



Document Name	Volume-IX: Social Management Plan (Detailed Project Report)
Document Number	EIRH1UP020/DPR/SH-42/RG/005/IX
Project Name	Uttar Pradesh Core Road Network Development Program Part – A: Project Preparation including Detailed Engineering Design and Contract Documentation
Project Number	EIRH1UP020

Document Authentication

	Name	Designation
Prepared by	Satya Vrat Pandey	Social Expert
Reviewed by	N.K. Singh	Social Development Specialist
Approved by	Mohamed Ayaz Beg	Team Leader

History of Revisions

Version	Date	Description of Change (s)
Rev. 0	10/12/2015	First Submission
Rev. 1	23/09/2016	Compliances to Comments
Rev. 2	20/11/2019	Revised RAP
Rev. 3	28/05/2020	With revisions for the four laning of section in Garautha urban limits
Rev. 4	14/09/2020	Compliances to World Bank Comments and updatation of RAP
Rev. 5	30/11/2020	Compliances to World Bank Comments and updatation of RAP
Rev. 6	16/07/2021	Compliances to EQMS Comments and updatation of RAP
Rev. 7	12/10/2021	Compliances to RSA, World Bank Comments



TABLE OF CONTENTS

Chapter	Description	Page
0	EXECUTIVE SUMMARY.....	0-1
0.1	Background	0-1
0.2	Project Raod Descriptioon.....	0-1
0.3	Project Objective.....	0-2
0.4	Scope of the Study.....	0-2
0.5	Methodology.....	0-2
0.6	Proposed Improvements.....	0-3
0.7	Need for Social Management Plan	0-3
0.8	Social Management Plan.....	0-3
0.9	Cut-off Date	0-4
0.10	Project Impacts.....	0-4
0.11	Project Specific Resettlement & Rehabilitation (R & R) Policy, 2014.....	0-4
0.12	Institutional Arrangement.....	0-5
0.13	Grievance Redressal Mechanism	0-5
0.14	Labour Management Plan and COVID-19 Protocol	0-5
0.15	Gender Action Plan.....	0-6
0.16	Gender Based Violence (GBV)	0-6
0.17	PMIS Development.....	0-6
0.18	Timing of Resettlement	0-7
0.19	Resettlement Budget.....	0-7
1	INTRODUCTION.....	1-1
1.1	Project Background	1-1
1.2	Project Objective.....	1-2
1.3	Project Road Description	1-2
1.4	Identification of Villages	1-4
1.5	Settlements/Built-up locations.....	1-5
1.6	Right of Way.....	1-5
1.7	Land Use along the Project Road	1-6
1.8	Objectives of the study.....	1-6
1.9	Scope of the Study.....	1-7
1.10	Stakeholders' Consultation.....	1-7
1.11	World Bank Policy on Involuntary Resettlement	1-7
1.12	Social Impact Assessment	1-8
1.13	Structure of Report	1-10
2	STUDY METHODOLOGY.....	2-1
2.1	Introduction.....	2-1



2.2	Social Assessment Process.....	2-1
2.3	Consultations.....	2-3
2.4	Collection of Data from Secondary Sources.....	2-3
3	ANALYSIS OF ALTERNATIVES	3-1
3.1	General	3-1
3.2	Alternate Options	3-2
3.3	Bypass for Rath	3-4
3.4	Conclusion	3-4
4	MINIMISING NEGATIVE SOCIAL IMPACT	4-1
4.1	Minimizing the Social Impact	4-1
4.2	Design and R&R Co-ordination.....	4-1
4.3	Proposed Improvements.....	4-2
4.4	Widening Options.....	4-3
5	RESETTLEMENT POLICIES AND LEGAL FRAMEWORK	5-1
5.1	Key Social Laws and Regulations.....	5-1
5.2	World Bank Safeguard Policies	5-2
5.3	Comparative Analysis of World Bank OP 4.12 on Involuntary Resettlement and RFCLARR Act, 2013	5-3
5.4	Comparative Analysis Labour Influx Guidance Note 2016, World Bank and National/ State Legislation	5-10
5.5	Process of Land Acquisition and Other Immovable Assets	5-17
5.6	Project Specific R&R Policy	5-20
6	PROFILE OF PROJECT AREA, PROJECT AFFECTED PERSONS AND PROJECT IMPACTS 6-1	
6.1	Socio-Economic of Profile of State	6-1
6.2	Profile of Project Area	6-3
6.3	Profile of PAPs	6-5
6.4	Average HH Income and Expenditure	6-7
6.5	Census and Socio-economic Survey Analysis	6-8
6.6	Project Impacts.....	6-9
7	COMMUNITY PARTICIPATION.....	7-1
7.1	Introduction.....	7-1
7.2	Consultation and Participation Mechanisms	7-1
7.3	Common Issues	7-2
7.4	Local Level Consultations	7-3
7.5	Continuation of Public Consultations	7-8
7.6	Plan for Continued Consultation	7-8
7.7	Information Disclosure	7-8
7.8	Information Dissemination	7-8
7.9	Community Participation.....	7-9
7.10	Disclosure of Project Documents	7-10



8	GENDER ANALYSIS	8-1
8.1	Introduction.....	8-1
8.2	Gender Perspective in Transport	8-1
8.3	Gender Perspective in Policy and Legal Framework	8-2
8.4	Gender in UPCRNDP & SH-42	8-4
8.5	Gender Action Plan.....	8-15
9	INCOME RESTORATION	9-1
9.1	Training Need Assessment under Income Restoration Activity.....	9-1
9.2	Income Restoration Measures under R&R Policy	9-2
9.3	NGO's role in IR activities	9-2
9.4	The Framework of the Training Programme.....	9-4
10	INSTITUTIONAL ARRANGEMENTS	10-1
10.1	Background	10-1
10.2	The Process.....	10-1
10.3	Implementation Responsibility	10-4
10.4	Implementation Support.....	10-5
10.5	Community Participation in the Implementation of SMP	10-9
10.6	Training and Capacity Building	10-9
10.7	Areas of Capacity Building	10-10
11	GRIEVANCE REDRESS MECHANISM	11-1
11.1	Need for Grievance Redress Mechanism	Error! Bookmark not defined.
12	MONITORING AND EVALUATION	12-1
12.1	Introduction.....	12-1
12.2	Institutional Arrangement for M & E	12-1
12.3	Performance Monitoring	12-1
12.4	Process and Impact Monitoring	12-2
12.5	Evaluation	12-3
12.6	Reporting	12-4
13	IMPLEMENTATION SCHEDULE.....	13-1
13.1	Background	13-1
13.2	Implementation Procedure	13-1
13.3	Timing of Resettlement Activities	13-1
13.4	Miscellaneous Activities	13-3
13.5	Implementation Responsibility	13-3
13.6	Community Participation in the Implementation of SMP	13-6
13.7	Tasks for NGO in Implementation and Tentative Methodology	13-6
14	LABOUR MANAGEMENT PLAN.....	14-1
14.1	Child labour and Gender Based Violence.....	14-1
14.2	Construction Labour Management Plan.....	14-1



14.3	Objectives	14-2
14.4	General Requirements	14-2
14.5	Hiring and Recruitment Procedure.....	14-3
14.6	Worker's Accommodation	14-3
14.7	Security.....	14-4
14.8	Provisions for Drinking Water.....	14-4
14.9	Cooking Arrangements	14-4
14.10	Wastewater Generation	14-5
14.11	Solid Waste Management	14-5
14.12	Medical Facilities	14-5
14.13	Recreation Facilities	14-6
14.14	Inspection of Accommodation Facilities	14-6
14.15	Impact of Influx of Migrant Labourer.....	14-7
14.16	Avoiding Gender Based Violence	14-8
14.17	Contractor's and Borrower's Responsibilities	14-8
14.18	Responsibility for Labour Management Plan.....	14-9
14.19	COVID-19 Protocol	14-9
15	GENDER BASED VIOLENCE	15-1
15.1	Introduction.....	15-1
15.2	GBV in India	15-1
15.3	GBV in Uttar Pradesh	15-1
15.4	GBV (SEA/SH) in UPCRNDP.....	15-3
15.5	SEA/SH Risk Assessment in UPCRNDP Phase I Roads	15-4
15.6	GPN of World Bank on Addressing GBV	15-5
15.7	Measures to Address the Gender Gaps in UPCRNDP Phase II	15-5
15.8	SEA/SH Prevention and Response Action Plan	15-6
15.9	Appointment of GBV Focal Point.....	15-8
15.10	Hiring of GBV Service Providers.....	15-9
15.11	Addressing SEA/SH Risk and Responding to SEA/SH Incidents	15-11
15.12	Budget	15-15
16	COSTS AND BUDGET	16-1
16.1	Budget	16-1



LIST OF TABLES

Table 1.1: Roads & Bridge selected in Phase I (as per Contract)	1-1
Table 1.2: District wise Road Length (km)	1-3
Table 1.3: List of affected Villages along the Project Road	1-5
Table 4.1: Improvement Proposed	4-2
Table 4.2: Chainage wise Improvement Proposed	4-2
Table 4.3: Details of Typical Cross-sections	4-4
Table 5.1: Relevant Social Legislations	5-1
Table 5.2: Safeguard Policies of World Bank	5-2
Table 5.3: Estimated Timeline for Direct Purchase of Land through Mutual Consent	5-18
Table 5.4: Time Lines for SIA, Land Acquisition and Compensation Payments.....	5-19
Table 6.1: Land Classification in U.P	6-2
Table 6.2: Work Participation for Various Industries	6-2
Table 6.3: Work Participation for Main and Marginal Workers ('000).....	6-3
Table 6.4: District wise Demographic Profile of the Project Area	6-3
Table 6.5: SC and ST Population of Concern Districts in Project Area	6-4
Table 6.6: Literacy Rate	6-4
Table 6.7: Work Participation Rate & Distribution of Workers.....	6-5
Table 6.8: Main & Marginal Workers.....	6-5
Table 6.9: Sex & Social Category of PAPs	6-6
Table 6.10: Marital Status and Age-group of PAPs.....	6-6
Table 6.11: Family Type and Religious Composition	6-6
Table 6.12: Distribution of PAPs by Education Level	6-7
Table 6.13: Distribution of HH by Income Level (Rs.)	6-7
Table 6.14: Distribution of Households by Primary Source of Income	6-8
Table 6.15: Additional Land Area Required	6-9
Table 6.16: Additional Land Area Required by Village	6-9
Table 6.17: Impact on THs	6-10
Table 6.18: Impact on NTHs.....	6-11
Table 6.19: Overall Impact	6-11
Table 6.20: Distribution of PAFs by Type of Loss.....	6-11
Table 6.21: Distributions of PAHs by Status of Ownership.....	6-11
Table 6.22: Distributions of Community Properties Affected	6-12
Table 6.23: Distribution of Affected and Displaced Families.....	6-12
Table 6.24: Distributions of PDFs and PAFs by Type of Loss	6-12
Table 6.25: Vulnerability Status of the Affected Families.....	6-13
Table 6.26: Summary of Impacts	6-13
Table 6.27: Resource Base	6-14
Table 6.28: Construction Typology of Structures	6-14
Table 6.29: Usual Activity	6-15



Table 6.30: Distribution of Households by Primary Source of Income	6-15
Table 6.31: Core Rapid Appraisal Mechanism	6-16
Table 7.1: Details of Public Consultation	7-4
Table 7.2: Output of Local Level Consultation	7-4
Table 7.3: Mechanism for Continued Participation	7-9
Table 8.1: Impact on women.....	8-5
Table 8.2: Gender Gap in Work Participation Rate.....	8-6
Table 8.3: Sex Ratio.....	8-6
Table 8.4: Gender Gap in Female Literacy	8-6
Table 8.5: Usual Activity of Affected Women.....	8-7
Table 8.6: Time Disposition by Women	8-8
Table 8.7: Decision Making by Women	8-8
Table 8.8: Gender Action Plan.....	8-16
Table 9.1: Identification of Relevant Schemes for Convergence	9-3
Table 10.1: ESDC Staff Responsibilities.....	10-3
Table 10.2: Roles and Responsibilities	10-4
Table 10.3: Summary of Role and Responsibilities of Other Project Partners in Various Stages of Project	10-8
Table 12.1:Performance Monitoring of SMP Implementation	12-2
Table 12.2: Impact Indicators.....	12-3
Table 13.1: Suggested Priority for Handing Over of Project Road Sections	13-2
Table 13.2: Roles and Responsibilities	13-3
Table 13.3: Summary of Role and Responsibilities of Other Project Partners in Various Stages of Project	13-5
Table 13.4: Tasks of NGO.....	13-6
Table 15.1: Response Action Plan for LOW SEA/SH Risk	15-6
Table 16.1: Estimated R&R Budget	16-1



LIST OF FIGURES

Figure 1.1: Project Roads & Bridge in Phase I	1-2
Figure 1.2: Built-up Area	1-4
Figure 1.3: Typical View of Carriageway	1-4
Figure 3.1: Alternate Road via Orai (NH-25)	3-1
Figure 3.2: Alternate Road via Mau Ranipur (NH-76)	3-2
Figure 3.3: Rath Garautha Section (Hamirpur -Jhansi Road)	3-3
Figure 10.1: Organization Structureof Project Implementation Unit for UPCRNDP	10-2
Figure 11.1: Levels of Grievance Redressal	11-3
Figure 15.1: Assessing, Addressing and Responding to SEA/SH in IPF Involving Major Civil Works	15-5
Figure 15.2: Institutional Arrangement and Workflow for Addressing	15-13



LIST OF ANNEXURES

- Annexure – 1.1 A:** Existing ROW as per Revenue Record
- Annexure – 1.1 B:** EROW Verification by Lekhpal
- Annexure – 2.1 :** Census Survey Questionnaire
- Annexure – 2.2 :** Specifications of BSES and Preparation of Resettlement Action Plan (SMP)
- Annexure – 5.1 :** Resettlement & Rehabilitation (R & R) Policy
- Annexure – 6.1 :** Census and Socio-economic Baseline Data of TH
- Annexure – 6.2 :** Census and Socio-economic Baseline Data of TH & NTH Losing Structure
- Annexure – 6.3 :** List of Community Property Resources
- Annexure – 7.1 :** Minutes of Consultations
- Annexure – 10.1 :** The Terms of Reference for Hiring NGO for Implementation of SMP
- Annexure – 12.1 :** Draft Terms of Reference for Engaging M&E Consultant
- Annexure – 13.1 :** Time Schedule for Implementation of Social Management Plan
- Annexure – 14.1 :** Standard Operating Procedure (SOP) for Covid-19 Pandemic
- Annexure – 16.1 :** Circle Rate of Land



ABBREVIATIONS

BPL	Below Poverty Line
CBO	Community Base Organisation
COI	Corridor of Impact
CPCB	Central Pollution Control Board
CPR	Common Property Resources
DC	District Collector
EA	Environmental Assessment
ESDRC	Environmental Social Development and Resettlement Committee
EIA	Environmental Impact Assessment
EMP	Environmental Management Plan
EP	Entitled/Eligible Person
ESMF	Environmental and Social Management Framework
GSHAP	Global Seismic Hazard Assessment Programme
GoUP	Government of Uttar Pradesh
Govt.	Government
GOI	Government of India
GRC	Grievance Redressal Cell
HCA	House Construction Allowance
MoEF	Ministry of Forests and Environment
MORST	Ministry of Road and Surface Transport
NEIAA	National Environmental Impact Assessment Authority
NGO	Non Governmental Organisation
PAP	Project Affected Person
PAF	Project Affected Family
PDF	Project Displaced Family
PDP	Project Displaced Person
PIU	Project Implementation Unit
PMC	Project Management Consultants
PWD/UPPWD	Public Works Department/ Uttar Pradesh Public Works Department
R&R	Resettlement and Rehabilitation



RFCLAR&R	Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement act, 2013
ROW/RoW	Right of Way
RRO	Resettlement and Rehabilitation Officer
RTI	Right to Information Act
SC/ST	Schedule Caste and Schedule Tribes
SEIAA	State Environmental Impact Assessment Authority
SES	Socio-Economic Survey
SH	State Highway
SIA	Social Impact Assessment
SLAO	Special Land Acquisition Officer
SMF	Social Management Framework
SMP	Social Management Plan
SOR	Schedule of Rates
u/s	Under Section
UP/U.P.	Uttar Pradesh
UPPCB	Uttar Pradesh Pollution Control Board



TERMS

- Below Poverty Line** : Annual Income from all sources is less than a designated sum as fixed by the Planning Commission, Government of India.
- Corridor of Impacts** : Width of the land required for up-gradation of the road
- Development Block** : A number of villages grouped together with Block Development Officer as its administrative head.
- District Collector** : Administrative head of the District

DEFINITIONS

- Cutoff Date** : i) In case of land acquisition affecting the legal title-holders, the cutoff date would be the date of issuing the publication of preliminary notification u/s (1) of RFCLAR&R. Act, 2013.
ii) For the non-title holders cut-off date would be the date of Census Survey.
- Project Affected Persons** : A person who is affected in respect of his/her land including homestead land and structure thereon, trade and occupation due to construction of the project.
- Project Displaced Person** : A person who is compelled to change his/her place of residence and/or workplace of business due to the project.
- Project Affected Family** : Family includes a person, his or her spouse, minor children, minor brothers and minor sister's dependent on him. Provided that widows, divorcees and women deserted by families shall be considered separate families;
Explanation - An adult of either gender with or without spouse or children or dependents shall be considered as a separate family for the purpose of this Act.
- Land Owner** : "land owner" includes any person -
(i) Whose name is recorded as the owner of the land or building or part thereof, in the records of the authority concerned; or
(ii) Any person who is granted forest rights under the Scheduled Tribes and other Traditional Forest Dwellers (Recognition of Forest Rights) Act, 2006 or under any other law for the time being in force; or
(iii) Who is entitled to be granted Patta rights on the land under any law of the State including assigned lands; or
(iv) Any person who has been declared as such by an order of the court or Authority.
- Marginal Farmer** : "Marginal Farmer" means a cultivator with an non-irrigated land holding UP to one hectare or irrigated land holding up to one half hectare.
- Small Farmer** : "Small Farmer" means a cultivator with an non-irrigated land holding up to >1 hectare or irrigated land holding up to one hectare, but more than the holding of a marginal farmer.

**Encroacher**

: A person who has trespassed Government/ private/community Land, adjacent to his or her land or asset to which he/she is not entitled and who derives his/her livelihood and housing there from prior to the cutoff date

Squatter/Kiosk

: A squatter is a person who has settled on publicly owned land for housing or livelihood without permission or who has been occupying a publicly owned building without authority prior to the cut-off date.

A kiosk refers to a small, temporary, stand-alone used near the habitation/ areas for small business purposes. They are moveable and refers to an affected person /families with no legal title to the land and uses ROW and may get affected by the project. As per the policy Rs 5,000 is to be paid as one time grant.

Landless/Agriculture Labour

: A person who does not hold any agricultural land and has been deriving his main income by working on the lands of others as a sub-tenant or as an agriculture labour prior to the cutoff date.

Below Poverty Line

: A household, whose annual income from all sources is less than the designed sum as fixed by the planning commission of India, will be considered to be below poverty line (BPL).

Vulnerable Person

: The Vulnerable group may include but not be limited to the following:

- Those people falling under Below Poverty Line category as defined by GOUP;
- Member of Scheduled Caste/Tribe community/ other backward community;
- Women Headed households;
- Senior citizen-person above the age of 60 years;
- Landless; and
- Village artisan.

* PAP includes project displaced person, but all PAPs may not be displaced persons.

**P147864 Uttar Pradesh Core Road Network Development Project /Phase-II Roads:
RSA Comments (SH-42)**

Sl. No.	Key Comments	Env./ Social	Response
1	Extent of loss of land/structure and income restoration activities. Except for SH-88 RAP, the extent of loss per PAF is not clear in RAPs.	Social	Agreed. Similar format is being followed for all other RAPs as in SH-88.
2	Please provide and summarize in the main text the extent of loss, including how many PAFs are losing more than 10% of agriculture land and/or other productive assets.	Social	Information added under section 6.6 (please see para 5, followed by table and para 6).
3	RAP has a provision of income restoration activities. What are the eligibility criteria? See specific comments under SH-88 RAP below.	Social	Those who are losing their livelihood and/or source of livelihood are eligible. The number of such PAPs is mentioned in the budget as well as in summary table provided in Table 6.22 under section 6.9, Chapter 6.
4	Impact on irrigation and fishing. All sub-projects include civil work on bridges and ponds, and roads intersect with several irrigation canals. Would there be impacts on farmers and fishers on their livelihoods during civil work? If so, please include them and proposed mitigation measures. If not, please clarify.	Env./ Social	No such impact was identified either in community consultations or in house to house survey. In case of any impact during construction stage, assistance for temporary loss of income as mentioned in the entitlement matrix of RPF will be applicable.
5	Labor issues in EIA and RAP. Please ensure consistency between the labour-management procedure in EIA and the labour-management plan in RAP. For instance, RAP indicates that workers' GRM will be set up by the Contractor (note this is not a requirement under OP/BP), while EIA refers to the integrated project GRM.	Env/ Social	The LMP in RAP and EMP has been reconciled.
6	Child labor. Several brick kilns are located inCoI at SH-30 and SH-49 (a few away from the road on SH-88). The prevalence of child labor is likely high in these areas. What is the prevalence rate of child labour? In which sectors? Please indicate the minimum age of employment. RAP clearly mentions 18, while EIA is vague.	Env./ Social	<p>There are a few brick kilns in the nearby area along the project road. However, prevalence of child labour has not been observed and reported during consultations. Additionally, the labourers working with brick kilns continue to remain engaged in kilns only, moving from one to another and therefore do not engage in road construction work. Brick kiln workers have some sort of long term arrangement with brick kiln owners and mostly they continue to work with the same owners wherever new kiln is opened.</p> <p>In India, there are 10.1 million (3.9% of total child population) working children between the ages of 5-14 as per Census 2011. These children are working, either as 'main worker' or as 'marginal worker'. The area of work includes: Cultivators (26%); Agricultural labourers (32.9%); Household industry workers (5.2%); and other workers (35.8%).</p> <p>The State of Uttar Pradesh constitutes 2.18 million i.e. 21.5% of the total working children.</p> <p>No child labour will be allowed in the project and</p>



Sl. No.	Key Comments	Env./ Social	Response
7	SEA/SH GRM. Is there a SEA/SH service provider, as NGO is tasked to verify the workings of SEA/SH GRM (RAP Annexure 10.1)? It would be helpful to explain in the main text how the SEA/SH GRM works and if there is an uptake mechanism with the project GRM and the workers GRM, and how it relates to the women's helplines and/or the internal complaint committee on SH issues (RAP Table 8.8).	Social	<p>will be strictly monitored by PIU, PMC and NGO.</p> <p>Yes, there are service providers for SEA/SH in UP. List of service providers have been identified and included in the GBV Report prepared separately.</p> <p>The project has multi-tier GRM. The lowest level is at district level. If issue cannot be resolved at district level, the same gets escalated to HQ level as has been explained in section 11.3 of chapter 11 of RAP. The project also has toll free number to register grievances including anonymous grievances.</p> <p>Grievances related to SEA/SH will be addressed by project GRM. The social specialist of PMU will be trained to address issues related to SEA/SH.</p> <p>He/ She will be responsible for all kind of grievances including SEA/SH. The service providers will be approached on case to case basis if required. The NGO contracted for RAP implementation will conduct awareness generation camps in and around the hotspots areas for the community members and in the labour camps for labourers and staff members of contractor.</p> <p>For workers, contractor will establish a separate GRM that will include PIU Head, the Resident Engineer of PMC and Team Leader of NGO.</p>
8	Please include Bank's labor influx guideline (2016) under World Bank safeguard policies and assess gaps with national/state labor legislation.	Social	The comparative analysis of World Bank Labour Influx guidelines and national legislation has been included at section 5.4 .
9	Instead of RAP, the team would want to call the document social management plan, as it includes labor issues.	Social	Name changed to Social Management Plan.
10	EIA - COMMENTS		
5.	Current environmental conditions		
0.1	Social conflicts? Are there social conflicts in the project areas, in particular, related to land? How are conflicts resolved?	Social	There are no social conflicts related to land. Moreover, the private land required for the project shall be directly purchased on willing buyer willing seller basis as per the UP Direct Land Purchase Policy, 2015.
11	Child labor? What would be the risks of child labor? As there are several brick kilns in some subproject areas (SH-30), the prevalence of child labor could be high in the area?	Env./ Social	There are a few brick kilns in the nearby area along the project road. However, prevalence of child labour has not been reported/observed. Additionally, the labourers working with brick kilns continue to remain engaged in kilns only, moving from one to another and therefore do not engage in road construction work. Brick kiln workers have some sort of long term arrangement with brick kiln owners and mostly they continue to work with the same owners wherever new kiln is opened. The prohibition of child labour will be monitored strictly by the PMU/PIU /PMC/NGO.
12	SEA/SH? What about SEA/SH risks during the construction phase, considering (a) there will be a labor influx of about 250 workers at peak	Env/ Social	About 350-400 workers would be at the project site during peak construction period. These workers would be spread across the project



Sl. No.	Key Comments	Env./ Social	Response
	period and (b) sensitive receptors include a number of schools?		stretch. There is no major structure work which requires continuous presence of a large number of workers at one location for a longer period except for SH 30 & SH 49 project roads wherein RoB is proposed to be constructed. Therefore, the likely risk of SEA/SH is considered low. Further, the project GRM has already been established and implemented in phase I of the project. Service providers have been mapped and Code of Conduct is being signed by all the labourers working in the project. Do's and Don'ts related to SEA/SH is part of daily tool box talk so as to avoid any risk of SEA/SH. The Gender Expert ESDC, PWD is responsible for implementation of measures to address issues related to SEA/SH.
13.1	8. Public consultations List all the stakeholders relevant to the project and consulted.	Env/ Social	Has been included. Please see para 4 under section 7.2, chapter 7.
3.2	It would be helpful to include the number of villagers who participated in consultations with gender breakdown. Were SC/ST and other vulnerable groups participated in consultations?	Env/ Social	Gender wise breakup of participants has been added in Table 7.1, Chapter 7.
13	9. EMP		
3.1	9.11 GRM. It seems there are two GRCs at district and project levels as an escalation mechanism. Please explain. Does the GRM accept anonymous grievances? Additionally, would there be an update mechanism for SEA/SH-related grievances? Would there be workers GRM set up by Contractor?	Env./ Social	The project has multi-tier GRM. The lowest level is at district level. If issue cannot be resolved at district level, the same gets escalated to HQ level as has been explained in section 11.3 of chapter 11 of RAP. The project also has toll free number to register grievances including anonymous grievances. Grievances related to SEA/SH will be addressed by project GRM. The social specialist of PMU will be trained to address issues related to SEA/SH. For workers, contractor will establish a separate GRM (included at para 2, section 14.18, chapter 14) that will include Project Head, the Resident Engineer of PMC and Team Leader of NGO.
3.2	The number of labourers required is inconsistent within EIA and across EIA and RAP. Please check the consistency.	ENV	The numbers have been reconciled.
14	RAP – GENERAL COMMENTS		
14.1	Note chapter and section numbers are based on SH-30 RAP, but comments are applicable to all RAPs in essence.	Social	
14.2	6. Profile of state and project affected persons. Please explain/summarize the extent (%) of loss of land/structure. How many PAFs are losing more than 10% of their productive assets? See specific comments below on each RAP.	Social	Complied. Summarised in SMP report (Section 6.6, para 5, followed by table and para 6).
15	7. Public consultations		
5.1	At SH-30 and SH-88, concerns were raised on the impact on burial grounds. Are these general concerns, or are there indeed impacts on burial grounds expected? Please clarify, describe impact and proposed	Social	There is no burial ground in SH-30. It is in SH-88. The wall of burial ground exists at a close distance from the proposed RoW and therefore it was included in the list of impacted CPRs. However, a close observation of the same



Sl. No.	Key Comments	Env./ Social	Response
	mitigation measures.		reveals that the average distance of the burial ground wall from the toe line (proposed RoW) is more than 2.5 metres away from the proposed RoW and there will be no impact on the burial ground whatsoever during the construction phase. The burial ground has been removed from the list of CPRs.
5.2	In consultation output tables, it would be helpful to indicate gender breakdown.	Social	Complied. Gender wise breakup of participants has been added in Table 7.1, Chapter 7.
16	8. Gender analysis		
6.1	8.4.2.1 Primary and secondary data. Under "control on child labor," would the mitigation measures (penalty on Contractor, black listing) be included in the Contractor's contract?	Social	The mitigation measures like penalty on contractor and blacklisting are not included in the Bidding Document for Procurement of Works (EPC). The Act provides for: In case of the first offence - punishment with imprisonment for a term which shall not be less than six months but which may extend to two years, or with fine which shall not be less than twenty thousand rupees but which may extend to fifty thousand rupees, or with both. Repeat offence: punishment with imprisonment for a term which shall not be less than one year but which may extend to three years. Further, the PMC and PIU will ensure zero tolerance with regard to child labour. Furthermore, the RAP implementation agency (NGO) will report any incidence of child labour in the project to all concerned (PIU and PMC).
6.2	Table 8.8 Gender action plan. See comments below:	Social	
6.2.1	• Item 1.2 mentions elderly, women, children, and disabled-friendly featured bus shelters. Do you mean universal access, etc.?	Social	Yes
6.2.2	• Item 2.3 indicates 30% of employment opportunities in routine maintenance provided to women. Is the project supporting the development of women's road maintenance groups (RMGs)?	Social	The contractor is under obligation to engage 30% of women in road maintenance period.
6.2.3	• Item 2.4 refers to the establishment of an internal complaint committee on SH issues, as per national legislation. Does this committee also handle SEA grievances related to the project work? How does this relate to the project GRM? Would GRC and the internal complaint committee be maintained during the operation phase?	Social	No, ICC is for the staff of PWD as corporate requirement as per Sexual Harassment of Women at Workplace (prevention, prohibition and addressal) Act, 2013. ICC will not address SEA grievances related to the project site. SEA/SH grievances will be addressed by the project GRM. ICC is mandatory as per the Act and will be maintained beyond the project. The GRC will be maintained throughout the project period
6.2.4	• Item 3.2. Who manages women's helpline numbers? Is this a national or state program on SEA/SH?		The Scheme of Universalisation of Women Helpline was initiated by the Government of India which is intended to give 24 hours immediate and emergency response to women affected by the violence, both in private and public spaces. Women Helpline (WHL) has been established in



Sl. No.	Key Comments	Env./ Social	Response
			every State and Union Territory to provide integrated support and assistance to women across the country through a single uniform number. For Uttar Pradesh, the number is 1090 and is connected to the nearest police station and also all women police station.
17	9. Income restoration What are the eligibility criteria for income restoration activities (see below comments under SH-88 RAP)?	Social	All those who are losing their livelihood and/or source of livelihood are eligible (Title Holders/ Non-title holders/sharecroppers, agricultural labourers and employees) for income restoration activities.
18	11. GRM See comments on the escalation mechanism under ESIA/ESMP.	Social	As explained at Sl.No.7.
19	14. Labor management plan	Social	
19.1	Please ensure consistency with labor management procedure in ESIA, in particular, implementation of measures listed in both ESIA and RAP. For instance, RAP LMP indicates the Contractor to establish workers' GRM (this is not a requirement under OP/BP but is a good practice), while ESIA seems to use the project GRM for workers to file grievances. The labor management plan/procedures should be prepared in line with the labor influx guideline (2016).	Social	<p>The LMP in EIA has been made consistent with RAP.</p> <p>The labour management plan (Chapter 14) has been prepared in accordance with the Labour Influx Guidelines, 2016. The labour management plan has been prepared covering the various aspects viz., hiring and recruitment procedure, child labour, GBV, worker's accommodation, security, provision of drinking water, cooking arrangements, wastewater generation, solid waste management, medical facilities, recreation facilities, etc.</p> <p>For example, the labour camp if required shall be located in rural and remote areas away from the habitation. The Guidance noteas a general rule, recommend camp accommodation in <i>rural and remote</i> settings, where the incoming workforce is significant in relation to the host community.</p> <p>The Guidance note also recommend "<i>Incorporation of social and environmental mitigation measures into the civil works contract.</i>"</p> <p>There are certain contractual and otherwise obligations of the contractor for mitigating the likely adverse impacts from labour influx. Further, emphasis on implementation of codes of conduct and other activities for avoiding the risk of SEA/SH.</p> <p>Further, the PMC and PIU will ensure compliance of labour management plan.</p>
19.2	14.1 Child labor and gender-based violence. What is the prevalence of child labor in UP (or the project districts, if data are available)? In which sectors?	Social	There are 2.18 million i.e. 21.5% of the total working children in Uttar Pradesh as per Census 2011. There are five states which are India's biggest child labour employers namely, Bihar, UP, MP, Rajasthan and Maharashtra. Over half of India's total child labour population works here. India's biggest hub of child labour is Uttar Pradesh. The area of work includes: Cultivators (26%); Agricultural labourers (32.9%); Household



Sl. No.	Key Comments	Env./ Social	Response
			industry workers (5.2%); and other workers (35.8%). According to a Campaign Against Child Labour (CAC) study, India has 12666377 child labours of which UP have 1927997 child labourers. Source: savethechildren.in PMU/PIU/PMC/NGO will monitor to ensure that no child labour is found working in the project.
19.3	14.17 Contractor's and borrower's responsibilities. 4 th bullet mentions preventing harassment towards SC/ST and other minority groups through CoC training. Mitigation measures should include GRM. Would this be handled by workers GRM or the project GRM (internal complaint committee)?	Social	As explained at Sl. No. 7, ICC is not meant to address project level SEA/SH grievances. Project level SEA/SH grievances will be addressed by project GRM.
19.4	14.19 COVID-19 protocol. Is the grievance redress process for COVID a part of workers' GRM (14.19.3)?	Social	No. Grievances/complaints pertaining to COVID protocol shall be dealt under the existing system of GRM under UPCRNDP. It will be responsibility of the contractor to ensure/monitor compliance of COVID protocol. PMC and PMU will ensure that contractor strictly complies with protocol.
20	Annexures		
20.1	Annexures 6.1, 6.2, 9.1, and 9.2 Details of the socioeconomic survey. For data protection, please remove these annexures or remove names prior to disclosure.	Social	Names of affected persons have been removed from Annexure 6.1, 6.2. Annexures 9.1 & 9.2 has been removed.
20.2	Annexure 7.2 Public consultation/FGD. For data protection, please remove phone numbers prior to disclosure.	Social	Complied. Phone numbers have been removed from the Annexure 7.1 .
20.3	Annexure 10.1 NGO ToR. The objective includes the implementation of SEA/SH action plan. NGO would also want to have SEA/SH communication outreach at sensitive receptors (schools, clinics, temples, etc.) during the construction phase.	Social	Included at xvii under Section 3 (Scope of work of NGO). xvii. Conduct communication outreach at sensitive locations/receptors (schools, clinics& hospitals, temples, weekly haats etc.) during the construction phase.
21	Specific comments on SH-42 RAP		
21.1	6. Profile of state and project affected persons. Table 6. 17 (impacts on title holders) indicates there is no displacement among affected land holders. What is the extent of their loss of land and/or structures?	Social	The extent of loss has been indicated in paragraph/text suitably below Table 6.17. More than 10% of the land area will be lost in case of 60.73% of the land parcels/ Gata/Survey Nos (708).
21.2	In Table 6.18 (impacts on nontitle holders), who are 50 PAFs to be displaced? Are they kiosk owners (43) and who else?	Social	It includes Kiosks (43), squatters (4) and encroachers (3).
21.3	6.11 Category of properties affected with in CoI. It is mentioned there will be impacts on trees and irrigation units, in addition to agriculture. What are impacts on trees and irrigation units?	Social	Irrigation units include bore well (22 Nos.). The cost of borewell has been included in the Resettlement budget.
21.4	Budget (Table 15.1) indicates 468 trees at Rs 8,000 per tree. What were types of trees, and	Social	The average cost of tree (Rs. 8000/-) has been considered as per Valuation List (Mulyankan



Sl. No.	Key Comments	Env./ Social	Response
	how were they valued?		Suchi), Sub-Registrar Office of concerned district. The majority of trees likely to be affected are timber and firewood trees. Fruit bearing trees will also be affected but their number is less than 10%. The actual valuation of trees shall be carried out by the experienced persons in the field of agriculture, horticulture and forestry in case the land will be acquired as per the provisions of the RFCTLARR Act, 2013. Since, the land required for the project is proposed to be procured as per UP Direct Land Purchase Policy, 2015, the valuation of trees may not be required at all. This is because the owners will have the option of retaining /selling their own trees and are likely to get better value by selling trees instead of getting the valuation of trees done by the concerned department.
21.5	How many PAFs are losing trees? Are they a part of orchards? If so, what is the extent of loss per orchard?	Social	Trees affected are not part of orchard. They are isolated trees.
21.6	The budget also include compensation for borewells and wells. Are they also used for drinking water?	Social	These wells are dry and not used for any purpose.
21.7	Table 6.33 mentions there will be one government building affected. According to Annexure 6.3, this is a market, and 8 shops will be affected. The budget includes compensation for structure. What would be impacts on these shop owners?	Social	These shops are partially affected and will not require relocation.



