
3.	50000-100000	1
4.	Above 100000	0
5	No Response	0
	Total	4

Source: Census Survey, Dec. 2007.

17. The survey also aimed to identify the socially and economically vulnerable groups amongst those affected, needing special consideration so that they can benefit from the project namely - (a) those who are below the poverty line (BPL); (b) those who belong to Scheduled Castes (SC), (c) Scheduled Tribes (ST); (c) female-headed households (FHH); (d) elderly-headed household and (e) disabled person headed households. According to the census survey, only one household in the subproject belong to socio-economically vulnerable group. Not a single family belong to the BPL category. The details are provided in Table-11.

Table-11: Vulnerable Households being Affected

Sl No.	Vulnerable Category	No. of Households
1.	BPL	0
2.	SC	0
3.	ST	0
4.	WHH	1
5.	PH	0
6.	Elderly-headed	0
	Total	1

Source: Census Survey, Dec. 2007

18. In case there is any change in the subproject design during project implementation, it will necessitate updating of the project impact and preparation of the final RP for implementation purposes by the EA. The final RP will be submitted to ADB prior to award of civil works contract.

E. Relocation and Compensation

19. In this subproject, no relocation of households is envisaged as there is no total loss of any residential or commercial structures. Out of 4 affected assets only three residential structures will be partially affected. The agricultural land was reported to be the encroached portion, for which no compensation can be given as per the entitlement matrix. As far as the relocation is concerned, APs have indicated relocation within their own land. However, in this subproject none of the APs will be displaced. All affected households indicated for cash compensation for partial loss of their assets.

20. The impact will not affect the income and livelihood of the affected households since no commercial structure is getting affected completely. One affected households, who

cultivates on encroached portion will not lose any significant income due to the improvement of this road. Overall, the affected households will remain where they are.

F. Issues related with Indigenous People

21. In the state of Uttarakhand, the scheduled tribe (ST) population constitutes only 3 percent of the total population. In this road subproject, not a single ST household is being negatively impacted. Further, one may observe in this state that the socio-cultural customs and practices of tribal population are not distinctive from the rest of the population in the sense that they have also adopted the modern way of living and having a similar lifestyle of that of the dominant population. The ST groups share the sources of water, folklore, food and other resources with the mainstream population and also freely interact with them. Mostly, they cannot be differentiated from the mainstream population as they also have nuclear families. Hence the socio-economic impact in general will be the same as on the mainstream population. Therefore, no separate Indigenous People Development Plan has been prepared for this road subproject.

G. Gender Issues

22. The Consultants tried to gauge the potential impact of the Project on women by means of undertaking FGDs, during the course of social assessments. As mentioned earlier, there are one female-headed household who would experience insignificant impact on their assets due to the subproject. None of these households would experience loss of productive assets. In most cases, the impact is on front portion of extended structures and encroached land. During FGDs, it came to the fore that adequate compensation will mitigate the adverse impact and further they added that the improvement of this road will benefit most of the people, those who reside in close proximity.

23. In general, the subproject, as per the women groups will benefit them indirectly by means of better access to nearby urban centres, better access to health facilities and educational institutions. In their view, the probable negative impact may include increase in accidents due to greater speed of vehicles. Therefore they suggested that near settlements appropriate measures should be taken. Overall, they felt that the proposed improvement would help ushering in greater prosperity in their area.

H. Policy Framework

24. The resettlement principles adopted for this Project recognize the Land Acquisition Act (1894), National Rehabilitation Policy (2006), and the relevant Asian Development Bank's (ADB) policies and operations manuals, in particular the policy on *Involuntary Resettlement* (1995), and Operations Manual F2 on Involuntary Resettlement (2006). Under the Land Acquisition Act of 1894, the compensation is paid only to the legal titleholders and does not include non-titleholders for any kind of compensation. However, the National Policy on Resettlement and Rehabilitation, brought out in 2004, revised in 2006 and got further revised in 2007 (Gazette is awaited) addresses development induced resettlement. The revised draft includes poor (BPL) and deprived groups viz. small and marginal farmers, SC/STs and women-headed households. For linear acquisition, the ex-gratia proposed is Rs. 20,000/- per family. Still, as far as encroachers are concerned, this policy falls short as no transitional allowance is provided to them. Based on the above analysis and ADB's policy on Involuntary

Resettlement, the project specific resettlement and rehabilitation measures have been formulated as given below:

- The negative impact on persons affected by the project would be avoided or minimized as far as possible;
- For negatively impacted households, the persons affected by the project and vulnerable groups will be identified and assisted in improving or regaining their standard of living;
- Information related to the preparation and implementation of resettlement plan will be disclosed to the stakeholders and people's participation will be ensured in all stages;
- No land acquisition is envisaged, as this project would follow the existing formation width. However, in case required due to curve improvement etc. it will be done as per the Land Acquisition Act, 1894;
- Before taking possession of the acquired assets, compensation and R&R assistance will be paid in accordance with the provisions described in this document;
- An entitlement matrix for different categories of people affected by the project has been prepared and provisions will be kept in the budget for those who were not present at the time of the census survey. However, people moving in the project area after the cut-off date. For non-titleholders the date of the census survey or a similar designated by the EA will be considered as cut-off date;
- Appropriate grievance redressal mechanism will be established at the district level to ensure speedy resolution of disputes;
- All resettlement activities at different stages would ensure the involvement of women and other vulnerable groups; and
- Consultation with APs will be a continuous process during the implementation.