Comments on:
Resettlement Action Plan for Rath-Garautha Road (SH-42)
Volume - IX
Under
Uttar Pradesh Core Road Network Development Program
Part – A: Project Preparation

S. N.	Reference	Comment	Response	Reviewer's Comment	Egis Response
1	Definition Page xii	Cut-off Date, Please provide the definition here instead of specific date in the glossary. The specific date can be mentioned in the related chapter.	The specific date was not mentioned in the Definition.	Agreed	
2	Executive Summary	Copying whole section, photographs and figures from the main report and providing a summary of 32 pages is needless. Please consider revising the summary into 4-5 pages to the maximum with a summary table of impacts.	Executive summary revised.	Complied	
3	Section 1.5	Section 1.5 can be put before section 1.3	Chapter revised	Complied	
4	Section 1.6	Methodology; para 3 The preliminary social assessment was carried out, considering 15 m either side (is it from the center line of the existing carriage way – if so please mention this here) along the project road. a. The text in bracket seems a comment. If so, please address the same and delete the comment. b. The division of road in sections is a repetition has no meaning under Methodology section.	-Do-	Complied	
5	Section 1.7	What is the source of the RoW. a. Please clarify, if there is any authentic source/record available for the same. The ROW verified should be treated as authentic and updated. b. Also please confirm if this is considered for preparation of LAP and estimation of additional land requirement.	Revenue village map and verification at site by Lekhpal.	Agreed	



S. N.	Reference	Comment	Response	Reviewer's Comment	Egis Response
6	Introduction General	a. The whole chapter needs to be restructured by proper sequencing and avoiding repetition for more clarity. b. Sections like Social Impact Study, Alignment options, traffic diversion, diverted traffic and corridor of impact are repeated. Please consider revising the chapter. c. Sections like Grievance redressal mechanism and institutional arrangement should not be part of this chapter. d. Impact and effects under this chapter make no sense. Please make it clear if these are outcomes of SIA study by proper headings and sequencing.	Chapter revised.	Complied	
7	Section 3.2, 3.3	The whole section has been repeated from chapter 1. Please provide only the information relevant to the chapter.	Complied.	Complied	
8	Section 3.4	is again provided with same heading under section 3.6. Please recheck and correct.	Checked and corrected.	Complied	
9	Section 3.5	'COI is 19m and it varies between 19 m to 30 m.' a. The section 1.24 says something different. Please check and correct. b. Please establish the link between section 3.5 and the table 3.6.	Corrected.	Complied	
10	Section 3.6	Para 1; The impact on the project is shown in table below.' There is no table please correct the para and statement. Para 6; 'However, kiosks will have to move out of COI though they may remain within the ROW.' Please explain how? While the average COI is 22 mts and available maximum ROW is 13 mts.	-Do-	Complied	
11	Section 3.7	One more repetition- 'Corridor of Impact' in the same chapter. Why?	Chapter re-arranged.	Complied	
12	Section 3.8	Discussion on distribution of PAH, Community Properties and R&R assistance under this section indicates poor reporting skill.	-do-	Complied	
13	Chapter 3 General	Minimizing of Negative Social Impact; there should be a discussion on measures taken to avoid negative social impacts like alternate options studied and	Bypass has been provided to reduce impact in Rath (built-up) section and central	Agreed	



S. N.	Reference	Comment	Response	Reviewer's Comment	Egis Response
		improvement in road design to avoid impacts on land and structures. Please revise the whole chapter. See next comment.	widening has been followed as far as possible to minimize impacts. However, this project road requires major re-alignments so there is not much to reduce the adverse impacts.		
14	Section 3.9	a. These are the findings of Census and Socio-Economic Survey should be presented in a separate Chapter. Already given in Chapter 5. b. Table 3.10 indicates total PAFs as 3864. Table 3.11 says 50 PAFs are displaced and 3554 are not displaced. What about the rest 260 PAFs? c. The table immediate after table 3.15 has no head is indicating wrong figures of TH.	Chapter re-arranged.	Complied	
15	Section 3.12	'Annual income helps in identifying families below poverty line'. Please discuss the poverty line (used in different sections) and estimate the numbers of PAPs below poverty line.	Families having BPL card have been identified as BPL. The revised resettlement budget includes assistance to vulnerable families.	Please check again the budget- there is no vulnerable assistance mentioned.	Included in budget Table- 15.1
16	Section 3.13 to 3.18	Not relevant to this Chapter. Either have already discussed or part of a separate new chapter. Please revise the chapters with consistency and proper sequencing in this report.	Chapter re-arranged.	Complied	
17	Section 4.2	Please provide a description of R&R Policy before salient features.	RAP report has been re-arranged as per revised SH-30 & SH-88 taking into account of the comments by EQMS. Chapter 5 deals with Legal Framework & R&R Policy.	Complied	
18	Section 4.3	a. A brief description of RFCLARR 2013 can be provided here. b. Description of 73 rd Constitution Amendment Act if is applicable.	See Chapter 5.	Complied	
19	Section 5.2	A detail discussion on socio-economic parameters of PAPs can be given. The questionnaire used seems not	Chapter 5 deals with Legal Framework & R&R Policy.	Complied	



S. N.	Reference	Comment	Response	Reviewer's Comment	Egis Response
		utilized properly.			
20	Section 5.6,5.7,5.8	Are irrelevant to this chapter. Why are these repeated while already discussed in separate chapters ahead?	The RAP report has been re-structured suitably.	Complied	
21	Section 6.4.1	Instead methodology the key findings of local level consultations are given; a. why the heading is again repeated in section 6.4.2. b. "Consultation team included one socio-economic Analyst specialized in qualitative data collection, two women community organizers and one moderator". In same section again the statement is given that "The consultation team included one Social Specialist and Environment Expert and Ecology Expert". Please check and provide the correct information. c. Is there any separate women group consultation carried out? If yes, please please provide details ie. number of consultation, no of participants, etc. d. Please explain how the suggestions from women consultation are integrated in this Project.	Chapter revised suitably.	Complied	
22	Section 6.4.2	Please correct the table no. 6.1 in text.	-do-	ok	
23	Section 6.6	Section 3.8 and Annexure -6: the consultant undertook census survey and consultations in July-August 2020; which was the peak of Covid-19 pandemic in India. a. Through consultation photographs it is seen that Covid -19 protocol was not followed as per the state and central advisories.	Chapter revised suitably.	A para on covid -19 protocol followed during consultation can be added.	COVID-19 guidelines have been provided by PWD which has been approved by the World Bank and same has been reproduced here
24	Table 7.11	The GAP table has various provisions and cost items. Please confirm the suggested measures are integrated with the contractor's bid items There is a provision of GAP implementation in the RAP budget @ Rs. 10,00,000/- lumpsum (please confirm the cost estimate is justified with reference to the GAP table)	A lumpsum amount for activities to be implemented as part of GAP has been indicated in the budget. It has been discussed with PWD	Agreed	
25	Section 8.2	Please provide the number of PAFs losing livelihood under the project and then make an argument on need of their income restoration.	Has been prepared as per revised RAP report of SH-30 & 88 without specifically citing the number.	ok	



S. N.	Reference	Comment	Response	Reviewer's Comment	Egis Response
26	Table 9.1	The table has no mention of Gender Expert and responsibility as it is indicated in GAP table and Gender chapter.	Gender Specialist has been made part of the NGO to be engaged for the implementation of RAP. This was discussed with PWD and World Bank at the time of report preparation. The Bank agreed to this arrangement. The budget for Gender Specialist was also discussed and was agreed upon by PWD. A ToR (Draft) for Hiring of NGO services for implementation of Resettlement Action Plan in Phase II roads of UPCRNDP under the World Bank Assistance has been Annexed in the report.	Agreed	
27	Section and table 14.1	Cost Estimate a. The budget for RAP implementation comes to Rs. 54.58 Crore is not correct. Please check. b. Please double check the other cost provisions as EM, IR training and institutional costs are included in RAP and other provisions suggested are budgeted under overall project cost.	- Corrected. - Budget for RAP implementation (NGO), M&E training of project staff, CVID-19 etc. are provided are covered under Implementation Arrangement.	Please calculate the assistance to vulnerable families.	Assistance for vulnerable families included in budget Table-15.1
	General	Overall the quality of report and its presentation is very poor. Please consider revising the complete report before submission with proper chapters, grammar, syntax, synergy, etc.	The report has been revised.		



0 EXECUTIVE SUMMARY

0.1 Background

The Public Works Department, GoUP has taken up upgrading of State Highways and Other District Roads (ODRs) in different parts of the State under UPCRNDP Phase-II with loan assistance from the World Bank. About 87 roads under State Highway (SH) category covering 7530 Km and 145 roads under Other District Road (ODR) covering a length of 5761 Km were identified under Uttar Pradesh Core Road Network Development Program (UPCRNDP) for their improvement. From the UPCRNDP list, certain roads were selected for execution and were scheduled under Phase-I and Phase –II Works. The Project road “Hamirpur-Rath-Garuatha-Chiragaon (SH-42)” is one of the roads selected for DPR preparation under Phase-I works which will be implemented with World Bank loan assistance. The UPCRNDP has three Components namely, Upgrading/reconstruction/widening as well as rehabilitation of selected roads, Road Safety and Road Sector and Institutional Reform Component. The GoUP through PWD will be executing the implementation of above components.

0.2 Project Raod Descriptiooon

The Hamirpur-Rath-Garuatha-Chiragaon road is divided into three sections: Section I: Hamirpur – Rath Road (73.960 km), Section II: Rath – Garautha (35.882 km), and Section III: Garautha – Chiragaon/Jhansi (49.145 km). Sections of I and III are under execution whereas the Section II (Rath-Garautha) is missing. This present report pertains to the Rath- Garautha road section hereby called the **missing link/project road** of the Hamirpur-Rath-Garuatha-Chiragaon Project road.

The Missing link road is located lies within the administrative boundaries of Hamirpur and Jhansi districts on south side of state of UP. It starts at KM 74+550 of SH-42 and ends at Km 110+360 of SH-42 at Gauratha. The project length is 35.882 km. The present report pertains to the Missing link along with the Rath bypass of SH-42 under Phase-I.

The project road consists of Other District Road (ODR) and Village Road (VR). The existing ODR road is bituminous single lane carriageway while the village road is mainly earthen single lane carriageway. The project road traverses through the plain/ rolling terrain and the land use along the project road is predominantly agricultural. There are numerous intersections; out of these one at the start point originating from National Highway is a major one at Rath. The existing geometry of missing link is poor except for initial 3km (from end of Rath bypass on ODR) which is good. There are two major bridges on the project road section. The Right of Way (ROW) varies from 8m to 22m. The project road has low embankment height which varies from 0.5-1.0m except at major bridge approaches where it is high upto 6m. The major settlements/built-up locations along the project road are Rath and Garautha.



0.3 Project Objective

The prime objective of the project is to build capacity for results-focused road safety management in Uttar Pradesh and to improve traffic flows and safety for all road users on selected corridors of the state core road network which will help accelerate industrial growth, enhance agriculture productivity, integrating the less developed regions of the state with major economic centres, provide impetus for the development new growth centres, employment generation and poverty reduction in project areas.

0.4 Scope of the Study

The scope of the study includes:

- Identify properties/assets likely to be affected irrespective of ownership status within the proposed RoW/CoI,
- Conduct census and socio-economic survey of project affected persons to collect baseline information for understanding the socio-economic status of the PAPs and assess the likely magnitude of impacts,
- Conduct consultations with PAPs, local communities and stakeholders to understand their concerns, issues and suggestions for integration into project design wherever feasible,
- Prepare Social Impact Assessment (SIA) and Social Management Plan (SMP) reports in accordance with the applicable legal framework and World Bank policies.

0.5 Methodology

The preparation of the SMP involved conducting reconnaissance survey, review of secondary sources, conducting census and socio-economic surveys, consultations with stakeholders, etc. Brief description of activities carried out is provided below:

Reconnaissance survey: of project road was undertaken by the team comprising social key person, engineer and environmental planner. The purpose of the reconnaissance was to have an overview of the likely extent of impact on people because of the impending development of the project road.

Review of documents: Secondary sources such as the District Census Handbooks, District Gazetteers, District Statistics, etc. were consulted to develop understanding on physical, social, economic, and cultural set-up of the project area before undertaking detailed field surveys.

Census and socio-economic survey: was conducted by administering the questionnaire to the project affected households by surveyors under the supervision of the social expert. Inventory of properties and assets affected were collected by a team of surveyors as per the proposed design. All project households associated with structures falling within the proposed RoW/CoI was identified and enumerated. The surveys included collection of data and information on owner/occupant of the structures, type of the structures, building uses, approximate dimensions and locations within the RoW, social and economic data, etc.

Consultations: The overall objectives of conducting consultations were to disseminate project information, take note of their issues, concerns and preferences, and allow them to make meaningful choices. Consultations were held during the project preparation which covered group consultations, public meetings, and individual meetings, etc. It ensured participation of potential



project affected persons (PAPs), local community and other stakeholders. People in general were informed in advance, and allowed to participate in free and fair manner. Consultations provided meaningful contributions with regard to reducing adverse impacts, road safety issues, employment opportunities, compensation, etc. Concerns, views and suggestions expressed by the participants during these consultations were integrated into the design aspects wherever feasible.

0.6 Proposed Improvements

The project road is proposed for widening, strengthening, geometry corrections, junction improvements, provision of drains in habitations and semi-urban/urban sections, provision of earthen/paved shoulders, footpath in urban/semi-urban sections, etc. A design speed of 80km/h in rural/open sections and 40km/h in urban/semi-urban sections has been considered for the proposed improvements.

Upgrading of project road have been mostly planned within the existing RoW and mostly central widening has been proposed to minimise the adverse impacts as far as possible. The proposed improvements include bypass for Rath (7.337 km length) and realignment for curve improvements. Approximately, 53% of the project length comprises provision of bypass and realignment for curve improvements. The Corridor of Impact varies from 18m to 29m as per the design. Broadly a land width (proposed RoW) of 30 m has been considered for the bypass and realignments.

0.7 Need for Social Management Plan

Department of Revenue, Government of Uttar Pradesh has formulated the Resettlement and Rehabilitation Policy August 2014 /as per GO No -2/2015/215/ Ek-13-2015- 20(48)/2011 Rajaswa Anubhag-13 dt 19.03.2015 for families affected due to development projects. The upgrading of project road will require clearing of the COI resulting in the removal of structures (commercial units and Kiosks, CPRs etc. from the COI) and also the acquisition of private land area at selected locations. The livelihood of several families will be impacted. The Social Management Plan has been prepared to mitigate the adverse impacts of the project road upgrading.

0.8 Social Management Plan

The Social Management Plan (SMP) for the Missing Link (SH-42) has been prepared as per the Resettlement Policy Framework formulated for the Core Road Network Development Programme by Uttar Pradesh Public Works Department (UP PWD) and World Bank's Operational Policy (OP) 4.12 on Involuntary Resettlement and OP 4.10 on indigenous people, the UP Direct Land Purchase Policy, 2015, the RFCLARR Act, 2013, the RFCLARR Rules, 2015 and UP State Rehabilitation Policy. Resettlement and rehabilitation of PAPs shall be ensured as per the principles and entitlements specified in the SMP.

SMP has provisions to ensure that PAPs are compensated at replacement value for the assets lost and to enable them to regain or improve their socio-economic status prior to the project. The SMP is a living document and will be updated as and when necessary. Implementation of the final SMP will be done based on data updated at the time of implementation as necessary.



0.9 Cut-off Date

The Census survey was carried out between 15th July to 30th August 2020 and therefore 15th July 2020 has been considered as cut-off date for non-titleholders. For titleholders the cut-off date shall be the date on which the consent form is signed for direct purchase of land as per the UP Direct Land Purchase Policy, 2015 initiates/ or the date on which the notification for Social Impact Assessment U/s 4 of the RFCTLARR Act, 2013 is issued.

0.10 Project Impacts

Impact on land - The existing RoW is not enough to undertake upgrading of the project road. Provision of a bypass for Rath and improvement of curves require majority of land area. The proposed RoW of 30m has been considered for the bypass, realignment and widening and upgrading of the project road in view of the future development. Additional land area is required broadly for the entire length of the project road. The requirement of additional land area has been estimated based on the site verification of ROW. . Approximately, 108.68 ha (77.20 ha of private land and 31.48 ha of Government land) spread across 17 revenue villages (13 villages in Hamirpur district and 4 villages in Jhansi district) will be required for improving the project road. A total 1422 households comprising 3554 families shall be affected due to procurement/acquisition of private land.

Land required for the project road development (upgrading/widening, new construction, etc) shall be acquired as per the provisions of the UP Direct Land Purchase Policy, 2015 through mutual consent as the First Option. The UP Direct Land Purchase Policy, 2015 has been prepared in line with the provisions of the RFCTLARR Act, 2013. In case the process of direct purchase based on the consent of the landowners is not successful, then the land will be acquired as per the RFCTLARR Act, 2013 and GOs published from time to time.

Impact on structures – Upgrading of project road will affect 137 structures including 43 Kiosks. Out of the total structures affected, 50 structures (43 Kiosks & 7 commercial structures comprising 4 squatters and 3 encroachers) will be displaced. Kiosks and temporary structures will not require dismantling and can be shifted to another location with little or no damage.

A total of 1546 households comprising of 3832 families and 5407 persons will be affected due to the project road development. The PAHs include 1422 titleholders and 81 non-titleholders (77 encrachers and 4 squatters) and 43 kiosks. 830 families have been identified as vulnerable.

Impact on CPRs – Development of missing link/project road will impact seven common properties resources. These common properties include five hand pumps, and two Government structures.

0.11 Project Specific Resettlement & Rehabilitation (R & R) Policy, 2014

A Resettlement and Rehabilitation Policy has been prepared by the Public Works Department, GoUP for Uttar Pradesh Core Road Network Development Program (UPCRNDP) in accordance with the applicable legal and policies of the state, country, and World Bank.

This policy includes resettlement and rehabilitation principles and approach to be followed in minimizing and mitigating adverse impacts likely to be caused by the project implementation, entitlement matrix covering category of impacts, eligibility criteria for entitlements, the process to be followed for computation of compensation and rehabilitation and resettlement entitlements, etc, methods to be followed for preparation of SIA and SMP, institutional arrangements for



implementation of SMP, etc. The institutional arrangements for SMP implementation include the following: (i) Establishing Environment Social Development and Resettlement Cell at Head Office, PWD, Lucknow, (ii) Engagement of an external agency for SMP Implementation, (iii) Engagement of a third party Monitoring and Evaluation Agency, (iv) Position of Social Specialist with Project Management Consultant, and (v) Grievance redressal mechanism

The resettlement and rehabilitation assistance to project affected persons shall be provided in accordance with the entitlement matrix.

0.12 Institutional Arrangement

The SMP provides a detailed mechanism for the appropriate organization and implementation of the plan. The Environment Social Development and Resettlement Cell at Head Office, PWD will be responsible for the implementation of the SMP. The Social Specialist, ESDC shall internally monitor the SMP implementation. The Social Specialist will be supported by the SMP implementation agency with regard to the progress of SMP implementation. The Social Specialist will co-ordinate with the Office of the Executive Engineer of the project road for necessary support.

An external agency (NGO) having relevant experience in implementation of R & R projects shall be contracted to provide assistance to Implementing Authority as well as affected persons.

Further, a Monitoring and Evaluation consultant shall be engaged by the PWD for conducting external monitoring (quarterly) and mid-term and end-term evaluation.

0.13 Grievance Redressal Mechanism

A Grievance Redressal Mechanism (IGRM) has been in existence under the Project that will register user complaints using a combination of various mediums (e.g. a dedicated toll free phone line, web based complaints, written complaints in feedback register and open public days) and address them in a time bound system. The project will appoint a grievance redressal or Public Relation officer solely responsible for handling phone and web based complaints.

Grievance redressal committee has been already established under the Project.

0.14 Labour Management Plan and COVID-19 Protocol

The project involves construction work that will demand a constant supply of labourers. The influx of migrant workforce will put additional pressure on existing resources. The project will require approximately 250 migrant labours at peak. The workforce normally consists of solitary migrant males and that can be a potential risk for the host population. However, in many cases, the migrant male member of the family might relocate his family with him. Specifically, the influx of labour force can lead to: (i) Risk of conflict and social unrest due to cultural differences between the labour force and local community, (ii) Risk of spread of communicable diseases due to interaction of the labour and the local community, (iii) Risk of gender-based violence, (iv) Risk of violation of child-safety measures, (v) Health hazard for host community due to lack of sanitation facilities and waste management, (vi) Additional pressure on the local resources and social infrastructures, (vii) risk of the spread of COVID-19 virus, etc.

A labour management plan and COVID-19 Standard Operating Procedure (SOP) have been prepared for implementation. The labour management plan covers: hiring and recruitment procedure, child labour, GBV, worker's accommodation, security, provision of drinking water,



cooking arrangements, wastewater generation, solid waste management, medical facilities, recreation facilities, etc. The SOP for prevention of COVID-19 includes: deep cleaning and sanitization of all areas in the premises, work force planning and mobility, screening of employees prior to work, visitors, material suppliers, vendors, basic provisions for workers, working practices at construction sites, worker's camp, health care for workers, code of conduct and communication, posters, helpline and training, documentation & compliance, emergency process (to deal with the suspected case), Grievance Redressal process for COVID-19, etc.

0.15 Gender Action Plan

Keeping in view the gender perspective in the legal and policy framework of India, the commitment of Govt. of India to various International conventions and treaties, and gender perspective in World Bank operations, the Project has prepared a Gender Action Plan which will be implemented over a period of five years by a combination of State Government Departments namely, PWD, Home/ Police Department and Transport Department. The aim is to strengthen gender analysis and improve gender impacts in operations.

The Gender Action Plan will be implemented under the three components namely; Component 1 - Network Improvement, Component 2 – Institutional strengthening of PWD, and Component 3 – Comprehensive road safety. The lumpsum amount has been included for GAP implementation in the resettlement budget.

0.16 Gender Based Violence (GBV)

Measures addressing Gender Based Violence has been included under UPCRNDP Phase II project roads. For effectively addressing the SEA/SH risks under UPCRNDP, a Prevention and Response Action Plan has been prepared which include: Appointment of GBV Focal Point; Hiring of GBV Service Providers; Grievance Mechanism; Code of conduct; Institutional Arrangement; Training, Monitoring & Reporting etc.

A lumpsum budget of Rs. 1000000/- has been considered for implementation of SEA/SH Prevention and Response Action Plan for the project road.

0.17 PMIS Development

Consultants shall review the existing systems already in place for the e-governance process, road and project information systems in place. The input and output formats and parameters shall be reviewed for integration in to the overall PMIS system.

It will include eight types of modules (which include GRM & M&E) and integration with existing systems for efficient managing of assets and project and finance management. These are: (i) Content Management System, (ii) CAD System, Integration with AutoCAD, (iii) BOQ Estimation, (iv) Grievance Redressal System, (v) Financial Accounting & Cost Management System, (vi) E-Procurement System, (vii) Scope management system, (viii) Monitoring and evaluation & Decision Support System sub-system. General requirements of each module are provided in Chapter 10.

Consultants shall review the systems already in place for the e-governance process, road and project information systems in place. The input and output formats and parameters shall be reviewed for integration in to the overall PMIS system.



0.18 Timing of Resettlement

The construction works shall be mainly carried out within the existing RoW except for certain small sections of the project road where land is to be procured/acquired. The Right of Way along the project road has been occupied (encroached and squatted) primarily for petty commercial purposes. The resettlement and rehabilitation activities including disbursement of R&R assistances needs to be completed before the civil construction works start. The Project Authority shall prioritize the project road sections for the contractor keeping in view the encumbrances and procurement/ acquisition of additional land area. A priority schedule for handing over the project road sections has been provided in Chapter 13.

0.19 Resettlement Budget

The implementation of SMP entails expenditure, which is a part of the overall project cost. The R&R budget, gives an overview of the estimated costs of the SMP and provides a cost-wise, item-wise budget estimate for the entire package of resettlement implementation, including compensation, assistance, administrative expense, monitoring and evaluation and contingencies. The resettlement and rehabilitation entitlements will be adjusted, based on annual inflation factor at the time of preparation of micro plan.

The estimated resettlement budget includes cost of land procurement/acquisition, resettlement and rehabilitation assistance, institutional arrangement, and others. The total resettlement budget is Rs. **75.00 Crores**.

S. No	Item	Amount (Rs.)	% of Resettlement Budget
A	Replacement cost of Land Title holders	307636320	43.07
B	Registration cost @ 2% of land cost (A)	6152726	0.86
C	Assistance as per Second Schedule for land to be acquired as per the RFCLARR Act, 2013 (in case some land owners refuse to sell land through mutual consent)	327188000	45.81
D	Replacement cost of other assets (THs)	11888000	1.66
E	Replacement cost for structure (NTHs)	31233020	4.37
F	Assistance for structure (NTHs)	19189000	2.69
G	CPR-compensation for Community/Properties	1249500	0.17
H	Implementation Arrangement	9750000	1.36
I	Labour Management & Implementation of GBV	1750000.00	0.24
Total (A+B+C+D+E+F+G+H+I)		714286566	100.00
<i>Contingency @ 5% of Total (A+B+C+D+E+F+G+H)</i>		<i>35714328</i>	
Grand Total (Total + Contingency)		750000894	



1 INTRODUCTION

1.1 Project Background

The Government of Uttar Pradesh has requested the World Bank through the Government of India to provide financial assistance for strengthening and improving Core Road Network in UP State. About 87 roads under State Highway (SH) category covering 7530 Km and 145 roads under Other District Road (ODR) covering a length of 5761 Km were identified under Uttar Pradesh Core Road Network Development Program (UPCRNDP) for improvement. From the UPCRNDP list, certain roads were selected for execution and were scheduled under Phase-I and Phase-II Works.

The UPCRNDP has three Components:

- Upgrading/reconstruction/widening as well as rehabilitation of selected roads from the Core Road Network (CRN).
- Road Safety Component: A comprehensive and coordinated package of road safety sub-components to be delivered by the Transport, Home, Public Works and Health Departments.
- Road Sector and Institutional Reform Component: This component is likely to include a program to strengthen PWD asset management of SHs, MDRs and ODRs, to support the application of IT systems for human resource management and works budgeting and management across the PWD organization.

The GoUP through PWD will be executing the implementation of above components. UPPWD-World Bank Division based on the prioritization study selected five roads and a bridge in Phase I. The list of roads & bridge selected for development are provided in **Table 1.1** below.

Table 1.1: Roads & Bridge selected in Phase I (as per Contract)

S. No.	Road/Works	Category	Length (km)
1	Hamirpur-Rath-Gursahayganj-Jhansi Road	SH-42	168
2	Gola-Shahjahanpur Road	SH-93	59
3	Utraula-Faizabad Road	SH-9	59
4	Lepulekh-Bhind (From Jalalabad) Road	SH-29	54
5	Badaun-Bilsi-Bijnour	SH-51	79
6	Bridge Over River Sharda	–	–
Total			419

However, during project initiation stage the Lepulekh-Bhind Road (SH-29) of 54 km length was replaced by Balrampur-Utraula Road (SH-26) of 22 km length. Thus, the overall length of project roads got reduced from 419 km to 387 km.



Location of project roads and their connectivity to the total road network has been depicted below in **Figure 1.1.**

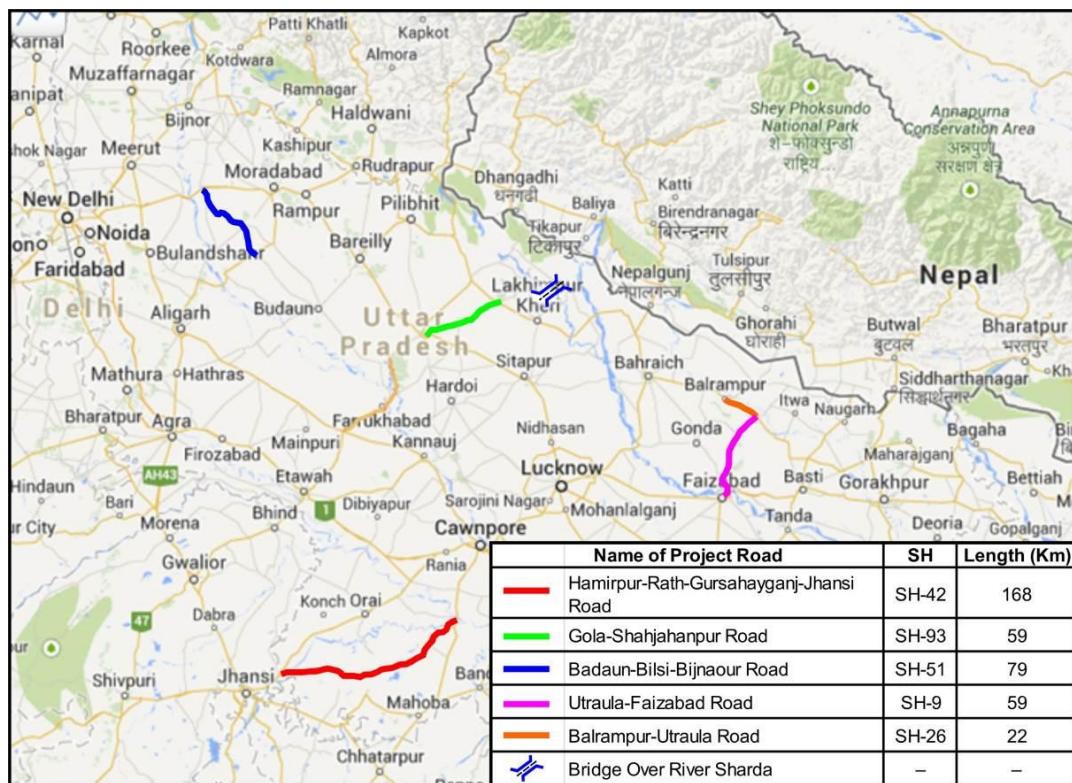


Figure 1.1: Project Roads & Bridge in Phase I

1.2 Project Objective

The prime objective of the project is to build capacity for results-focused road safety management in Uttar Pradesh and to improve traffic flows and safety for all road users on selected corridors of the state core road network which will help accelerate industrial growth, enhance agriculture productivity, integrating the less developed regions of the state with major economic centres, provide impetus for the development new growth centres, employment generation and poverty reduction in project areas.

1.3 Project Road Description

The Hamirpur-Rath-Garuatha-Chiragaon road is divided into three sections as below:

Section I: Hamirpur – Rath Road, Existing length 73.960 km,

Section II: Rath – Garautha, designed section for 35.882 km. This is **missing** link and alternative alignment via ODR bypassing Rath is taken forward,

Section III: Garautha (km 118.600) – Chiragaon/Jhansi (km 167.745), length 49.145 km.

Sections of I and III are under execution whereas the Section II (Rath-Garautha) is missing. Section II, the Missing link hereby called the project road is located on south side of UP state and lies within the administrative boundaries of Hamirpur and Jhansi districts. It starts at KM 74+550



of SH-42 and ends at Km 110+360 of SH-42 at Gaurautha. The project length is 35.882 km. The present report pertains to the Missing link along with the Rath bypass of SH-42 under Phase-I. The location map of the project road is presented **Figure 1.2**.



Figure 1.2: Location Map (Rath-Gaurautha Project Road)

District wise length of project road is provided in **Table 1.2**.

Table 1.2: District wise Road Length (km)

Project road section		District	Length	
From (KM)	To (KM)		KM	%
74+550	90+500	Hamirpur	15.950	46.6
90+500	110.360	Jhansi	18.260	53.4
Total			34.210*	100.00

*Note: Length as per the design is 35.882 km.



Start of Project Road at Km 74+550 SH-42



End of Project road Km 110+360

The project road traverses through the plain/ rolling terrain and the land use along the project road is predominantly agricultural. There are numerous intersections; out of these one at the start point originating from National Highway is a major one. The major settlements/built-up locations along the project road are Rath and Gaurautha.



Garautha Town at Km 109 +800



Garautha Town at Km 110+360

Figure 1.2: Built-up Area

The project road consists of Other District Road (ODR) and Village Road (VR). The existing ODR road is bituminous single lane carriageway while the village road is mainly earthen single lane carriageway. The Right of Way (ROW) varies from 8m to 22m. The project road has low embankment height which varies from 0.5-1.0m except at major bridge approaches (newly constructed bridge at Kuchchha Ghat) where it is high upto 6m. The existing geometry of missing link is poor except for initial 3km (from end of Rath bypass on ODR) which is good. There are two major bridges on the project road section. The project road component with start and end chainage and length are provided below.

Project Road Component	Start Ch.	End Ch.	Length (Km)
Rath Bypass	74+550	81+959	7.409
Missing Link	81+887	110+360	28.389
Total			35.882

The existing road has both intermediate and two lane carriageway, approximately 50% each. Earthen shoulder of average width of 0.5-2.5 m is present on both sides of the carriageway. Average Right of Way (ROW) measured from Sajra map is 30m (range varying from 8 to 13 m)



Single lane carriageway (3.50m)



Intermediate carriageway (5.50m)

Figure 1.3: Typical View of Carriageway

1.4 Identification of Villages

The villages identified along the project road are provided in **Table 1.3**.

**Table 1.3: List of affected Villages along the Project Road**

S. No.	Chainage		Village Name	Tehsil Name	District Name
	From	To			
1	74+550	76+600	Rath East	Rath	Hamirpur
2			Etayal		
3	76+600	80+100	Rath North	Rath	Hamirpur
4			Chulla		
5	80+100	82+900	Rath South	Rath	Hamirpur
6	82+900	83+800	Kurra	Rath	Hamirpur
		84+200			
7	83+800	84+200	Malahua Maaf	Rath	Hamirpur
8	84+800	85+600	Beehar	Rath	Hamirpur
9	85+600	86+900	Ikthaur	Rath	Hamirpur
10	86+900	90+500	Barel	Rath	Hamirpur
11	90+500	92+100	Tola Ravat (Left Side)	Rath	Hamirpur
12			Gauhani Panwadi (Right Side)	Rath	Hamirpur
13	92+100	98+300	Kuchhechha	Garautha	Jhansi
14	98+300	103+100	MotiKatra	Garautha	Jhansi
15	103+100	106+800	Nipan	Garautha	Jhansi
16	106+800	110+360	Garautha Khas	Garautha	Jhansi
17			Garautha Khurd	Garautha	Jhansi

1.5 Settlements/Built-up locations

In the present road only one location (Garautha – CH: 109+412 to CH: 110+360) with heavy urban built up location has been identified. The length of the settlement/built-up location is approximately 1 km. The available RoW is about 20m. Improvement in this locations would require removal of Kiosks, squatters and encroachers.

1.6 Right of Way

Right of way is the public land owned by the State Government and administered by the PWD, for the existing road. Right of way held by the PWD is the lawfully acquired corridor of land for public purpose. The corridor of impact is the actual land width required for the actual construction of the road, including carriageway, shoulders, embankments and longitudinal drainage. The existing Right of Way (ROW) along the project road is not uniform and varies from 8m to 22m.

The existing ROW is also not free of encumbrances all along the project road. It has been occupied by people mainly for petty business activities. Clearing of entire RoW is not envisaged as it will have significant adverse social impacts and also there is no guarantee that it will not be re-occupied once again after the road construction work is completed. It was therefore decided by the project authority to get only the corridor of impact (CoI) cleared for widening and improvement of the project road to reduce the adverse impact as much as possible. Even then several business units (commercial squatters and kiosks) and encroachments will be affected resulting in loss of structures and sources of livelihood.



The RoW at an interval of 50m is provided as **Annexure-1.1 A**. Existing RoW verification was carried out with concerned Lekhpals (Revenue officials) and has been provided as **Annexure-1.1B**.

1.7 Land Use along the Project Road

The land use along the project road is predominantly agricultural. Rath and Garautha are two settlements/built-up locations along the project road. All types of structures are existing the project road. Small/petty business units also exist near the villages and market places. Many of these structures are used for residential, business and other purposes.

The small/petty shops along the project road includes dhabas, tea stalls, grocery shops, vegetable shops, auto repairing shops, etc. There are no industrial units along the project road. Majority of small/petty shops are kiosks. People have been using the existing RoW for earning their livelihood.

The common property resources along the project road include handpumps and government structures.



Agricultural land



Plantation along the road

1.8 Objectives of the study

The overall objective of the study is to assess the adverse impacts of the project road development on properties and persons associated with the properties/assets and prepare a time bound Social Management Plan to assist the project affected persons (PAPs) in getting their entitlements (compensation - for affected land, structure and other properties and assets and rehabilitation and resettlement assistances) to enable them in improving or at least restoring their socio-economic standards to pre-project level.

The specific objectives of the study are as under:

- Collect data and information using suitable tools regarding project impacts;
- Differentiate the properties and assets likely to be affected by type of ownership and construction, etc;
- Assess the extent of loss of properties (land, structure and others) of individual as well as that of community and loss of livelihood;



- Conduct meaningful consultations with likely PAPs, community and other stakeholders;
- Establish a baseline profile of population, social structure, employment, sources of income, access to social services and facilities, etc.

1.9 Scope of the Study

The scope of the study includes the following:

- Identify properties/assets likely to be affected irrespective of ownership status within the proposed RoW/CoI,
- Conduct census and socio-economic survey of project affected persons to collect baseline information for understanding the socio-economic status of the PAPs and assess the likely magnitude of impacts,
- Conduct consultations with PAPs, local communities and stakeholders to understand their concerns, issues and suggestions for integration into project design wherever feasible,
- Prepare Social Impact Assessment (SIA) and Social Management Plan (SMP) reports in accordance with the applicable legal framework and World Bank policies.

1.10 Stakeholders' Consultation

Involuntary resettlement creates a feeling of insecurity, curiosity and misunderstanding amongst the PAPs. Social assessment and public/community participation help remove such uncertainties and at the same time help the project-proponent to incorporate valuable indigenous suggestions and perceptions of development. In the process, stakeholders get the opportunity to address issues, which are resolved after making appropriate changes in design and alternative finalisation. The stakeholders become aware of the development schemes and at the same time influence and share control over these initiatives, decisions and resources. Community consultations also help avoid opposition to the project, which is otherwise likely to occur. The success and the smooth implementation of the project is largely dependent on the acceptance by the stakeholders.

The overall objectives of the consultation program in this project were to disseminate project information and to incorporate public and PAPs' views in Social Management Plans, which are guided by specific objectives like:

- Awareness amongst stakeholders;
- Improvement in project design minimising potential conflicts and delays in implementation;
- Facilitate development of appropriate and acceptable entitlement options;
- Increase project sustainability;
- Reduce problems of institutional co-ordination;
- Make the R&R process transparent and reduce leakage;
- Increase re-settler commitment, ensure effectiveness and sustainability of the income restoration strategies, and improve coping mechanisms.

1.11 World Bank Policy on Involuntary Resettlement

Involuntary resettlement will be avoided wherever possible or minimized exploring all other project alternatives following the Operational Policy on Involuntary Resettlement (OP 4.12) of the World Bank. The guidelines to be followed in minimising or avoiding displacement and mitigating the negative impacts are provided below in **BOX 0-1**.



- ❖ Involuntary resettlement should be avoided where feasible, or minimised, exploring all viable alternative project designs such as realignment of roads may significantly reduce resettlement needs.
- ❖ Where involuntary resettlement is unavoidable, resettlement activities should be conceived and executed as sustainable development programmes, providing sufficient investment resources to give the persons displaced by the project the opportunity to share in the project benefits. Displaced persons should have opportunities to participate in planning and implementing resettlement programmes.
- ❖ Displaced persons should be assisted in their efforts to improve their livelihoods and standards of living or at least to restore them, in real terms, to pre-displacement levels or to levels prevailing prior to beginning of project implementation, whichever is higher. Displaced persons should be (i) compensated for their losses at full replacement cost prior to the actual move; (ii) assisted with the move and supported during the transition period in the resettlement site and (iii) assisted in their efforts to improve their former living standards, income earning capacity, and production levels, or at least to restore them. Particular attention to be paid to the needs of the poorest groups to be resettled.
- ❖ Community participation in planning and implementing resettlement should be encouraged. Appropriate patterns of social organisation should be established, and existing social and cultural institutions of resettlees and their hosts should be supported and used, to the greatest extent possible.
- ❖ Resettlees should be integrated socially and economically into host communities so that the adverse impacts on host communities are minimised. The best way of achieving this integration is for resettlement to be planned in areas benefiting from the project and through consultation with the future hosts.
- ❖ Land, housing, infrastructure, and other compensation should be provided to the adversely affected population, indigenous groups, ethnic minorities, and pastoralists who may have usufruct or customary rights to the land or other resources taken by the project. The absence of legal title to land by such groups should not be a bar to compensation.
- ❖ Establish the magnitude of adverse social impacts due to the project and propose mitigation measures.
- ❖ Analyse results of stakeholders' consultations and incorporate their feedback and opinions in the final design.
- ❖ Develop institutional mechanism for implementation of the R & R activities and for monitoring and evaluation of the R & R process.

1.12 Social Impact Assessment

The Right to Fair Compensation and Transparency in Land Acquisition and Rehabilitation and Resettlement Act, 2013; project specific R&R Policy as approved by GoUP and World Bank policy require a social impact assessment during the design stage to avoid, reduce and mitigate potential negative impacts of the project and enhance positive impacts, sustainability and development benefits.



The assessment results are considered with technical and economic feasibility analysis in the final selection of roads to be rehabilitated. The assessments also contribute to the engineering design and result in the preparation of social action plans governing project implementation and the resettlement and rehabilitation of those who may be displaced by road improvements.

The main objective of the study is to ensure that the project addresses the adverse impacts on the livelihood of the people and that no one is left worse off after implementing SMP and those affected have access to project benefits, both during project construction as well as operation. In specific, the objectives of the study are:

- To carry out a socio-economic, cultural and political/institutional analysis to identify the project stakeholders and social issues associated with the project;
- To assess the extent of land acquisition/appropriation and other losses and undertake the census of potential project affected people;
- To develop a Social Management Plan (SMP) in consultation with the affected people and project authorities;
- To identify gender related issues in road design and develop a gender action plan;
- To identify a likely occurrence of HIV/AIDS resulting from the influx of outside labourers and others and develop a strategy to reduce their incidence; and
- To develop a consultation framework for participatory planning and implementation of proposed mitigation plan.

The project's social impacts and resettlement component includes assessment of social impacts of the project and development of appropriate mitigation plans as required. These plans must comply with appropriate national and local laws and guidelines, and with the World Bank policy directives. Social assessment is carried out in close co-ordination with the environmental assessment team and design team and includes consultation and participation among project stakeholders, local communities and potentially affected groups. The social impact assessment and resettlement planning component has following elements:

- Social screening as part of Project Feasibility Report(PFR);
- Social Impact Assessment; Census and baseline socio-economic survey of the potentially affected population as part of Detailed Project Report (DPR);
- Preparation of a time-bound Social Management Plan (SMP);
- Consultations at project, district and state level;
- Follow-up consultations (to be carried out after finalization of drawings); and
- Videography and still photography.

Social screening was undertaken at the time of project inception report and the selection of roads to be included in the project. It provided important inputs and guidance to engineering designs.

Census survey was conducted as per the CoI (proposed design) in rural and semi-urban/urban sections of the project road (15th July to 30th August) to record and document the status of the potentially affected population within the project impact area. Census data provides the basis for establishing a cut-off date for non-title holders in order to determine who may be entitled to relocation assistance or other benefits from the project.

Socio-economic survey was carried out along with the census survey. This survey provides a baseline against which mitigation measures and support will be measured and includes



comprehensive examination of people's assets, incomes, important cultural or religious networks or sites, and other sources of support such as common property resources. Analyses of survey results cover the needs and resources of different groups and individuals, including intra-household and gender analysis.

1.13 Structure of Report

This report has been organized with 16 Chapters as detailed below:

Executive Summary

Chapter 1-Introduction: provides an overview of the proposed project and the project corridors, objectives of social impact assessment, approach to minimize impacts, and the methodology for SIA/SMP preparation.

Chapter 2-Study Methodology: Reconnaissance Survey, Review of secondary sources, Census and Socio-economic Survey, Preparation for Social Management Plan, Consultations etc.

Chapter 3-Alignment of Alternatives: Comparative study of alignment options and evaluation.

Chapter 4-Minimising Negative Social Impact: Right of Way and Corridor of Impact Design and R&R Co-Ordination Widening Options Improvement in Built-Up Locations.

Chapter 5-Resettlement Policies and Legal Framework: National & State Acts, Policies, Notifications/GOs, etc. applicable in context of project road, World Bank Safeguard Policies, Comparative Analysis of World Bank Policies & national & state legal framework, Process of Land Acquisition& Project Specific R&R Policy for UPCRNDP.

Chapter 6-Profile of State and Project Affected Persons: Socio-Demographic Profile UP, Census and Socio-Economic Survey Analysis, Project Impacts, etc.

Chapter 7-Community Participation: Provides Consultation and Participation Mechanisms, Consultations conducted, etc.

Chapter 8-Gender Analysis: Covers Gender perspective in transport, legal and policy framework with regard to gender, gender issues and Gender Action Plan.

Chapter 9-Income Restoration: Income Restoration Options Preferred by PAPs.

Chapter 10-Institutional Arrangements: Need for SMP implementation agency/NGO, role of NGO, Training and Capacity Building.

Chapter 11-Grievance Redress Mechanism: Need for Grievance Redress Mechanism, Functions of the GRC.

Chapter 12-Monitoring And Evaluation: Institutional arrangement for M&E, Internal Monitoring, External Monitoring,etc.

Chapter 13-Implementation Schedule: Implementation Procedure, Timing of Resettlement, Community Participation, Tasks for NGO.

Chapter 14-Labour Management Plan: Labour management plan and COVID-19 SOP

Chapter 15-Gender Based Violence: SEA/SH in UPCRNDP, risks, GPN of World Bank on addressing GBV, prevention and action plan, grievance mechanism etc.

Chapter 16-Costs and Budget: Cost of land procurement/acquisition, R & R assistance, cost towards SMP implementation arrangement, etc.



2 STUDY METHODOLOGY

2.1 Introduction

This section deals with the approach and methodology followed for the collection of data, information and analysis of data. The project followed both quantitative and qualitative approach for data collection. Social impact assessment and resettlement planning component has three main elements:

- Early screening as part of project feasibility studies;
- Social Impact Assessment; Census and baseline socio-economic survey of potentially affected population, and;
- Preparation of the Social Management Plan including gender action plan

These elements have been further elaborated in the following paragraphs.

2.2 Social Assessment Process

The complete R&R process included integration of engineering, environment and social inputs. The R&R team included Social Scientist, Civil Engineer, Field Supervisors, Community Organisers and field investigators for conducting census and socio-economic surveys and consultations. PWD officials were requested to participate in the field activities as per their convenience.

The different steps followed for SMP preparation are as follows:

Step 1: Reconnaissance/ScreeningSurvey and Familiarization

This step involved preliminary reconnaissance of the project road to take into account sections with potential R&R issues. Reconnaissance survey was conducted by Social Scientist along with the field supervisors and investigators. At this stage the sections of roads having social impacts and type of impacts were identified. Outcome of screening survey were presented in the Feasibility Report. During the social screening survey the field team also familiarized itself with local people, and identified stakeholders to be contacted during the course of the survey works. Preliminary discussions with likely project affected persons and others were held to broadly understand their opinion with regard to proposed project road development.

Step 2: Census and Socio-economic Survey

The right of way status of the road was collected from revenue department. The right of way information is important in knowing the land available for widening, and land acquisition requirements. Collection of the right of way information continued simultaneously with the census and the socio-economic surveys. The census survey covered 100 % of the potentially affected persons within the CoI. All those within the corridor of impact were enumerated by administering the questionnaire. The existing centreline provides the benchmark line for the survey on either side of the carriageway. The census and socio-economic survey questionnaires are presented in **Annexure-2.1**.

The census registered the owners' name, address, legal document if any towards the claim of the property, listing of household members; their assets and incomes and other demographic and social information to determine whether they are to be categorized as vulnerable group. Private



land owners, tenants and squatters and encroaches within the ROW were covered in the census. Measurement of structures falling within the COI was carried by the Civil Engineer with support from field personnel. Each structure was measured and location was recorded along with size and shape.

The socio -economic survey, which was also carried out along with census survey, provides the baseline against which mitigation measures and support will be measured. The analysis covers the needs and resources of different groups and individuals, including inter and intra-household analysis and gender analysis. The following information was collected during the survey:

- Socio economic conditions of the affected persons
- Family structure and number of family members
- Literacy levels
- Occupation type and income levels
- Inventory of household assets
- Loss of immovable assets due to the project by type and degree of loss
- Accessibility to the community resources
- Perceptions on the resettlement and rehabilitation measures
- Perceived income restoration measures
- Grievances of affected persons and its redressal
- Awareness and knowledge levels on HIV/AIDS and gender issues
- Willingness to participate in the project

The study made an attempt to identify people losing their livelihood directly or indirectly. Also through consultations the rehabilitation strategies for those losses by way of training requirements for income generation and other remedial and restoration measures were identified. For this the consultations were conducted among:

- People losing properties/resources
- Village community using government land along the project road
- Knowledgeable persons / opinion leaders in the village
- Village heads

Step 3: Identifying Social Hotspots

This step involved identification of social hotspots/road sections which needed realignments. This was executed by measuring the distance of structures from the existing centreline. If the width available fails minimum requirement, then the option of a demolition of structures is considered.

The proximity of settlements along the project road was one of the deciding factors in addressing the degree of impact. This was achieved through local level consultations the needs and opinion of local people were taken into consideration with regard to impacts and widening/upgrading of existing road vis-à-vis detour.

Step 4: Social Input to Design

The inputs from field surveys were shared with design team for integration in engineering designs wherever feasible. Once it is concluded that there is no space for expansion of the road 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: Identifying Actual PAPs

After the integration of the social and environmental inputs, the final engineering drawings were completed. Once this was done then the actual number of PAFs were identified, especially in the built up area, where there is reduced COI. For identifying legal owners, encroachers and squatters, revenue records were 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 were considered eligible for entitlement under the project and list of PAFs is generated. During the local level consultations and also during door to door survey, community was informed on the definition of impacts and corridor of impact. All those outside the COI but within the ROW is well informed that they will not be adversely impacted by the project.

Step 6: Preparing Social Management Plan

The last step in the process involves the preparation of Social Management Plan. The SMP includes number of PAPs and families by impact category; their entitlements, grievance mechanism; institutional arrangement for implementation; implementation schedule and budgetary requirements. The process for preparing the SMP is given in **Annexure-2.2**.

2.3 Consultations

Considering the importance of people's participation in the project planning, consultations by way of FGDs and individual consultations with PAPs, local communities and women were conducted during project preparation stage. The objectives of the consultation were to disseminate information about the project to the potentially affected population in order to know their views and understand their concerns, issues and suggestions, if any. Details of consultations conducted are provided in Chapter 7.

2.3.1 Local/Village Level Consultations

For local level consultations, villages were selected. It was ensured that information regarding consultations is disseminated in the concerned village at least two days prior to consultations. The participants included village head and/or opinion leader of the village, community and potentially affected persons. The targeted segments included men and women affected by loss of commercial structures and sources of livelihood. A total of 8 mixed consultations were held.

2.3.2 Consultation with Government Officials

The objective of these consultations was to (i) create awareness about the project among the district administration, and officials of line departments along the project road.(ii) to study implementation arrangements and its capacity in delivering the R&R services verification of these arrangements.Consultations were held with concerned village revenue officials to update the ownership of land and its utilization pattern by referring to Records of Right (ROR).

2.4 Collection of Data from Secondary Sources

Throughout the Study, various types of secondary data were used along with the primary data collected through surveys. Secondary data sources included Uttar Pradesh at a Glance, published by Jagaran Publications (Social, Cultural, Demographic and Economic profile of Uttar Pradesh), District Census Handbooks of districts through which road is passing through, Tehsil Offices; and Census of India, 2011.



3 ANALYSIS OF ALTERNATIVES

3.1 General

Due to missing connectivity between Garautha and Rath, traffic from Jhansi to Hamirpur use the Alternate route. There are 2 alternate routes for the project road:

1. Jhansi-Mauranipur-Rath-Hamirpur
2. Jhansi-Sikandara-Ghatampur-Hamirpur

Traffic between Hamirpur and Jhansi is using either NH 76 via Mauranipur or via NH 25 via Orai, which is shown in the **Figure 3.1** and **Figure 3.2**. Traffic between Rath and Garautha, is also forced to go via Mau Ranipur and has to travel extra 80 km. A new bridge at Kuchecha ghat has been completed and is open to traffic, which is connecting Rath and Garautha via project road section. Project road section will be proposed as 2 lane with paved shoulder.

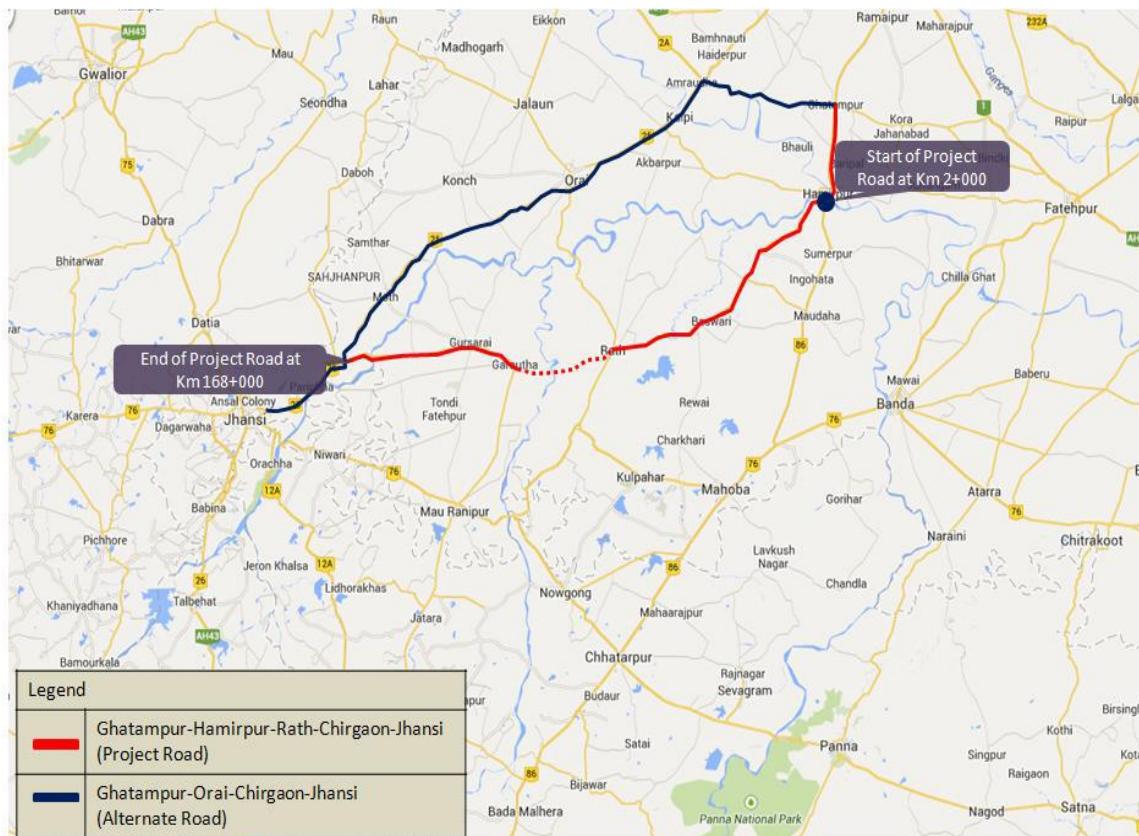


Figure 3.1: Alternate Road via Orai (NH-25)

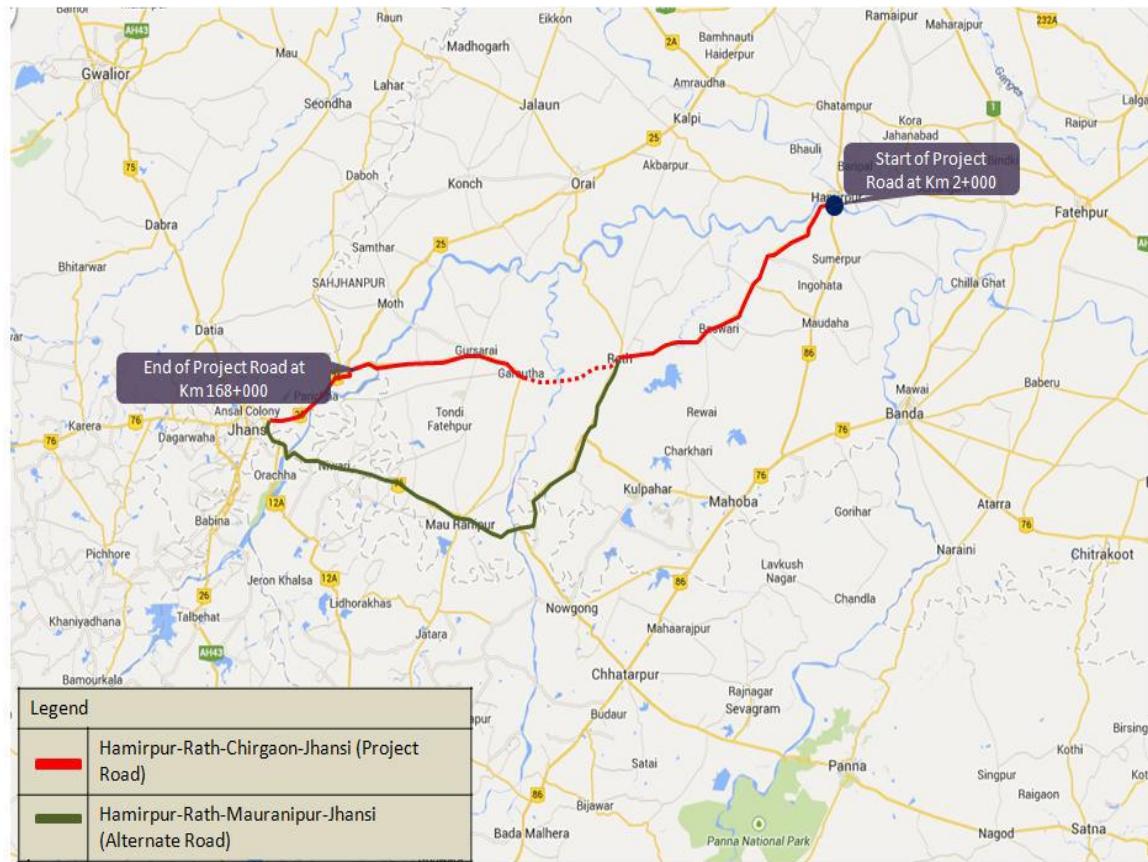


Figure 3.2: Alternate Road via Mau Ranipur (NH-76)

Once the link is developed the project road will provide better facility to users in terms of direct connectivity, travel time, operating cost, etc. Potential traffic has been estimated on NH 76 and NH 25 to estimate the diverted traffic on the project corridor.

3.2 Alternate Options

The analysis of alternative options was conducted by the consultants for choosing the best options keeping in view the technical aspects, likely social and environmental impacts and also the project cost limit. Other factors considered for analysis of alignment options include the following:

- Existing geographical features such as existing terrain, horizontal and vertical geometry, built-up locations, rivers, other water bodies, embankment height, trees, etc.,
- Construction difficulty and land acquisition issues,
- Origin Destination pair of the passenger as well as goods traffic using project road,
- Presence of problem areas such as bottlenecks, settlements/developments along the project road,
- Obligatory points like, religious structures, Schools, Institutional Buildings etc.,
- Tentative cost for developing various options including social and environmental impacts.



The existing SH 42 alignment and proposed alternate options to complete the Rath – Garautha project road is shown in **Figure 3.3**. A joint site visit on the subject project road was undertaken by PWD Officials and Consultants on 20th and 21st August, 2014. The observations of joint site visit are as under:

- In the Hamirpur-Jhansi section of SH-42, there is a missing link/ road between Majhgavan (KM Stone 94+000, Hamirpur district) and Kachir Ghat (KM Stone 108+000, Jhansi district). This is due to absence of bridge across Dhasan River at Kachir Ghat. There is approximately 4 km of forest land adjoining the river on the Hamirpur side.
- A new bridge was proposed on this section at Kachir Ghat and foundation stone was laid in 1983. This could not be constructed as it appears for the reason of forest clearance.
- A new bridge (24 x 30 m) is now constructed at Kuchecha Ghat about 10 km away from this location. Bridge construction is completed and opens to traffic.
- On Hamirpur side, this bridge is connected through an Other District Road (ODR, ~ 19 km long) to Rath. On Jhansi side, this bridge is connected through a Village Road (VR, ~ 12 km long) to Garautha.
- In first case, length of road between Rath - Majhgavan- Kachir Ghat - Garautha is approx. 35 km. In second case (via new bridge in construction), the length of road between Rath – Kuchecha Ghat – Garautha is 31 km.
- The land Acquisition for route no 1 is approximately 29.37 ha and the proposed cost would be 73.73 crores including the New Bridge Cost (approximately). The land Acquisition for route no 2 is approximately 78.864 ha and the proposed cost would be 56.10 crores. Due to this there will be no additional burden on the Government for the new construction of bridge.
- May delay in getting forest clearance for route no 1 as against to route no 2.

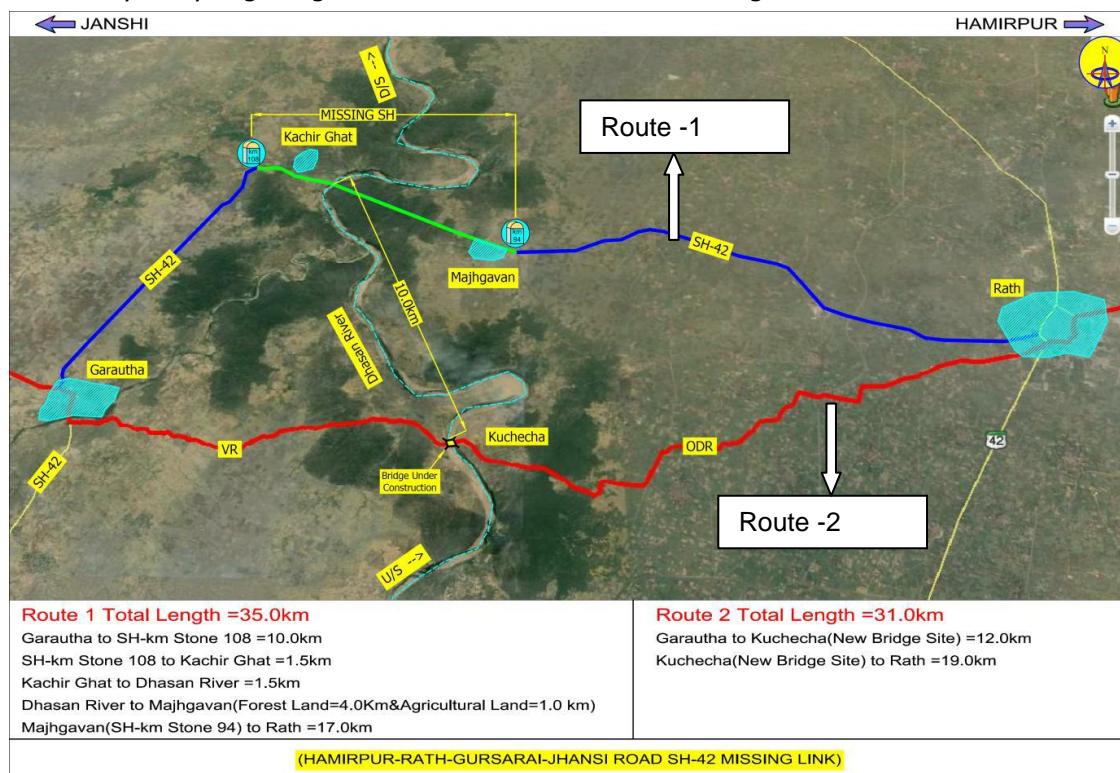


Figure 3.3: Rath Garautha Section (Hamirpur -Jhansi Road)



The alternate options have been studied to provide direct connectivity across the river with a focus to improvise the traffic flow. While developing the alternate options, consultants have examined comprehensively, the viability of each option giving due consideration to original alignment, social, environmental issues, physical features and land acquisition cost.

Option 1: Construct a new bridge at Kachir Ghat for a direct continuation of SH-42. This may lead to delay in getting forest clearance on Hamirpur side.

Option 2: Upgrade the road connecting Rath to Garautha via new bridge at Kuchacha Ghat. It will require up gradation and notification of ODR on Hamirpur side and VR road on Jhansi side to State Highway (SH) level.

Advantages with Option 2 are that there will be relatively less distance of travel (approx. 4 km) between Rath and Garautha as compared to Option 1. The connectivity can be achieved faster as the new bridge is complete and already opened for traffic. Land acquisition will be required for up-gradation of existing ODR and VR road to State Highway level.

3.3 Bypass for Rath

Rath is a very congested town with adjoining market places on SH-42. Shops and residential buildings are on both sides of existing road with road congested with local traffic movement. Bypass option largely avoiding constraints have been investigated and assessed based on traffic, technical and economic considerations. A bypass is proposed at Rath town for through traffic.

The details of bypass are given below:

	Option 1	Option 2
Extent of land to be acquired	A colony named Virat developed on green field of proposed bypass	Open land available
Total No of affected persons/ Area	1065 TH/ 19.5 hac	1422TH /22.0 hac
Length of proposed Bypass	6.5 Km	7.4
Number of non-titleholders to be displaced	Not Impacted	Not Impacted
Hot spots such as school, medical facility, community building impacted	Not Impacted	Not Impacted

3.4 Conclusion

Option 2 has been recommended for execution.



4 MINIMISING NEGATIVE SOCIAL IMPACT

4.1 Minimizing the Social Impact

The need for resettlement arises when a proposed infrastructure project displaces a number of people and households for a defined public purpose which, in this case, is the widening and upgrading of the existing project corridor. As per the Bank's operational Directives the displacement should be avoided or minimized. The objectives of the social analysis is to be done in order to understand the ways and means to minimize the negative impact on the lives of the affected population, offering them opportunities to enhance their living standards. While the land acquisition on the account of widening the road and new alignment is unavoidable, the area with the high population density could be marginalized and displacement could be minimized. The project specific R&R policy, also, acknowledges the importance of avoiding adverse socio-economic impacts in road design and construction.

The success of a project depends to a large extent on the improvement that it brings about in the living standards of the people, both in the short and the long term. While preparing the engineering design, the prime consideration has been to minimise the social negative impacts within the limitations of technical requirements and cost effectiveness and to enhance the benefits. Despite the best efforts to minimise the negative social impact, however, land take at few places and resettlement have been unavoidable.

In general, the design considerations adopted by the project to minimize the land taking in the project are as below:

- The corridor of impact CoI / PROW cross-section would be restricted within the existing right of way and proposed right of way.
- The corridor of impact (CoI) for the project would broadly range between 8 m to 13 m to fit the typical cross sections, space for drains, roadside furniture and utilities. However, in specific locations, CoI of less than 13 m would also be considered to minimize the impact on properties.
- Decision on bypasses and realignments has been taken based on a comparison of options with or without the proposed change in design.

4.2 Design and R&R Co-ordination

The prime objective of the SMP is to minimize negative impact on the people/community because of the project execution. Therefore, during preparation of the project, due consideration was given to minimise the negative impacts within the limitations of technical requirements and cost effectiveness. The built up areas generally have developments on either side of the existing road. The existing RoW has been occupied by people for residential and commercial activities. Most of the structures occupying the RoW are semi-pucca type where structures used for commercial structures are kiosk (made of kutcha materials) which may be easily shifted to another location without much damage. The rural open stretches are characterized by agriculture use or fallow land. As a result two distinct design approaches were adopted: one for built up areas and other for open rural areas. The broad parameters considered by the design team based on the inputs from the R&R surveys were:



- Minimize the impact on roadside settlements
- Minimize the impact on livelihood
- Minimize land acquisition
- Minimize impact on community assets
- Avoid the adverse impacts in the crowded areas along the project stretch

4.3 Proposed Improvements

The project road is proposed for widening, strengthening, geometry corrections, junction improvements, provision of drains in habitations and semi-urban/urban sections, provision of earthen/paved shoulders, footpath in urban/semi-urban sections, etc. Proposed improvement of the project road is given in **Tables 4.1** and **4.2** respectively.

It may be observed that concentric (both side widening) has been proposed in 45.30% of the project road length in order to minimize the impacts. Bypass and realignments comprise 52.61% of the project length. The development of existing road through forest area comprises about 20% of the project length. A land width (proposed RoW) of 30 m has been considered for the bypass and realignments. Curve improvements and approaches to Minor Bridge proposed for reconstructions are proposed more than 2% of the project road length.

Table 4.1: Improvement Proposed

Improvement	Length (km)	% of the project length	Remarks
New construction	7.337	20.45	To bypass Rath town
Realignment	11.539	32.16	Geometry correction
Alignment following existing road (Central widening)	9.108	25.38	To reduce land acquisition and adverse impacts
Alignment following existing road through forest land	7.149	19.92	
Major bridge	0.677	1.89	

Source:-DPR

The existing RoW except for certain locations in the project road is not wide enough to accommodate proposed development from single and intermediate lane carriageway to two lane standard carriageway. As a result, additional land area is required for almost the entire length of the project road. Approximately, 109 ha of additional land area (including 31.48 ha of Govt. land) will be required for the development of project road. CoI of 30m and largely central widening have been considered in order to avoid land acquisition as much as possible and also to reduce resettlement impacts with due consideration to safety aspects.

Table 4.2: Chainage wise Improvement Proposed

S. No.	Chainage		Length (KM)	ROW (M)		Improvement
	From	To		Existing	Proposed	
1	74.55	81.887	7.337	0	30	Rath Bypass
2	81.887	83.5	1.613	14	30	Alignment following existing road
3	83.5	83.7	0.2	5	30	Realignment
4	83.7	84.45	0.75	22	30	Alignment following existing road
5	84.45	88.2	3.75	4	30	Realignment



S. No.	Chainage		Length (KM)	ROW (M)		Improvement
	From	To		Existing	Proposed	
6	88.2	89.6	1.4	10	30	Alignment following existing road
7	89.6	90.43	0.83	5	30	Realignment
8	90.43	90.8	0.37	15	30	Alignment following existing road
9	90.8	91.03	0.23	6	30	Realignment
10	91.03	91.4	0.37	12	30	Alignment following existing road
11	91.4	91.6	0.2	4	30	Realignment
12	91.6	92.5	0.9	14	30	Alignment following existing road
13	92.5	92.7	0.2	5	30	Realignment
14	92.7	93.5	0.8	8	30	Alignment following existing road
15	93.5	94.13	0.63	4	30	Realignment
16	94.13	94.32	0.19	8	30	Alignment following existing road
17	94.32	94.8	0.48	5	30	Realignment
18	94.8	96	1.2	0	30	Forest Land
19	96	96.57	0.57	9	30	Alignment following existing road
20	96.57	97.82	1.25	6	30	Realignment
21	97.82	97.92	0.1	10	30	Alignment following existing road
22	97.92	98.4	0.48	0	30	Major Bridge
23	98.4	98.435	0.035	0	30	Major Bridge within Forest Land
24	98.435	99.075	0.64	0	50	Forest Land
25	99.075	99.415	0.34	0	30	Forest Land
26	99.415	100.044	0.629	0	40	Forest Land
27	100.044	100.423	0.379	0	30	Forest Land
28	100.423	100.694	0.271	0	40	Forest Land
29	100.694	102.4	1.706	0	30	Forest Land
30	102.4	103.08	0.68	4	30	Realignment
31	103.08	103.4	0.32	10	30	Alignment following existing road
32	103.4	103.6	0.2	5	30	Realignment
33	103.6	103.8	0.2	10	30	Alignment following existing road
34	103.8	104.15	0.35	5	30	Realignment
35	104.15	104.6	0.45	8	30	Alignment following existing road
36	104.6	106.29	1.69	5	30	Realignment
37	106.29	106.4	0.11	15	40	Alignment following existing road
38	106.4	107.02	0.62	5	30	Realignment
39	107.02	107.1	0.08	4	30	Realignment
40	107.1	108.582	1.482	0	30	Forest Land
41	108.582	109.084	0.502	0	50	Forest Land
42	109.084	109.233	0.149	4	30	Realignment
43	109.233	109.395	0.162	0	0	Major Bridge
44	109.395	109.445	0.05	13	50	Alignment following existing road
45	109.445	110.36	0.915	13	19.5	Alignment following existing road (Major Built up Garautha)

Source: EGIS Primary Survey 2020

4.4 Widening Options

Two (2)-lane with paved shoulder has been proposed. The paved shoulder will provide better traffic operations, lower maintenance cost and facility of directly using these as part of



carriageway when the road is widened in future. Also, this will be an additional space for slow moving vehicles and motor cyclist, providing better level of service for all users.

Due importance has been given to social issues while road designing. The coordination between social and design team helped in minimizing the number of PAPs and affected PAFs. Concentric widening has been proposed in majority of road length including built-up sections to minimize the resettlement impacts as much as possible.

The width of a basic traffic lane is as per Standards. Thus, for 2-lane the carriageway width for rural section will be 7.0m. For urban section (Gauautha Town limits) a 4 lane divided carriageway with total width of 15m and 1.5m footpath both side is considered. In view of safety requirements as well as segregation of the fast moving traffic from the local slow moving traffic, paved shoulder has been proposed in the entire project road.

On horizontal curves, the road width is increased corresponding to the extra widening of carriageway for curvature as per IRC:SP: 73-2007 Manual for two laning of State Highways. The project road has been prepared considering the design speed of 80km/h in rural/open sections and 40km/h in urban/semi-urban sections keeping in view of reducing adverse impacts and the safety aspects. Typical cross sections in rural and urban/semi-urban sections areas have been developed as per IRC SP73 with certain modifications in consultations with Project Authority. Typical cross section developed for the development of project road is presented in **Table 4.3.** below.

Table 4.3: Details of Typical Cross-sections

S. No.	Cross Section Type	Description
1.	TCS -1A	Two lane carriageway with paved and earthen shoulder (rural section) – New construction + realignment/Bypass
2.	TCS -1B	Two lane carriageway with paved and earthen shoulder (rural section) – Reconstruction + widening
3.	TCS -1C	Two lane carriageway with paved and earthen shoulder (rural section) – Reconstruction due to raising
4.	TCS -1D	Two lane carriageway with paved and earthen shoulder (rural section) – New construction + realignment/bypass in cut section
5.	TCS -2	Four lane carriageway with paved shoulder and footpath (urban section) – with total width of 15m in Reconstruction + widening

Source: EGIS Design Report

Drawings of the typical cross sections (TCS) covering proposed roadway, slope, drain, space for services, etc. The proposed RoW/CoI considered for the development of project road is 30m except for five small locations where CoI of more than 30m has been considered.

Conclusion:

- Bypass of 7.337 km has been provided instead of upgrading the project road through the built-up area in order to avoid large scale involuntary resettlement.
- Central widening has been proposed to minimize the adverse impacts.
- Broadly a RoW of 30m has been considered for the bypass as well as realignment locations in order to improve the traffic flow and future developments.



5 RESETTLEMENT POLICIES AND LEGAL FRAMEWORK

5.1 Key Social Laws and Regulations

This section presents the legal framework for the land acquisition process and the Resettlement and Rehabilitation Policy which also includes the entitlements for affected eligible families. Project has developed Resettlement and Rehabilitation Policy based on the Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act 2013; World Bank's OP 4.12 and various government orders issued by state government for issues related to R&R. The policy recognizes the need to support restoration of livelihoods of adversely affected people and lays down norms for rehabilitating the affected people and broadly outlines an approach and institutional framework to achieve its objectives. The key social regulations and legislations that will govern the preparation and implementation of the project are presented below.

Table 5.1: Relevant Social Legislations

Acts/Rule/Policy	Objective	Applicability to this Project	Responsible Agency
UP Direct Land Purchase Policy, 2015	Government of Uttar Pradesh issued a Direct Land Purchase Policy in March 2015 with an objective of taking faster possession of private land to the Government departments, from the land owners by the government departments, local bodies, development authorities, industrial authorities and public private partnership projects, hereafter called the "purchase entities" than acquiring the land through formal acquisition process. The general policy of the state for taking possession of private land shall be direct purchase of land through consent and agreement between the land owners and the acquiring entities.	Yes. Additional land required for the project shall be preferably procured as per the provisions of this policy.	Approval Committee headed by District Magistrate
Right to fair compensation and transparency in land acquisition, rehabilitation and Resettlement Act, 2013	Fair compensation for acquisition of immovable assets; Resettlement of displaced population due to LA and economic rehabilitation of all those who are affected due to land acquisition.	Yes. In case of acquisition of land.	Revenue Department. Govt. of U.P.
The Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement (Uttar Pradesh) Rules, 2015	-do-	Yes. In case land is acquired following RFCTLARR Act, 2013.	Land Acquisition Collector
Seventy Third Constitution Amendment Act, 1992	The Act enables participation of Panchayat level institutions in decision-making by broadening the village level functions, supporting implementation of development	Yes, especially for any sub project located in Panchayat area	Department of Panchayati Raj, Government of Uttar Pradesh



Acts/Rule/Policy	Objective	Applicability to this Project	Responsible Agency
	schemes. The Act provides for involvement of the PRIs especially, the Gram Sabha/ Panchayat during project preparation and implementation. The Panchayats at the village level will be involved for preparation and implementation of the project.		
Right to Information Act, 2005	The Act provides for setting out the practical regime of right to information for citizens to secure access to information under the control of public authorities, in order to promote transparency and accountability in the working of every public authority, the constitution of a Central Information Commission and State Information Commissions and for matters connected therewith or incidental thereto.	Applicable.	PWD, GoUP

5.2 World Bank Safeguard Policies

Projects financed with IDA resources need to comply with World Bank Operational Policies. The World Bank has Environmental and Social Safeguard Policies to reduce or eliminate the adverse effects of development projects. The safeguard policies of World Bank are provided in **Table 5.2** below.

Table 5.2: Safeguard Policies of World Bank

World Bank Safe Guard Policies	Objective	Applicability	Safeguard Requirements
OP/BP 4.12	Involuntary Resettlement-The objective of this policy is to avoid or minimize involuntary resettlement where feasible, exploring all viable alternative project designs. Furthermore, it intends to assist displaced person in improving their former living standards; community participation in planning and implementing resettlement; and to provide assistance to affected people, regardless of the legality of title of land	Yes. Approximately, 109 ha of land area (Private land - 77.20 ha & Govt. land – 31.48 ha) will be required for upgrading the project road and as a consequence there will be loss of shelter, business, other assets, income sources etc.	Social Management Plan in consultation with the community and project authorities. A Social Management Plan has been prepared to mitigate the resettlement impacts.
OP 4.10	Indigenous People -This policy aims to protect the dignity, right and cultural uniqueness of indigenous people; to ensure that they do not suffer due to development; that they receive social and economic benefits	Not applicable. No Scheduled Tribe population will be impacted by project road development. This policy is not triggered.	



Comparative analysis of World Bank OP 4.12 on Involuntary Resettlement and RFCTLARR Act, 2013 and Labour Influx Guidance Note 2016, World Bank and National/State Legislation are discussed in sections 5.3 & 5.4 respectively.

5.3 Comparative Analysis of World Bank OP 4.12 on Involuntary Resettlement and RFCTLARR Act, 2013

S. No.	Topics/Issues/Areas	World Bank OP4.12	UP Direct Land Purchase Policy, 2015	RFCTLARR Act, 2013
1	Application of LA	Direct economic and social impacts that both result from Bank-assisted investment projects. Applies to all components of the project that result in involuntary resettlement, regardless of the source of financing.	It encourages the process of direct purchase of land from land owners by the government departments, local bodies, development authorities, industrial authorities and public private partnership projects than acquiring the land through formal acquisition process. The general policy of the state for taking possession of private land shall be direct purchase of land through consent and agreement between the land owners and the acquiring entities.	Section 2 Applicable to projects where government acquires land for its own use, hold and control, including PSU and for public purpose; for PPP where ownership of land continues to vest with Govt; private companies where 80% of land owners ¹ have given consent or 70% in case of PPP.
	Principle of avoidance	Involuntary resettlement should be avoided where feasible, or minimized, exploring all viable alternative project design	The policy is in line with the RFCTLARR Act, 2013.	Alternatives to be considered as Act in chapter II, point # 4 (d) says "extent of land proposed for acquisition is the absolute bare minimum needed for the project; and (e) says land acquisition at an alternate place has been considered and found not feasible.
	Linkages with other projects		No such provision	No such provision
2.	Application of R&R	Same as above	Point 6 of the policy states that "the proposal for purchase of land shall take into consideration all the R&R benefits to be provided to the land owners. Since the land rate and total value has been calculated on the basis of relevant circulars/ GOs/Rules & Acts, the land owners will not be entitled for	In addition to the above, Section 2(3) land purchased by private company as prescribed by Govt. or when part acquired by govt

¹ Land Owner – whose land and immovable property acquired and land assigned by state or central govt under any scheme (Section 3 c (i) and (v))



S. No.	Topics/Issues/Areas	World Bank OP4.12	UP Direct Land Purchase Policy, 2015	RFCTLARR Act, 2013
			separate/additional R&R benefits (Point 12 of the policy).	
3.	Affected area	Involuntary take of land resulting in loss of shelter, loss of assets or access to assets, loss of income sources or means of livelihood	Land proposal for purchase of land through mutual consent shall be submitted to the concerned approval committee.	Section 3(b): Area notified for 'acquisition'
4.	Family		Not defined.	Section 3(m) includes person, his and her spouse, minor children, minor brothers and sisters dependent. Widows, divorcees, abandoned women will be considered as separate family.
5.	Affected family for eligibility	All adversely affected people whether have formal legal rights or do not have formal legal rights on land	Not defined.	Section 3 (a): whose land and other immovable property acquired. (b)&(e): Family residing in affected area such as labourers, tenants, dependent on forest and water bodies, etc whose primary source of livelihood is affected due to acquisition (c) Scheduled tribes and other forest dwellers whose rights recognized under the Forest Dwellers Act 2006. (f) Family assigned land by state or central government under any schemes (g) Family residing on any land in urban area that will be acquired or primary source of livelihood affected by acquisition.
6.	Cut-Off date	Date established by the borrower and acceptable to the Bank. In practice it is the date of census.	The date of signing of the consent form (Form 1) shall be accepted as the cut-off date for the current circle rate/market value.	Section 3 c (ii), (iv) (vi): Families residing for preceding 3 yrs or more prior to "acquisition of land".