25. The primary objective of this short RP is to identify impacts and to plan measures to mitigate various losses due to the implementation of the subproject. The RP is based on the general findings of the census survey, field visits, and meetings with various project-affected persons in the subproject area. Taking into account the various losses, the Entitlement Matrix provides for compensation and resettlement assistance to all affected persons including the non-titleholders in the subproject area.

26. The affected persons will be entitled to the following types of compensation and assistance:

- (i) Compensation for loss of land and crops/trees at replacement value;
- (ii) Compensation for loss of structures (residential/commercial);
- (iii) Assistance for restoration of income and livelihoods/ business loss/wage loss
- (iv) Assistance for shifting;
- (v) Additional assistance to vulnerable groups namely - Female-headed households, Scheduled Castes (SC), Scheduled Tribes (ST), Other Backward Classes (OBC), those below poverty line, elderly and disabled; and
- (vi) Rebuilding or restoration of community assets/facilities.

27. The cut off date for those who have legal titles of their land/asset is the date of notification of acquisition under the State Land Acquisition Act 1990 and for those without titles the cut-off will be the date of the census survey as undertaken on 6-12 December 2007. People moving into the subproject area after this date will not be entitled for support or otherwise stated above.

28. An Entitlement Matrix specific to the road has been developed, which recognizes and lists various types of losses and the compensation and resettlement packages presented in Table-12.

Table-12: Entitlement Matrix

S. N	Type of Loss	Unit of Entitlement	Entitlement	Details
A. LOSSES OF NON-TITLEHOLDERS				
1.	Loss of agricultural land, residential and commercial structure by encroachers	Households who have illegally extended their legally owned land/ property onto public or other private land	<ul style="list-style-type: none"> ▪ No compensation for land ▪ Compensation for structures to only vulnerable household ▪ Shifting assistance for vulnerable encroachers ▪ R&R Assistance only to vulnerable households ▪ Right to salvage materials 	<ul style="list-style-type: none"> a) Encroachers will be notified and given a time in which they will be required to remove their assets and harvest their crops. b) Compensation for structures at replacement cost to the vulnerable households. c) Training would be provided for upgradation of skills to the APs belonging to vulnerable groups and loosing their commercial structures. d) Shifting allowance of Rs. 1500 to 2500/- lump sum for shifting depending on the type of structure and extent of impact. e) Right to salvage materials from the demolished structure.
B. ADDITIONAL SUPPORT TO VULNERABLE GROUP				
2.	Primary source of income	Vulnerable households including BPL, SC, ST, WHH, disabled and elderly	Additional assistance to vulnerable groups	One time lump sum assistance of Rs. 5000/- to vulnerable households. This will be paid above and over the other assistance(s) as per this framework.
C. LOSS OF COMMUNITY INFRASTRUCTURE/COMMON PROPERTY RESOURCES				
3.	Temporary impact during construction include disruption of normal traffic, increased noise levels, and damage to adjacent parcel of land / assets due to movement of heavy machinery	Community / Individual	Compensation	<ul style="list-style-type: none"> • The contractor shall bear the cost of any impact on structure or land due to movement of machinery during construction • All temporary use of lands outside proposed RoW to be through written approval of the landowner and contractor. • Location of Construction camps by contractors in consultation with PWD.
D. ANY OTHER IMPACT				
4.	Unforeseen impacts if any	Individual / Community	Unforeseen impacts will be assessed on case by case basis and suitable compensation / assistance will be paid as deemed fit by the Executive Agency / State government.	

I. Stakeholder Participation and Disclosure of RP

29. Consultations were carried out with both primary and secondary stakeholders including directly affected persons, executing agency, local administrative departments and elected representatives. Directly affected population was consulted to disseminate information regarding the project, understand their concerns and take their suggestions on the types of mitigation measures that should be addressed. In this road section, seven consultation meetings in terms of focus group discussion were organized. These locations include Jhakindhar, Kirtinagar, Bhagirathipuram, Pipal Dali, Pali, Takali and Maletha. Name and signature of participants at different locations are enclosed with this report as **Annexure-II**. The Consulted people reflected on how the adverse impact can be minimized, type of compensation and assistance will be required to rebuild their assets. Besides, they expressed their views on the negative and positive impacts. They pointed out that the compensation should be at replacement costs and should be provided before the commencement of demolition of structures. Positive impacts as aired by them include overall development of the area, faster transportation, enhanced frequency of public transport, increase in business and income and reduction in accidents due to proper safety measures that would be adopted.