S. No.	Topics/Issues/Areas	World Bank OP4.12	UP Direct Land Purchase Policy, 2015	RFCLARR Act, 2013
7.	Non-application of Chapter II	Stand-alone SIA for all investments	Provision of SIA not applicable.	Section 6(2): Irrigation projects where EIA is required under other laws, provisions of SIA not applicable.
8.	Consultation – Phase I during preparation	Consultation a continuous process during planning and implementation	Purchase of land through mutual consent.	Section 4(1) date issued for <i>first consultation</i> with PRIs, Urban local bodies, Municipalities, etc to carry out SIA. Section 5: Public hearing of SIA in affected area. Provide adequate publicity of date and time.
9.	Time duration to prepare SIA and SIMP	Draft Social Assessment, SMP and or Social Management Framework prepared before appraisal.	No such provision mentioned in the policy.	Section 4 (2): <i>within six months</i> from the date of its commencement.
10.	Disclosure – Stage I	To be disclosed before appraisal and 120 days before board date.	No such provision applicable.	Section 6(1): Translated in local language available in PRI institutions and local urban government bodies; district administrative offices and websites of concerned government agency.
11.	Formation of Expert Group to appraise SIA and SIMP	Appraised by Bank staff	Not applicable	Section 7(1): Constitute a multi-disciplinary Expert Group include members of decentralized govt Institutes (PRIs, ULBs).
12.	Time stipulated for Group to submit its report	Before the decision meeting for appraisal	Not applicable	Section 7(4): Submit its report <i>within two months from the date of its constitution</i>
13.	Scope of work of the Expert group	Social Assessment, SMP reviewed and appraised by Bank staff and approved by Regional safeguard advisor	Not applicable	Section 7 (4) (a&b): assess whether it serves any public purpose or not; if social costs outweigh potential benefits then should be abandoned; Section 7 (5) (a&b): if serves public purpose, then it has considered minimum land acquisition, and alternate options to minimize displacement; potential benefits outweigh social costs
14.	Consultation – Phase II during appraisal	In practice consultation workshops are organized in project affected areas at district and state level.	Land purchase is through mutual consent requires consultations with land owners.	Section 2 (2): Prior consent of 80% and 70% of land owners in PPP and where private company has approached the govt to acquire balance land has been obtained,
15.	Disclosure – Stage II	Information dissemination through the planning and implementation	No such provision.	Section 7 (6): recommendations of expert group under 7(4&5) to be made public in local language in district and block administrative office and PRIs
16.	Minimize impact on multi-crop land	Select feasible design that has minimal adverse impact.	No such provision.	Section 10: In case multi-crop land is to be acquired under exceptional circumstances, the area



S. No.	Topics/Issues/Areas	World Bank OP4.12	UP Direct Land Purchase Policy, 2015	RFCLARR Act, 2013
				to be acquired cannot exceed aggregate of land of all projects in district or state. The area to be acquired cannot exceed the total net sown area of the district or state. Wasteland equivalent to twice the area acquired will be developed.
17.	Information dissemination of preliminary notice	Continuous part of the preparation and participation	No such provision.	Section 11 (1), (2) & (3): Notice published in local language and meetings called of gram sabahs, municipalities to provide full information about the purpose of the project, summary of SIA and particulars of administrator appointed for R&R' summary of R&R scheme
18.	Updating land records	To be part of SMP	The committee shall verify the ownership, reason for intended purchase of land, litigation if any, etc.	Section 11 (5): Once established that the land is required for public purpose, accordingly notice to be issued under section 19 following which land records to be updated within two months
19.	Census and preparation of R&R schemes	To be part of SMP	No such provision.	Section 16 (1) (2): carry out census of affected people and their assets to be affected, livelihood loss and common property to be affected; R&R scheme including time line for implementation.
20.	Information dissemination and Public hearing - Stage III	Consultation throughout the process is mandatory	No such provision.	Section 16(4)&(5): mandatory to disseminate information on R&R scheme including resettlement area and organize public hearing on the Draft R&R scheme in each Gram Sabha, Municipality and consultations in Scheduled area as required under PESA.
21.	Approval of R&R Scheme		No provision of separate R&R benefits to land owners. It is subsumed in the total value.	Section 17 & 18: Draft R&R Scheme to be finalized after addressing objections raised during public hearing and approved.
22.	Final declaration of R&R Scheme	Approved SMP including budgetary provisions to implement it	As above.	Section 19 (2): Only after the requiring body has deposited the money will the govt issue the notice along with 19(1) .
23.	Time period stipulated.	Included in SMP - Time line synchronized with Government's procedures or adopts innovative methods to reduce the time which is	Not specifically defined. Estimated to be approximately 6 months.	Section 19 (2): the entire process to update land records, disseminate information, preliminary survey, census, hearing of objections, preparation of R&R schemes and approval, deposit of money



S. No.	Topics/Issues/Areas	World Bank OP4.12	UP Direct Land Purchase Policy, 2015	RFCTLARR Act, 2013
		based operated on the principles of participation and transparency.		must complete within 12 months from the date on which section 11, the preliminary notice issued. Section 19 (7): If the final declaration not made within 12 months of section 11 (1), the process will lapse, except under special circumstances.
24.	Preparation of land acquisition plans	Included in SMP.	To be prepared by purchasing entity based on the design and submitted to the concerned approval committee along with the reason for purchase of land, area of land to be purchased, etc.	Section 20: Land marked, measured for preparation of acquisition plans.
25.	Hearing of claims		No such provision.	Section 21(1) (2): Notices issued indicating govt's intension to take possession of land, and claims on compensation and R&R can be made not less than one month and not more than six month from the date of issue of section 21(1).
26.	Time period stipulated for declaring the award		Total value to be paid at the time of registry of land in the name of purchasing entity.	Section 25: It is required to announce the award within 12months of issue of Section 19 (final declaration to acquire land, approved R&R scheme) after completing land acquisition plans, hearing of objection, settling individual claims for declaration of the award. If award not made within the stipulated time, the entire proceedings will lapse.
27.	LA Act 1984 deem to lapse and RFCTLAR&R is applicable		Land value payable in accordance with the Schedule I of the RFCTLARR Act, 2013.	Section 24: where award is not declared under section 11, or where made five years ago but land not taken in possession or where award declared but money not deposited in the account of majority of beneficiary.
28.	Methodology for determining market value for land	Full replacement Cost	Market value/Circle rate whichever is higher to be multiplied by a factor (as per GO No.-2/2016/414/Ek-13-2016-5ka/25/13TC) i.e., factor of 1 in urban areas and 2 in rural areas.	Section 26 and First Schedule: Recognizes 3 methods and whichever is higher will be considered which will be multiplied by a factor given in Schedule First; compensation given earlier will not be considered; if rates not available floor price can be set; steps to be taken to update the market value.



S. No.	Topics/Issues/Areas	World Bank OP4.12	UP Direct Land Purchase Policy, 2015	RFCTLARR Act, 2013
29.	Valuation of structures	Full Replacement cost	Valuation of structures and other assets by competent government departments. The committee shall approve the land rate and the total cost of land which includes construction/civil works, standing crops, trees, other assets and all related expenses.	Section 29 (1) without deducting the depreciated value.
30.	Solatium and interest		The rate of land shall not be more than double the market value or circle rate in urban areas and four time than the market value/circle rate in rural areas, whichever is higher. This is in accordance with the provision of the RFCTLARR Act, 2013.	Section 30(1) 100% of the compensation amount Section 30(3): 12% per annum on the market rate from the date of notification of SIA to the date of ward or land taken over
31.	R&R Award	Total cost included in SMP to resettle and rehabilitate the affected persons and assist in their efforts to improve their livelihoods and standards of living or at least to restore them, in real terms, to pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher	No separate R&R benefits to land owners. It is subsumed in the total value.	Section 31, Second Schedule: A family as a unit will receive R&R grant over and above the compensation and those who are not entitled to compensation. Second Schedule: Homeless entitled to constructed house, land for land in irrigation projects in lieu of compensation, in case of acquisition for urbanization 20% of developed land reserved for owners at a prices equal to compensation' jobs or onetime payment or annuity for 20 years' subsistence grant, transportation, land and house registered on joint name husband and wife, etc.
32	Transparency		Land owners are not bound to sign consent agreement unless fully satisfied with the rate, value of land ,etc.	Section 37(1): Information of each individual family including loss, compensation awarded, etc will be available on the website.
33.	Possession of land	Taking of land and related assets may take place only after compensation has been paid and, where applicable, resettlement sites and moving allowances have been provided to the displaced persons.	Possession of land possible only after signing of consent form followed by registration of land and disbursement of payment. In case the process of direct purchase based on the consent of landowners is not successful, the Project Authority shall follow	Section 38(1): Land will be taken over by the government within three months of compensation and 6 months of R&R benefits disbursed; infrastructure facilities at resettlement sites will be completed within 18 months from the date of award made under section 30 for compensation; in case of irrigation and hydel projects R&R completed six months prior to submergence.



S. No.	Topics/Issues/Areas	World Bank OP4.12	UP Direct Land Purchase Policy, 2015	RFCTLARR Act, 2013
			the acquisition on the basis of The RFCTLARR Act, 2013.	
34.	Multiple displacement		No mention of multiple displacement.	Section 39: Additional compensation equivalent to compensation determined will be paid to displaced
35.	Acquisition for emergency purpose	Not permeable in bank funded projects	No provision of urgent possession of land. However, in case of immediate possession of purchased land, the cost of standing crops and trees shall be payable.	Section 40 (5): 75% additional compensation will be paid over and above the compensation amount
36.	Prior consent before acquisition and alienation	Mandatory to carry out Free, Prior, Informed Consultation with Indigenous people.	Landowners consent for sale of land mandatory.	Section 41(3) Mandatory to get consent from Gram Sabha, Panchayat, Autonomous Councils in Scheduled areas.
37.	Development plans for SC and ST	Indigenous Peoples' Development plan required along with SMP. Land for land for is an option across all sectors.	No such provision.	Section 41: Separate development plans to be prepared, settle land rights before acquisition; provision of alternate fuel fodder, non-timber produce on forest land to be developed within 5 years; 1/3 rd compensation amount to be paid as first instalment and rest at the time of taking possession; ST to be resettled within Scheduled area; land free of cost for community purpose; land alienation will be null and void and ST and SC considered for R&R benefits; fishing rights restored in irrigation and hydral projects; if wish to settle outside the district additional benefits to be provided in monetary terms; all rights enjoyed under other laws will continue. Second Schedule: additional provisions for SC&ST for land for land in irrigation projects, additional sum over and above the subsistence grant,
38.	Institutional arrangement	Institutional arrangement must be agreed upon and included in SMP, IPDP.	Constitution of the approval committee for purchase of land, rate and valuation of assets.	Section 43-45: Appointment of administrator, R&R Commissioner, when more than 100 acres of land is to be acquired, R&R Committee will be formed at project level, social audit to be carried out by Gram Sabha and Municipalities.



S. No.	Topics/Issues/Areas	World Bank OP4.12	UP Direct Land Purchase Policy, 2015	RFCTLARR Act, 2013
39.	Change of land use		No such provision.	Section 46(4): Land will not be transferred to the requisitioning authority till R&R is not complied with in full
40.	Monitoring and Evaluation	Indicators and monitoring system included in SMP and IPDP	No provision of monitoring & evaluation.	Section 48-50: Set up National and State level Monitoring Committee to review and monitor progress
41.	Authority to settle claims		In case of dispute between the land owners and the purchasing entity on compliance of any condition of the agreement, then the purchasing entity will present a new logical and a reasonable proposal to the approval committee.	Section 51-74: the Authority will be set up settle any legal disputes that arise from acquisition and R&R, the aggrieved party can move to the high court thereafter.
42.	Exempt from tax and fee		Stamp duty and registration fee to be borne by the purchasing entity.	Section 96: Compensation and agreements will not be liable to tax
43.	No change in status of land acquired		No such provision.	Section 99: Once the land is acquired for a particular purpose, its purpose cannot be changed
44.	Return of unutilized land		No such provision.	Section 101: If the acquired land remains unutilized for 5 years, then it will be returned to original owner, heir or included in land bank
45.	Distribution of increased value of land transferred		No such provision.	Section 102: 40% of appreciated value of acquired land will be distributed to owners provided no development has taken place.

5.4 Comparative Analysis Labour Influx Guidance Note 2016, World Bank and National/ State Legislation

Sl. No.	Topics	World Bank Labour Influx Guideline	National/ State Legislation	Gaps identified	Remarks
1	Accommodation in Workers' Camps	Accommodating workers in camps can have positive and negative effects, for the workers, the host community, and the environment. As a general rule, camp accommodation is recommended in rural and remote settings, where the incoming workforce is	The Building and Other Construction Workers (Regulation of Employment and Conditions of Service) Act, 1996 and The Factories Act, 1948. Section 34 of the Act, 1996 deals with Accommodation. Sub-section (i) of Section 34 of Act, 1996 states that "the	None	The Contractor will follow all relevant provisions of the Building and the other Construction Workers (Regulation of Employment and Conditions of Service) Act, 1996 and Factories Act, 1948 as well as the guidelines of IFC and EBRD for construction and maintenance of the labour camp throughout the construction period. The contractor shall follow standard practice for



Sl. No.	Topics	World Bank Labour Influx Guideline	National/ State Legislation	Gaps identified	Remarks
		significant in relation to the host community.	employer shall provide, free of charges and within the work site or as near to it as may be possible, temporary living accommodation to all building workers employed by him for such period as the building or other construction work is in progress."		establishing labour camps. The labour camp will be established/located at least 500 metres away from the nearest habitation/ settlement (preferably in rural areas), water bodies, and sensitive receptors so as to minimise the interaction between the migrant labourers and the community residing in the surrounding areas and impacts on water bodies and sensitive receptors.
2	Risk of social conflict	Conflicts may arise between the local community and the construction workers, which may be related to religious, cultural or ethnic differences, or based on competition for local resources. Tensions may also arise between different groups within the labor force, and pre-existing conflicts in the local community may be exacerbated. Ethnic and regional conflicts may be aggravated if workers from one group are moving into the territory of the other.	There is no specific legislation which restricts movement of people within the country barring a few north-eastern states where permit is required for entry. Further, no specific legislation is available to reduce the risk of social conflict. However, in the event of social conflicts turning into physical violence, Section 144 of the Criminal Procedure Code (CrPC) of 1973 may be imposed by an Executive Magistrate of any state or territory to issue an order to prohibit the people to assemble at one place or organize any such event/programme where five or more peoples' gathering can be expected.	None	<p>The risk of social conflict is not likely as most of the unskilled and semi-skilled workers will be from the surrounding areas of the project road. Also, the utilization of local resources by the migrant work force is negligible.</p> <p>No such incidence has been reported during the construction of project roads under UPCRNDP, Phase I.</p>
3	Increased risk of illicit behavior and crime	The influx of workers and service providers into communities may increase the rate of crimes and/or a perception of insecurity by the local community. Such illicit behavior or crimes can include theft, physical assaults, substance abuse, prostitution and human trafficking. Local law enforcement may not be sufficiently equipped to deal with the temporary increase in local population.	The Indian Penal Code (IPC) is the official criminal code of India. It is a comprehensive code intended to cover all substantive aspects of criminal law such as illicit behavior or crimes can include theft, physical assaults, substance abuse, prostitution and human trafficking etc.	None	<p>A large scale influx of workers and service providers is not envisaged for the development of the project road. Moreover, the majority of unskilled and semi-skilled workers required for the project work shall be from the surrounding areas of the project road. No such cases have been reported during the construction of project roads under UPCRNDP, Phase I.</p> <p>Therefore, the risk of illicit behaviour and crime is estimated as low. Moreover, the Contractor will conduct interactive sessions with workers covering various aspects as mentioned in the Labour Management Plan. The codes of conduct with the local community and other social and</p>



Sl. No.	Topics	World Bank Labour Influx Guideline	National/ State Legislation	Gaps identified	Remarks
					cultural norms to be followed while interacting with the local community shall be emphasized during the talk session. Furthermore, the Contractor will maintain a list of workers staying in labour camps and maintain a log book of exit and entry time if the workers move out of the labour camps after the work hours to track their movement in and out of camps.
4	Influx of additional population ("followers")	Especially in projects with large footprints and/or a longer timeframe, people can migrate to the project area in addition to the labor force, thereby exacerbating the problems of labor influx. These can be people who expect to get a job with the project, family members of workers, as well as traders, suppliers and other service providers (including sex workers), particularly in areas where the local capacity to provide goods and services is limited.	There is no specific legislation which restricts movement of people within the country barring a few states in north-east and northern part of India where permit is required for entry.	None	<p>As mentioned above, a large scale influx of workers and service providers is not envisaged for the development of project roads. Full time project staff of the contractor, sub-contractors and other agencies will be very limited in number. Also, the scope of permanent/long term job opportunities is not visualized in the project.</p> <p>Moreover, the project area being a high population density (varying from 700 to 850 people/sq km) shall not experience any capacity limitation in meeting the goods and services needs of the additional people in the project area.</p> <p>Furthermore, no such issues were observed/reported during the implementation of Phase I roads under UPCRNDP.</p>
	Impacts on community dynamics	Depending on the number of incoming workers and their engagement with the host community, the composition of the local community, and with it the community dynamics, may change significantly. Pre-existing social conflict may intensify as a result of such changes.	There is no specific legislation which defines the number of workers to be engaged in the project and also modes of engagement with the host community & vice versa.	None	Approximately, 300 workers across all functions are estimated to be at the site during the peak construction period. All workers will not be confined at one location but will be distributed all along the project road section. Also, the majority of workers shall be from the surrounding areas of the project road. Therefore, the possibility of change of composition of the local community and thereby community dynamics is not foreseen. No such incidences have been reported from project roads developed under UPCRNDP, Phase I.
5	Increased burden on and competition for	The presence of construction workers and service providers (and in some cases family	There is no specific legislation which deals with burden on and competition for public service provision.	None	The presence of a limited number of semi-skilled, skilled workers, project staff (engineers, supervisors, technicians and other service providers to project staff



Sl. No.	Topics	World Bank Labour Influx Guideline	National/ State Legislation	Gaps identified	Remarks
	public service provision	members of either or both) can generate additional demand for the provision of public services, such as water, electricity, medical services, transport, education and social services. This is particularly the case when the influx of workers is not accommodated by additional or separate supply systems.	However, The Essential Services Maintenance Act (ESMA), 1981 is an act of Parliament of India which was established to ensure the delivery of certain services, which if obstructed would affect the normal life of the people. This include services like public transport (bus services), health services (doctors and hospitals).		such as construction material suppliers, drivers, helpers etc) are not likely to generate large scale demand for public services such as water, electricity, medical services, transport, education and social services. It may be noted that the contractor shall arrange for basic facilities and amenities for workers and project staff staying at labour camps. The contractor will also make arrangements with medical services provider for workers and project staff. Further, workers and project staff without separate transport facilities will be picked up and dropped off by the contractor. The transport facility is arranged by the contractor and hence the chances of increased burden on competition for public service provision are negligible. The likelihood of increased burden of education and social service is also negligible. This is because the project construction period is 2 years as per the DPR. Two years period is a short time period and experience indicates that project staff generally does not relocate with family members barring a few exceptional cases.
6	Increased risk of communicable diseases and burden on local health services	The influx of people may bring communicable diseases to the project area, including sexually transmitted diseases (STDs), or the incoming workers may be exposed to diseases to which they have low resistance. This can result in an additional burden on local health resources. Workers with health concerns relating to substance abuse, mental issues or STDs may not wish to visit the project's medical facility and instead go anonymously to local medical providers, thereby placing	There is no specific legislation which restricts movement of people/workers from one area to another area in India.	None	The SMP includes awareness generation among workers, project staff and also communities in the adjoining areas along the project road. The scope of work of the SMP implementation agency (NGO) includes awareness generation activities on sexually transmitted diseases (STDs). Besides, the contractor will also organize awareness sessions at labour camps covering communicable diseases at regular intervals. IEC materials will be displayed at suitable locations within the camp site and other such locations. Uttar Pradesh State AIDS Control Society (UPSACS) was formally registered in year 1999 as a para-statal agency. In all districts, District AIDS Control Committees (DACC) were formed with the District Magistrate as President



Sl. No.	Topics	World Bank Labour Influx Guideline	National/ State Legislation	Gaps identified	Remarks
		further stress on local resources. Local health and rescue facilities may also be overwhelmed and/or ill-equipped to address the industrial accidents that can occur in a large construction site.			and the Chief Medical Officer as Member Secretary. The state program is headed by the Project Director. UPSACS is providing different services in its peripheral units like ICTC (Integrated Counseling and Testing Centers), STI Clinics (Suraksha Clinics), ART(Anti Retroviral Therapy) Centers, NGO- TI (Targeted intervention) at the district level with Uttar Pradesh State AIDS Control Society at the state level and NACO (National AIDS Control Organization) at the national level. Various services are provided by the AIDS Control Society free of cost. The NGO and Contractor can seek the services of UPSACS during the project implementation.
7	Gender-based violence	Construction workers are predominantly younger males. Those who are away from home on the construction job are typically separated from their family and act outside their normal sphere of social control. This can lead to inappropriate and criminal behavior, such as sexual harassment of women and girls, exploitative sexual relations, and illicit sexual relations with minors from the local community. A large influx of male labor may also lead to an increase in exploitative sexual relationships and human trafficking whereby women and girls are forced into sex work.	The Sexual Harassment of Women at Work Place (Prevention, Prohibition and Redressal) Act, 2013. An Act to provide protection against sexual harassment of women at workplace and for the prevention and redressal of complaints of sexual harassment and for matters connected therewith or incidental thereto. The Act and Rules framed thereto have put onus on the employer to constitute Internal Complaint Committee (ICC) and on the District officer to constitute Local Complaint Committee (LCC) to address such complaints.	None	Special emphasis has been given to GBV (SEA/SH) in UPCRNDP based on the study conducted by an external agency. The risk assessment rating of this project is found to be LOW. Code of Conduct will be signed by all the labourers working on the project. Do's and Don'ts related to SEA/SH is part of daily tool box talk so as to avoid any risk of SEA/SH. Further, service providers for SEA/SH in UP have been identified and included in the GBV Report prepared separately. The project also has a toll free number to register grievances including anonymous grievances. Grievances related to SEA/SH will be addressed by project GRM. The social specialist of PMU will be trained to address issues related to SEA/SH.
8	Child labor and school dropout	Increased opportunities for the host community to sell goods and services to the incoming workers can lead to child labor to produce	Legislations related to child labour and education are: Child Labour (Prohibition & Regulation) Act, 1986 and subsequent amendments	None	The work force requirement at the project site during the peak construction period is estimated to be about 250-400 across all functions depending upon the length of the project road and construction of major structures.



Sl. No.	Topics	World Bank Labour Influx Guideline	National/ State Legislation	Gaps identified	Remarks
		and deliver these goods and services, which in turn can lead to enhanced school dropout.	(2016). The Act provides for punishment with imprisonment for a term which shall not be less than six months but which may extend to two years, or with fine which shall not be less than twenty thousand rupees but which may extend to fifty thousand rupees, or with both in case of the first offence and punishment with imprisonment for a term which shall not be less than one year but which may extend to three years for repeat offence. Right to Education Act 2009 is a constitutional act related to education in the Indian Constitution. This act has come into force on April 1, 2010. The state shall provide free and compulsory education to all children aged 6 to 14 years in the manner determined by law. Primary Education is a Fundamental Right under the 93rd amendment to the Constitution of India.		The entire work force will be distributed along the project road. During the construction period, it is expected that there would be a marginal increase in opportunities for the host community to sell goods and services to the migrant work force but enhanced school dropout is unlikely because the number of work force at any particular construction site will be limited to 15 to 20. Prevalence of child labour has not been reported/observed during SMP preparation. Also, the occurrence of child labour has been not reported during the construction of Phase I roads under UPCRNDP. The prohibition of child labour will be monitored strictly by the PMU/PIU /PMC/NGO.
9	Local inflation of prices	A significant increase in demand for goods and services due to labor influx may lead to local price hikes and/or crowding out of community consumers.	The Essential Commodities Act, 1955 and subsequent amendments. The Act provides, in the interest of the general public, for the control of the production, supply and distribution of, and trade and commerce, in certain commodities.	None	The increase in demand for goods and services due to the presence of 250 to 300 work force spread across a length of about 40 to 50 kms will be negligible.
10	Increased pressure on accommodations and rents	Depending on project worker income and form of accommodation provided, there may be increased demand for accommodations, which again may lead to price hikes and	-	None	Most of the unskilled labourers required for construction work shall be engaged from the adjoining areas of the project road. A large majority of them will be transported to the project site and dropped back after the daily work by the contractor. A very limited number of migrant skilled and semi-skilled workers would



Sl. No.	Topics	World Bank Labour Influx Guideline	National/ State Legislation	Gaps identified	Remarks
		crowding out of local residents.			require accommodation on rent in the nearby area which is not likely to increase pressure on accommodations and rents.
11	Increase in traffic and related accidents	Delivery of supplies for construction workers and the transportation of workers can lead to an increase in traffic, rise in accidents, as well as additional burden on the transportation infrastructure.	The Motor Vehicles Act, 1988 and subsequent amendments. The Act consolidates and amend the law relating to motor vehicles. Chapter VII of the Act deals with control of traffic which includes: limits of speed, traffic signs, parking places and halting stations, driving regulations, duty to obey traffic signs, signals and signalling devices, leaving vehicle in dangerous position, safety measures for drivers and pillion riders, wearing of protective headgear, etc.	None	The project road has been designed to a maximum speed of 100 km/hr. Widening and upgrading of project roads will result in increased traffic and faster movement of traffic. However, during the construction phase, there will be a marginal increase in traffic due to the transportation of construction materials and associated goods and services. The likelihood of rise in accidents during the construction period is not anticipated. Signage and other measures restricting the fast movement of vehicles shall be strictly ensured as a mitigation measure. Arrangement for posting of traffic police at critical locations shall also be ensured for controlled movement traffic and reducing the possibility of accidents.



5.5 Process of Land Acquisition and Other Immovable Assets

The project specific R&R policy provides two options for acquisition of land and other immovable assets. Option 1 on direct purchase and Option 2 is through RFCLARR Act 2013. The details are given below:

Option 1: UP Direct Land Purchase Policy, 2015

Under this option following steps will be followed:

1. PWD shall prepare the land acquisition and submit the proposal to the District Magistrate for direct purchase of land through mutual consent,
2. An Approval Committee shall be constituted depending upon the project cost,
3. The Committee shall submit the proposal for purchase of land along with land rate and total land cost for approval of the concerned Divisional Commissioner within a month,
4. The committee shall approve the land rate and the total cost of land (which includes construction/civil works, standing crops, trees, other assets and all related expenses) based on the following principles –
 - (i) The rate of land as entered in the sale deeds six months prior to the date of start of the project or date of approval of the project and the circle rate as per the Stamp Act of 1899,
 - (ii) Valuation of all structures and other assets by competent government departments,
 - (iii) In case of immediate possession of purchased land, the cost of standing crops and trees,
 - (iv) Distance from human habitations and industrial capacity of the land,
 - (v) In cases where the land owner/farmer is forced to change his place of residence/occupation, the incidental expenses, if any, shall also be considered,
 - (vi) The rate offered for purchase of land shall not be more than double the market value or circle rate in urban areas and four times than the market value/circle rate in rural areas, whichever is higher,
 - (vii) Consent will be taken from the land owners of Form 1 on the rate of land and the total value. The date of signing of the consent form shall be accepted as the cut-off date for the current circle rate/market value
5. The Divisional Commissioner will take decision on the proposal within 15 days of receipt of the same,
6. PWD with the support of revenue officials nominated by the District Magistrate will with the written consent of the land owners, prepare a proposal for purchase of land after due verification of ownership and taking into consideration all the R&R benefits to be provided to the land owners. This proposal shall then be put-up for approval of the District magistrate/Chairman of the Committee. The proposal will contain the reason for purchase of and, the size (area) of the land intended to be purchased and all the other relevant details like rate and total value,
7. After getting approval on the rate and total value of land and before entering into sale-purchase agreement, PWD will obtain approval from the competent authority,



8. After getting approval as per clause 7, PWD with the help of revenue officials, get the sale deed executed and take physical possession of the land. It shall also be assured that proper documentation of all the assets on the land has been done and due compensation paid to the land owner. PWD will then get the land transferred in its name,
9. If after approval of rate and cost of land and before execution of the sale deed and transfer of land, there is a change in the circle rate effected by the District Magistrate or a period of one year has lapsed since the date of approval of the rate recommended by the Committee, the new rate and value of land will be decided by the Committee as per the new circle rate,
10. In case PWD is dissatisfied with the land rate and total cost of land or there is a dispute between the land owners and PWD on compliance of any condition of the agreement, then PWD will present a new logical and reasonable proposal before the committee upon which the committee will take requisite action and get approval as per the process mentioned above,
11. In case the process of direct purchase based on consent of the landowners is not successful, the concerned department /corporation/undertaking shall ensure land acquisition on the basis of the Act of 2013, relevant sections of the circulars and GOs published from time to time,
12. Since the land rate and total value has been calculated on the basis of relevant circulars/GOs/ Rules and Acts, the land owners will not be entitled for separate/additional R&R benefits as permissible in the Revenue Department GO dated 17-08-2010, 03-09-2010 and 02-06-2011 and the Act of 2013.

The estimated timeline for purchase of private land under Direct Purchase policy is indicated below in **Table 5.3**.

Table 5.3: Estimated Timeline for Direct Purchase of Land through Mutual Consent

Item	Timeline
Submission of LA proposal by Project Authority to ADM/District Magistrate	Zero day
Submission of proposal for purchase of land along with land rate and land cost for approval to Divisional Commissioner	30 days
Decision by the Divisional Commissioner on the proposal	15 days
Obtaining consent from land owners as per Form 1	60 days
Execution of sale deeds	60 days

A representative of the Governor of Uttar Pradesh shall be nominated for direct purchase of land from the land owners. The Project Authority will submit the copy of land procurement proposal to the Office of Governor/ PWD Principal Secretary and request for nomination of a representative in this regard for execution of conveyance deeds.

Option II: Acquisition of private land as per the RFCTLARR Act, 2013

As per option II, all private immovable assets will be acquired as per the RFCTLARR Act, 2013. All eligible PAPs will be entitled to R&R assistance over and above the compensation. Those PAPs who are not entitled for compensation (encroachers and squatters) will get R&R benefits as per their entitlement given in project specific R&R policy. The entitlement of compensation and assistance will be extended to only those PAPs who are identified on or prior to the cut-off date. Claims regarding R&R assistance shall be dealt by Grievance redress committee. However, acquisition through the Act may take 4 to 4.5 years of time as shown in **Table 5.4** below.

**Table 5.4: Time Lines for SIA, Land Acquisition and Compensation Payments**

Relevant section	Mile Stones	Responsibility	Time Limit as per the Act	Remarks
Section 4.2	Notification for commencement of SIA preparation	Govt. of UP	Zero date	
Section 4.1	Preparation of SIA	Govt. of UP	Within 6 months from date of notification U/s 4	
Section 5	Public hearing of SIA	District Collector/ Magistrate	No time limit mentioned.	It can be done after giving adequate publicity about the date, time and venue.
Section 6	Publication of SIA study	-Do-	No time limit mentioned.	Disclosure in local language to the Panchayat, Office of the Collector, Sub-Divisional Magistrate and Tehsildar.
Section 7	Appraisal of SIA	Expert Group	Within 2 months from the date of submission of SIA	
Section 8	Examination of proposals for LA, SIA and collector's report by the appropriate Government	Govt. of UP	No time limit mentioned.	
Section 11	Publication of preliminary notification and power of officers thereupon	Govt. of UP	Within the period of 12 months from the date of appraisal of SIA submitted by the expert group.	
Section 15	Hearing of objections	Collector	Within 60 days from the date of issuance of notification U/s 11.	
Section 16	Preparation of Rehabilitation & Resettlement Scheme (RRS), Publicity of RRS, Public hearing of RRS and submission of RRS to the Collector	Administrator	No specific time line provided	
Section 17 (1)	Review of Rehabilitation Resettlement Scheme (RR)S	Collector, Administrator and R&R Committee, constituted at project level	-	
Section 17(2)	Approval of Rehabilitation Resettlement Scheme (RR)S	Commissioner for rehabilitation and resettlement (R&R)	No specific time line provided	
Section 18	Disclosure of RRS	Commissioner	No specific time line provided	
Section 19	Publication of declaration and summary of RRS	Collector	Within 12 months from the date of preliminary notification	
Section 21	Notice to persons interested	Collector	No specific time line provided	
Section 23	Enquiry and land acquisition award	Collector	No specific time line provided	
Total time line for taking over of acquired properties				2 to 2.5 Years



5.6 Project Specific R&R Policy

The Resettlement and Rehabilitation (R&R) policy for Core Road Network Development Programme Uttar Pradesh Public Works Department (UP PWD) is based on World Bank's Operational Policies (OP) 4.12 on involuntary Resettlement and UP State Rehabilitation Policy. The action plan has been prepared based on the broad outlines laid down in the policy. The principle of the R&R policy is the guiding philosophy to provide a development approach to resettle and rehabilitate the people affected by project. The project specific R&R policy recognizes that involuntary resettlement results in dismantling of existing production system and way of life. Therefore, all rehabilitation programs will adopt a developmental approach rather than the welfare approach. The policy details out the assistance in re-establishing the homes and livelihoods of the Project Affected People (PAP) during the course of projects. The entitlement matrix as given in the approved policy is presented below. The detailed policy is attached as **Annexure-5.1.**

S. No.	Application	Definition of Entitled Unit	Entitlement	Details
A. Loss of Private Agricultural, Home-Stead & Commercial Land				
1	Land within the Corridor of Impact (COI)	Titleholder family and families with traditional land Right	Compensation at replacement value, Resettlement and Rehabilitation	<ul style="list-style-type: none">a) Land for land, if available. Or, Cash compensation for the land at replacement value, which will be determined as provided under section 26 of RFCTLARR Act 2013.b) The land if allotted will be in the name of both husband and wife.c) If post acquisition, residual land is economically unviable, the land owner will have the choice of either retaining or sell off rest of the land.d) Refund of stamp duty and registration charges incurred for replacement land to be paid by the project; replacement land must be bought within a year from the date of payment of compensation to project affected persons.e) Subsistence allowance of Rs. 36000 as one time grantf) One time grant of Rs. 500,000 or annuityg) Compensation at market value for loss of crops if any
B. Loss of Private Structures (Residential/Commercial)				
2	Structure within the Corridor of Impact (Col)	Title Holder/Owner	Compensation at replacement value, Resettlement & Rehabilitation Assistance	<ul style="list-style-type: none">a) Cash compensation for the structure at replacement value which would be determined as per as per section 29 of the RFCTLARR Act 2013. House under Indira Awas Yojna in rural area or Rs 50000 in lieu off and house under RAY in urban area or Rs 100,000 in lieu off. The house if allotted will be in the name of both husband and wife.b) Right to salvage material from the demolished structures.c) Three months' notice to vacate structures.d) Refund of stamp duty and registration charges for purchase of new alternative houses/shops at prevailing rates on the market value as determined in (a) above. Alternative houses/shops must be bought within a year from the date of payment of compensation.e) In case of partially affected structures and the remaining structure remains viable, additional 10% to restore the structure. In case of partially affected structures and the remaining structure becomes unviable additional 25% of compensation amount as



S. No.	Application	Definition of Entitled Unit	Entitlement	Details
				<p>severance allowance.</p> <p>f) Subsistence allowance equivalent to Rs. 36000 as one time grant.</p> <p>G) Each affected family getting displaced shall get a one-time financial assistance of Rs 50,000 as shifting allowance.</p> <p>h) Each affected family that is displaced and has cattle, shall get financial assistance of Rs 25,000/- for construction of cattle shed.</p> <p>i) One time grant of Rs. 50,000 as resettlement assistance</p> <p>j) Each affected person who is a rural artisan, small trader or self-employed person and who has been displaced (in this project owner of any residential-cum commercial structure) shall get a one-time financial assistance of Rs 25,000/-for construction of working shed or shop.</p> <p>j) One time grant of Rs. 500,000</p>
3	Structure within the Corridor of Impact (Col)	Tenants/ Lease Holders	Resettlement & Rehabilitation Assistance	<p>a) Registered lessees will be entitled to an apportionment of the compensation payable to structure owner as per applicable local laws.</p> <p>b) In case of tenants, three months written notice will be provided along with Rs 50,000 towards shifting allowance.</p>

C. Loss of Trees and Crops

4	Standing Trees, Crops. within the Corridor of Impact (Col)	Owners and beneficiaries (Registered/ Un-registered tenants, contract cultivators, leaseholders & sharecroppers	Compensation at replacement value	<p>a) Three months advance notice to project affected persons to harvest fruits, standing crops and removal of trees.</p> <p>b) Compensation to be paid at the rate estimated by:</p> <ul style="list-style-type: none"> i) The Forest Department for timber trees ii) The State Agriculture Extension Department for crops iii) The Horticulture Department for fruit/flower bearing trees. <p>c) Registered tenants, contract cultivators & leaseholders & sharecroppers will be eligible for compensation for trees and crops as per the agreement document between the owner and the beneficiaries.</p> <p>d) Un-registered tenants, contract cultivators, leaseholders & sharecroppers will be eligible for compensation for trees and crops as per mutual understanding between the owner and the beneficiaries.</p>
---	--	---	-----------------------------------	---

D. Loss of Residential/ Commercial Structures to Non-Titled Holders

5	Structures within the Corridor of Impact (Col) or Government land	Owners of Structures or Occupants of structures identified as per Project Census Survey	Resettlement & Rehabilitation Assistance	<p>a) Non vulnerable encroachers shall be given three months' notice to vacate occupied land</p> <p>b) Vulnerable encroachers will be provided cash assistance at replacement cost for loss of structures as described in section 29 of the RFCLARR Act 2013.</p> <p>c) Any encroacher identified as non-vulnerable but losing more than 25% of structure used will be paid cash assistance at replacement cost for loss of structures. The amount will be determined as per section 29 of the RFCLARR Act 2013.</p> <p>d) All squatters to be paid cash assistance for their structures at replacement costs which will be determined as mentioned in section 29 of the RFCLARR Act 2013.</p> <p>e) All squatters (other than kiosks) will be eligible for one</p>
---	---	---	--	---



S. No.	Application	Definition of Entitled Unit	Entitlement	Details
				<p>time grant of Rs 36000 as subsistence allowance.</p> <p>f) All squatters other than Kiosks will be given shifting allowance of Rs 50,000 per family as one time grant for a permanent structure and Rs. 30,000 for a semi-permanent structure and Rs. 10,000 for a temporary structure.</p> <p>g) Each affected person who is a rural artisan, small trader or self-employed person assistance' of Rs 25,000/- for construction of working shed or shop.</p> <p>h) In case of Kiosks, only Rs. 5000 will be paid as one time grant.</p>
E. Loss of Livelihood				
6	Families living within the Corridor of Impact (Col)	Title Holders/ Non-Title holders/ sharecroppers, agricultural labourers and employees	Resettlement & Rehabilitation Assistance	<p>a) Subsistence allowance of Rs. 36,000 as one time grant. (PAPs covered under 1(f), 2 (f) and 5 (e) above would not be eligible for this assistance).</p> <p>b) Training Assistance of Rs 10,000/- for income generation per family.</p> <p>c) Temporary employment in the project construction work to project affected persons with particular attention to vulnerable groups by the project contractor during construction, to the extent possible.</p>
F. Additional Support to Vulnerable Families				
7	Families within the Corridor of Impact (Col)	SC, ST, BPL, WHH families	Resettlement & Rehabilitation Assistance	One time additional financial assistance of Rs. 50,000. Squatters and encroachers already covered under clause 5 are not eligible for this assistance.
G. Loss of Community Infrastructure/Common Property Resources				
8	Structures & other resources (e.g. land, water, access to structures etc.) within the Corridor of Impact (Col)	Affected communities and groups	Reconstruction of community structure and common property resources	Reconstruction of community structure and Common property resources in consultation with the community.
H. Temporary Impact During Construction				
9	Land & assets temporarily impacted during construction	Owners of land & Assets	Compensation for temporary impact during construction e.g. diversion of normal traffic, damage to adjacent parcel of land / assets due to movement of heavy machinery and plant site.	Compensation to be paid by the contractor for loss of assets, crops and any other damage as per prior agreement between the 'Contractor' and the 'Affected Party'.
J. Resettlement Site				
10	Loss of residential structures	Displaced titleholders and non-titleholders	Provision of resettlement site/ vendor market	Resettlement sites will be developed as part of the project, if a minimum of 25 project displaced families opt for assisted resettlement. Vulnerable PAPs will be given preference in allotment of plots/flats at the resettlement site. Plot size will be equivalent to size lost subject to a maximum of provision given in RFCTLARR Act 2013. Basic facilities shall be provided by the project at resettlement site as per the provisions given in the Third Schedule of RFCTLARR Act



S. No.	Application	Definition of Entitled Unit	Entitlement	Details
				2013. Similarly, if at least 25 displaced commercial establishments (small business enterprises) opt for shopping units, the Project Authority will develop the vendor market at suitable location in the nearby area in consultation with displaced persons. Basic facilities such as approach road, electricity connection, water and sanitation facility, will be provided in the vendor market by the project. Vulnerable PAPs will be given preference in allotment of shops in vendor market. One displaced family will be eligible for only one land plot at resettlement site or shop in the vendor market.



6 PROFILE OF PROJECT AREA, PROJECT AFFECTED PERSONS AND PROJECT IMPACTS

The following sections provide briefly the socio-economic profile of Uttar Pradesh and the districts through which the project road traverses based on secondary sources, socio-economic profile of project affected families and social impacts based on census and socio-economic surveys.

Uttar Pradesh (UP) which is the fifth largest state in India. With an area of 2, 40,928 sq.km, UP covers 7.3% of India's land area, and is the country's most populous state with a population of nearly 200 million. One sixth of India's population lives in the 70 districts of UP. Many roads in UP have locally important cultural properties located along the edge of pavement. UP forms the bulk of the Gangetic plain in India. The state has a road network of 299,604 km, out of which 174,451 km are under Uttar Pradesh Public Works Department (PWD). The roads under PWD comprise 7,550 km of National Highways (NHs), 7,530 km of State Highways (SHs), 5,761 km of Major District Roads (MDRs), 3,254 km of Other District Roads (ODRs) and 138,702 km of Village Roads (VRs). Only about 60% of SHs are two-lane (7 m). In the entire state 62% of MDRs and 83% of ODRs have widths less than 7 m.

6.1 Socio-Economic of Profile of State

6.1.1 Demography

The Government of Uttar Pradesh has requested the World Bank through Government of India to provide assistance for improvement of the Core Road Network of the state.

Population: Uttar Pradesh as per Census Survey of 2011 has a total population of 200 million which is almost one sixth of India's population. The population density is 828 persons per square kilometer. Approximately 77% of the total population lives in rural area. About 15% of the total population is below the age of 6 years.

Gender Classification: Over half the total population is male and sex ratio stands at 1000:912 which is much less than the national figure of 943.

Social Stratification: Over one fifth of the population belongs to scheduled caste and less than 1% is tribal community. Hinduism is the dominant religion followed by 80% of the population. Muslims from the second largest community accounting for 18% of the total population. The other religions followed are Sikhism; Jainism and Bhudhism.

Literacy Rate: The literacy rate of the state is 68% which is much lower than the national figure. The male literacy is 77% whereas female literacy stands at just 57%.

A brief socio-economic snapshot of the State is summarized below:

Area	2,40,928 km²
Population (2011 census)	19.95 crore (16% All India Share of Population)
Density of population (2011)	828 persons per km ²
Decadal Growth (2001-11)	20.80
Percentage of Male population	52
Percentage of female population	48



Area	2,40,928 km ²
Sex ratio	912
Percentage of population between 0 to 6 years	15
Literacy rate (2011)	67.7
Male literacy rate	77
Female literacy rate	57
Percentage of scheduled caste population	21
Percentage of tribal population	0.6

Source: Statistical abstract of Uttar Pradesh, 2012

6.1.2 Economic Profile

Under the economic profile, issues covered include working population; occupations; and use, and income. The details are in the paragraphs below.

Land use Pattern in UP

The land use pattern in UP is predominantly agriculture based. The breakup of the land use (2010-11) is given in **Table 6.1**.

Table 6.1: Land Classification in U.P

S. No.	Land Classification	Area (Thousand Hectares)	Percent (%)
1.	Forest	1658	7
2.	Barren and Uncultivated land	486	2
3.	Land under non agriculture uses	2835	12
4.	Waste land unfit for Agriculture	426	2
5.	Permanent pastures and grazing land	66	0
6.	Area under trees and grooves	354	1
7.	Current fallow land	1215	5
8.	Other fallow land	538	2
9.	Net area sown	16592	69
Total		24171	100

Source: Statistical abstract on Uttar Pradesh, 2012

6.1.3 Employment Pattern

The work participation for various industries are summarized for the districts and presented in **Table 6.2**.

Table 6.2: Work Participation for Various Industries

Industries	2001-02	2004-05	2007-08	2008-09	2009-10	2010-11
1. Agriculture & livestock	769	754	802	808	749	749
2. Mining & Quarrying	13	11	12	13	12	12
3. Manufacturing	2224	1994	2016	1974	1963	1951
4. Electricity, Gas	396	398	410	414	415	418
5. Construction	1054	988	1009	1017	1014	1014
6. Trade & Commerce	807	647	636	620	618	619
7. Transport	492	457	471	482	493	498



Industries	2001-02	2004-05	2007-08	2008-09	2009-10	2010-11
8. Financing, Insurance & Real Estate etc.	5195	5263	5332	5390	5440	5528
9. Services	14689	14873	14944	14958	15040	15069
Total	25639	25385	25632	25676	25744	25858

Source: Statistical abstract on Uttar Pradesh, 2012

The work participation rate for total workers is defined as the percentage of total workers to total population. In a similar way it is defined for main and the marginal workers. The main workers are distributed in nine industrial categories of economic activities as per 2011 census. Table 5.3 illustrate the work participation in the project districts of the state of Uttar Pradesh for the main and marginal workers. The relative importance of the main spheres of economic activity may be gauged from the pattern of distribution of main workers in cultivation, agricultural labour, household industry and other economic activities.

Table 6.3: Work Participation for Main and Marginal Workers ('000)

District	Main workers			Marginal workers		
	Total	Rural	Urban	Total	Rural	Urban
Uttar Pradesh	39,338	31,243	8,095	14,646	13,433	1,213

Source: Census of India, 2011

State's Income and per capita income

Total State Income (2009-10) – current prices	INR 4,53,020 crore
Per capita Income (2009-10) current prices	INR 23,132

Source: Statistical abstract on Uttar Pradesh, 2012

As the table above shows, the per capita income in the state is INR 23,132 which is less than half of the national per capita income of 54,835.

6.2 Profile of Project Area

6.2.1 Demography

The demographic features of the project districts as per Census 2011 are provided in **Table 6.4**. The population density is far lower in the project districts with respect to the State's population density. The sex ratio reflects the socio-economic and demographic characteristics of the population. It is an important indicator of migration and gender equity (in a developing country context) since it helps to point out the employment opportunity in the districts. There are 912 females for every thousand males in Uttar Pradesh State, while the sex ratio of Hamirpur and Jhansi districts occupies 70th & 40th positions in terms of sex ratio among the districts of the state. The sex ratio in project districts is significantly lower than the state average.

Table 6.4: District wise Demographic Profile of the Project Area

District / State	Total Rural Urban	Total No. of Household	Population			Sex Ratio	Population Density (persons/ sq km)
			Total	Male	Female		
Hamirpur	Total	204863	1104285	53.75	46.25	861	275
	Rural	166700	894437	43.59	37.41	858	
	Urban	38163	209848	10.16	8.85	871	



District / State	Total Rural Urban	Total No. of Household	Population			Sex Ratio	Population Density (persons/sq km)
			Total	Male	Female		
Jhansi	Total	367779	1998603	52.91	47.09	890	398
	Rural	215843	1165119	52.84	47.16	893	
	Urban	151936	833484	53.01	46.99	887	
Uttar Pradesh	Total	33448035	199812341	52.3	47.7	912	829
	Rural	25685942	155317278	52.1	47.9	918	
	Urban	7762093	44495063	52.8	47.2	894	

Source: Census of India, 2011

6.2.2 Schedule Castes and Schedule Tribes

Table 6.5 provides the population details of Scheduled Castes (SC) Scheduled Tribes (ST) in Hamirpur and Jhansi districts. SC population in Hamirpur district is marginally higher than the state average whereas it is substantially high in Jhansi district.

Table 6.5: SC and ST Population of Concern Districts in Project Area

District/ State	Total Rural Urban	Population					
		SC			ST		
		Total	Rural	Urban	Total	Rural	Urban
Hamirpur	Person	21.8	22.2	20.3	0.0	0.0	0.2
	Male	21.9	22.3	20.3	0.0	0.0	0.2
	Female	21.7	22.1	20.2	0.0	0.0	0.2
Jhansi	Person	28.1	32.1	22.6	0.2	0.2	0.2
	Male	28.1	32.1	22.5	0.2	0.2	0.2
	Female	28.2	32.1	22.7	0.2	0.2	0.2
Uttar Pradesh	Person	20.7	23.0	12.7	0.6	0.7	0.2
	Male	20.7	23.0	12.8	0.6	0.6	0.2
	Female	20.6	22.9	12.7	0.6	0.7	0.2

Source: Census of India, 2011

6.2.3 Literacy Rate

Literacy rate is a significant indicator of any district or state's economic as well as social development status. The higher literacy rate indicates higher awareness and vice versa. The Literacy rate of the state according to the Census 2011 is 67.7%. The overall literacy rate of Hamirpur and Jhansi districts is 68.8% and 75% respectively. Hamirpur and Jhansi districts occupy 37th & 10th rank among the districts of the state in terms of literacy. The literacy rate of State and project districts is provided in **Table 6.6** below.

Table 6.6: Literacy Rate

District	Population	Total Rural Urban		
		Total	Rural	Urban
Hamirpur	Persons	68.8	66.8	77.0
	Male	79.8	78.5	85.1
	Female	55.9	53.1	67.8
Jhansi	Persons	75.0	70.2	81.6
	Male	85.4	83.2	88.4



District	Population	Total Rural Urban		
		Total	Rural	Urban
Uttar Pradesh	Female	63.5	55.7	74.1
	Persons	67.7	65.5	75.1
	Male	77.3	76.3	80.4
	Female	57.2	53.7	69.2

Source: *Census of India, 2011*

6.2.4 Employment Pattern

The work participation rate for total workers is defined as the percentage of total workers to total population. In a similar way, it is defined for main and the marginal workers. **Table 6.7 & Table 6.8** indicate the work participation in the project districts of the state of Uttar Pradesh as a whole for the marginal workers and the main workers respectively. The relative importance of the main spheres of economic activity may be gauged from the pattern of distribution of main workers in cultivation, agricultural labour, household industry and other economic activities.

Table 6.7: Work Participation Rate & Distribution of Workers

District / State	Total/ Rural/ Urban	Total Workers (Work Participation Rate)		
		Total	Rural	Urban
Hamirpur	Total	40.2	42.1	32.1
	Male	52.0	52.9	47.8
	Female	26.5	29.4	14.1
Jhansi	Total	40.8	45.4	34.4
	Male	53.5	54.7	51.8
	Female	26.5	34.9	14.7
Uttar Pradesh	Total	32.9	33.4	31.2
	Male	47.7	47.4	48.9
	Female	16.7	18.3	11.3

Source: *Census of India, 2011*

Table 6.8: Main & Marginal Workers

District / State	Total/ Rural/ Urban	Main Workers			Marginal Workers		
		Total	Rural	Urban	Total	Rural	Urban
Hamirpur	Total	65.5	63.5	76.1	34.5	36.5	23.9
	Male	75.5	74.4	80.8	24.5	25.6	19.2
	Female	42.4	40.7	58.0	57.6	59.3	42.0
Jhansi	Total	68.7	65.4	74.9	31.3	34.6	25.1
	Male	78.5	77.5	80.0	21.5	22.5	20.0
	Female	46.6	44.1	55.0	53.4	55.9	45.0
Uttar Pradesh	Total	67.8	64.6	80.0	32.2	35.4	20.0
	Male	75.1	72.5	83.6	24.9	27.5	16.4
	Female	45.2	42.1	62.8	54.8	57.9	37.2

Source: *Census of India, 2011 Census*

6.3 Profile of PAPs

The following sections present socio-economic profile of PAPs (excluding landowners who could not be surveyed) likely to be affected by the proposed upgrading of the project road. A wide



range of data viz., family type, religion, social category, marital status, age, sex, education, income, land holding, possession of durable assets, debt, etc was collected by conducting census and socio-economic survey among project affected families. The data base provides broad understanding of social and economic conditions of project affected families and the likely impacts that people would experience due to proposed upgrading. A selected set of socio-economic information is discussed below.

Table 6.9: Sex & Social Category of PAPs

Distribution of PAPs by type of Sex			Distribution of PAPs by Social Category			
Male	Female	Total	SC	OBC	General	Total
2866	2541	5407	605	1386	1563	3554
53.01%	46.99%	100%	17%	39%	44%	100%

Source: EGIS Primary Survey 2020

Table 6.10: Marital Status and Age-group of PAPs

Distribution of PAPs by Marital Status						Distribution of PAPs by Age Group							
Married	Unmarried	Divorced	Separated	Widow	Total	0 to 6 years	7 to 15 years	16-18	19-21	22-35	36-58	59 and above	Total
2350	2811	58	26	162	5407	433	540	324	648	1353	1514	595	5407
43.45%	52%	1.08%	0.49%	3%	100%	8%	10%	6%	12%	25%	28%	11%	100%

Table 6.11: Family Type and Religious Composition

Distribution of Families by Family Type			Distribution of Families by Religious Groups				
Nuclear	Joint	Extended	Total	Hindu	Muslim	Others	Total
2310	996	248	3554	2382	1172	0	3554
65%	28%	7%	100%	67%	33%	0	100%

Source: EGIS Primary Survey 2020

During the census survey, sex of every individual was recorded as it helps in identification of family and a vulnerable category as per R&R policy. As the **Table 6.11** above shows, 66% of the affected families is nuclear type followed by joint and extended families. Distribution of affected families by religion indicates followers of Hinduism constitute 67% of the families and the balance 33% is follower of Islam.

To identify project affected families as per the R&R policy of UP State Roads Project, the marital status of PAPs has been recorded and more specifically of women PAPs. According to survey results, the number of unmarried PAPs is higher than married ones. Data for divorced, separated, widows and ones deserted was specifically analyzed as they all form separate families as per R&R



policy and are eligible for R&R assistance. The marital status of the PAPs shows that about 44% are married. Widows and separated/divorced constitute 6% of project affected persons. As per R&R policy, all males/women above the age of 18 years, irrespective of marital status, will be considered a separate family.

The literacy level is a quantifiable indicator to assess the development status of any area/region. The higher the literacy rate, the more developed the area would be. Secondly, in a displacement induced development project, the data on the literacy level of PAPs helps in formulating alternative income restoration schemes. Keeping this in mind, the education level of PAPs was recorded during the Census Survey.

For recording the literacy level, the completed years of education have been taken. e.g., a respondent who failed to clear the 10th standard level has been considered as middle literate. Similarly the respondent who failed to clear the 12th standard level has been considered as a secondary literate. However, those who have attended school but failed to clear the 5th standard level still have been considered as a primary level. The literacy rate among the PAPs is quite high. More than 31% of the PAPs were found to be illiterate. Even among the literates, about 28% PAPs are literate up to primary level. Graduates and those having technical education constitute 5.4% and 1.1% of the total literate population respectively. Children below the 6 years of age has been excluded for assessing the educational level of PAPs.

Table 6.12: Distribution of PAPs by Education Level

Distribution of PAPs by Education								
Illiterate	Primary	Upper primary	Secondary	Intermediate	Graduate	Technical	Others	Total
1557	1081	756	702	540	270	54	14	4974
31.3%	21.7%	15.2%	14.1%	10.9%	5.4%	1.1%	0.3%	100%

Source: EGIS Primary Survey 2020

6.4 Average HH Income and Expenditure

Table 6.13: Distribution of HH by Income Level (Rs.)

1000 - 5000	5001 - 10000	10001 - 15000	15001 - 20000	Total
403	720	316	107	1546
26.07	46.57	20.44	6.92	100.00

Source: EGIS Primary Survey 2020

Annual income helps in identifying families below the poverty line. During the survey income of a household through all possible sources was recorded. Accordingly, the average monthly household income was worked out which is Rs. 7522. Income from various sources were collected during the survey for estimating the household income. The sources include agriculture, allied agriculture activities, agriculture labour, non-agriculture labour, household industries, services, trade and business, profession, etc. Income from these sources was added up and weighted to arrive at average monthly income figure.

**Table 6.14: Distribution of Households by Primary Source of Income**

Source	Number of HHs	% of total
Agriculture	1046	67.65
Petty trade and business	208	13.46
Agriculture labour	156	10.49
Non agriculture labour	120	7.41
Daily wage earner	4	0.25
Salaried	12	0.74
Total	1546	100

Source: EGIS Primary Survey 2020

The average monthly expenditure has been estimated which is Rs. 6525. The monthly expenditure is little less than the income and this is one reason why PAPs have some kind of saving. The various heads of expenditure include food, fuel, clothing, health, education, communication, social functions, etc. The average monthly expenditure was estimated by adding up all expenses and then weighted to arrive at average monthly expenditure.

Other Durable Assets

Utensils and furniture are the most common household items used by every family in the project road. This is mainly because of two reasons viz., apart from being most important items, are also the cheapest of all other durable assets used by a family. Among the expensive assets, number of jewellery and watches were found more than motorcycles, televisions, tape recorder and radios.

Agriculture Implements

Small agriculture tools like hoe or sickle is possessed by all the families holding land followed by plough (either wooden or iron). Ownership of tractor and thrasher is also less found in the project road.

6.5 Census and Socio-economic Survey Analysis

Successful implementation of Social Management Plan (SMP) depends on appropriate and accurate census and socio-economic survey of Project Affected Persons (PAPs). Without these, there can be no measurement of precise impacts on the affected persons and therefore it becomes difficult to frame appropriate entitlement policies. Also, in the absence of surveys it is difficult to measure the achievement or non-achievement of the basic objective of the SMP. Census and Socio-economic data Non-titleholder (NTH) are presented in **Annexure – 6.2**. Two kinds of surveys were taken up in course of the study:

- Census verification survey;
- Census socio-economic survey.

a. Objectives of the Census and Socio-economic Surveys

The objectives of the census verification survey were:

- To collect information regarding likely project impacts in order to facilitate designs of various components of SMP
- To set up a cutoff date so as to monitor the influx of new people



- To desegregate the properties by type and identification of possible categories of entitlement.

The objectives of the socio-economic survey were:

- To attach actual values to key indicators of the PAPs social and economic status and their vulnerability to socio-economic change due to the project.
- To assess use/dependence on common property resource
- To provide a benchmark for any further information needed to monitor and evaluate EPs in the future; and
- To provide further inputs in preparation of SMP

People who are not surveyed during the census will not be considered as PAP, as the date on which the census survey was carried out will act as a cut-off date. The cut-off date will be used to establish whether a person located in the corridor qualifies as a PAP during the implementation of the various phases of the project. However, a person not enumerated during the census, but able to prove their stay in the project corridor, during the census survey will be considered for entitlement.

6.6 Project Impacts

Impact on Titleholders:

The existing RoW is not enough to undertake upgrading of the project road. Provision of a bypass for Rath and improvement of curves require majority of land area. The proposed RoW of 30m has been considered for the bypass, realignment and widening and upgrading of the project road in view of the future development. Additional land area is required broadly for the entire length of the project road. The requirement of additional land area is based on the project design and site verification of ROW.

Approximately, 108.68 ha (77.20 ha of private land and 31.48 ha of Govt. Land) spread across 17 revenue villages (13 villages in Hamirpur district and 4 villages in Jhansi district) will be required for improving the project road. Details of additional land required for project road development is provided in Table 6.15 & Table 6.16 respectively.

Table 6.15: Additional Land Area Required

Sl.No.	District	Tahsil	Total Affected Area (in Hct.)	Government land (in Hct.)	Private land (in Hct.)
1	Hamirpur	Rath	69.359	14.789	54.570
2	Jhansi	Gharauth	39.321	16.691	22.630
Total			108.680	31.480	77.200

Table 6.16: Additional Land Area Required by Village

Sl.No.	District	Tahsil	Village	Total Affected Area (in Hct.)
1	Hamirpur	Rath	Rath East	5.073
2			Etayal	1.628
3			Rath North	10.884
4			Chulla	0.127
5			Rath South	7.546
6			Kurra	3.993



Sl.No.	District	Tahsil	Village	Total Affected Area (in Hct.)		
7			Malahua Maaf	1.428		
8			Beehar	2.520		
9			Ikthar	4.580		
10			Barel	10.437		
11			Gauhani Panwari	4.449		
12			Tola Rawat	0.635		
13			Kuchhechha	16.059		
Total				69.358		
1	Jhansi	Gharauth	Moti Katra	17.768		
2			Nipan	11.402		
3			Gharauth khas	7.777		
4			Gharauth Khurd	2.378		
Total				39.325		
Grand Total				108.683		

The procurement/acquisition of private land will affect 1422 households comprising 3522 PAFs and 4973 PAPs. The list of land owners likely to be affected by the project has been provided in **Annexure 6.1**.

Table 6.17: Impact on THs

PAHs	No. of PAFs	No. of PAPs	PDFs
1422	3522	4973	0

The procurement/acquisition of private land will affect 708 land parcels (Gata/Survey Nos). Most of the land parcels have multiple shareholders. The percentage area of land likely to be procured or acquired from each land parcel/Gata No. is presented below:

Sl. No.	Land area affected (in %)	Land parcel/ Gata No. (Survey No.)	
		No.	%
1	≤10	278	39.27
2	10 to 20	121	17.09
3	>20 to 50	209	29.52
4	>50	100	14.12
	Total	708	100.00

It may be noted that more than 10% of the land area will be lost in case of 60.73% of the Gata/Survey Nos. The average land area per land parcel to be procured/acquired works out to be 1480 sqm and the average number of shareholders per land parcel is 3. Therefore, the shareholders of land parcels shall be losing an average of 470 sqm of land. It may be noted that 80.17% of landholders are marginal landholders as per Agriculture Census, 2015-16 (Phase-I), Ministry of Agriculture and Farmers Welfare, GoI, 2019.

Impact on Non-titleholders:

The number of properties getting impacted within corridor of impact and categories of properties impacted are provided below in **Table 6.18**. The survey provides a baseline against which mitigation measures and support will be measured and includes comprehensive examination of the people's assets, incomes, important cultural or religious networks or sites, and other sources



of support such as common property resources. Analyses of survey results cover the needs and resources of different groups and individuals, including intra-household and gender analysis.

Table 6.18: Impact on NTHs

PAHs	No. of PAFs	No. of PAPs	PDFs
124	310	434	50

Source: EGIS Primary Survey 2020

Overall 1546 households comprising 3832 families and 5407 persons shall be affected by the development of the project road, **Table 6.19**.

Table 6.19: Overall Impact

Non-Title Holders			Title Holders			Total TH + NTH		
As per PROW			As per PROW			As per PROW		
No. of PAPs	No. of PAHs	No. of PAFs	No. of PAPs	No. of PAHs	No. of PAFs	No. of PAPs	No. of PAHs	No. of PAFs
434	124	310	4973	1422	3522	5407	1546	3832

It may be noted from **Table 6.20** that land owners comprise about 92% of the total affected families. Project affected families losing structures constitute 8% of the total affected families. As per the site condition, only a narrow frontage will be affected. However, Kiosks (commercial squatters) will have to move out of CoI.

Table 6.20: Distribution of PAFs by Type of Loss

Residential	Commercial		Residential cum Commercial	Agriculture	Others	Total
	Structures	Kiosk				
0	227	43	5	3522	35	3832
0%	6%	1%	0%	92%	1%	100%

Source: EGIS Primary Survey 2020

The ownership status shows that about 92% constitute titleholders. Encroachers constitute about 5% of the total PAHs and the balance is squatters and kiosks. As per the project's R&R policy, vulnerable encroachers will be provided cash assistance at replacement cost for loss of structures; one time grant of Rs. 36000/- as subsistence allowance; shifting allowance of Rs. 50,000/- per family as one time grant for a permanent structure, Rs. 30,000/- for a semi-permanent structure and Rs. 10,000/- for a temporary structure, and each affected person who is a rural artisan, small trader or self-employed person assistance' of Rs 25,000/- for construction of working shed or shop. In case of Kiosks, only Rs. 5000 will be paid as one time grant.

Table 6.21: Distributions of PAHs by Status of Ownership

Status of Ownership					
Squatter	Encroacher	Kiosk	Tenant	Titleholder	Total
4	77	43	0	1422	1546
0.3%	5%	3%	0%	92%	100%

Source: EGIS Primary Survey 2020

Overall seven common properties will be impacted due to upgrading/widening of the project road. Common properties will be reconstructed or rehabilitated in consultation with local communities on project cost. List of CPRs likely to be affected is provided in **Annexure - 6.3**.

**Table 6.22: Distributions of Community Properties Affected**

Temple /Shrine / Chabutra	Government Building	Well	Boundary Wall	Hand pump	Others	Total
-	1	-	1	5	0	7

Source: EGIS Primary Survey 2020

6.7 Analysis of Census and Baseline Socio-economic Data

A detailed socio-economic survey was conducted in conjunction with the census of the project-affected persons (PAPs) for baseline data against which mitigation measures and support will be measured. For this purpose, comprehensive information related to people's assets, income, socio-cultural and demographic indicators, religious structures, and other sources of support such as common property resources were collected. The analysis has covered the needs and resources of different groups and individuals, including intra-household analysis and gender analysis. The analysis is based on the cut-off date for entitlement assigned in the project (the cut-off date for the non-title holder is the start date of census).

Table 6.23: Distribution of Affected and Displaced Families

No. of PAHs	No. of PAFs	No. of PAPs	No. of PDFs
1546	3832	5407	50

Source: EGIS Primary Survey 2020

As shown in the **Table 6.23** above, a total of 1546 households (3832 families) will be affected due to proposed road up gradation, which in turn will affect 5407 persons.

Table 6.24: Distributions of PDFs and PAFs by Type of Loss

Affect Type	Type of Loss						
	Residential	Commercial	Kiosk	Resi.+ Comm	Land	Others	Total
Displaced	0	7	43	0	0	0	50
Affected	-	227	43	5	3522	35	3832

Source: EGIS Primary Survey 2020

Approximately, 1.31 % of the total affected families will be displaced which includes Kisoks (43), encroachers (3) and squatters (4). It is Kiosks and petty shops that will be displaced.

6.8 Vulnerability

The Vulnerable group may include but not be limited to the following:

1. Those people falling under Below Poverty Line category as defined by GoUP;
2. Member of Scheduled Caste/Tribe community/other backward community;
3. Women Headed households;
4. Senior Citizen – person above the age of 60 years;
5. Landless;
6. Village artisan.

The survey identified vulnerable families which are provided in **Table 6.25** below.

**Table 6.25: Vulnerability Status of the Affected Families**

BPL	SC/ST/OBC	WHH	Senior Citizen	Landless	Village artisan	Total
456	688	204	0	0	0	1348
33.8%	51.0%	15.2%	0%	0%	0%	100%

Note: No ST population will be affected by the Project. Source: EGIS Primary Survey 2020

The survey identified 1348 vulnerable families. Among the vulnerable families, BPL, SC/ST/OBC, and WHH constitute about 34%, 51% and 15% respectively.

As per R&R Policy, non-titleholders are not eligible for assistance under this category. Vulnerable titleholders' families shall be eligible for Rs. 50000/- as vulnerability assistance.

6.9 Summary of Impacts

The summary of impacts of project road development is provided in **Table 6.26** below.

Table 6.26: Summary of Impacts

Sl. No.	Items	Unit	Quantity
I	Land		
	Private	Ha	77.200
	Govt.	Ha	31.480
	Total	Ha	108.680
II	Project affected / displaced households, families and persons		
	PAHs	No.	1546
	PAFs	No.	3832
	PAPs	No.	5407
	PDFs	No.	50
III	Distribution of families by type of loss		
	Land	No.	3522
	Structure - residential	No.	0
	Structure - commercial	No.	227
	Residential cum Commercial	No.	5
	Structure - others	No.	35
	Kiosk	No.	43
	Total	No.	3832
IV	CPR		
	Religious	No.	0
	Gate	No.	0
	Govt. structure	No.	1
	Boundary Wall	No.	1
	Hand pumps	No.	5
	Total	No.	7
V	Distribution of households by ownership category		
	Titleholders	No.	1422
	Encroachers	No.	77
	Squatters	No.	4
	Kiosk	No.	43



Sl. No.	Items	Unit	Quantity
	Total	No.	1546
VI	Vulnerable families		
	SC	No.	688
	BPL	No.	456
	WHH	No.	204
	Total	No.	1348
VII	Families losing livelihood and/or source of livelihood	No.	1546

6.10 Resource Base of the Affected Families

The information presented below has been collected through both census as well as socio-economic survey. The economic indicators considered during the survey were usual activity, occupational pattern, average household income and expenditure, number of families below poverty line, asset holdings, etc.

Table 6.27: Resource Base

Enlistment of Families		Facilities owned by Families	
No. of families holding ration card	3292	No. of families with electrification	2364
No. of families holding voter card	2451	No. of shops with electrification	3
Families with legal document	2200	No. of families with tap connection	132
		No. of shops with tap connection	0

Source: EGIS Primary Survey 2020

As indicated above in **Table 6.27**, 3292 families have ration card and 2200 families also own legal document of the property and 2451 families informed availability of voter card to all adult members. 2364 out of 3832 of the families have electricity connection whereas 132 families have tap connection.

Table 6.28: Construction Typology of Structures

Permanent	Semi-Permanent	Temporary	Kiosk	Total
8	27	59	43	137

Source: EGIS Primary Survey 2020

Type of construction of structures likely to be affected is given in **Table 6.28**. It may be noted that about 75% of affected structures (including kiosks) are temporary type followed by semi permanent and permanent structures.

6.11 Usual Activity

It is important to record usual activity so as to assess whether PAP is gainfully employed or not. The activity the PAP is engaged in helps in formulating alternative income generation schemes. Accordingly, activity where a person spends 8 or more than 8 hours in a day has been considered as usual activity for the respondent. Such activities may be directly economically gainful or may not be. Accordingly, PAPs have been classified into 8 categories as defined in Census of India.



As the **Table 6.29** shows that majority of PAPs are engaged in some form of economically gainful activity. In rural areas, generally some kind of economically gainful activities are available either in cultivation or non-agriculture labour activities run under various government poverty alleviation schemes. Still a small percentage of PAPs are reportedly non-workers or unemployed. Hence, such section of PAPs will require special attention during implementation phase of SMP. Over 1250 of the total PAPs reportedly are engaged in household chores and such PAPs are primarily women.

Table 6.29: Usual Activity

Occupation						
Worker	Non Worker	Main Worker	Migrated Worker	Home Worker /House Wife	Student	Children (0 to 6 years)
2901	130	114	127	1264	438	433

Source: EGIS Primary Survey 2020

6.12 Occupational Pattern

Occupational pattern of the PAPs are recorded to assess their skill so that they can be imparted training in the same trade or alternative income generating scheme. Secondly, occupational pattern helps in identifying dominating economic activity in the area.

Occupational pattern of the PAPs are recorded to assess their skill so that they can be imparted training in the same trade or alternative income generating scheme. Secondly, occupational pattern helps in identifying dominating economic activity in the area.

Table 6.30: Distribution of Households by Primary Source of Income

Source	Number of PAHs	% of total
Agriculture	1046	67.65
Petty trade and business	208	13.46
Agriculture labour	156	10.49
Non agriculture labour	120	7.41
Daily wage earner	4	0.25
Salaried	12	0.74
Total	1546	100

Source: EGIS Primary Survey 2020

The distribution of households by primary source of income is given in **Table 6.30**. It may be noted that 67.6% of all the project affected households is earning their livelihood from agriculture. Petty trade and business constitute 13.46% of the total PAHs. Agriculture labour, non-agriculture labour, daily wage labour etc comprise about 19%.

6.13 Timing of Resettlement Activities

The construction works shall be mainly carried out within the proposed RoW. The Right of Way along the project road has been occupied (encroached and squatted) primarily for petty commercial purposes in market areas. The resettlement and rehabilitation activities including disbursement of R&R assistances needs to be completed before the civil construction works start. It is suggested that the Project Authority prioritize the project road sections for the contractor



keeping in view the encumbrances and procurement/ acquisition of additional land area. The priority schedule for handing over the project road sections for construction work is provided in Chapter 13.

6.14 Need for Data Update and Mechanism to Conduct Update

Since the census and socio-economic survey was conducted in July-August, 2020 and SMP implementation is likely to start at least one year after the SMP preparation. It is suggested that NGO entrusted with the responsibility of SMP implementation along with PWD, should conduct a Core Rapid Appraisal.

Social Specialist, PWD will supervise the entire exercise and this document would serve as revised baseline information for the PAPs finally getting affected by the project. The mechanism to conduct updating is given below and details are provided in **Table 6.31** of this report.

Table 6.31: Core Rapid Appraisal Mechanism

S. No.	Technique	Method	Group Size	Staff Required	Time
1	Key Informant interview	Interview selected local with special knowledge or experience	5-10 per group	Interviewer observer & moderator	Selection plus 3 hours interview per village
2	Focus group	Specific topic discussed in open-ended group sessions	5-10 per group	Interviewer observer & moderator	2 hours per group per village
3	Community Interview	Open public meeting with prepared questionnaire	Large number (more than 10)	At least 2 interviewer	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	Non probability sampling with open ended questionnaires	Sample size of 10-20 respondents	Team of 4 or 5 surveyors	One day per village



7 COMMUNITY PARTICIPATION

7.1 Introduction

Public participation was undertaken to make explicit the social factors that will affect the development impacts of planned highway improvements and mediate project results. Through public participation, stakeholders and key social issues were identified and strategy was formulated. It included socio-cultural analysis and design of social strategy, institutional analysis and specifically addressed the issue of how poor and vulnerable groups may benefit from the project.

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

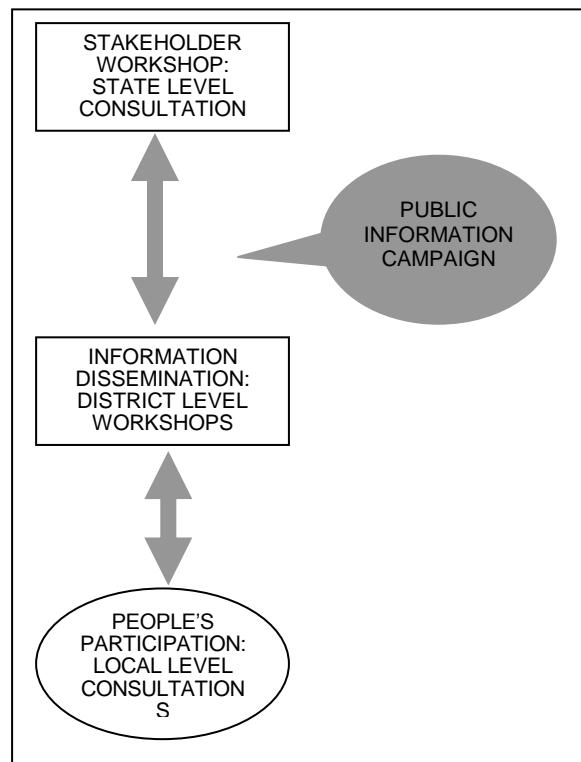
7.2 Consultation and Participation Mechanisms

Experience indicates that involuntary resettlement generally gives rise to severe problems for the affected population. These problems may be reduced if, as part of a resettlement program, people are properly informed and consulted about the project, their situation and preferences, and allowed to make meaningful choices. This serves to reduce the insecurity and opposition to the project which otherwise are likely to occur.

The project will therefore ensure that the affected population and other stakeholders are informed, consulted, and allowed to participate actively in the development process. This will be done throughout the project, both during preparation, implementation, and monitoring of project results and impacts.

During implementation and monitoring stage, information will be disseminated to

Flow Chart 1 Levels of Consultation





project affected persons and other key stakeholders in appropriate ways. This information will be prepared in Hindi and local languages as required, describing the main project features including the entitlement framework. Consultation will be carried out in ways appropriate for cultural, gender-based, and other differences among the stakeholders. Where groups or individuals have different views/opinions, particular emphasis will be laid on the views and needs of the vulnerable groups.

The Social Management Plan provides detailed information regarding the consultation process. It describes information disclosure at preparation stage. The consultation process established during preparation stage of the project uses different types of consultation such as in-depth interviews with key informants, focus group discussions, seminars and meetings. The consultation program included the following:

- Head of households likely to be impacted;
- Household members;
- Clusters of PAPs;
- Villagers;
- Women members;
- Village panchayats
- Government Officials (Executive Officer, SDM, Tehsildars, etc) and representatives of other concerned departments (Agriculture, Forest, Planning etc); and

As part of the consultation process, women are given the opportunity to voice their views without the presence of men.

As part of the preparation for the project, state level workshop was conducted with participation from key stakeholders including local NGOs, academic institutions, government officials, and others. The purpose of the stakeholder workshop was 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.

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

- To understand views of the people affected w.r.t to the impacts of the road
- To identify and assess all major economic and sociological characteristics of the village to enable effective planning and implementation and,
- To resolve the issues relating to affect on community property.

7.3 Common Issues

Common issues raised by the participants during consultations are presented below.

- Participants were concerned about the safety of local population staying along the proposed roads. Suggestions made for such areas included railing or parapet walls along the route in urban areas.



- Concerns were shown on amount and mode of compensation. General consensus was on replacement value for any immovable property acquired. Participants also suggested that compensation be paid in one single instalment so that the amount can be used in a fruitful manner.
- Participants also agreed that in case of displacement, Resettlement sites along with all basic amenities should be constructed before physical possession of properties of PAPs.
- On being informed that squatters will receive assistance under the project, apprehensions were expressed by participants. They feared that this step would lead to further encroachment and squatting along the roads.
- Revenue officials expressed their apprehensions regarding court cases unless PAPs are taken into confidence are told about the benefits and compensation package well in advance.

7.4 Local Level Consultations

Consultant carried out local level consultations for Rath - Garautha Road. Efforts were made to select both small and big habitations in order to get representation of all the segments of affected population. More than one-group discussions were held in seven villages. The size of group was restricted to 10 to 32 so that everybody gets the chance to express their views on the project. The objectives of local level consultations were to inform the affected persons about the project, R&R policy, to incorporate their views on the policy in SMP and mitigation measures as suggested by them. The consultation was carried out at two levels i.e. Community level and Institute level. The community level consultation included gathering opinion & suggestion regarding improvement and changes at the ground level to be addressed in this social mitigation plan. Minutes of consultations are given in **Annexure – 7.1**.

Key points of Local Level Consultations

The consultations involved the PAPs, people's representatives, community leaders, elected Panchayat members, local market associations as well as women representatives. The contributions from the public consultation included suggestions on engineering design, land acquisition, road crossings, road safety, drainage system, street lighting etc. Both formal meetings and group discussions with local people were carried out by consultants which included Social Specialist and Environment Expert. The summary of local level consultations are as under:

- Though participants were aware of the fact that road will be widened, but the people did not know details of the project.
- Most of the people are in favour of proposed road project.
- People were also concerned about the affected structures and land.
- People are also concerned about the drainage water and water logging.
- PAPs were of the view that local governing body on community/panchayat level should be consulted before the finalization of the alignment.
- PAPs were also concerned about the compensation payment. There was a strong demand for cash compensation.
- Safety issues were paramount in all discussions. At one village people also demanded for traffic police to monitor the flow of traffic at the intersection of their village.
- Some people expressed demand for employment in the project. However, quite a significant number of the PAPs declined to work as labourers with contractors.



- People agreed to participate in the process of identifying alternate site for the community properties.
- PAPs were of the view that community should be consulted before the drawings of the roads are finalised.
- People are in favour of road widening and they even agreed for central widening.

The details of consultations conducted are given **Table 7.1** and **Table 7.2**.