30. The consultations and discussions with the project affected people will be a continuing activity throughout the implementation of the project and PIU will be assisted by local NGO for it. The NGO involved in the implementation activities will keep the affected people informed about the impacts, the compensation and assistances proposed for them and facilitate addressing any grievances.

31. The summary of this short resettlement plan and the entitlement matrix will be translated in Hindi and will be disclosed to the affected persons and made available at offices of PWD, PMU and ADB website.

J. Institutional Arrangements

32. PWD, Government of Uttarakhand will be the Executing Agency (EA) for the Project. The Project Management Unit (PMU) in Dehradun will have the primary responsibility of the RP implementation. For resettlement activities, PMU will do the overall coordination, planning and implementation. PMU has already appointed one R&R Officer look after these activities. The R&R Officer will be assisted by the consultant appointed by PWD for supervision during implementation. This will include on social development/ resettlement specialist, primarily responsible for implementation. PMU will coordinate with PIUs for road level RP related activities, and each PIU will designate one senior staff (not below the rank of Executive Engineer) to coordinate the resettlement activities. The PIU, if required, depending on the workload, will also appoint one Assistant Resettlement Officer (ARO) in rank of assistant engineer. The staff at the PIU level will be provided training by the social development/ resettlement specialist of the supervision consultants for implementation of the RP.

33. The PIU will maintain databases, work closely with APs and other qualified NGO in this field engaged to assist the PIUs in the implementation of RP. Keeping in view the minimum resettlement impacts that occurred from the project, only one NGO can be hired for Project 2 roads. The NGO would play the role of a facilitator and will work as a link between the PIU and affected community. An outlined terms of reference (ToR) for NGO is attached as **Annexure-III**.

K. Grievance Redressal

34. A Grievance Redressal Committee (GRC) will be established at the PIU level with the primary objective of providing a mechanism to mediate conflict and disputes concerning compensation payments and cut down on lengthy litigation. The GRC, headed by the district collector (DC), shall comprise of members from the District Land and Revenue Department, representatives of affected people, including women and vulnerable groups. Other than disputes relating to ownership rights under the court of law, GRC will review grievances involving all resettlement benefits, compensation and other assistance. The GRC will meet as and when grievances are referred it for redress. Grievances will be redressed within two to four weeks from the date of lodging the complaints.

35. All compensation and other assistances will be paid to all APs prior to commencement of civil works. A detailed implementation schedule for the various activities is provided in the main text.

L. Monitoring and Evaluation

36. Both internal and external monitoring will form as the part of implementation process. Internal monitoring will be the responsibility of the PIU. This will include:

- (i) **Administrative Monitoring:** daily planning, implementation, feedback and trouble shooting, individual AP database maintenance and progress reports;
- (ii) **Socio-economic monitoring:** case studies, using baseline information for comparing AP's socio-economic conditions, demolition, salvaging materials, morbidity and mortality rate, community relationship, public consultations and number of appeals; and
- (iii) **Impact evaluation monitoring:** income standard restored/improved, socio-economic conditions of the affected persons, monitoring and evaluation reports documenting progress on resettlement implementation and RP completion reports will be provided by the PIU to PMU for review and approval from ADB.

37. For external monitoring and evaluation, the PMU will engage an independent monitoring and evaluation specialist. The specialist should have the experience in resettlement activities and familiarity with government and ADB resettlement policy. The person will monitor and verify RP implementation to determine whether resettlement goals have been achieved, livelihood and living standards have restored, provided recommendation for improvement. The domain of the specialist will also include site conditions, compensation, valuation and disbursement, grievance redress procedures, evaluate the performance of PIU and NGO. The PMU will submit quarterly progress report to ADB. Financial provisions will be made under the project budget for the above institutional arrangements. The terms of reference for External Monitor are enclosed as **Annexure-IV**.

M. R&R Cost Estimate

38. The total estimated cost for resettlement operation and management for the Project is **Rs. 1,47,520.00** (Rupees One Lac Forty Seven Thousand Five Hundred and Twenty Only). The R&R cost will be borne by the govt. of Uttarakhand. The estimate includes all costs related to compensation other benefits as per the entitlement benefits. The itemised subproject budget is enumerated in Table-13.

Table-13: Itemised Subproject Budget

S.No.	Item	Total Unit	Unit Cost* (Rs)	Total (in Rs.)
A: Compensation				
1.	Structures -Pucca	-	-	-
2.	Semi-pucca	23.8	Rs. 3500	83300.00
3.	Kutchra	-	-	-
	Sub-total			83300.00
B: Assistance				
4.	Shifting Allowance	1	1500.00	1500.00
	Sub-total			1500.00
		TOTAL A+B		84800.00
	Contingency **(15% of the total)			12720.00
		SUB TOTAL		97520.00
C: Grant for NGO				
5.	Engaging of NGO for RP implementation	Lump sump		50000.00
		GRAND TOTAL		147520.00

*The cost denotes prevailing market rates as obtained from the field.