Table 7.1: Details of Public Consultation

Sl. No.	Date	Location of consultation	Person attended in consultation	Male & Female	Participants
1.	29.07.2020	Malba	08	M-8 F- 0	Shopkeepers
2.	30.07.2020	Kurra	12	M-10 F-2	Land Holders, locals
3.	31.07.2020	Behar	30	M-25 F- 5	Land Holders and Village Head
4.	31.07.2020	Iktor	07	M-7	Land Holders
5.	04.08.2020	Garautha	30	M-25 F-5	locals, Village Head
6.	10.08.2020	Saidpur	25	M-20 F-5	locals, Village Head
7.	16.08.2020	Rath	60	M-45 F-15	Tahshildar, E.O, locals,

Table 7.2: Output of Local Level Consultation

Name of the village	Participants	Issues raised	Response / Addressed in SMP
Malba	Shopkeepers	<ul style="list-style-type: none">• People demanded for employment for local people during implementation of the project.• Road side safety signage should be provided in settlement area to avoid any accident along the project road.• Compensation against loosing main sources of work and employment.	<ul style="list-style-type: none">• Employment to local people during construction should be considered as per the project requirement and capabilities.• Road safety signs will be provided at various locations to avoid accidents.• People would be compensated for the loss of structures at current government rate.
Kurra	Land holders, locals	<ul style="list-style-type: none">• People should be informed on prior basis before implementation of the project to minimize their loss of crops.• Compensation against loss of crops as agriculture is Main source in this area• People suggest that the compensation against loss of belongings should be paid as per new LA Policy in case of acquisition of land for project.	<ul style="list-style-type: none">• People will be informed prior to the implementation of the project.• Disbursement of compensation against any loss of crops will be done as per new government policy.• People would be compensated for the loss of structures at current government rate.
Behar	Land Holders, locals and Village Head	<ul style="list-style-type: none">• Minimisation of impact through minimization of proposed right of way.• Compensation against loss of belonging due to implementation of the project• Employment opportunities for	<ul style="list-style-type: none">• Minimization of impact shall be considered during implantation of the project.• Compensation against any loss of assets due to implementation of the project will be disbursed as per new LARR Act 2013.



Name of the village	Participants	Issues raised	Response / Addressed in SMP
		PAPs during implementation of the project.	<ul style="list-style-type: none">Local people shall be considered for employment during implementation of the project.
Iktor	Land Holders	<ul style="list-style-type: none">Land holders should be informed on prior basis before implementation of the project.Proper compensation against loss of affected agricultural land and other belongings attached to the land.	<ul style="list-style-type: none">Land holders will be informed in prior before implementation of the project.Compensation against any loss of assets due to implementation of the project will be disbursed as per new LARR Act 2013.
Garautha	Shopkeepers, land holders and panchayat head and members	<ul style="list-style-type: none">Road design should be revised to minimized the impact on structures because most of the affected structures are attached with livelihood of people.Government land on the other side of the road should be used instead of private land.Proper compensation should be considered in case of loss of any private properties due to implementation of the project.Compensation should be paid prior to implementation of the project to reestablishment of livelihood of people.	<ul style="list-style-type: none">Road design could be revised to minimized the impact on structures.Government land on other side should be used for the improvement of the road.Compensation shall be paid as per new LARR Act 2013.Disbursement of compensation will be done before implementation of the project.
Saidpur	land holders and panchayat head and members	<ul style="list-style-type: none">Compensation against acquisition of land is main issue for people of the settlement area.Employment opportunities for PAPs during implementation of the project.	<ul style="list-style-type: none">Compensation against loss of land will be done as per new LARR Act 2013.Engagement opportunity shall be considered to local as per the requirement of the project.
Rath	Tehshildar, E.O., Land Holders	<ul style="list-style-type: none">Compensation against acquisition of land is main issue for people of the settlement area.Land holders should be informed on prior basis before implementation of the project.	<ul style="list-style-type: none">Compensation against loss of land will be done as per new LARR Act 2013.Land holders will be informed in prior before implementation of the project.

Consultation with project affected people along the road near Malba

**Consultation with project affected people in Kurra****Public Consultation in Behar****Consultation with project affected people in Iktaur****Consultation with project affected people in Garautha**

**Public Consultation in Saidpur****Public Consultation in Rath****Meeting with E.O in Raath****Meeting with S.D.M in Raath****Meeting with Tahsildar, Garautha**



7.5 Continuation of Public Consultations

The effectiveness of the R&R program is directly related to the degree of continuing involvement of those affected by the project. Participation of PAPs has been emphasised in the development of SMP to assure that its components are suited to the needs of the impacted and resettled population. Their continued involvement and participation during SMP implementation will both increase the probability of their successful resettlement and rehabilitation and contribute to the overall project success.

During the preparation stage, consultations were held at local level. Several additional rounds of consultations with PAPs have been planned in the action plan through partnering NGO during SMP implementation. Consultations during SMP implementation will involve agreements on compensation and assistance options and entitlements with PAPs and completion of a PAP identity card indicating the accepted entitlement package. The other round of consultations will occur when compensation and assistance are provided and actual resettlement begins.

7.6 Plan for Continued Consultation

The following set of activities is required for effective implementation of SMP. This will also help in timely execution of SMP.

7.7 Information Disclosure

For the benefit of the community in general and PAPs in particular, SMP and R&R policy will be translated in Hindi and kept at

- Public Libraries of the districts
- Office of Chief Development Officer, and
- Libraries of various colleges in the district.
- PWD offices in project districts
- Schools of the villages affected, and
- Any other public place along the highway

A copy of SMP and R&R policy will also be placed at the office of Chief Engineer, UP PWD, Lucknow and respective PWD circles and divisions.

7.8 Information Dissemination

PWD offices located along the project road will provide actual information and policies and other rehabilitation actionplan to the people in continuous manner. For this, following are proposed:

The NGOs likely to be involved in the implementation of SMP will organise Public meetings, and will appraise the communities about the progress in the implementation of limited works.

- The options of compensation under the UP Direct Land Purchase Policy, 2015 and the RFCTLARR Act, 2013 shall be disclosed to PAPs.
- Further the NGO will organise public meetings to inform the community about the payment and assistance paid to the community. Regular update of the program of resettlement component of the project will be placed for public display at the PWD office.



7.9 Community Participation

For effective implementation of SMP, it is essential to provide scope of involving communities and PAPs in the process. The mechanism of involving communities is suggested below :

Table 7.3: Mechanism for Continued Participation

Project Stage	PAPs	NGOs	Hosts	Project & Local Officials
Planning	<ul style="list-style-type: none">• Participate in public meetings• Identify alternatives to avoid or minimise displacement• Assist in developing and choosing alternative options for relocation and income generation• Help to choose resettlement sites, if required.• 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	<ul style="list-style-type: none">• 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 PAPs and hosts,• Design and Participatory process• Suggest mechanism for grievance redressal or conflict resolution.• Assist in preparation of action Plan	<ul style="list-style-type: none">• Provide information or various aspects of host communities• Assist in data collection and design• Provide inputs to site selection• Identify possible conflict areas with PAPs• Identify social and cultural facilities needed at resettlement sites, if any.• Assist in identification of IG schemes• Provide inputs for design of IG schemes• Help develop a process of consultation between hosts and PAPs.• Suggst mechanism for grievance redressal and conflict resolution.	<ul style="list-style-type: none">• Provide information on PAP skills etc.• Suggest ways to minimise impacts• Indicate local staff and budget for relocation.• Assist NGO in information dissemination• Participate in consultations• Examine the feasibility of IG schemes and discuss with PAPs.• Help document and consultations.
Implementation	<ul style="list-style-type: none">• 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• Labour and other inputs of site• Credit and other group scheme management• O&M of sites and project inputs• Members of	<ul style="list-style-type: none">• Provide ongoing information for PAPs and hosts• Provide support in group management• Monitor entitlement provision by implementation of IG schemes.• Assist implementing line deptts.• Provide support to SMP implementtion .• Training to eligible PAPs	<ul style="list-style-type: none">• Assist APO in relocation• Manage common property at site• Participate in local committees.• Assist PAPs in integration with Hosts.• Assist PAPs in useof new production system.• Use established mechanisms for grievance redressal.	<ul style="list-style-type: none">• Process IG proposals• Participate in grievance redressal• Provide assistance under local schemes.• Participate as member of Implementation committee.



Project Stage	PAPs	NGOs	Hosts	Project & Local Officials
	implementation committee	<ul style="list-style-type: none">• Support to vulnerable groups• Evaluate community process and social preparation• Provide advice on grievance redressal. Be an interface between PAPs and PWD for grievance redress, especially for vulnerable groups, and those with low levels of literacy.		
M&E	<ul style="list-style-type: none">• Participate in grievance redress committee• Report to project on IG schemes• Report on service quality of sites	<ul style="list-style-type: none">• 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)	<ul style="list-style-type: none">• Provide inputs to M&E on R&R	<ul style="list-style-type: none">• Ongoing interaction with PAPs to identify problems in IG programme.• Participate in correctional strategies.

7.10 Disclosure of Project Documents

A state level workshop was conducted for the disclosure with participation from key stakeholders including local NGOs, academic institutions, government officials, and others. The purpose of the stakeholder workshop was to present and discuss the Resettlement Policy Framework and approach to social impacts and resettlement, and to achieve agreement about implementation mechanisms and coordination among different agencies. The Resettlement Policy Framework has already been disclosed on PWD's website.

The Social Management Plan (SMP) and Executive Summary of the SMP in Hindi shall be disclosed on PWD's website as well on the World Bank's Infoshop/ Public Information Centre. Feedback, if any would be incorporated into the SMP document, following which the final SMP will be re-disclosed. Further to enhance transparency in implementation, the Executive Summary in Hindi shall be made available at concerned District Magistrate's Offices, District and Public Relations Offices. Further to enhance transparency in implementation, the verified list of PAPs shall be separately disclosed at the concerned Panchayat Offices/Urban Local Bodies, and Block Development Offices and project area by the NGO.



8 GENDER ANALYSIS

8.1 Introduction

Government of Uttar Pradesh is making a conscious effort to enhance its transport infrastructure. The World Bank assistance delivered through Uttar Pradesh Core Road Network development Project (UPCRNDP) aims to provide financial and knowledge support for upgrading/improvement/widening of state's core road network, support institutional strengthening and capacity building of the state road sector agencies and promote road safety and HIV/AIDS awareness in the state. As a part of the project, it is agreed to include gender analysis to ensure that the improved accessibility and mobility benefits accrued from the project is more equitably shared by men and women.

8.2 Gender Perspective in Transport

There is a growing awareness on gender aspects in transport sector and gender has begun to feature as a recognized issue in transport policy and planning. If transport infrastructure and services are a means to improve the well-being and quality of life of people by ensuring access to benefits – economic and social, it means that they should be designed to best meet the needs of men and women in ways that are equitable, affordable and responsive. This requires gender sensitivity at all stages – planning, design, construction, operation and maintenance and should involve key stakeholders including the transport users and affected communities.

At present, there are no systematic gender inclusion procedures for transport in terms of training of professionals, participation of users, design and planning of systems, services and equipment, etc. This is perhaps because transport infrastructure and services are often incorrectly considered "gender neutral". It is assumed that transport projects will benefit men and women equally. It ignores the difference in the travel patterns, modes of transport access and utilization of transport infrastructure and services by men and women.

Resultantly, women have inferior access to both private and public means of transport while at the same time they are assuming a higher share of their household's travel burden and making more trips associated with reproductive and caretaking responsibilities. Since gender concerns are not identified in transport projects, the standard operating procedures, protocols often fail to consider the transport needs of over half of our population.

There is a difference in the mobility experienced by men and women, as they use different modes of transport for different purposes and in different ways depending on their socially determined reproductive, productive and community related gender roles. Women's and men's relative economic and social status and livelihoods also influence their different transport needs and utilization of transport services¹. In order to inform the design of gender inclusive and gender responsive transport projects, these differences need to be well understood. This chapter elaborates upon these gender differences, which need to be addressed in transport projects such that they do not remain investments in hard infrastructure only but are responsive to the needs of different social groups.



8.3 Gender Perspective in Policy and Legal Framework

8.3.1 The Constitution of India

The constitution of India provides provisions to secure equality in general and gender equality in particular. Various articles in the Constitution safeguard women's rights by putting them at par with men socially, politically and economically. The Preamble, the Fundamental Rights, Directive Principles of State Policies (DPSPs) and other constitutional provisions provide several general and special safeguards to secure women's rights. The Preamble to the Constitution of India assures justice, social, economic and political; equality of status and opportunity and dignity to the individual. Thus, it treats both men and women equal.

Following articles under the "Fundamental Rights" of the Constitution deal with gender aspects:

1. Article 14 ensures to women the right to equality;
2. Article 15(1) specifically prohibits discrimination on the basis of sex;
3. Article 15(3) empowers the State to take affirmative actions in favour of women;
4. Article 16 provides for equality of opportunity for all citizens in matters relating to employment or appointment to any office. These rights being fundamental rights are justifiable in court and the Government is obliged to follow the same.

Directive principles of State Policy also contains important provisions regarding women empowerment, and it is the duty of the government to apply these principles while making laws or formulating any policy. Though these are not justifiable in the Court but these are essential for governance nonetheless. These articles are:

1. Article 39 (a) provides that the State to direct its policy towards securing for men and women equally the right to an adequate means of livelihood.
2. Article 39 (d) mandates equal pay for equal work for both men and women.
3. Article 42 provides that the State to make provision for securing just and humane conditions of work and for maternity relief.

Fundamental duties are enshrined in Part IV-A of the Constitution and are positive duties for the people of India to follow. It also contains a duty related to women's rights. Article 51 (A) (e) expects from the citizen of the country to promote harmony and the spirit of common brotherhood amongst all the people of India and to renounce practices derogatory to the dignity of women.

The 73rd and 74th Constitutional Amendments, 1993 provides political rights to women which are a landmark in the direction of women empowerment in India. With these amendments, women were given 33.33 percent reservation in seats at different levels of elections in local governance i.e. at Panchayat, Block and Municipality elections. The State is duty bound in taking policy decisions as well as in enacting laws.

8.3.2 Laws for Women

Specific laws enacted by the Parliament in order to fulfil the Constitutional obligation of women empowerment are the following:

1. The Equal Remuneration Act, 1976.



2. The Dowry Prohibition Act, 1961.
3. The Immoral Traffic (Prevention) Act, 1956.
4. The Maternity Benefit Act, 1961.
5. The Medical termination of Pregnancy Act, 1971.
6. The Commission of Sati (Prevention) Act, 1987.
7. The Protection of Women from Domestic Violence Act, 2005
8. The Prohibition of Child Marriage Act, 2006.
9. The Pre-Conception & Pre-Natal Diagnostic Techniques (Regulation and Prevention of Misuse) Act, 1994.
10. The Sexual Harassment of Women at Work Place (Prevention, Protection and) Act, 2013.

Above mentioned and several other laws are there which not only provide specific legal rights to women but also give them a sense of security and empowerment.

8.3.3 National Policy for Women

In the year 2001, the Government of India launched a National Policy for Empowerment of Women which was revised in the year 2016. The National Policy for Women, 2016 (draft) having the vision of "A society in which, women attain their full potential and are able to participate as equal partners in all spheres of life and influence the process of social change". The objectives of the policy are:

1. Creating a conducive socio-cultural, economic and political environment to enable women enjoy de jure and de facto fundamental rights and realize their full potential;
2. Mainstreaming gender in all-round development processes/programs/projects/ actions;
3. A holistic and life-cycle approach to women's health for appropriate, affordable and quality health care;
4. Improving and incentivizing access of women/ girls to universal and quality education;
5. Increasing and incentivizing work force participation of women in the economy;
6. Equal participation in the social, political and economic spheres including the institutions of governance and decision making;
7. Transforming discriminatory societal attitudes, mindsets with community involvement and engagement of men and boys;
8. Developing a gender sensitive legal-judicial system;
9. Elimination of all forms of violence against women through strengthening of policies, legislations, programs, institutions and community engagement;
10. Development and empowerment of women belonging to the vulnerable and marginalized groups;
11. Building and strengthening stakeholder participation and partnerships for women empowerment;
12. Strengthen monitoring, evaluation, audit and data systems to bridge gender gaps.

8.3.4 International Commitments

India is a part of various International conventions and treaties which are committed to secure equal rights of women. One of the most important among them is the Convention on Elimination of All Forms of Discrimination against Women (CEDAW), ratified by India in 1993. Other



important International instruments for women empowerment are: The Mexico Plan of Action (1975), the Nairobi Forward Looking Strategies (1985), the Beijing Declaration as well as the Platform for Action (1995) and the Outcome Document adopted by the UNGA Session on Gender Equality and Development & Peace for the 21st century, titled "Further actions and initiatives to implement the Beijing Declaration and the Platform for Action". All these have been wholeheartedly endorsed by India for appropriate follow up.

8.3.5 Gender Perspective in World Bank Operations

The document "Mainstreaming Gender in Road Transport: Operational Guidance for World Bank Staff" provides a gender perspective in its operation in the sector. The operational guidelines mentions that different travel and transport needs and constraints are faced by women in terms of access to transport. With limited choices, their number of trips and purpose of trips is also limited, particularly, their access to private motorized modes of transport. Walking is a predominant mode of travel for women as the transport modes are often not available or are too expensive or located too far at inconvenient places.

The World Bank's approach to promoting gender equality makes all staff responsible for ensuring that the Bank's work is responsive to the differing needs, constraints, and interests of males and females in client countries. Gender equality is now a core element of the Bank's strategy to reduce poverty. There is a clear understanding that until women and men have equal capacities, opportunities and voice, the ambitious poverty-reduction agenda set out in the Sustainable Development Goals will be difficult to achieve.

It requires addressing gender gaps and operationalizing the country gender action plan by collecting sex disaggregated data to access gaps and identify interventions in projects. The aim is to strengthen gender analysis and improve gender impacts in operations.

8.4 Gender in UPCRNDP & SH-42

8.4.1 Gender in UPCRNDP

In view of the above, the UPCRNDP has committed to addressing the gender gaps and operationalize the gender action plan by collecting sex disaggregated data to access gaps and identify interventions in projects. The aim is to strengthen gender analysis and improve gender impacts in operations.

There are four components to the project, which are:

Component 1 – Network Improvement

This component includes upgrading (widening and strengthening), maintenance of high priority SH corridors, rehabilitation and resettlement and associated consulting services and goods. One of the key features of this component of the project is Gender actions by way of: (a) Employment opportunities for women, (b) Gender sensitisation, and (c) Grievance redressal mechanism.

Component 2 – Institutional strengthening of PWD

One of the sub-components is Gender assessment. This subcomponent supports recommendation of gender assessment, which will identify gender gaps. It also covers initiatives such as Road User Satisfaction Survey (RUSS) and Grievance Redressal Mechanism (GRM) and utilize the same for assessment of gender gaps, safety and security.



Component 3 – Comprehensive road safety

This component includes three sub-components to be implemented by Home/Police Department, Transport Department and PWD.

Component 4 – Contingent emergency response component

This component would ensure that once a disaster is triggered, funds can be quickly allocated to this component as per exceptions set out by World Bank.

8.4.2 Gender in Project Road (SH-42)

The following sections describes the gender aspects in the project area based on secondary data (Census of India, 2011) of districts through which the project road traverses, Initial Gender Assessment Report, 2019 by Ecorys, and socio-economic survey and consultations conducted among project affected families.

Impact on women

Table 8.1 below shows distribution of women headed households, families, and displaced families. For the successful implementation of any project, it is important that both men and women are made equal partners in all stages of the project.

Table 8.1: Impact on women

Particulars	Nos.
Number of Women Headed Households	68
Number of Women Headed Families	204
Number of Women Headed Displaced Families	2
Number of Project Affected Women (including minors below 18 years)	2541

Source: EGIS Primary Survey 2020

8.4.3 Gender Issues

Women in the project area can be seen working for the labour market and for the household. Some of this work is recognized and remunerated, while household work is not enumerated and remains unpaid. Women's contribution to the household, economy and society goes unrecognized since most of the activities females are involved in do not enter the sphere of the market and remain non-monetized. Most of the work undertaken by women is often interspersed with other household chores, making it difficult to separate the various tasks performed. The perpetuation of gender stereotypes and the social division of labour that typecasts women mainly as workers in the domestic sphere has been the chief barrier to the recognition of women's economic work participation. Non-recognition of women's participation in economic activities is not only an outcome of (a) their work being intertwined with household activities; and (b) being unpaid, making it difficult for enumerators to identify women as workers, but also stems from flawed definitions and the limited scope of economic activity.

The role played by women in the care sector, predominantly their reproductive work (bearing, rearing, nurturing children and household maintenance), falls outside the accounting systems. Many of the tasks non-working women are involved in would be considered work if performed by a person hired for the purpose or unrelated to the household. Because women perform roles, which are not statistically counted as economic and hence not monetarily valued, women's roles and their contribution are assigned a lower status. The role fulfilled by women in household



maintenance and care activities is often trivialized. Assigning monetary value to all the tasks undertaken by them, however, is not very easy.

Female Work Participation Rate and the Gender Gap

The female work participation rate (FWPR) is measured by calculating the proportion of female main plus marginal workers among the female population. Standard definitions of economic activity indicate low rates of FWPR. The gap in work participation rate between males and females is very high. As per census 2011, employment opportunities is much lower for women which restricts their economic empowerment. The work participation rate (WPR) for females is 26.5% and 40.8% in Hamirpur and Jhansi district respectively.

Table 8.2: Gender Gap in Work Participation Rate

District/ State	Female Work Participation Rate (%)	Gender Gap in Work (%)
Hamirpur	26.5	25.5
Jhansi	40.8	27.0
Uttar Pradesh	16.7	30.9

Source: Census of India, 2011

On the whole, FWPR is low, partly as a result of the poor coverage given to women's work, especially in the unorganized sector and partly due to heavy domestic responsibilities that inhibit women's economic activities.

Gender Disparity (Sex Ratio)

Table 8.3: Sex Ratio

Location	Sex Ratio
Hamirpur	858
Jhansi	893
Uttar Pradesh	912

Source: Census of India, 2011

The sex ratio is low in the project districts as compared to the state figure. It is in favour of males in both districts. The sex ratio in Hamirpur and Jhansi is 858 and 893.

Female Literacy Rate

The literacy rate is an important indicator to understand the level of development in the project area. The female literacy rate Hamirpur and Jhansi is 56% and 63% respectively. The gap in male and female literacy rates is significantly high in both districts. It is 24% in Hamirpur district and 22% in Jhansi district.

Table 8.4: Gender Gap in Female Literacy

Location	Female Literacy rate (%)	Gap in Literacy (%)
Hamirpur	55.9	23.9
Jhansi	63.5	21.9
Uttar Pradesh	57.2	20.1

Source: Census of India, 2011



Summary

While women constitute less than male population (4% in Hamirpur district and 3% in Jhansi district, Census 2011) but the gap between males and females in terms of above indicators is significant. Females lag behind their male counterparts in the overall development process. Overall the status of women in project districts as compared to men is significantly less. Marginalization of women was observed during survey and consultation meetings. Women are dependent on male members of the households. The society is male dominated and women have very less role to play. Women members play active role only in the absence of male members. Most women prefer to maintain low profile in consultation meetings or otherwise in presence of male members.

8.4.4 Women's Health

The NFHS III findings highlight that in U.P. 53 percent of the respondent women (between the age of 20-24) were married by the age of 18. While this figure was 30 percent in the urban area, it was a high 60.1 percent in the rural area. 12.4 percent women between the age of 14-19 were already mothers or pregnant at the time of the Survey. Marriage of girls before the legal minimum age of 18 is a widespread phenomenon in Uttar Pradesh. Nearly 49 percent girls are married below the age of 18 years in Uttar Pradesh. Early age of marriage is both the symptom as well as a cause of women's subordination in the society. Girls are married off early for a complex array of causes. Socially and culturally perceived as "parayadhan", premium is put on virginity and therefore restrictive controls are imposed on her mobility and sexuality. Girls are thus seen to be protected from violence in society by an early marriage. The situation in project corridor is no different as mean age of marriage for girls is 16 years.

Women's Role in Household Economy

As can be seen from **Table 8.5** below, women participation in economic activities is almost negligible. The survey result shows that 45% of the women PAPs spend their maximum time attending to household chores. Approximately 17% of the women PAPs reported that they are engaged in economically productive activities.

Table 8.5: Usual Activity of Affected Women

Usual Activity	No.	%
Worker	468	17
Non Worker	249	9
Main Worker	225	8
Marginal Worker	0	0
Student	370	13
Non School going age child	214	8
Home Maker	1228	45
Total	2754	100

Source: Primary Survey 2020

Time Disposition

This section highlights women's involvement in various activities throughout the day. Although particulars like child rearing are difficult to record as women are of the opinion that there is no



fixed time for rearing children. In joint family, (majority of families here are joint families) children are taken care of by any elder member of the family and not necessarily the mother. In nuclear families, even neighbours at time take care of children for some time. In this area among the respondents the maximum time was being spent by the females on household chores like cooking, washing, collection of drinking water, cleaning, cattle rearing etc. Those who are engaged in labour activities (including service in urban areas) on an average spend 6 to 9 hours every day. Women those who help family members in cultivation, on an average spent over 3 hours in a day. The recorded timings for relaxation and entertainment are pretty high because even sleeping time of 8 hours is also included in this. Average time spent by responding women is presented in **Table 8.6**.

Table 8.6: Time Disposition by Women

S. No.	Activities	Number of Women Respondents	Cumulative Time Spent (hours)	Average Time Spent per Women (Hours)
1	Cultivation	189	567	3
2	Allied activities- Dairy / Poultry	210	420	2
3	Collection of drinking water	698	698	1
4	Collection of Fuel	439	1317	3
5	Trade & Business	54	324	6
6	Agricultural Labor	72	576	8
7	Non Agricultural Labor	16	128	8
8	HH Industries	0	0	8
9	Service	9	72	8
10	Households Work	509	4581	9
11	Others	45	180	4

Source: EGIS Primary Survey 2020

Decision Making Power among Women PAPs

During the group discussion, various issues related to household matter were raised viz., their importance in financial matter, child's education, child's health care, purchase of assets, marriages and other functions, etc. As the table above shows majority of women PAPs have said that they do not have any decision making power at household level. One fifth of the total sample respondents have say in important matters viz., child's education, child's health, etc. Little over one-tenth of the women respondents reportedly have say in financial matters of household. However, nearly one fourth reportedly have say in purchase of assets and social functions.

Table 8.7: Decision Making by Women

Activities	Number of Women Respondents	Percent of Women Saying Yes	Percent of Women Saying No
Financial matter	45	22.22	77.78
Child's education	210	18.6	81.4
Healthcare of child	234	12.4	87.6
Purchase of assets	42	22.3	77.7
Day-to-day activities	45	13.9	86.1
Social functions	103	24.6	75.4
Others	15	16.4	83.6

Source: EGIS Primary Survey 2020



8.4.5 Gender Based Violence

According to the NFHS III, 40.2 percent of married women in rural areas and 30.4 percent of women in urban areas have experienced some form or other of spousal violence in India. The survey points out those women who have had education of ten years and more, experience least spousal violence. The survey result shows that 28 percent of ever married women faced some kind of spousal violence. 24 % of women respondent who have faced violence said that violence was physical.

Awareness Generation Campaign

The campaign will specifically address the issues related to gender based violence; women employment; HIV/AIDS; women health; women empowerment; and literacy among women. Apart from door to door approach; awareness campaigns will be through posters; wall paintings; street plays; village consultations; and various competitions among school children. Orientation workshop on gender issues for PWD officials and contractor's staff will also be carried out by NGO to sensitize staff members on gender related issues.

Safety of Women

Women and children are the most affected section of the society when it comes to road accidents and other road related safety issues. Keeping this in mind, road safety has been taken up as a separate component of the project. In order to ensure safety of women and children while using village pond, project will enhance two ponds used by women and children. The enhancement will include constructing steps .

Specific road safety engineering counter measures will be adequately integrated in the engineering designs to reduce the safety risks in hazardous locations and also to provide a safer road environment for all road users especially women and children. Project will improve safety of vulnerable road users through paved shoulders along entire stretches of project roads. Work zone safety standards would be fully integrated in the contract management framework to ensure safety of women workers.

In addition to inclusion of adequate road safety provisions into the program of state highway rehabilitation and widening under the Civil Works Component, there will be programs of systematic, cost-effective safety engineering improvements focusing on: (a) high-risk corridors of the core network based on priorities identified by the International Road Assessment Program (IRAP) survey, and (b) junctions improvements and pedestrian safety. Awareness program will be carried out specifically for women; children and elderly people in the project corridor through partner NGO.

Technical assistance will be provided to the Road Safety Division of PWD to assist the design of safety engineering improvements and to build its capacity, including the preparation of guidelines and manuals and related training programs for PWD staff, and support for specific safety design initiatives undertaken under project Component 1, Civil Works, to systematically address and improve road safety in the planning, design, construction and operation of the UP road network.

Under the Road Safety Component implemented by Police and Transport Departments there will be a state wide road safety media campaign and targeted social marketing campaigns.



8.4.6 Women Involvement in Development Process through Employment

The development experience of at least two decades shows that it is equally necessary to consult women and offer them options in enabling them to make informed choices and decide for their own development. Participation of women has been envisaged specifically in the following areas:

- In the pre-planning and planning stages participation from women could be sought through allowing them taking part in the consultation process. For this, the local level agencies of implementation, i.e. the NGOs have an important role to play.
- Each field team of the NGO shall include at least one women investigator/facilitator
- Compensation for land and assets lost being same for all the affected or displaced families, special care should be taken by the NGOs for women group while implementing the process of acquisition and compensation as well.
- The NGOs should make sure that women are actually taking part in issuance of identify cards, opening accounts in the bank, receiving compensation amounts through cheques in their name or not, etc. This will further widen the perspective of participation by the women in the project implementation.
- Under the entitlement framework there is a number of provisions kept for compensation and assistances towards the losses incurred upon the impacted women headed households by the project. On the other, some provisions, mostly those of the assistances, have been created towards reducing the probable hardship to be experienced by them in the process side by side creating scope for their sustainable socio-economic development.
- The assistances to be provided to women as a vulnerable group is creating alternative livelihood for them to ensure their sustainable socio-economic upliftment.
- The implementing agencies should provide trainings for upgrading the skill in the alternative livelihoods and assist throughout till the beneficiaries start up with production and business.
- Women's participation should be initiated 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, like DWCRA.
- For monitoring and evaluation, there should be scope for women's participation. Monitoring of project inputs concerning benefit to women should involve their participation that will make the process more transparent to them.

Women should be encouraged to evaluate the project outputs from their point of view and their useful suggestions should be noted for taking necessary actions for further modifications in the project creating better and congenial situation for increasing participation from women. All these done in a participatory way may bring fruit to this vulnerable group in an expected way.

8.4.7 Specific Provisions in the Construction Camp for Women

The provisions mentioned under this section will specifically help all the women and children living in the construction camp.



Temporary Housing

During the construction the families of labourers/workers should be provided with residential accommodation suitable to nuclear families.

Health Centre

Health problems of the workers should be taken care of by providing basic health care facilities through health centres temporarily set up for the construction camp. The health centre should have at least a doctor, nurses, General Duty staff, medicines and minimum medical facilities to tackle first-aid requirements or minor accidental cases, linkage with nearest higher order hospital to refer patients of major illnesses or critical cases.

The health centre should have MCW (Mother and Child Welfare) units for treating mothers and children in the camp. Apart from this, the health centre should provide with regular vaccinations required for children.

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. If the construction work involves women in its day-night schedules, then the provision of such a crèche should be made available on a 24-hour basis.

The crèche should be provided with at least a trained ICDS (Integrated Child Development Scheme) worker with 'ayahs' to look after the children. The ICDS worker, preferably women, may take care of the children in a better way and can manage to provide nutritional food (as prescribed in ICDS and provided free of cost by the government) to them. In cases of emergency she, being trained, can tackle the health problems of the children and can organise treatment linking the nearest health centre.

Proper Scheduling of Construction Works

Owing to the demand of a fast construction work it is expected that a 24 hours-long work-schedule would be in operation. Women, especially the mothers with infants should to be exempted from night shifts as far as possible. If unavoidable, crèche facilities in the construction camps must be extended to them in the night shifts too.

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 place of their work. For this at least primary schools are required to be planned in the construction camps. Wherever feasible, day crèche facilities could be extended with primary educational facilities.

Control on Child Labour

Minors i.e., persons below the age of 14 years should be restricted from getting involved in the constructional activities. It will be the responsibility of Environment and Social Cell of PWD and



NGO to ensure that no child labourer is engaged in the activities. The cell would require cooperation of Construction Supervision Consultants for effective monitoring for control on child labour.

Exploitation of young unmarried women is very common in such camps. A strong vigilance mechanism will ensure ceasing of such exploitation.

Project Director on receipt of complaint from Social Specialist or NGO and valid proof may take necessary action as per the Child Labour (Prohibition & Regulation) Act, 1986. Apart from that Project Director may take following actions:

1. Penalty
2. Black listing of the firm

Special Measures for Controlling STD, AIDS

Solitary adult males usually dominate the labour force of construction camps. They play a significant role in spreading sexually transmitted diseases. In the construction camps as well as in the neighbouring areas they are found to indulge in physical relations with different women. This unhealthy sexual behaviour gives rise to STDs and ADIS.

While it is difficult to stop such activities, it is wiser to make provisions for means of controlling the spread of such diseases. Awareness campaigns for the target people, both in the construction camp and neighbouring villages as well, and supply of condoms at concession rate to the male workers may help to large extent in this respect.

Women Participation with Other Stakeholders

It is imperative to bring the issue of women's development in the process of socio-economic uplift within the scope of the SMP for UP PWD. Encouraging women's participation in development projects is policy being followed by the GOI. Involving women meaningfully at all levels of the project therefore, you will show a greater commitment to the nation-wide goals.

Women are involved in the project anyway. However, most of the times, they are on the negatively impacted side. Following is the account of the ways women are affected and/or involved in the project.

- Women constitute almost half of the PAPs.
- It is expected that women labourers will be engaged as contract labourers during the construction period. Experiences (elsewhere in India) show that women constitute 25-40% of the semi-skilled and unskilled workforce in road construction contracts. However, women are seldom, if ever, involved in the road contraction industry at managerial levels.
- Women will be involved in the selection of location of community infrastructure facilities if needs to be relocated or newly constructed. Project through NGO will consult the community during project implementation and especially with the women groups to identify optimum locations to consider costs, maintenance, proximity to households and capacity of community to manage communal facilities.



Possible Areas of Women Involvement

The entitlement Framework includes provisions for participation of, and consultation with women during implementation of the SMP. These provisions are already in place.

Without doubt, women need to be involved in the implementation of the SMP. The other areas of concern to the women and more readily addressed by them will be in managing health and hygiene issues at the construction camps (where there are possibilities of exploitation of women workforce, or children), and in managing the spread of highway related diseases.

However, involvement of women is seen to be more important and as part of the long-term strategy than symbolic in UPSRP. Therefore, certain management positions will need to be occupied by the women in this project.

Gender Assessment and Preparation of Gender Action Plan

This section of the report very briefly provides set of recommendations to inform the strategic gender action plan for intervention and prioritisation of activities. It is to be noted here that this section will be currently dealing with this aspect in a very brief manner and will further firm up the recommendations based on the evidence base gathered from the different studies that are on-going under this assignment. As for the present context, the available body of knowledge illustrate that gender needs should be addressed in transport because of the following factors:

Poor access and control

Women have less access to resources and are economically disadvantaged as far as the access and control over financial resources of their household are concerned. Therefore, affordability is a relevant aspect from their point of view. As a result of this constraint, they tend to take low cost and slower modes of transport.

Different travel patterns and needs

Because of the triple role of women – reproductive, productive and community, women have different needs and different constraints in accessing transport infrastructure and services. It is important to understand a journey of women from her own standpoint.

Women and walking

Besides mass transport, women rely to great extent on walking. Many women travel with children or carry loads on their heads while walking. Physical barriers like lack of shoulders alongside the road, absence and broken footpaths, lack of signage, poor lights etc. create more issues for female caretakers.

Safety and Security Issues

Women are more affected by safety and security issues. Their perception of safety and safety threat differs from men as they frequently encounter harassment when using public space, particularly in accessing public transport. These can be experiences in all the legs of a women's journey. In order to better understand a women's journey, it should be understood in four legs.

1. Heading towards access to public transport



2. Waiting for Public Transport stop
3. Boarding and alighting the vehicle
4. Aboard on the vehicle

When infrastructure and services fail to respond to the specific needs arising during these legs of journey, the freedom of movement of women and girls, their ability to attend schools, health care and participation in community activities got adversely affected.

Elements of a Gender responsive Project design

Planning Gender responsive project

At the outset it needs to be mentioned that for the design of a gender responsive and gender inclusive project in transport sector, gender analysis during planning phase is required.

The Gender Analysis can inform the specific transport needs and concerns of women and men, the constraints to their mobility, access and affordability issues, opportunities and potential risks and integrate them into the project design and implementation. It should aim to:

- Identify key gender issues directly relevant to the intended transport infrastructure and services in a project
- Identify needs and constraints faced by men and women separately with regard to transport
- Identify opportunities to maximise gender benefits and minimise adverse impacts
- Inform gender inclusive design elements while assessing opportunities for gender inclusiveness as well as gender specific vulnerabilities and risks such as HIV/AIDS, human trafficking, Road Safety as well as Infrastructure planning
- Collect sex disaggregated base line information
- Design tools and mechanisms to implement, monitor and evaluate the implementation of the Gender Action Plan.

Gender dialogue with Stakeholders to convince

Gender dialogue may also be necessary in order to convince the transport agencies and partners of the need and rationale of integrating gender in the project design. This is of specific importance because Engineers in the sector may have their focus on the technical elements with limited focus on the users, their needs and constraints.

It also means that the dialogue needs to be established apart from Public Works Department, with various other departments/ agencies such as Transport Department, Women and Child Development, Police, Other externally financed project units, NGOs etc. This will assist in establishing cooperation mechanism with relevant departments within their respective administrative boundaries and functions.

Capacity Development

Thirdly, capacity development on gender in the executing and implementing agencies is needed to develop necessary skills for designing and implementing a gender inclusive and gender responsive project. It is also necessary to build ownership and commitment for the same. Capacity development should be integrated at both levels:



- Supply side including officials, staff of project units and relevant departments
- Demand Side including communities, road users living in the project influence area

Key features of a gender responsive design

The initial gender assessment has identified key features of the gender responsive design. These are:

- Physical features specifically benefitting women
- Livelihood opportunities and how the project can maximise benefit of improved transport connectivity for women with realistic targets
- Measures in planning, design, implementation and monitoring to improve gender equity in project management, civil works and safety provisions.
- Opportunities to ensure that benefits are derived by women from initiatives such as road safety programmes and other awareness trainings
- Employment of women in project works & equal wages recommended.
- Training need on gender in the implementing and executing agencies
- Addressing gender dimensions within risk mitigation such as HIV/ AIDS, Human trafficking awareness, resettlement planning and activities.
- Awareness programme

8.5 Gender Action Plan

Keeping in view the above discussed analysis and key features of a gender responsive design, a Gender Action Plan (**Table 8.8**) has been prepared to include gender equality in the project. It will be implemented over a period of five years i.e. the project duration.

**Table 8.8: Gender Action Plan**

Activity	Indicator & Targets	Responsibility	Methodology	Tentative Budget	Timeline
Component 1: Network Improvement					
1.1. Road upgraded infrastructure incorporate elderly people, women, children and people with disabilities -friendly (EWCD) design and safety measures	1. Road design features friendly to elderly people, women, children and people with disabilities installed at least 40 appropriate locations ² (10 per corridor). E.g., speed bumps, rumble strips, zebra crossings, cautionary and informative signage, guard stone shoulders, and safe sidewalks, pedestrian ways	PMU, PIU, PMC Contractor	1. Road Safety Expert PMC and Engineers/ Technical staff and Contractor to identify the suitable locations.	1. Budget to be estimated by technical staff and contractor and part of civil works	Year 2-3
1.2. EWCD-friendly bus shelters constructed in state highways	2. 100% bus shelters constructed under the project have EWCD-friendly features ³	UPPWD, PMC Panchayat/ ULB	2. Contractor to provide the number and locations of bus shelters to be shifted, provide estimates and construct. PMC to facilitate PIU in a tripartite agreement (PIU, Contractor and Concerned Panchayat/ ULB) for availability of power and maintenance of the bus shelters.	2. Budget to be estimated by technical staff and contractor and part of civil works	Year 3
1.3. Information on women specific schemes, women empowerment and help lines numbers included in bus shelters	3. 100% bus shelters on the project road corridors include information on women specific schemes, women empowerment and helpline numbers	Contractor	3. Contractor to ensure installation of relevant information on bus shelters	3. INR 1,000,000/- @5000/ per bus shelter for IEC (estimated 50 bus shelters per corridors in 4 Corridors of Phase 1)	Year 3

²Identified by the Design Consultants and Contractor³Bus shelters that are to be constructed are not additional but are referred to those which are displaced community structures due to construction



Activity	Indicator & Targets	Responsibility	Methodology	Tentative Budget	Timeline
1.4. Solar light provision included in bus shelters close to educational and health facilities on a pilot basis	4. At least 50% of the bus shelters identified and fitted with solar lights	UPPWD, PMC	4. Contractor and PMC to identify potential locations of bus stops that are displaced and are to be constructed under project. Technical staff PMC to design features including solar lights provision	5. Budget to be estimated by technical staff and contractor and part of civil works	Year 3
Component 2: Institutional Strengthening of PWD					
2.2. Organize training/ workshop on Gender Inclusive Transport (with focus on women's safety along with other gender needs) community engagement and Orientation on Gender Action Plan for UPPWD project staff and consultants and relevant UPHP staff, and Transport department	5. Training Module on Gender Responsive Transport prepared 6. One training organized each year (Target: 3 trainings covering 100 project staff including 90% eligible women project staff in project units)	Gender Expert, ESDC, UPPWD; PMC & NGO	5. UPPWD to explore opportunities of hiring a Gender Expert on intermittent basis in PMC with approx. 10 days input in a month. ⁴ Another option is to have Environment and Social development Expert (ESDC) to implement GAP along with other ESDF tasks ⁵ . Gender Expert / ESDC to develop a training module. Gender Expert to prepare an inventory of staff in project units disaggregated by sex and target eligible staff. 6. Gender Expert/ ESDC to provide the trainings to the intended trainees in	5. Budget provision of Gender Expert with intermittent inputs (20 months over a period of 5 years @ INR 1,50,000/- per month = INR 3,000,000/- 6. INR 75,000/- @ INR 25000/- per training	Year 1 Year 1-3

⁴Option 2: Environment and Social Expert made responsible for GAP implementation⁵Preferred option proposed is to engage a Gender Expert for implementation of GAP.



Activity	Indicator & Targets	Responsibility	Methodology	Tentative Budget	Timeline
2.3 EPC Civil works contracts hire females for at least 30% of the routine maintenance works	7. Contractors provided with an advisory on enhancing female workforce participation in maintenance works , and maintain and report sex disaggregated data on maintenance workers 8. Organise 100 sensitisation programs on road safety and HIV/AIDs in the 4 project corridors with at least 30% women participation 9. 30% of employment opportunities in routine maintenance provided to women	UPPWD ESDC Contractor	7. PIU to send advisory to the Contractors to engage 30% women workforce as per the contract for maintenance and report to ESDC and PMC and PMC and ESDC to include this data in monthly/ quarterly reports for onward submission to World Bank 8. Gender Expert/ ESDC to identify local NGOs to conduct the orientation session. Road safety expert PMC to provide inputs for sensitisation programs 9. Contractor to provide the labour opportunities as per the contract.	7. No Budget Requirement. Cost to be covered from routine maintenance under EPC contract. 8. INR 1,00,000/- @10,000/- per sensitization program	Year 4-5 Year 2-3 Year 4-5
Organize health camps for women at habitations alongside the project roads	10. 10 health camps organized in each corridor for at least 50 persons per health camp targeting 50% women and girls	UPPWD ESDC Contractor	10. ESDC to guide the engaged NGO and coordinate with Contractor in organising health camps. NGO to ensure participation of at least 50% women	10. INR 1,00,000/- @ INR 10,000/- per camp	Year 2-3
2.4 Establishment of Grievance redressal mechanism and Internal complaint Committees	11. Grievance redressal committees (GRCs) established and sex disaggregated data maintained 12. Sex disaggregated data on complaints filed and redressed 13. Internal Complaint Committee as per the	UPPWD Contractor Gender Expert ESDC	11. Contractor to ensure GRCs and maintain sex disaggregated data of complaints. ESDC to assist ESDC Cell at PMU/PIU to monitor	11. No budget required. Inputs of Gender Expert / ESDC required. In case of hiring Gender Expert budget mentioned in	Year 1 Year 1-5 Year 1



Activity	Indicator & Targets	Responsibility	Methodology	Tentative Budget	Timeline
	Sexual Harassment of Women and Workplace (Prevention, Prohibition and redressal Act 2013) established in project units		12. Contractor to ensure functional GRCs and maintain sex disaggregated data of complaints. ESDC to monitor 13. Gender Expert / ESDC to facilitate	item 5. 12. No budget required 13. No budget required	
2.5 Gender Assessment included in Road User Satisfaction Survey	14. Section on Gender assessment included in Road Satisfaction Survey administered and reported	UPPWD ESDC Survey Agency	ESDC consultants to ensure gender inclusive surveys. Handbook on gender Assessment may be used for reference	14. No additional budget. To be covered with Road Satisfaction Surveys	Year 1
2.3. UPPWD oversees implementation, monitoring and reporting of Gender Action Plan (GAP)	15. Gender focal point designated in PMU and PIUs in Year 1 16. Gender specialist consultant is recruited in PMC in Year 1 17. Ensure regular implementation, monitoring, and reporting of GAP implementation based on sex-disaggregated data collection 18. GAP progress monitored regularly and reported every quarter with the project quarterly progress reports 19. Combined GAP completion report highlighting lesson learned and good practices submitted upon project completion.	UPPWD PMC PIU	15. ESDC Coordinator at the ESDC cell at PMU may be the focal person. 16. Gender Expert/ ESDC to monitor GAP implementation and report to PMU for onward submission to World Bank 17. Same as above 18. Same as above	15 to 19 .No budget required	Year 1 Year 1 Year 1-5 Year 1-5 Year 6
Component 3: Comprehensive Road safety					
Sub Component 3 A: Road Safety Initiative by Home/Police					
3.1 Ensure communities' participation in road safety awareness campaigns aligned to the State Road Safety Policy	20. 20 awareness programs conducted in each pilot corridor targeting 50% women and girls	ESDC PMC Road Safety Expert and UPHP Road Safety Cell, Department of Transport	20. ESDC in coordination with PMC Road Safety Expert and UPHP To ensure at least 5 awareness programs in each pilot corridor on road safety awareness preferably distributed	20. INR 1,00,000/- @ INR 50,000/- per program	Year 1-3



Activity	Indicator & Targets	Responsibility	Methodology	Tentative Budget	Timeline
			during construction and post construction		
3.2 Disseminate Women help line number on all public transport vehicles	21. Helpline numbers disseminated on all public transport vehicles	Transport department	21. Gender Expert / ESDC in coordination with Transport department identify nodal person for GAP implementation PMU to communicate with Transport Department to implement dissemination of help line numbers.	21. Lump sum INR 10,00,000/-	Year 1
Sub Component 3 B: Road Safety Initiative by Transport department					
3.3 Standard Operating Procedures (SOP) for preventing and addressing sexual harassment	22. Standard Operating Procedures including:bus contract specification, fitness certificate, licensing, training of bus personnel, special bus passes for women, stop on request , women staff , installation of safety equipment and its functionality in place 23. Vehicles with carrying capacity of more than 20 passengers include safety measures such as panic button, GPS devices, CCTV cameras, Helpline numbers 24. Drivers name, address and license number displayed on vehicle with carrying capacity of more than 20 passengers	Department of Transport	22. Gender Expert /ESDC review existing SOP and draft gender inclusive SOP for approval and dissemination 23. same as above 24. same as above	22 to 24. No additional Budget requirement	Year 1-3 Year 1 Year 1
3.4 Training of drivers and conductors of Public transport buses on gender sensitisation and SOP	25. Training programs organised to cover at least 500 bus drivers and conductors of buses and other public transport	Department of Transport	25. Gender Expert / ESDC to coordinate with DoT and develop training material based on SOPs and organise trainings preferably in 10 batches	25. INR 300,000/- @ INR 30,000/- per training	Year 1-3

Grievances related to SEA/SH will be addressed by project GRM. The social specialist of PMU will be trained to address issues related to SEA/SH. The project also has toll free number to register grievances including anonymous grievances.



9 INCOME RESTORATION

Involuntary resettlement is an inevitable outcome of development-induced displacement. It disrupts sources of livelihood and also affects existing properties, assets, and resources leading to impoverishment. One of the main objectives of the SMP is to restore the income of PAFs, if not enhanced. It is therefore important that the project includes income restoration measures. The upgrading of project road is likely to disrupt the livelihood of several families comprising commercial squatters, kiosks, and land owners. In view of the likely impacts, a training need assessment for income restoration has been included in SMP.

9.1 Training Need Assessment under Income Restoration Activity

The need assessment of the training program for the PAP's is a part of the income restoration and a form of assistance of the livelihood losses that occurred to them due to the project implementation. The main objective of the assessment of the training needs of the PAPs is to enhance their capabilities and capacity and are able earn their livelihood as if they were never impacted at all.

The basic postulates of all developmental activities are that no one is worse off than before the project. Restoration of pre-project levels of income is an important part of rehabilitating socio-economic and cultural systems in affected communities. Development project may have an adverse impact on the income of project-affected persons. They also have a negative impact on the socio- cultural systems of affected communities.

To achieve this goal, preparation of Income Restoration programmes under Social Management Plan has been designed in consultation with the affected PAPs under the technical guidance of UP PWD. The need assessment survey for the training program will be executed after the finalization of the list of PAPs. A rapid assessment survey will be carried out with PAPs for their existing skills and the area in which they look for skill up -gradation. The outcome of the survey will be analysed keeping the following criteria:

- Existing skills the PAPs possess
- Educational qualification of PAPs
- Existing source of livelihood of PAPs
- Area of interest for skill development of PAPs
- Availability of financial institutions for loan
- Major economic activity of the area
- Availability of market

The NGO will work to improve the PAPs economic productive capacity and building up a permanent capacity for self-development. One of the key strategies would be to facilitate the process of forming Self-Help Groups through community mobilization efforts within the overall framework of the project. This will be done through a set of livelihood analysis on the basis of different indicators like backward and forward linkages, raw material, resources, credit, marketing linkages etc. The process will also take care of the convergence of other state and central government programmes for income generation etc.



During the need assessment survey the confidence building of the PAPs is also expected in terms of financial and moral so that after the completion of the training the skill enhanced can be evaluated and quantified.

9.2 Income Restoration Measures under R&R Policy

As per the clause E (6) of the R&R Policy of UPCRNDP, project affected titleholders, non-titleholders, sharecroppers, agricultural labourers and employees whose livelihood are getting affected adversely due to the project are entitled for the training to enhance or at least restore their economic status.

9.3 NGO's role in IR activities

A range of feasible IR options have been developed. IR activities has been generated in consultation with the affected PAPs community. As far as possible, mechanism to dovetail existing government poverty alleviation programmes and credit facilities for PAPs has also been explored. Specifically, the basic activities to be undertaken by the NGO for restoration of income of affected PAPs in the long run are as follows:

- Identification of eligible PAPs
- Identification of available IR activities
- Training Need Assessment (TNA)
- Identification of training agencies
- Arrangement of training
- Training
- Monitoring of PAPs engaged in new vocations

9.3.1 Identification of Eligible PAPs

NGO will ensure that project affected persons, both directly and indirectly, have been covered. A list of eligible PAPs will be sorted out based on verified list prepared during the SMP implementation. NGO will be conducting focus group discussion (FGD) in the affected settlements/ villages, the purpose of meeting in the village will be to inform them about the need of the training.

9.3.2 Identification of IR Activities

The NGO will prepare a list of available/possible and feasible income generation options. It will also identify the government schemes and programmes which can be converted to restore the livelihood of PAPs under the scheme. For this, the NGO will be conducting in-depth interviews with concerned department Officials, District Rural Development Authorities Officials, Manager of Lead Bank of the area to identify various economic activities, (its source of funding and forward and backward linkages) and explored possibilities of available trade in local markets .

While identifying IR options, the following factors have also been considered:

- Education level of PAPs
- Income of PAPs Families



- Skill possession
- Likely economic activities in the post displacement period if any.
- Extent of land left
- Suitability of economic activity to supplement the income
- Market potential and marketing facilities

9.3.3 Training Need Assessment

With draft list of trades, NGO will approach PAPs for one to one consultation to finalize the trade. NGO shall explain the reasons, expected income, input cost, skills required to run the venture and other modalities regarding proposed trades. This may help the PAPs to make an informed decision on selection of trades. With trades finalized, NGO will conduct skill mapping among the PAPs. NGO shall then match the skill possessed and options preferred. If the option preferred does not match with the skill possessed, NGO shall provide required training to the concerned PAP. A structured questionnaire may be filled with eligible persons.

Table 9.1: Identification of Relevant Schemes for Convergence

Sr. No.	Department	Scheme
1	Development Commissioner (Handicrafts), Ministry of Textiles	AmbedkarHastshilpVikasYojana
2	Development Commissioner (Handicrafts), Ministry of Textiles	Mega Cluster
3	Development Commissioner (Handicrafts), Ministry of Textiles	Marketing Support & Services
4	Development Commissioner (Handicrafts), Ministry of Textiles	Research & Development
5	Development Commissioner (Handicrafts), Ministry of Textiles	Rajiv Gandhi ShilpiSwasthyaBimaYojana
6	Development Commissioner (Handicrafts), Ministry of Textiles	AamAdmiBimaYojana
7	Development Commissioner (Handicrafts), Ministry of Textiles	Margin Money Scheme for Artisans under MUDRA Yojna
8	Department of MSME & Export Promotion	MSME Schemes
9	Export Promotion Bureau, GoUP	Export Promotional Schemes
10	MSME Policy – 2017	Department of MSME & Export Promotion, GoUP
11	Infrastructure and Industrial Investment Policy - 2012	Department of MSME & Export Promotion, GoUP
12	ODOP	CFC (Common Facility Centre) Scheme
13	ODOP	Market Development Assistance Scheme
14	ODOP	Finance Assistance Scheme
15	ODOP	Skill Development & Toolkit Distribution Scheme
16	Ministry of Skill Development & Entrepreneurship	Pradhan MantriKaushalVikasYojana (PMKVY)
17	Ministry of Commerce and Industry, Department of Commerce	How to Export (Step by Step Approach)
18	Ministry of Commerce and Industry, Department of Commerce	Foreign Trade Policy

9.3.4 Identification of Trainers & Training Institutes

Based on trades selected by the PAPs, NGO shall identify the master trainers and/or training institutes for different trades / activities.

For selection of trainers, NGO shall consult the following officials:

- PD, DRDA



- GM, DIC and KVIC
- Representatives of various departments such as agriculture; minor irrigation; animal husbandry; Agriculture University, ATI Training Institute.
- District Dairy Development Board
- Manager, Lead Bank

Apart from these officials, NGO depending upon the trades may also consult individual trainers, private institutes, government departments, local NGO, etc. Since these departments also provide training under various schemes, consultation with these agencies will help NGO to identify and finalize the trainers.

- NGO will inform PAPs and trainer/training institutes at least a week in advance about the venue, date and time of training.
- NGO will also make arrangements for lodging, boarding and transportation of the PAPs, if required.

9.3.5 Conduction of Training

One of the strategies for economic sustenance of the PAPs is to help them improve their productive capability by imparting new skills/upgrade skills through training. Generally PAPs are either dependent on agriculture or have low skill endowment. Hence, training becomes an important component of IR. For PAPs who intend to diversify their economic activity, suitable income restoration schemes may be identified on individual or group basis and training needs may be assessed accordingly. Besides, training in scheme specific skills, general entrepreneurship development shall also form part of the training programme, mainly to improve the management capabilities of PAPs.

9.3.6 Monitoring of PAPs

After providing training and required raw material for starting new avocation, NGO may shall monitor the PAPs in order to take mid-term correction measures, if required. The broad aspects to be monitored are:

- Comfort level of PAPs in new activity
- Interest shown by PAPs
- Marketability; and
- Income accrued

9.4 The Framework of the Training Programme

The training need assessment (TNA) survey shall be conducted by the NGO. Based on the TNA survey, NGO shall (i) prepare the list of all eligible PAPs and share it with UPPWD and PMC; and.(ii) submit a proposal for conducting the training including the budget (as per the provisions mentioned in the entitlement matrix of R&R Policy of UPCRNPD) to PWD for review and approval. The proposal should detail out the trades to be covered and mechanism to deliver the training. As regard to resource persons, NGO may engage an external agency/ individual depending on the trade selected or may depute in-house staff to deliver the training. The resource persons proposed should be qualified trainers and should be named in the proposal. Fifty percent (50%)



of the training budget shall be released by PWD to the NGO after the approval of the proposal. The balance 50%: shall be released after the completion of the training programme. The estimated budget for conducting training for PAPs has been included in the Resettlement Action Plan which will be over and above of the consultancy fee for engaging the services of the NGO.

Training is a vital input, which reinforces entrepreneurship and resource use efficiency leading to employment, income generation, savings, poverty alleviation and prosperity boosting. Training should be need oriented, job specific, and time tested and purpose solving. It should be imparted through the phases of need assessment, orientation, vocational skills up gradation, marketing, convergence with Line departments and skills of team spirit and presentations. The duration of training will be utilized as under.

- Introduction and orientation
 - Condensed skill upgrading course
 - Marketing skills upgradation
 - Convergence with Line departments and financial institutions
 - Preparation, presentation & submission of feedback
- **Orientation:** *introduction and orientation* will be done for all trainees by rich experienced professionals, UP PWD, PMC as well as NGO so that brain storming could be done. Brief information will also be imparted to the participants about the importance & status of the project and purpose of the training being imparted to them. Their extant status should also be taken into consideration. **Participants will also be explained** about the role of facilitation by all stakeholders of the Project. The participants will be apprised about the distinguished achievements after training under the Project and will be motivated for swimming and sailing in adverse circumstances.
- **Condensed Skill up gradation Training:** *Skill up gradation is the exclusive* foundation on which any number of success stories can be hatched. Therefore, short duration courses modules will be designed for each segment of trainees. The course module shall contain full view of the theoretical & practical aspects of a particular activity and it will be in such a way that the participants feel associated, involved and upgraded. The trainers with rich experience in respective fields will be given the command of the courses and their field visits will enhance the confidence of trainees through "**Seeing is believing and learning by doing**". The course modules may be from agriculture sector, industry sector or trade and services sector. Modern teaching aids like Black Board, Projector, Mike, Television or case exercises will form the part of training.
- **Marketing:** *In the globalized commercial wave marketing* has become a nucleus for each activity. Marketing intelligence should not remain untouched for any trainee participant. Market survey, research, practices and approaches will be explained in detail. Brief information on local, state&interstate marketing skills will be given including some exposure on Trade Organisation (TO). Field marketing will also be taught in the field itself so that trainees could become confident & more vibrant for their carrier.
- **Convergence with Line Departments:** *Dovetailing & Convergence of any programme* for socio economic development has now become necessity. The apex development authorities at national level are persuading for and promotion of dovetailing and



convergence of their programme. There are several departments at Block, Tahsil & District level which provide effective institutional support for reinforcing forward & backward linkages. Trainees will be given full opportunity of knowing about the names and programmes of various departments, which can add value to their activity through promotion of benefits or reduction of potential losses. Financial institutions will also be given details for available loan facility and procedures.

- **Report writing & Presentation:** *Each trainee must know the art* of documentation so that he can write & present his achievements in proper way at proper time before authorities. Since it will be a group assignment, therefore the trainees will be exposed for team spirit and effective vertical and horizontal learning. They will also be exposed fearless & fair feedback which will be useful in strengthening for future programmes. It will help them to make their own project reports as required by any financial Institution.



10 INSTITUTIONAL ARRANGEMENTS

10.1 Background

Institutions for planning and implementation of resettlement programs are numerous and vary substantially in terms of their respective roles and capacity to successfully carry out various components. Timely establishment and involvement of appropriate R and R institutions would significantly facilitate achievement of the objectives of the R&R Program. This document reflects an institutional assessment and provides a strategy for developing required implementation capacity and minimizing risks. Capacity building and training are coordinated with the project implementation schedule to ensure that skilled staff is available to implement the SMP without delay in civil works. The main R&R institutions would include:

- Official Agencies
 - PWD
 - World Bank
 - Local Administration
- Line Departments
- NGO/CBO
- Training Institutions
- Grievance Redress Cell
- Monitoring & Evaluation Agency

10.2 The Process

PWD will focus effort in three critical areas to commence SMP implementation:

- (a) To initiate the process, orientation and awareness seminars will be organised for the PWD and other SMP implementers
- (b) To establish a Environment, Social Development and Resettlement Cell (Refer Organogram)
- (c) NGOs with experience in social development and a track record in resettlement and rehabilitation will be partners in SMP implementation.
- (d) To establish Coordination Committee with representatives from local self-government, PAPs and implementing NGO. The objective of this committee is to coordinate between various implementing agencies.

In addition PMC will provide technical assistance in resettlement and rehabilitation planning during the project implementation including SMP. The institutional context of resettlement in the project is reviewed below and major features of SMP implementation are described in sections that follow.

Effective SMP implementation will require institutional relationships and responsibilities, rapid organizational development and collaborative efforts by PWD, State Government, partner NGO and affected population. The ESDC should have representation of other line departments viz., revenue, forest, public health, rural engineering, etc. The responsibility of co-ordination lies with R&R Coordinator. The ESDC will establish operational links within PWD and with other agencies of



government involved in project-induced resettlement. It will bridge the distance between the project and project affected persons and communities. It will provide the means and mechanisms for coordinating the delivery of the compensation and assistance entitled to those who will suffer loss. ESDC will link the project with state government agencies, provide liaison with PWD field units and impacted communities, establish district level committees to co-ordinate social development and resettlement operations in the field and also to assist NGO partners. It will also engage required training services, oversee a grievance redress process and actively monitor SMP implementation.

On behalf of PWD, the ESDC will assume the responsibility for representing the social impact and resettlement components of the project for environment clearance. The ESDC will also be responsible for disseminating this information to the public and providing additional opportunities for public comment.

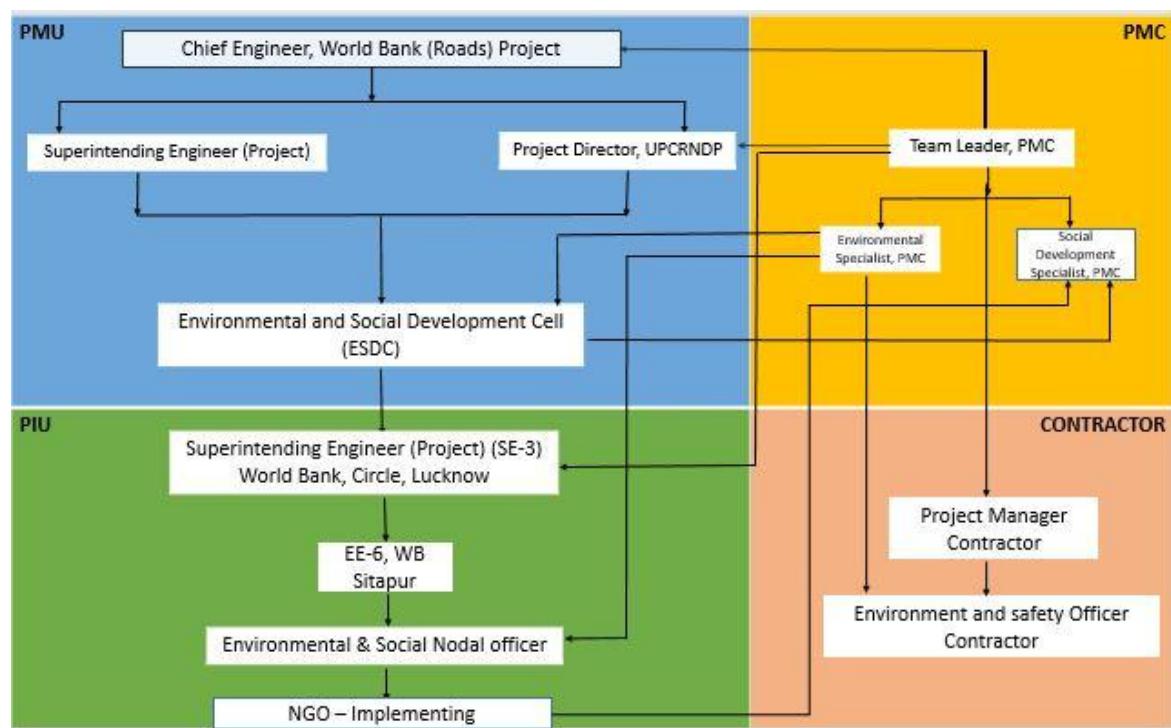


Figure 10.1: Organization Structure of Project Implementation Unit for UPCRNDP

Note:

1. The Assistant Engineer and Junior Engineer in the division in charge of the subsection of the corridor will also be in charge of social (SMP) and Environment (EMP) issues.
2. The senior most assistant engineer in the division will be overall in charge of the internal monitoring of social and environmental issues in the division as a whole and will report to the Head office.

Among government agencies, the revenue department will have the most important role. While the responsibility for land acquisition and payment of compensation for land acquired (including properties there on) lies with the Revenue Department, the ESDC has to assume responsibility for co-ordinating various matters with the Revenue Department so that both physical possession of land acquired and payment of compensation is not unduly delayed. The responsibility for income



restoration and replacement of common property resources would fully be with the ESDC along with the SMP implementation agency (NGO).

The ESDC will be consisting of Project Director, R&R and Environmental Coordinators of PWD (of the rank of Assistant Engineer) other officers of PWD responsible for implementation of SMP at district level. The ESDC will have a flat organisational structure with the subject matter specialist working nearly independently under the supervision of a location specific coordinator. Since the Revenue Department has district – wise jurisdiction, the coordinators can also be appointed for each district. The structure of the staffing will be at two levels;

- (1) ESDC with three people, PD, UPPWD as head, R&R and Environmental Coordinators of PWD and their district level counterparts.
- (2) In each contract, the R&R and Environmental coordinators of PWD will be assisted by their counterparts from districts.

This district-wise separation can be maintained for all issues so that proper co-ordination can be done with the concerned authorities. Land acquisition details and Social Management Plans should also be segregated district-wise for all road stretches. The district ESDC Coordinator can be given the necessary mandate for proper and adequate coordination with all authorities. It is necessary that the ESDC be staffed in all concerned districts upon completion of the census and socio-economic survey so that the ESDC can be involved in the consultation and counselling Phase itself.

Table 10.1: ESDC Staff Responsibilities

Position	Responsibilities
PD, UP PWD(WB) as Head of ESDC	Co-ordination of all activities of ESDC with PWD and other government agencies. Will be holding review meeting every month.
Assistant Engineers of PWD (2-Environment, 2-Social, 1- LA) at Head Office	Reports to Head, ESDC; Will act as ears and eyes of Head, PWD. Will collate reports from field, monitor progress, prepare monthly reports, catalyst between field staff and head office
Field Staff of PWD at Circle/Division level	Oversee Construction; attend to social and environmental issues including permission and Liaisoning with line departments, shifting of utilities in consultation with concerned departments, facilitating land acquisition
Non-Government Organisation	Will be grass root level worker actually dealing with PAP; develop rapport with the PAPs; conduct a sample survey among them, help in skill upgradation, facilitate purchase of land for PAPs, help in negotiation, help PAPs in obtaining benefits under entitlement framework and appropriate government schemes, help in creating awareness among truckers on highways and design methods / measures prevention of same.
Supervision Consultant	<ol style="list-style-type: none">a) To monitor the activities of NGO for implementing SMP and conducting awareness trainingb) Ensuring timely disbursement of compensation as per R&R policy of the projectc) To ensure that the activities of R&R is completed before start of civil worksd) Maintenance of documents and records of disbursement of compensation, and other activities related to R&Re) coordination with competent authorityf) Review of all the reports on social and R&R issues at Project levelg) To develop methodology and formats for concurrent monitoringh) To ensure that deployment of professionals by NGO is as agreed in their



Position	Responsibilities
	technical proposal. i) Based on available information, prepare baseline monitoring indicators j) To provide on the job training to NGO and PWD project staff and guide them on SMP implementation k) To ensure that PWD / NGO adheres to the agreed time-plan during implementation l) To ensure proper documentation of NGO (i) documentation of socioeconomic data; (ii) preparation of micro plans; (iii) documentation of consultations; (iv) documentation of GRC meetings; (v) NGO's monthly progress reports; and (vi) skill mapping and income restoration activities
District Level Committee	Announcement of awards; assistance; negotiation with respect to award, land, etc.; Co-ordinate with local government offices; field office of PWD, line departments and other government agencies; provide venue for dissemination of project information, public consultation and public hearings of Government of India.
Grievance Redressal Cell	Provide support to EP on problems arising out of LA/property, prioritise cases for which support is to be given, keep the EPS apprised about the development, and inform PWD of serious cases within an appropriate time frame.
Contractor	Will carry out execution as required by the EMP; will monitor the pollution sources on site; will construct mitigation and enhancement measures

10.3 Implementation Responsibility

It is the responsibility of the PWD to ensure that the SMP is successfully implemented in a timely manner. The detailed roles and responsibilities of the Project Director and Social Specialist, PWD are given in **Table 10.2**.

Table 10.2: Roles and Responsibilities

Implementation Staff	Roles and Responsibilities
Project Director, PWD	<ul style="list-style-type: none">Overall responsibilities for land acquisition and implementation of R&R activities, GAP and GBVMake budgetary provisions for all above activitiesLiaison with district administration for land acquisition and implementation of SMPParticipate in state and district level committee meetingsFinalisation of ToR for engaging services of NGO for SMP implementation and external agency for monitoring and evaluationOrganise training for PWD members and NGO for capacity building to implement the SMPFinalisation of ToR for any studies required and qualitative dimensions to the implementation of SMPFacilitate appointment of consultants to carry out the studies and co-ordinate them.Monitor financial progress on SMP implementation
Social Specialist, PWD	<ul style="list-style-type: none">Co-ordinate with district administration and NGO responsible for SMP implementationTranslation of R&R policy in HindiPrepare pamphlets on policy for information disseminationPrint policy and identity cards for PAPsEnsure that contractors has paid the mutually agreed amount to the landowner for borrow pits.



Implementation Staff	Roles and Responsibilities
	<ul style="list-style-type: none">To 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 requiredEnsure that land acquisition plan as per the alignment is submitted to district administration for acquisition, once verified at site.Participate in allotment of residential and commercial plots, if anyLiaison with district administration for dovetailing of government schemes for Income Restoration SchemesCo-ordinate with NGO appointed for implementation of SMPEnsure inclusion of PAPs who might not have been covered during the census surveyFacilitate opening of joint account in local banks for transfer of R&R assistance to PAPs.Monitor physical progress of SMP implementation including physical shifting of PAPsParticipate in every district level meetingsPrepare monthly progress reportOrganise by-monthly meetings with NGO to review the progress of R&RImplement GAP

10.4 Implementation Support

10.4.1 Need for NGO

The relocation disturbs the present activities of PAPs and therefore there is a need to establish and stabilise their economic living. While all tasks relating to Land Acquisition is taken care by the Land Acquisition Officer and his staff, the implementation of SMP is the responsibility of the ESDC under PWD. The NGO will help in implementing various components of the SMP, particularly the use of compensation and rehabilitation assistance for more productive purposes like purchase of land, self-employment, etc. Its involvement is all the more important since there are no social community organisations among the PAPs which otherwise could have taken lead in this regard.

Being new to the area of working with PAPs, the selected NGO will have to work directly under the ESDC Co-ordinator who will be defector in charge for implementation of SMP. Thus implementation becomes joint responsibility of PWD and NGO. Developing rapport with the PAPs is one of the responsibilities of the NGO as specified in the TOR. In order to do so, NGO will hold regular community meetings and will also carry out door to door interaction with the PAPs. Whereas community meetings will include both PAPs as well as those who is not adversely affected, additional emphasis will be made for vulnerable community members in door to door interaction.

10.4.2 Tasks of NGO

Resettlement relates to human aspects and economic rehabilitation requires human resources development consisting of education, training, awareness generation, etc. In absence of any sociologist / anthropologist, NGO will be involved to assist PWD in implementation of SMP. The NGO will help educating PAPs on the proper utilisation of compensation and rehabilitation grant and help them in getting financial assistance, if required, under various subsidy related



development programmes. It will also organise training programmes to impart required skill for such PAPs who would prefer to go for self-employment schemes. Various tasks to be carried out by the NGO are given below.

Implementation Partner	Tasks
NGO	<ul style="list-style-type: none">• Develop rapport with PAPs and make easy access between the PWD and PAPs• Verification of PAFs listed out in SMP• Conduct consultations with PAPs and describe the eligibility criteria, entitlements, mitigation measures adopted to eliminate the feeling of insecurity among the PAPs• Post consultations distribute pamphlets of R&R policy• Assist PAPs with regard to their concerns and issues related to project implementation• Co-ordinate with Social Specialistto implement SMP activities• Assist Social Specialist in organising public information campaign at the commencement of R&R activities• Prepare micro plans based on verification and eligibility criteria and submit to PWD for approval and thereafter disbursement for economic rehabilitation of PAFs• Assist the PAPs in opening of bank accounts (if not available already) for receiving compensation, R&R assistance, and support vulnerable PAPs so that they get their dues in time• Prepare project specific identity card of entitled person, get it counter signed by PWD and distribute to entitled persons• Participate in the meetings organised by PWD• Submit monthly progress reports covering progress of various activities conducted during the current month and cumulative progress• Accompany and represent the EPs at the Grievance Committee meeting• Assist PAPs in taking advantage of the existing government housing schemes, employment and training schemes, and other development programmes that are selected for use during the project• Generate awareness about the alternate livelihood options and their viability, the resource base and other opportunities to enable the PAPs to make informed choices and participate in their own development.• Conduct awareness campaigns regarding HIV/AIDS among truckers and CSWs along with regular campaigns• Enable PAPs to identify the alternate sites for relocation• Participate in consultation process for allotment of residential and commercial plots• Ensure preparation of resettlement sites as per the guidelines laid in the policy complete with basic facilities• Identify training needs of PAPs for income generating activities and ensure 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.• Ensure the women headed households and other groups of vulnerable



Implementation Partner	Tasks
	<p>PAPs are given their dues both for payment of compensation and rehabilitation assistance.</p> <ul style="list-style-type: none">• Implement other actions under GAP• Assess the level of skills and efficiency in pursuing economic activities, identify needs for training and organise programmes either to improve the efficiency and/or to impart new skills.• Motivate and guide PAP for proper utilisation of benefits under R&R policy provisions;• Assist PAPs in purchase of agriculture land in negotiating price and settling at a reasonable price or expedite the same through Land Purchase Committee.• Assist PAPs in increasing their farm income through provision of irrigation facility or improving farm practices, and• Facilitate marketing of produce particularly those under self-employment activities.• Carry out other responsibilities as required for the SMP implementation as per the direction of PWD

In the context of implementing of SMP, it is important that NGO, which is genuine and committed to the task entrusted, is selected. An NGO with local presence is, however, more suitable hence would be preferred. The NGO may be contracted on specified terms and conditions with proper fixation of financial accountability. The payment to NGO will be linked to the performance of the task assigned and the time period. The payment will be arranged on quarterly basis to be released on certification of completing the previous task. The monitoring of R&R programme will also include the performance of NGO. The NGO services will be required for implementation period for which provisions have been provided in the plan.

Simultaneously steps can be taken for promoting location specific Community Based Organisations (CBOs) of PAPs to handle resettlement planning, implementation and monitoring. These groups can be promoted for each adversely affected settlement/villages or a group of contagious villages. Until and unless sufficient institutional capacity is built amongst the PAPs, so that they can act and react as a group, participatory planning and implementation of good re-establishment solutions is nearly impossible.

Resettlement negotiation, if carried out individually with all displaced families, is both uneven and time consuming. It favours the good bargainers over the bad bargainers and as bargaining capacity is directly related to income levels – favours the more affluent over the poorer and more vulnerable sections of the displaced population. This can be minimised by organising homogenous groups of displaced persons to handle resettlement negotiations together with participatory planning and implementation of re-establishment solutions. The terms of reference for hiring of NGO are attached as **Annexure – 10.1**.

The engagement of NGO should be mobilized in sufficient advance time before the start of construction works and the services of NGO should cover the entire time period of civil construction works.



10.4.3 Other Project Partners

The roles and responsibilities of other project partners at different stages of the project is summarized below in **Table 10.3**.

Table 10.3: Summary of Role and Responsibilities of Other Project Partners in Various Stages of Project

Project Stage	PAPs and Representative	NGOs	Local officials (in PAP and host areas)	Hosts
Identification	<ul style="list-style-type: none">• Receive information on project impacts• Representative on coordination committee• Participate in census surveys• Participation in structured consultations to develop IG programs• Keep records of consultations• Choose resettlement locations or housing schemes• Inputs to design of resettlement locations• Representation on grievance tribunal	<ul style="list-style-type: none">• Design and carry out information campaign• Assist in census and Socio-economic survey• Participate on Coordination Committee• Participate in consultations• Representation on grievance tribunal• Train VRWs where required• Facilitate PAP inter group meetings	<ul style="list-style-type: none">• Assist in census and socio-economic surveys• Assist NGO in information dissemination• Participate in and arrange consultations• Arrange PAP transport to sites• Help to document consultations• Support VRWs work• Examine feasibility of IG programmes and discuss with PAPs	<ul style="list-style-type: none">• Provide information and inputs to design of IG programs• Identify existing credit and IG schemes• Discuss areas of possible conflict with PAPs
Implementation	<ul style="list-style-type: none">• Monitor provision of entitlements• Labour and other input at site• Credit and other group scheme management• O&M of sites and project input• Management of common property resources• Manage common property resources and community development funds• Member of implementation committee	<ul style="list-style-type: none">• Provide on-going information for PAPs and hosts• Provide support in group management• Monitor entitlement provision and implementation of IG programmes• Members of implementation committee	<ul style="list-style-type: none">• Process IG proposals• Participate in grievance redress• Provide assistance under local schemes• Membership of implementation committee• Process documents for welfare and socio-economic services (ration card, BPL card)	<ul style="list-style-type: none">• Assist PAPs in use of new production systems• Form joint management groups for common resources



Project Stage	PAPs and Representative	NGOs	Local officials (in PAP and host areas)	Hosts
Monitoring and Evaluation	<ul style="list-style-type: none">Participate in grievance redress processReport to project on IG schemesReport on service quality at sites	<ul style="list-style-type: none">Provide information to project staff on vulnerable groupsAct as external monitors for project (where not previously involved)	<ul style="list-style-type: none">Ongoing interaction with PAPs to identify problems in IG programsParticipants in correctional strategies	<ul style="list-style-type: none">Provide inputs to M&E of R&R

10.5 Community Participation in the Implementation of SMP

The institutional arrangement as explained in R&R policy already provides the continued involvement of the communities, especially the project-affected and the project-displaced persons in implementation of the SMP. The PWD will ensure:

- The stakeholders are consulted at every stage of project
- The women perception is built into the SMP implementation plan
- The host community is consulted so that community assets are optimised and enhanced
- The PAPs participate in ensuring creation of community assets, and the upkeep and maintenance of assets created by the project
- An institutional mechanism is evolved involving the people, the *Gram Panchayats* and the formal and informal peoples' committees to ensure sustainability of the process of development, beyond the SMP implementation period.

10.6 Training and Capacity Building

Establishing sufficient implementation capacity to launch and carry out those components of project resettlement that must be completed before civil works. Project in order to enhance the capabilities of ESDC staff on exposure visits to other projects with good resettlement programs as well as sponsored for training courses in Resettlement and Rehabilitation (R&R). If required, select NGO staff can also be send for exposure visits and training. This is the responsibility of the project. The training would also cover techniques in conducting participatory rural appraisal for micro planning, conducting census and socio-economic surveys, dissemination of information, community consultation and progress monitoring and evaluation.

Training Modules:

Following training modules will be followed during initial and repeat training sessions of UPPWD staff (both at head office and at field level) and NGO staff.