** Cost of Consultations and community preparation and other administrative costs.

N. Implementation Schedule

39. The timeframe for various activities of RP are shown in Figure-1.

Figure-1: RP Implementation Schedule

Months	1	2	3	4	5	6	7	8	9
Activity									
Selection and training of RO									
Selection of NGO to assist in Implementation									
Selection of Supervisory Consultant									
Census of APs and impacts (updating exercise as per the SRP)									
Advice to District Revenue Offices									
Information dissemination campaign									
Preparation of final compensation awards Disputes mediation									
Disbursement of compensation									
Internal resettlement performance monitoring									
External monitoring									
Civil Work Commences									

GLOSSARY

The definitions of the key terminologies or concepts used in the Resettlement Plan are as follows:

- **Land Acquisition** means the process whereby land and properties are acquired for the purpose of the project construction;
- **Compensation** means payment in cash or in kind of the replacement value of the acquired property.
- **Family** means project affected family consisting of such persons, his or her spouse, minor sons, unmarried daughters, minor brothers or unmarried sister, father, mother and other members residing with him/her and dependent on him/her for their livelihood.
- **Grievances Redressal Committee** means the committee established under the subproject to resolve the local grievances;
- **Involuntary resettlement** addresses social and economic impacts that are permanent or temporary and are (i) caused by acquisition of land and other fixed assets, (ii) by change in the use of land, or (iii) restrictions imposed on land as a result of an ADB Project.
- **Affected Person (AP)** includes any people including encroachers/ squatters, households, or firms who, on account of changes that result from the project will have their (i) standard of living adversely affected; and/or (ii) right, title, or interest in any house, land (including residential, commercial, agricultural, forest, and/or grazing land), water resources, or any other moveable or fixed assets acquired, possessed, restricted, or otherwise adversely affected, in full or in part, permanently or temporarily;
- **Replacement Cost** means the method of valuing assets to replace the loss at market value before the project or dispossession, or its nearest equivalent, plus any transaction costs such as administrative charges, taxes, registration, and titling costs. Replacement cost is based on market value before the project or dispossession, which ever is higher.
- **Resettlement** means all the measures taken to mitigate all or any adverse impacts of the project on the APs property and/or livelihoods including compensation, relocation (where relevant), and rehabilitation;
- **Rehabilitation** means the measures provided under the resettlement plan other than payment of the compensation of acquired property.

Short Resettlement Plan
Kirti Nagar- New Tehri Subproject

Annexure I - Details of Affected Persons

Road Kirtinagar – New Tehri													
Sl. No.	Location of Structure	Village	Distance from Center Line (mtr)	Name	Father's / Husband's Name	Age	Sex	Social Status	Type of Structure	Type of Loss	Affected Area (Sq. M)		
											L	B	Area
1	Amroli	Maikhandi	2.7	Om Prakash Lakhera	Late Shankar lakhera	60	M	General	Residence	The buildings are safe but the front opening will be affected.	5.0	7.4	37
2	Amroli	Maikhandi	2.7	Prasana Devi	Om Prakash Lakhera	55	F	General	Residence	-do-	5.0	7.4	37
3	Amroli	Maikhandi	2.7	Rajesh Lakhera	Om Prakash Lakhera	28	M	General	Residence	-do-	5.0	7.4	37
4	Amroli	Maikhandi	2.7	Durga Lakhera	Om Prakash Lakhera	22	M	General	Residence	-do-	5.0	7.4	37
5	Amroli	Maikhandi	2.7	Satya Bhama Devi	W/o Late Shankar Lakhera	82	F	General	Residence	-do-	5.0	7.4	37
6	Amroli	Maikhandi	2.7	Ramesh Lakhera	Late Shankar Dutt Lakhera	54	M	General	Residence	-do-	5.0	7.4	37
7	Amroli	Maikhandi	2.7	Prabha Devi	W/o Ramsh Lakhera	44	F	General	Residence	-do-	5.0	7.4	37
8	Amroli	Maikhandi	2.7	Ganga Prasad	Ramsh Lakhera	20	M	General	Residence	-do-	5.0	7.4	37
9	Amroli	Maikhandi	2.7	Vipin Kumar	Ramsh Lakhera	18	M	General	Residence	-do-	5.0	7.4	37
10	Amroli	Maikhandi	2.7	Pravin Kumar	Ramsh Lakhera	16	M	General	Residence	-do-	5.0	7.4	37
11	Amroli	Maikhandi	2.7	Naveen Kumar	Ramsh Lakhera	14	M	General	Residence	-do-	5.0	7.4	37
12	Amroli	Maikhandi	2.7	Dinesh Prasad	Late Shankar Dutt	49	M	General	Residence	-do-	8.1	7.4	59.94
13	Amroli	Maikhandi	2.7	Deveshwari	W/o Dinesh Prasad	42	F	General	Residence	-do-	8.1	7.4	59.94
14	Amroli	Maikhandi	2.7	Sushma	Dinesh Prasad	18	F	General	Residence	-do-	8.1	7.4	59.94
15	Amroli	Maikhandi	2.7	Roshni	Dinesh Prasad	15	F	General	Residence	-do-	8.1	7.4	59.94
16	Amroli	Maikhandi	2.7	Rachna	Dinesh Prasad	12	F	General	Residence	-do-	8.1	7.4	59.94
17	Amroli	Maikhandi	2.7	Sakshi	Dinesh Prasad	10	F	General	Residence	-do-	8.1	7.4	59.94
18	Amroli	Maikhandi	2.7	Diksha	Dinesh Prasad	4	F	General	Residence	-do-	8.1	7.4	59.94
19	Amroli	Maikhandi	2.7	Ishta	Dinesh Prasad	2	F	General	Residence	-do-	8.1	7.4	59.94
20	Chawadutt Banitoli	Khemda	2.05	Jauma Devi	Late Bachan Singh	59	M	General	Private Squatter	The whole structure is being affected in order to get proposed width.	7.0	3.4	23.8

Short Resettlement Plan
Kirti Nagar- New Tehri Subproject

21	Chawadutt Banitoli	Khemda	2.05	Vikram Singh	Late Bachan Singh	35	M	General	Private Encroacher	-do-	7.0	3.4	23.8
22	Chawadutt Banitoli	Khemda	2.05	Pooran singh	Late Bachan Singh	30	M	General	Private Encroacher	-do-	7.0	3.4	23.8
23	Chawadutt Banitoli	Khemda	2.05	Arti	W/o Pooran Singh	26	F	General	Private Encroacher	-do-	7.0	3.4	23.8
24	Chawadutt Banitoli	Khemda	2.05	Priyanka	Pooran Singh	5	F	General	Private Squater	-do-	7.0	3.4	23.8
25	Chawadutt Banitoli	Khemda	2.05	Ayush	Pooran Singh	4	M	General	Private Encroacher	-do-	7.0	3.4	23.8
26	Chawadutt Banitoli	Khemda	2.05	Kavita	Late Bachan Singh	23	F	General	Private Encroacher	-do-	7.0	3.4	23.8

Annexure II
Public Consultation Participants

New Tehri - Maletha (De Site) Km. 54 To 78

ATTENDANCE SHEET FOR PUBLIC CONSULTATION AND FOCUS GROUP DISCUSSION

Name of the Village & Chainage: Takali (Kirti Nagar + De Panchayat) Signature & Date: 8/12/2007
Km 11.400 Tehri Garhwal

Sl No	Name & Address	Phone/ Fax Number	Subjects Discussed	Suggestions	Signature Remarks
1	Ms. Keshav Keshav Singh Takali	9411379083			
2	Ms. Umila Devi				
3	" Sajjan Devi Takali				
4	Ms Chakras Dhas Pousad Kandali				
5	" Bhagwan Ram Kandali				
6	" Kishan Pal Chandel Takali	01378-263632			
7					
8					
9					
10					

New Tehri - Malekha (Dw Site) Km 54 to 78
ATTENDANCE SHEET FOR PUBLIC CONSULTATION AND FOCUS GROUP DISCUSSION

Name of the Village & Chainage: Degadda Pali (Kirti Nagar) Signature & Date: 8/12/2007
Km- 5.300 Tehri Garhwal

Sl No	Name & Address	Phone/ Fax Number	Subjects Discussed	Suggestions	Signature Remarks
B.D.C Members	Mo. Dhawan Singh Rana Degadda - Kirti Nagar	263524 (01378)			
2	Mr. Kharshat Singh Rana				
Ex B.D.C	Mo. Bhagwan Singh Rana	263541 (01378)			
4	Mr. Makam Singh Rana				
5	Mr. Dhayan Singh				
6	Mr. Ghanu Deo Singh Rana	263655			
7	Mr. Satish Jay Fodhi				
8	Mr. Balram Chahal	263579			
9					
10					

New Tehri - Malottha (Dam Site) Km 54 To 78

ATTENDANCE SHEET FOR PUBLIC CONSULTATION AND FOCUS GROUP DISCUSSION

Name of the Village & Chainage: Dang Chaura (Kistinagar) Signature & Date: 8/12/2007
Km 3.400 Tehri Garhwal.

Sl No	Name & Address	Phone/ Fax Number	Subjects Discussed	Suggestions	Signature Remarks
1	Mr. Bees Singh Rawat Dangchaura.	9761581269			Bees Singh
2	Mr. H. S. Mahas. Ret. S. of India.	263570 (01378)			H. S. Mahas.
3	" Shyam Singh Mahas	263563 (P.O)			श्याम सिंह
4	" Maken Lal Bedi				मकन लाल बेदी
5	" Rajeev Dabhal Shop keep. Dangcha	263546			राजिव दाबल
6	" Anil Prasad Mangain				अनिल
7	" Dhan Singh Negi	9761475957			धन सिंह
8	" Deewan Singh Rawat	263583			दीवान सिंह
9	" Manoj Pamiy.	263543			मनोज
10	" Digamber Singh	9761456404			दिगंबर सिंह
	" Vinod Prakash Raturi	9759073873			विनोद



New Tehri - Malekha (Pan Site) Km 54 to 78.000

ATTENDANCE SHEET FOR PUBLIC CONSULTATION AND FOCUS GROUP DISCUSSION

Name of the Village & Chainage: Malekha. (Kirtinagar) Signature & Date: 8/12/2007
Km 24.000 (0.000) Tehri Garhwal

Sl No	Name & Address	Phone/ Fax Number	Subjects Discussed	Suggestions	Signature Remarks
1	Mr. Anil Negi Vill- Malekha	9719574505			Anil
2	Mr. Bees Singh Negi Vill- Malekha				Bees Singh
3	Mr. Raghu Kees Singh Negi	9759923434			Raghu Kees Singh
4	Mr. Maan Singh				Maan Singh
5	Mr. Tej Lak Singh Negi Vill- Malekha				Tej Lak Singh
6	Mr. Subees Singh Gursi	9758502223			Subees Singh
7	Mr. Prem Singh Negi				Prem Singh
8	Mr. Dha Pal Singh Rana	9759638671			Dha Pal Singh
9					
10					



New Tehri - Dam Site

Km 39.300 to Km 46.480

ATTENDANCE SHEET FOR PUBLIC CONSULTATION AND FOCUS GROUP DISCUSSION

Name of the Village & Chainage: Pipal Dali (Jhaknidhar) Signature & Date: 8/12/2007
Km 5.200 Tehri Garhwal

Sl No	Name & Address	Phone/ Fax Number	Subjects Discussed	Suggestions	Remarks
1	Mr. Jat Singh Negi Pipal Dali				Gita/8/2007
2	Mr. Jankar Singh Pipal Dali	9997408901			dhf
3	Mr. Raj Pal Singh	9411553145			Dingh
4	Mr. Rajendra Singh				Poul
5	Gunda Lal				
6	Khushi Ram	94202772			Gh/ku
7	Mahajan Singh	9411576099			W/gu
8	Sabha Singh Gunda	9958502214			SOC/ku
9					
10					



New Tehri to Dam Site

Km 39.300 To Km 46.480

ATTENDANCE SHEET FOR PUBLIC CONSULTATION AND FOCUS GROUP DISCUSSION

Name of the Village & Chainage: Gadoliya (Jhaku dhas) Signature & Date: 8/12/2007
Km. ~~0.500~~ 3.100 Tehri Garhwal

Sl No	Name & Address	Phone/ Fax Number	Subjects Discussed	Suggestions	Remarks ^{Signature}
EX. <u>Producer</u>	Mo. Kunwar Singh Vill-	01379 267439			<u>[Signature]</u>
2	" Bal bees Singh	-			<u>[Signature]</u>
3	" Roop Singh				<u>[Signature]</u>
4	" Vijay Rana. S.E (I.H.D.C)	9412312743			<u>[Signature]</u>
5	" Bal bees Gursain				<u>[Signature]</u>
6					
7					
8					
9					
10					



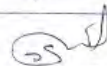
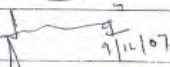
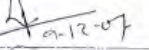
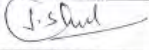
New Tehri - Dam Site

Km 10.700 to Km 28.760

ATTENDANCE SHEET FOR PUBLIC CONSULTATION AND FOCUS GROUP DISCUSSION

Name of the Village & Chainage: B. Pawan / Vill - Khemada
Km. 3.800 Chamba - Tehri ~~Chamba - Tehri~~

Signature & Date: 9/12/2007

Sl No	Name & Address	Phone/ Fax Number	Subjects Discussed	Suggestions	Signature Remarks
1	Mr. Jayendra Singh Vill - Pipli	9411345165			
2	Mr. Jaspal Ramat Vill - Kutha	9411187999			
3	Mr. Puskas Singh Chauhan	9412394498			
4	Mr. Jitendra Singh Chauhan	236661 01376			
5					
6					
7					
8					
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ANNEXURE III

TERMS OF REFERENCE FOR THE NON-GOVERNMENT ORGANIZATION (NGO)/AGENCY

I. Project description

1. The Uttarakhand State Road Sector Investment Project (USRIP) Phase II is the State Government's initiative to support economic growth and reduce poverty by improving connectivity and access to development opportunities and social services, including health and education. The Project also supports state government's initiative to improve the effectiveness and efficiency of state road sector management, and provide the sector with the capacity to ensure efficiency of road investments and sustainable road development impacts to support Uttarakhand's social and economic development.
2. The Project Implementation Unit (PIU) intends to engage an experienced agency to assist with the implementation of the social and resettlement aspects of the project namely the subproject Resettlement Plan (RP), Project Community Participation Strategy and implementation of the IPDP.

II. Scope of work

3. In general, the NGO / Agency will be responsible for the effective, timely and efficient execution of the RP. The key tasks of the selected organization will be responsible for the following: -

(i) Information Campaign on Resettlement Entitlements

4. The NGO will design, plan and implement an information campaign in the affected areas primarily to inform the APs about the entitlement policy and how to avail their respective entitlements. In particular, the agency will be responsible for undertaking a public information campaign at the project areas to inform the affected persons regarding:
 - The likely consequences of the project on the communities;
 - The R&R policy and entitlements;
 - Assist APs in getting the compensation for their land and properties acquired for the project;
 - Ensure proper utilization by the APs of various grants available under the R&R package. The agency will be responsible for advising the APs on how best to utilize any cash that may be provided under the RP, with emphasis placed on using such funds in sustainable way e.g. purchasing replacement land for that acquired.
5. The campaign would include measures such as distribution of information booklets, leaflets, notices and other materials among the APs, community meetings, public announcements, and any other measures necessary to provide information to all the APs.

(ii) Identification of APs and Issuance of Identity (ID) Cards

6. The agency will identify and verify APs, on the basis of the resettlement census survey carried out and will facilitate the distribution of ID cards.

7. This work will include identification of APs based on a census survey, preparation of ID cards, taking photograph of APs in the field, issuance of ID cards to APs and updating of ID cards, if required. An identity card would include a photograph of the AP, his/her socio-economic profile and vulnerability, the nature and extent of loss suffered due to the project construction, and the choice of AP with regard to the mode of compensation and assistance (if applies, as per the RP).

8. The agency shall prepare a list of APs, enlisting the losses and the entitlements as per the RP, after verification. During the identification and verification of the eligible APs, agency shall ensure that each of the APs are contacted and consulted either in groups or individually. The agency shall especially ensure consultation with vulnerable groups namely (a) those who are below the poverty line (BPL); (b) those who belong to scheduled castes (SC), scheduled tribes (ST); (c) female-headed households (FHH); (d) elderly and (e) disabled persons.

(iii) Updating of AP Database and Creation/Computerization of Database and AP Files

9. The agency will be responsible for updating and preparing a comprehensive computerised database containing the data on land, structure, trees and other affected properties of the APs which will be used to prepare AP files and entitlements cards (EC). The database will contain information from land records and resettlement census data. The AP and EC files will be used for making payments of entitlements to the APs and monitoring the progress of resettlement work.

(iv) Participation in Grievance Redress

10. The NGO will be a part of the Panchayat level committee and will try to resolve the grievances at the Panchayat level. If the dispute remains unresolved at the panchayat level, the agency will play a key role in assisting the APs in presenting their grievances or queries to the Grievance Redress Committee (GRC) which will be established at the PIU level with the primary objective of providing a mechanism to mediate conflict and cut down on lengthy litigation.

(v) Income Restoration

11. The agency will also play a key role in providing income restoration assistance to the affected households losing their primary sources of livelihood/income as a result of the Project. Emphasis will be laid on the vulnerable groups such as female headed households, SC & ST households, poor etc. In addition, the development agency would also be responsible for liaising with the various government departments, in order to create a link up between the existing government schemes and the affected groups.

(vi) Relocation assistance

12. The development agency shall facilitate the transfer of shifting allowance to the affected persons in a timely manner, i.e., before the actual shifting.

(vii) Community Participation

13. In addition to the resettlement activities, the NGO will implement 'Community Participation Strategy' for the Project. As part of this, the NGO will mobilize the various stakeholders in the community and organize focus group discussions (FGDs)³ at the subproject level, with community leaders, eminent citizens, Community based Organization (CBOs), as well as women and other socio-economically vulnerable groups such as Indigenous groups, scheduled caste and poor households, in order to establish direct public contact. The FGDs will aim at sharing information regarding the Project in each of the subproject area so as to ascertain views of the various groups in the community on their priorities, choice of technology, their views and concerns on the Project design and any other concern on safety and other issues. In particular the NGO will undertake the following:

14. **Formation of Community based groups** in the subproject areas so as promote organized community participation and representation. Special focus will be made on formation of women's groups representing women belonging to various socio-economic groups to act as active agents and change makers in the process of participation thereby leading to their empowerment.

15. **Awareness Building Component** would focus on conducting public awareness campaigns like awareness building campaigns would be undertaken on road safety especially in case of areas where road alignment is passing through built-up areas. Women would be especially encouraged in playing an active role as Community Action Groups in raising awareness and disseminating information of road safety measures.

16. **Capacity Building Component:** Under this component, training and sensitization inputs would be provided to the NGOs, community based organizations and groups such as women's groups in leadership and management of the asset created under the subprojects. In addition, maintenance skills trainings would also be conducted.

III. Selection criteria, Staffing, Implementation Plan

17. The NGO/agency to be selected for the tasks must have proven experience in resettlement planning and implementation. Specifically, key quality criteria include:

- Experience in direct implementation of programs in local, similar and/or other states;
- Availability of trained staff;
- Competence, transparency and accountability based on neutral evaluations, internal reports, and audited accounts;
- Integrity and experience to represent vulnerable groups against abuses and demonstrable mandate to represent local groups;

³ Focus Group Discussion (FGD) is a qualitative method of in-depth interview with a small number from a homogeneous group, brought together to discuss various topics. Some examples of focused groups are – men, women, youth, farmers, panchayat representatives etc.

- Demonstrated experience in computerizing and managing resettlement-related database; and
- Experience in resettlement survey, planning, monitoring and evaluation.

18. The agency chosen will have to agree to the terms and conditions under the RP. The following staffing provision may be necessary for smooth and effective implementation of the RP within the time frame:

- Team Leader
- Field coordinator
- Resettlement Implementation Worker

19. Interested agency should submit proposal for the work with a brief statement of the approach, methodology, and field plan to carry out the tasks. The proposal should include:

- (i) Relevant information concerning previous experience on resettlement implementation and preparation of reports.
- (ii) The proposal should also include samples of ID cards, information brochures, AP files etc. to be used during the implementation phase.
- (iii) The field plan must address training and mobilization of resettlement workers.

20. Full CVs (2-3 pages) of key personnel (for e.g. the Team Leader, Field Co-coordinator) must be submitted along with the proposal. The Team Leader must have degree in social science (preferably economics, sociology, anthropology, development studies). The Field coordinator must have prior experience in resettlement operation and management.

21. The agency must be an established organization registered with the Government of India.

IV. Budget

22. The budget should include all expenses such as staff salary, training, computer/database, transport, field and any other logistics necessary for resettlement implementation. Additional expense claims whatsoever outside the budget will not be entertained. Copies of the proposal - both technical and financial - should be submitted.

ANNEXURE IV

TERMS OF REFERENCE FOR AN EXTERNAL MONITORING & EVALUATION CONSULTANT/AGENCY

I. Project description

1. The Uttarakhand State Road Sector Investment Project (USRIP) Phase II is the State Government's initiative to support economic growth and reduce poverty by improving connectivity and access to development opportunities and social services, including health and education. The Project also supports state government's initiative to improve the effectiveness and efficiency of state road sector management, and provide the sector with the capacity to ensure efficiency of road investments and sustainable road development impacts to support Uttarakhand's social and economic development.
2. The Project includes a provision for monitoring and evaluation of the implementation of the subproject resettlement plan by an external monitoring agency. Therefore, the PIU for this project, requires services of a reputed individual/consultancy firm for monitoring and evaluation of RP implementation.

II. Scope of work - Generic

- To review and verify the progress in resettlement implementation as outlined in the RP.
- To monitor the effectiveness and efficiency of PIU and NGO in RP implementation.
- To assess whether resettlement objectives, particularly livelihoods and living standards of the Affected Persons (APs) have been restored or enhanced;
- To assess the efforts of PIU & NGO in implementation of the 'Community Participation strategy' with particular attention on participation of vulnerable groups namely (a) those who are below the poverty line (BPL); (b) those who belong to scheduled castes (SC), scheduled tribes (ST); (c) female-headed households (FHH); (d) elderly and (e) disabled persons.
- To assess resettlement efficiency, effectiveness, impact and sustainability, drawing both on policies and practices and to suggest any corrective measures, if necessary.
- To review the project impacts on Indigenous People and groups and assess the effectiveness of the mitigation measures adopted.

III. Scope of work- Specific

3. An independent monitoring agency will be involved in ongoing monitoring of the resettlement efforts by the EA/IA. The major tasks expected from the external monitor are:
 1. To develop specific monitoring indicators for undertaking monitoring for implementation of Resettlement Plans.
 2. Review results of internal monitoring and verify claims through random checking at the field level to assess whether resettlement objectives have been generally met.

3. Identify the strengths and weaknesses of the resettlement objectives and approaches, implementation strategies.
4. To review and verify the progress in resettlement implementation of subproject on a sample basis and prepare quarterly reports for the EA/IA and ADB.
5. Evaluate and assess the adequacy of compensation given to the APs and the livelihood opportunities and incomes as well as the quality of life of APs of project-induced changes.
6. To evaluate and assess the adequacy and effectiveness of the consultative process with affected APs, particularly those vulnerable, including the adequacy and effectiveness of grievance procedures and legal redress available to the affected parties, and dissemination of information about these.

IV. Time Frame and Reporting

4. The independent monitoring agency will be responsible for overall monitoring of the Executing Agency (EA) and will submit quarterly review directly to ADB and determine whether resettlement goals have been achieved, more importantly whether livelihoods and living standards have been restored/ enhanced and suggest suitable recommendations for improvement.

V. Qualifications

5. The monitoring agency will have significant experience in resettlement policy analysis and RP implementation. Further, work experience and familiarity with all aspects of resettlement operations would be desirable. Candidates with degrees in anthropology, sociology, and development studies will be preferred.

6. Interested agencies/consultants should submit proposal for the work with a brief statement of the approach, methodology, and relevant information concerning previous experience on Monitoring of resettlement implementation and preparation of reports.

7. The profile of agency along with full CV of monitors to be engaged must be submitted along with the proposal. The agency must be an established organization registered with the Government of India.

VI. Budget and Logistics

8. The proposal - both technical and financial - should be submitted and the budget should include all cost and any other logistics details necessary for resettlement monitoring. Additional expense claims whatsoever outside the budget will not be entertained.