- Overview of social issues in UPCRNDP: Social issues; methodology followed for SIA; entitlement framework and detailed R&R policy
- Land Acquisition: Legal and operational issues; RFCLARR Act 2013; Resettlement: Issues pertaining to planning and preparation for relocation; implementation issues; factors necessary for identification and finalisation of resettlement area.
- Rehabilitation: Issues in economic rehabilitation; factors necessary for identification and finalisation of alternative economic rehabilitation schemes; training needs.



- Public Consultations: Issues to be discussed during various stages of project viz., preparation, implementation and post implementation; public consultation in project delivery; techniques of public consultations.
- Social Impact Assessment: Definition; steps; output; required surveys viz., screening, census, socio-economic, verification, etc.; issues to look at for preparation of entitlement framework; institutional capacity.

10.7 Areas of Capacity Building

Women Participation

It is imperative to bring the issue of women's development in the process of socio-economic uplift within the scope of SMP. Encouraging women's participation in development projects is a policy being followed by Government of India. Involving women meaningfully at all levels of the project will show greater commitment to the nationwide goals. Women constitute over two fifth of the total affected population, though number of women headed families are very few in Phase II road.

Possible areas of Women involvement include managing health and hygiene issues at the construction camps and in controlling the spread of highway diseases. Similarly, it may be specified in the Terms of Reference of NGO contracted for the implementation to have at least 33% of the total person months for women. A similar provision can be made in the TOR of external agency appointed for monitoring of SMP implementation.



11 GRIEVANCE REDRESS MECHANISM

11.1 Need for Grievance Redress Mechanism

There is a provision for redress of grievances of PAPs in all aspects relating to Land Acquisition (LA) and payment of compensation in Social Management Plan. Various provision under LA act enable aggrieved EPs at different stages of LA to represent their cases to Land Acquisition Officer or even refer to court for redress and seek higher compensation. It is suggested that LAO & RRO should hold a meeting at a fixed date every month to hear the grievances of EPs. Moreover, *Lok Adalats* can be held for quick disposals of cases.

However, R&R policy of Government of Uttar Pradesh has a provision of Grievance Redress Committee to be headed by District Magistrate of respective districts.

11.2 Introduction

As agreed in the Project Appraisal Document (PAD) of World Bank and ESMF, an Integrated Grievance Redress Mechanism (IGRM) has been established under UPCRNDP with the aim to settle as many disputes as possible through consultations. So that the grievances/disputes arises under the project shall be addressed mainly through consultations between project authority and the complainants which results less litigations and can save time as well.

Grievances can also be lodged online in the World Bank's Grievance Redress Services (GRS) i.e. World Bank's Independent Inspection Panel and World Bank's Corporate Grievance Redress Services at www.inspectionpanel.org and <http://www.worldbank.org/en/projects-operations/products-and-services/grievance-redress-service> respectively.

The community / beneficiaries / project affected persons have the option to lodge the grievance to the Hon'ble Chief Minister's Jansunwai-Samadhan at www.jansunwai.up.nic.in.

11.3 Grievance Redress Cell Setup under ESDC

As a part of IGRM (Integrated GRM), a Grievance Redress Cell (GRC) has been set up at the district level. The members of GRC are Social & Environment Experts of PMU, Social and Environment Officer of PIU (Assistant Engineers of PIU's have been designated Social and Environment Officer under the project, to look after the social and environment components of their respective jurisdiction), two representatives from community/beneficiary/affected person, Contractor's representative and a representative of NGO. The Executive Engineer of respective road section is the Chairperson of the Cell.

Social Expert of PMU is the Nodal and is responsible for overall activities required for successful functioning of Grievance Redress Mechanism under UPCRNDP. The website of UPCRNDP has the name and number of Social Expert (Name-PN ROY, Mobile No. 9779117558); the toll free number (18001215707), the website address (www.upcrndp.gov.in) and also the complete details of hearings imparted under GRM. The GRC has been already established under the Project.



Further, the Social Expert will be responsible for all kind of grievances including SEA/SH. The service providers will be approached on case to case basis if required. The NGO contracted for RAP implementation will conduct awareness generation camps in and around the hotspots areas for the community members and in the labour camps for labourers and staff members of contractor.

The GRC has already been established under the project.

11.4 The Functions of the GRC

(a) record the grievances and prioritize them; (b) to redress grievances of community / beneficiaries / project affected persons (PAPs) in all respects; (c) if required, may undertake site visits; (d) continuous update be provided to aggrieved party about development of their case; (e) inform their decision/verdict in writing to PMU, PIU of UPCRDP and aggrieved party as well.

GRC will only deal/hear the issues related to social & environment, construction and individual grievances and will give its decision/verdict in writing within 15 days after hearing the aggrieved person.

11.5 Registration of Grievance

The complainant/aggrieved party can register their grievances in various mediums e.g. including in person, in written form to any of the address of UPPWD, Contractor, NGO, PMC etc., through a direct call to concerned officials, web-based complaints, dedicated toll-free telephone line (A dedicated toll-free number has already been working under the established grievance redress system of UPPWD which is being used for the project, the toll free No. is 18001215707), written complaints on complaint register available at Office of the PIUs, NGO Office, contractor's office, information kiosks etc. The grievance can also be registered through PMIS.

11.6 Methodology

Any complaint registered using combination of various mediums as described above will be forwarded to Social Expert of PMU on same day. Based on the nature of the complaint, Social Expert of PMU will decide members required for hearing of the grievance and will call the meeting of GRC within three working days. The GRC has to be completed hearing and give its decision/verdict within 15 working days.

However, the community / beneficiaries / project affected persons will have the option to approach court / judiciary in case he or she is not satisfied with the verdict given under GRC or Jansunwai-Samadhan or World Bank's Grievance Redress Services.



DIAGRAMATIC OVERVIEW: Grievance Redressal Mechanism

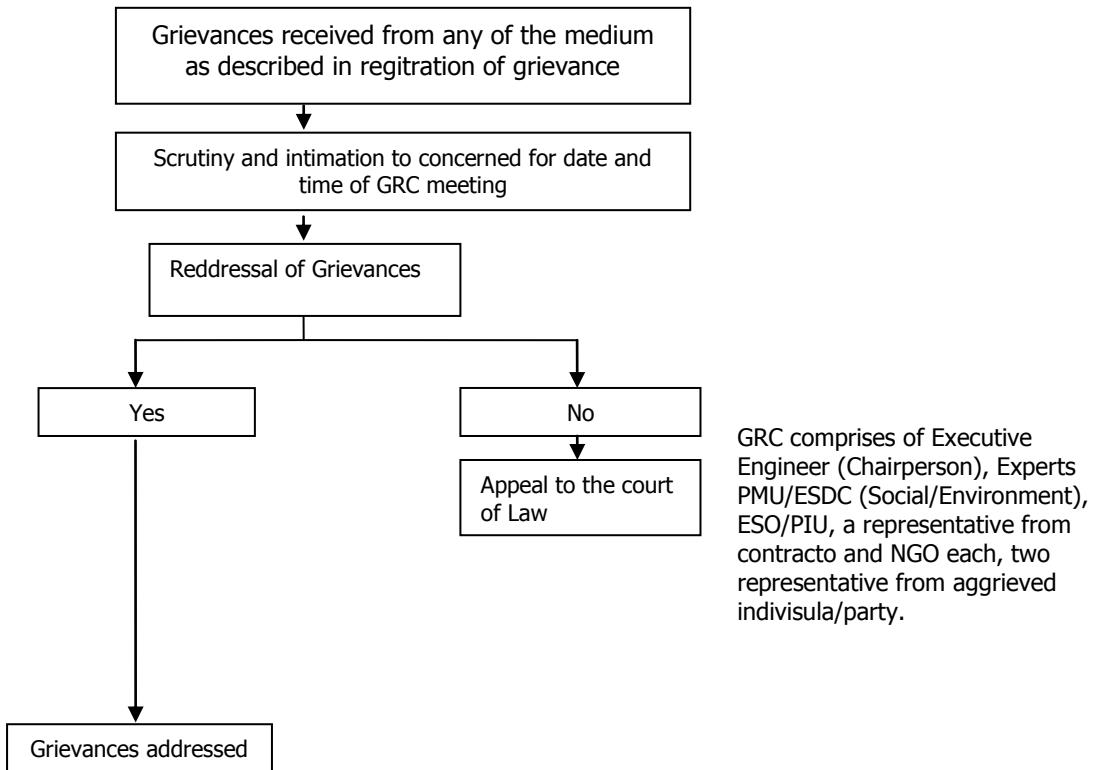


Figure 11.1: Levels of Grievance Redressal



12 MONITORING AND EVALUATION

12.1 Introduction

Monitoring and Evaluation (M&E) are critical activities in involuntary resettlement. Monitoring involves periodic checking to ascertain whether activities are going according to the plan. The objectives of monitoring are to provide the Project Authority with feedback on SMP implementation and to identify problems as early as possible to allow timely adjustment of implementation arrangement, schedule, etc. Evaluation on the other hand is essentially a summing up, the end of the project assessment of whether the implementation of R&R activities actually achieved the intended objectives. Thus the overall purpose of monitoring & evaluation will be to keep track of the SMP implementation process, progress, learning lessons, and taking corrective actions to deal with emerging constraints and issues and fulfillment of project objectives.

Monitoring and Evaluation will focus on the effectiveness of SMP implementation, covering the progress of land acquisition and rehabilitation and resettlement activities, payment of compensation, the effectiveness of public consultation, and participation activities, the sustainability of income restoration, etc. It includes the following:

- (i) performance monitoring,
- (ii) impact monitoring; and
- (iii) end term evaluation or completion audit.

12.2 Institutional Arrangement for M & E

The Resettlement Policy Framework (RPF) stipulates the provision of Social Specialist, Environment & Social Development Cell (ESDC), PWD, and engagement of an external agency (third party) for monitoring and evaluation of SMP implementation. The Social Specialist has been already engaged by PWD. The M&E consultant will be engaged in the due course of the project.

Monitoring will be undertaken both internally and externally whereas the evaluation will be undertaken by the external agency. The Social Specialist, ESDC on monthly basis will carry out the internal monitoring of SMP implementation whereas the external agency will conduct quarterly monitoring and mid-term and end-term evaluation of the project. The external agency will carry out monitoring and evaluation as per the terms of reference. It will start from the first quarter of the mobilization of the SMP implementation agency i.e., on a quarterly basis after the mobilisation of the SMP implementation agency.

12.3 Performance Monitoring

Performance monitoring will be carried out to mainly track the achievement in measurable terms against the set targets. It will cover the physical and financial progress of land acquisition, rehabilitation and resettlement activities, and other associated activities against the milestones set out in the SMP. The SMP implementation agency will provide required inputs and assistance at the site for the preparation of monthly and quarterly monitoring reports. These reports will be submitted to the Project Director for review and guidance. Quarterly monitoring reports submitted



by external monitor shall also be submitted to the World Bank for review and observations. Based on the observations of the World Bank, the Project Director will issue instructions for any changes, if any required during the course of SMP implementation. A list of indicators is given in **Table 12.1**. In case during the project implementation, if some other indicators are found relevant then that will also be considered for monitoring.

Table 12.1:Performance Monitoring of SMP Implementation

Sl. No.	Indicators	Unit	Target	Status	Achievement (in %)	Remarks
1	Private land procurement/acquisition (following Direct Land Purchase Policy or RFCTLARR Act, 2013)	Ha				
2	Govt. land transfer (ha)					
3	Compensation disbursed to land owners	No.				
4	Compensation disbursed	Rs.				
5	Consultations held with regard to SMP (dissemination of information, awareness generation, entitlements, etc) and action taken on outcome of consultations	No.				
6	Establishment of GRM	-				
7	GRC meetings convened	No.				
8	Relocation of displaced families					
9	R&R assistances disbursed to PAPs (THs & NTHs)					
10	Consultations held with local community regarding relocation or rehabilitation of CPRs	No.				
11	CPRs replaced/rehabilitated	No.				
12	PAPs covered under income generation schemes	No.				
13	PAPs provided training for alternate livelihood	No.				

12.4 Process and Impact Monitoring

Process monitoring will be conducted by the external agency to check whether the due process described/stated in the SMP has been followed or not, whereas impact monitoring will assess the impact of SMP implementation. The M&E consultant will conduct the process and impact monitoring. This will help gauge the effectiveness of the SMP implementation including the needs of PAPs. The effects of SMP implementation will be assessed against the baseline survey data collected through census and socio-economic survey at the time of the SMP preparation. Some key objectively verifiable indicators for measuring the impact of land acquisition and physical relocation include health and welfare of the affected population and the effectiveness of impact mitigation measures, including livelihood restoration and development initiatives.

It will involve meeting with PAPs and discussing their view of the changes (positive as well as negative) that has happened due to the project. Indicators that would be considered for impact monitoring are the following: Income, employment, livelihood, indebtedness, possession of immovable assets (land, house/ shop- type & size, etc), possession of movable assets and other tangible assets, living conditions, education of children, health conditions of family members, specific problems faced by PAPs, etc.



The report would highlight issues if any that require the attention of the Project Authority and also suggest corrective measures that may be followed for better implementation of SMP. Process and impact monitoring will be carried out based on the review of monthly reports submitted by SMP implementation agency, internal monitoring report prepared by Social Specialist, PWD, and site visits covering consultations with PAPs, visits to labour camps and consultations with workers, and other agencies involved in the project. This will help in monitoring the rehabilitation and resettlement activities closely and identifying the potential difficulties and problems faced in the implementation and accordingly help in taking timely corrective measures including deviations, if needed.

12.5 Evaluation

The external agency engaged by the Project Authority shall carry out the evaluation at two stages viz., mid-term, and after the completion of SMP implementation. The evaluation will be carried out as per the terms of reference and involve both quantitative and qualitative surveys and compare results before and after the implementation of the project. The evaluation will be undertaken to assess whether the outcome of the SMP complies with the resettlement policy. The main objective of the external evaluation will be to determine whether the efforts made to restore the living standards of the PAPs have been properly executed and achieved.

The evaluation process will assess how far the inputs agreed in the SMP have been actually provided. Also, it will assess whether the mitigation measures provided in the SMP have achieved the desired effect. In other words, the evaluation will assess: (i) level of success (including constraints and barriers) in land procurement/acquisition, rehabilitation and resettlement activities implementation, income recovery of PAPs after they have been impacted or displaced from the COI, (ii) types of complaints/ grievances received, the success rate of grievance handing (in terms of timeline, cases resolved, delivery of grievances resolved, etc) means of redress for assets and lands and the amount of compensation, resettlement, and other forms of complaints. Further, the socio-economic status of the PAPs will be measured on a sample basis against the baseline conditions collected at the time of SMP preparation. The evaluation will be undertaken once halfway (mid-term) through the SMP implementation and once after the completion (end-term) of all rehabilitation and resettlement activities (disbursement of rehabilitation and resettlement assistance, training for alternate livelihood, etc). The project authority will undertake supplementary activities, if any, recommended by the M&E agency before the closure of the project.

An illustrative list of indicators is given in **Table 12.2**, which would be measured against the baseline data collected for the preparation of SMP. The M&E agency will suitably select and include indicators for the evaluation for mid-term and end-term evaluations.

Table 12.2: Impact Indicators

Sl. No.	Indicator	Before project implementation	During / after SMP Implementation
1	Monthly income of family/household (Rs.)		
2	Number of earning members per family/household		
3	Occupation of head of family/household		
4	Possession of immovable properties and assets		
5	Dwelling units/ shops and other buildings (type and size)		



Sl. No.	Indicator	Before project implementation	During / after SMP Implementation
6	Ownership/tenancy of dwelling units (owner, encroacher, squatter)		
7	Ownership of transport, farm implements and other assets		
8	Possession of consumer durables/ material assets		
9	Possession of animal assets		
10	Indebtedness		
11	Size of loan (Rs.)		
12	Access to water and sanitation facilities		
13	Access to modern facilities		
14	Overall living conditions		
15	Education of children		
16	Health conditions of family members		
17	Migration for employment		

12.6 Reporting

Reports that will be submitted by concerned agencies are as under:

- SMP implementation agency - The monthly progress report will be submitted by the end of the first week of following month covering mobilization of staff members, opening of the site offices (if any), various rehabilitation and resettlement activities carried out during the month.
- Social Specialist, ESDC, PWD – Monthly internal monitoring report.
- M&E Consultant – External monitoring report (quarterly) and mid-term and end-term evaluation reports.



13 IMPLEMENTATION SCHEDULE

13.1 Background

Planning, surveying, assessing, policy development, institutional identification, participation, income restoration and implementation are typical activities of SMP. While these activities have discrete components that can be put on a time line, there is a close inter relationship of each activity to the whole. The breakdown of each activity according to a specific time frame has been given for Phase I and II to assist Public Works Department in implementation of SMP at various stages.

It is further cautioned that specific situation may require an increase in time, allotted to a task. Such situations include, but not limited to local opposition; seasonal factors, social and economic concerns, training of support staff and financial constraints. Complementation Schedule will require detailed coordination between the project authorities and various line departments. The time schedule for major task of the SMP is given in **Annexure – 13.1**.

Implementation plan has been spread over a period of five years for both phases. Implementation of both the phases will take three years each, but first year of phase II will overlap third year of phase I implementation. A simplified summary of the operational aspects of the implementation plan will be prepared when the project starts. It will be given to PWD, who along with a route wise selected NGOs will have to put the plan into action.

13.2 Implementation Procedure

The implementation of the SMP will consist of four major stages:

- Identification of cut-off date and notification for land acquisition as per RFCTLARR Act, 2013 (for Phase II)
- Verification of properties of EPs and estimation of their type and level of losses. (for both the phases)
- Preparation of EPs for relocation/rehabilitation (for both the phases)
- Relocation and rehabilitation of the EPs (for both the phases)
- Implementation of Gender Action Plan

13.3 Timing of Resettlement Activities

The standard conditions of civil contracts require the availability of encumbrance free land to the contractor for executing the civil construction works. The construction works will require land acquisition for Rath bypass as well as development of exiting alignment. Additional land area is required for almost the entire stretch of the project road. Private land area. A total of 77. 200 ha of private land is required. Also, development of project road in the built-up section (for example Garautha) will require removal of kiosks, petty shops, dismantling of structures, etc. These factors need to be considered while framing the timeline of resettlement activities vis-à-vis road construction work.



The involuntary resettlement principles require completion of resettlement and rehabilitation activities including disbursement of R&R assistances. However, handing over the entire project road free from encumbrances will not be feasible in one go as a number of kiosks, commercial squatters, and encroachers will need to be removed/ shifted out from the CoI before the start of civil construction works. It is, therefore, logical to start the civil construction works in the project road sections that are free from such encumbrances. Thereafter, road sections where resettlement and rehabilitation activities have been completed may be taken up by the contractor. It is suggested that the Project Authority prioritize the project road sections for the contractor keeping in view the land acquisition and existing encumbrances for construction work.

As per resettlement and rehabilitation policy, **three months'** advance written notice shall be given to PAPs to vacate the occupied land. Services of SMP implementation agency (NGO) will be required for establishing contact with PAPs, information dissemination on project R&R policy, verification of PAPs, serving of written notice for removal of structures, shops, etc for better implementation of R&R activities. Further, the following activities will be required to be completed in sequence or simultaneously as required:

- (i) collection of required documents (identity card, photograph, bank details, etc) from PAFs,
- (ii) preparation of project specific ID cards,
- (iii) preparation and submission of micro plan for approval,
- (iv) disbursement of resettlement and rehabilitation assistance, etc.

It would not be possible to complete the above activities for the entire project road in one go. Instead, it should be completed section by section so that the contractor is able to continue the project construction work without any time loss. Since kiosks and petty shops are close to carriageway, it is suggested that listing, verification and micro plan of kiosk, petty shops and like may be completed first and get them shifted out of the CoI section wise and get the CoI cleared quickly for the next consecutive section for construction work to start. The priority schedule for handing over the project road sections is provided below in **Table 13.1**.

Table 13.1: Suggested Priority for Handing Over of Project Road Sections

Approx. Chainage		Length (KM)	Priority	Remarks
From	To			
81.887	94.800	12.913	1	Alignment following existing road (6.393 km) & realignment (6.520)
94.800	103.080	8.280	4	Forest land (5.165 km), realignment (1.930 km0, major bridge with forest land, and existing alignment
103.080	107.100	4.020	2	Realignment (2.94 km) & alignment following exiting road (1.08 km)
107.100	11.360	3.260	3	Forest land (1.934 km0, built-up section og Garautha, etc
74.55	81.887	7.337	5	Land acquisition

The SMP implementation agency (NGO) will be mobilised at least three months in advance before the mobilisation of the civil contractor at the site. It is estimated that resettlement and rehabilitation activities for each section (1 & 2) may be completed within 3 months time for each section including disbursement of assistance and handing over the road sections to the contractor accordingly. It is also estimated that procurement of private land shall be completed as per the



UP Direct Land Purchase Policy, 2015. It is expected that land procurement as per the Direct Land Purchase Policy will be completed in six months for each section.

13.4 Miscellaneous Activities

Miscellaneous activities include steps to be taken for diversion of traffic during construction and leasing of borrow areas by contractors. These steps include:

Diversion route:

- Preparing plans with details of land required for diversion
- Compensation decided in mutual agreement and paid before physical possession
- Returning of land after restoration in original condition.

Borrow Areas

- Submit details to PWD about the persons and area to be leased in by the contractor.
- The contract document signed between the PWD and the contractor will include the terms of payment and return the land to the owner.
- Complete payments will be made to the contractor after the PWD is satisfied that the terms and conditions of the contract document have been met.

13.5 Implementation Responsibility

It is the responsibility of the PWD to ensure that the SMP is successfully implemented in a timely manner. PWD will be assisted by the partnering NGO selected for implementation. The implementation schedule proposed will be updated as the implementation progresses.

Table 13.2: Roles and Responsibilities

Implementation Staff	Roles and Responsibilities
Project Director	<ul style="list-style-type: none">• Overall responsibilities for R&R activities in the field including land acquisition in Phase II• Make budgetary provisions for R&R activities• Liaison with district administration for land acquisition and implementation of SMP• Participate in state and district level committee meetings• Preparing TOR and Contracting NGO for implementation and external agency for monitoring and evaluation• Organise training for PWD members and NGO for capacity building to implement the SMP• Prepare TOR for any studies required and qualitative dimensions to the implementation of SMP• Facilitate appointment of consultants to carry out the studies and co-ordinate them.• Monitor financial progress on SMP implementation
Social Specialist	<ul style="list-style-type: none">• Co-ordinate with district administration and NGO responsible for SMP implementation• Translation of R&R policy in Hindi• Prepare pamphlets on policy for information dissemination• Print policy and identity cards for PAPs• Ensure that contractors has paid the mutually agreed amount to the landowner for borrow pits.• To ensure that land is returned to the owner within the stipulated period as



Implementation Staff	Roles and Responsibilities
	<p>in agreement and land returned is not unproductive.</p> <ul style="list-style-type: none">• Ensure the development of resettlement sites and agriculture land as and when required• Ensure that land acquisition plan as per the alignment is submitted to district administration for acquisition, once verified at site.• Participate in allotment of residential and commercial plots, if any• Liaison with district administration for dovetailing of government schemes for Income Restoration Schemes• Co-ordinate with NGO appointed for implementation of SMP• Ensure inclusion of PAPs who might not have been covered during the census survey• Facilitate opening of joint account in local banks to transfer the rehabilitation assistance for the PAPs and also organise distribution of cheque payment of compensation and rehabilitation assistance, through transparent manner in <i>Gram Sabha</i> for distribution of cheques• Monitor physical progress of SMP implementation including physical shifting of PAPs• Participate in every district level meetings• Prepare monthly progress report• Organise by-monthly meetings with NGO to review the progress of R&R• Implement GAP
Non-Governmental Organisation	<ul style="list-style-type: none">• Co-ordinate with Social Specialistto implement SMP activities• Verification of PAFs listed out in SMP• Issue identity cards to the PAFs• Develop rapport with PAPs• Facilitate Social Specialist in organising public information campaign at the commencement of R&R activities• Distribute the pamphlets of R&R policy and also explain to them the meaning and measures of mitigation to eliminate the feeling of insecurity among the PAPs• Assist the PAPs in receiving the payment of compensation, opening of bank accounts and facilitate the vulnerable PAPs 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 the alternate livelihood options and their viability, the resource base and other opportunities to enable the PAPs to make informed choices and participate in their own development.• Conduct awareness campaigns regarding HIV/AIDS among truckers and CSWs along with regular campaigns• Prepare micro-plans for economic rehabilitation of PAFs• Enable PAPs to identify the alternate sites for relocation• Participate in consultation process for allotment of residential and commercial plots• Ensure preparation of resettlement sites as per the guidelines laid in the policy complete with basic facilities• Participate in the meetings organised by PWD• Submit monthly progress reports• Identify training needs of PAPs for income generating activities and ensure 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 <i>Gram Sabhas</i>• Ensure the women headed households (very few in Phase I) and other



Implementation Staff	Roles and Responsibilities
	<p>groups of vulnerable PAPs are given their dues both for payment of compensation and rehabilitation assistance.</p> <ul style="list-style-type: none"> • Implement other actions under GAP

Table 13.3: Summary of Role and Responsibilities of Other Project Partners in Various Stages of Project

Project Stage	PAPs and Representative	NGOs	Local officials (in PAP and host areas)	Hosts
Identification	<ul style="list-style-type: none"> • Receive information on project impacts • Representative on coordination committee • Participate in census surveys • Participation in structured consultations to develop IG programs • Keep records of consultations • Choose resettlement locations or housing schemes • Inputs to design of resettlement locations • Representation on grievance tribunal 	<ul style="list-style-type: none"> • Design and carry out information campaign • Assist in census and Socio-economic survey • Participate on Coordination Committee • Participate in consultations • Representation on grievance tribunal • Train VRWs where required • Facilitate PAP inter group meetings 	<ul style="list-style-type: none"> • Assist in census and socio-economic surveys • Assist NGO in information dissemination • Participate in and arrange consultations • Arrange PAP transport to sites • Help to document consultations • Support VRWs work • Examine feasibility of IG programmes and discuss with PAPs 	<ul style="list-style-type: none"> • Provide information and inputs to design of IG programs • Identify existing credit and IG schemes • Discuss areas of possible conflict with PAPs
Implementation	<ul style="list-style-type: none"> • Monitor provision of entitlements • Labour and other input at site • Credit and other group scheme management • O&M of sites and project input • Management of common property resources • Manage common property resources and community development funds • Member of implementation committee 	<ul style="list-style-type: none"> • Provide on-going information for PAPs and hosts • Provide support in group management • Monitor entitlement provision and implementation of IG programmes • Members of implementation committee 	<ul style="list-style-type: none"> • Process IG proposals • Participate in grievance redress • Provide assistance under local schemes • Membership of implementation committee • Process documents for welfare and socio-economic services (ration card, BPL card) 	<ul style="list-style-type: none"> • Assist PAPs in use of new production systems • Form joint management groups for common resources
Monitoring and Evaluation	<ul style="list-style-type: none"> • Participate in grievance redress process • Report to project on IG schemes • Report on service quality at sites 	<ul style="list-style-type: none"> • Provide information to project staff on vulnerable groups • Act as external monitors for project (where not previously involved) 	<ul style="list-style-type: none"> • Ongoing interaction with PAPs to identify problems in IG programs • Participants in correctional strategies 	<ul style="list-style-type: none"> • Provide inputs to M&E of R&R



13.6 Community Participation in the Implementation of SMP

The institutional arrangement as explained in R&R policy already provides the continued involvement of the communities, especially the project-affected and the project-displaced persons in implementation of the SMP. The PWD will ensure:

- The stakeholders are consulted at every stage of project
- The women perception is built into the SMP implementation plan
- The host community is consulted so that community assets are optimised and enhanced
- The PAPs participate in ensuring creation of community assets, and the upkeep and maintenance of assets created by the project
- An institutional mechanism is evolved involving the people, the *gram panchayats* and the formal and informal peoples' committees to ensure sustainability of the process of development, beyond the SMP implementation period.

13.7 Tasks for NGO in Implementation and Tentative Methodology

The table below details out the task to be carried out by NGO at different stages of the report.

Table 13.4: Tasks of NGO

Task Name	Methodology
• Developing Rapport with the PAPs	• Fortnightly and Monthly meetings with PAPs & its Documentation
• Developing Rapport with the Project Authorities particularly the Social Officer	• Fortnightly meetings with Social Specialist of PWD & its Documentation
• The need for Land Acquisition, if any	• Participatory
• The need for eviction of Squatters & Encroachers	• Participatory
• The likely consequences of the project on the communities economic livelihood	• Participatory and by setting up of Public Information Centre
• Identifying PAPs & verifying on the basis of census survey carried out & facilitating the distribution of Identity Cards	• Validity Survey and Participatory
• Distribution of R&R policy and entitlement packages	• Participatory
• Assist PAPs in getting the compensation for their land and properties acquired for the project	• Participatory
• In consultation with PWD & Revenue Dept. help PAPs identify suitable land for relocation and for agricultural purposes & assist in negotiating its transfer to the PAPs & in case suitable Government land is unavailable then assist PAP to locate a land owner willing to dispose and assist in the negotiation of the purchase price	• Participatory
• Determination of the entitlements of each PAP by reviewing the R&R Policy and the SMP and comparing it with the offer made by the Social Officer and upon identifying discrepancy assisting the PAP in coming to some agreement with Social Officer & if need be pursuing the matter through grievance redress cell	• Discussion with PD and Officials with Participatory tools



Task Name	Methodology
<ul style="list-style-type: none">In close consultation with PAPs for ensuring acceptability help project authorities in making arrangements for smooth relocation of the PAPs and their business	<ul style="list-style-type: none">Regular Meeting with PAPs
<ul style="list-style-type: none">Advising PAPs on best use of grants under the R&R package ensuring sustainability of income	<ul style="list-style-type: none">Regular Meeting with PAPs
<ul style="list-style-type: none">Investigation of the availability of various Govt. development programmes and examining their relative merits for recommending the same to the PAPs and accordingly orchestrate training programmes for sustainable livelihood of PAPs and assisting in required skill development by networking with Revenue department, other Government departments and NGOs of the area	<ul style="list-style-type: none">Literature survey of Secondary sources of information, Meetings with other functionaries
<ul style="list-style-type: none">Helping PAPs in redress of their grievances by awareness generation amongst PAPs on grievance redress mechanism as per SMP & assisting PAPs with grievances for its mitigation	<ul style="list-style-type: none">Regular Meeting with PAPs
<ul style="list-style-type: none">Developing Micro level plans for R&R in consultation with the PAPs and the Social Officer ensuring PAPs agreement on List of options open & choices made by PAPs upon being assisted to do soRelocation siteList of benefits due to the PAPArrangement for ShiftingProposed utilisation of grant moneys due to PAPsInvolvement of PAPs in existing Govt. development programmesUpdating the data bank on PAPs due to any changes in project & development of impact indicatorsSpecific assignments from the Social Officer for the welfare of the affected communityAssisting in identifying tree species selected by the community and facilitates its plantation.	<ul style="list-style-type: none">Regular Meeting with PAPsCapacity BuildingIdentify specific IG Schemes



14 LABOUR MANAGEMENT PLAN

Since project involves construction work that will demand a constant supply of labourers, the influx of migrant workforce will put additional pressure on existing resources. The project will require at least 400 migrant and local labours at peak. The workforce normally consists of solitary migrant males and that can be a potential risk for the host population. However, in many cases, the migrant male member of the family might relocate his family with him. Specifically, the influx of labour force can lead to:

- Risk of conflict and social unrest due to cultural differences between the labour force and local community
- Risk of spread of communicable diseases due to interaction of the labour and the local community
- Risk of gender-based violence
- Risk of violation of child-safety measures
- Health hazard for host community due to lack of sanitation facilities and waste management
- Additional pressure on the local resources and social infrastructures

14.1 Child labour and Gender Based Violence

One in every two children in Uttar Pradesh is stunted. While the state has made significant gains on several key indicators over the past decade, according to the 2011 census, the child sex ratio has deteriorated, and the number of children forced into work has increased. UP also has the largest population of socially excluded communities – scheduled castes, scheduled tribes and other so-called "backward castes" – and several indicators of health, nutrition and education are among the worst in India.

Despite the challenges, Uttar Pradesh, home to 85.3 million children under 18 years of age, is poised on the brink of change (Census 2011).

Besides being a very populous state, Uttar Pradesh also has some of the poorest development indicators, especially with regard to the status of women and girls. the percentage of ever-married women who have experienced spousal physical or sexual violence is higher in Uttar Pradesh (42%) than in the entire country (37%). In the state, more than three-fifths of women (64%) who have only daughters have a desire for more children, compared to one-fourth of the women who already have two sons. A high proportion of girls continue to get married before the legal age of 18. According to the National Family Health Survey-3 (NFHS-3), 59% of 20 to 24-year-old women were married before their 18th birthday. Early marriage is more prevalent in rural areas.

No study so far has concluded use of child labour in road construction.

14.2 Construction Labour Management Plan

Since the construction activities are mostly labour intensive by nature, therefore, it is also envisaged that many of the labourers will be employed from outside the State and hence, accommodation will be provided. These migrant labourers will be accommodated in a temporary campsite within the project area.



14.3 Objectives

The influx of migrant labour will have both negative and positive impacts on the nearby community and local environment. The labour will be accommodated in a temporary campsite within the project area which can have a significant interface with the host community. The influx of migrant workers would lead to a transient increase of population in the immediate vicinity of the project area for a limited time. This would put pressure on the local resources such as roads, fuel for cooking, water, etc. Hence, a plan has been designed to demonstrate the:

- Potential impacts associated with influx on the host population and receiving environment are minimized;
- Provision of safe and healthy working conditions, and a comfortable environment for migrant labour; and
- To ensure compliance with the national labour laws, including guidance provided on latest COVID 19 epidemic in the country,
- To lay down the procedure for prevention from COVID-19 at construction sites of the project road.

14.4 General Requirements

All migrant workers are envisaged to be accommodated in a proper temporary campsite within the project area. If migrant workers are accompanied by their families, provisions should be made accordingly. As per the National Acts, the inclusion of requirements for labour camp to be established by contractors during construction phase of the project. Contractor(s) shall ensure implementation of the following measures to minimise the potential negative impacts of worker accommodation and workers on local communities:

- Cleanliness and Sanitization: Pest extermination, vector control, and disinfection are to be carried out throughout the living facilities in compliance with local requirements and/or good practice. In light of the COVID-19 outbreak and increased risks to community health and safety and occupational health and safety, the contractor needs to put in place a COVID-19 preparedness and response plan as outlined. WORLD Bank's COVID-19 Consideration in Construction/Civil Works Projects. Additionally, refer to ILO Standards and COVID-19 FAQ⁶, issued on March 23, 2020 - provides a compilation of answers to most frequently asked questions related to labour standards and COVID-19.
- Complaints and incident reporting: A formal Complaints Procedure will be implemented to ensure timely and transparent response to complaints as received from labour.
- Labour education: The workforce will be sensitized to local social and cultural practices through the provision of an induction course for all employees that stipulates expected behaviour;
- Labour behaviour in the campsite provided: A Code of Behaviour governing appropriate behaviour in the accommodation facilities to be kept in place and to be strictly enforced. The contractor shall ensure implementation of the “rules of engagement” between labourers living in campsite and community and shall be implemented by construction contractors for all engaged labourers.

⁶https://www.ilo.org/wcmsp5/groups/public/---ed_norm/---normes/documents/publication/wcms_739937.pdf



- Labour Compensation and Accommodation: The client shall ensure that labourers are provided with benefits such as leave, weekly rest day, etc. Accommodation to be provided for the construction labour which covers facilities (including catering facilities, dining areas, washing and laundry facilities, etc.) and supporting utilities.

14.5 Hiring and Recruitment Procedure

The manpower contractor shall, wherever possible, locally recruit the available workforce and shall provide appropriate and requisite on job and EHS training as necessary. The following general measures shall be considered for the workforce during their employment tenure:

- The implementing agency in consultation with the PMU will include a code of conduct relating to the accommodation to be signed with the contract document of contractors.
- The contractor shall not employ any person below the age of 18 years nor will have any forced labour;
- The construction labourers will be provided with documented information regarding their rights under national labour and employment law such as but not limited to Factories Act, Minimum Wages Act, Trade Unions Act, and Workmen's Compensation Act;
- First priority for employment of labour should be given those impacted by the project and others in the project area;
- No discrimination shall be done by the construction contractor with respect to recruitment and hiring, compensation (including wages and benefits), working conditions and terms of employment, access to training, job assignment, termination of employment or retirement, and disciplinary practices;
- The contractor to ensure that work hours are set at eight hours a day, 48 hours a week, with a weekly rest day for all engaged labour;
- Every labour is entitled to a maximum of only two hours a day as Overtime (OT) work. OT pay is twice the hourly remuneration;
- The project will ensure that equal wages for male and female workers for work of equal nature or value is maintained;
- A grievance redressal mechanism for workers to be put in place by the contractor to raise workplace concerns. The workers to be informed about the grievance mechanism at the time of recruitment; and
- The Contractor to ensure that they develop and implement a procedure to review the performance of their sub-contractors.
- The procedure developed should include regular inspection of the camp sites, maintaining information pertaining to labour sourced by sub-contractors;

14.6 Worker's Accommodation

The Contractor to supervise and monitor the activities performed by their contractor and accommodation facilities provided in the campsite. The following measures shall be provided:

- The labourers to be provided accommodation shall be made of insulating material and locally available building material, etc. along with storage of personal belongings;



- The migrant workers with families will be provided with individual accommodation comprising bedroom, sanitary and cooking facilities;
- The units to be supported by common latrines and bathing facilities duly segregated for male and female labour; A minimum of 1 unit to 15 males and 1 unit for 10 females shall be provided;
- The contractor shall provide a canteen facility with facility to cook food of appropriate nutritional value respecting religious/cultural backgrounds;
- All doors and windows shall be lockable and mobile partitions/curtains shall be provided for privacy;
- Dust bins to be provided for collection of garbage and to be removed on a daily basis;
- It is also required to provide first aid box in adequate numbers; and
- Ventilation should be appropriate for the climatic conditions and provide workers with a comfortable and healthy environment to rest and spend their spare time.

14.7 Security

The contractors shall put in place the following security measures to ensure the safety of the workers. The following measures shall be incorporated:

- Access to the campsite shall be limited to the residing workforce;
- The contractor shall be responsible for deploying an adequate number of guards;
- Adequate, day-time night-time lighting shall be provided;
- The security personnel shall be provided with training to respect the community traditions and in dealing with, use of force, etc.; and
- The rental accommodation shall be provided with firefighting equipment and portable fire extinguishers.

14.8 Provisions for Drinking Water

- Access to an adequate and convenient supply of free potable water is a necessity for workers. The domestic water conforming to the IS 10500:2012 supply shall be made available by the contractor.
- The direct usage of water from bore well should not be allowed;
- The Contractor(s) should regularly monitor the quality of drinking water. In case of non-compliance with the Drinking Water Specifications, additional treatment shall be provided, or alternative sources of water supply shall be arranged; and
- All storage container of drinking water to be monitored from becoming polluted or contaminated.

14.9 Cooking Arrangements

- Places for food preparation are designed to permit good food hygiene practices, including protection against contamination between and during food preparation;
- Adequate personal hygiene including a sufficient number of washbasins designated for cleaning hands with clean, running water; and



- All kitchen floors, ceiling and wall surfaces adjacent to or above food preparation and cooking areas are built using durable, non-absorbent, easily cleanable, non-toxic materials;
- Food preparation tables are equipped with a smooth, durable, easily cleanable, non-corrosive surface made of non-toxic materials.
- To ensure that the fuel need of labourers in the project area does not interfere with the local requirements, necessary arrangements for supply of fuel to the labourers shall be done by the contractor.

14.10 Wastewater Generation

There will be generation of wastewater from the campsite. About 80% of water used shall be generated as sewage/wastewater.

- Contractors to ensure that the campsite is equipped with the septic tank and soak pit for disposal of sewage. It is also recommended that the storm water and sewage system should be separate. The surface water drainage shall include all necessary gutters, down pipes, gullies, traps, catch pits, manholes, etc.
- Sanitary and toilet facilities are constructed of materials that are easily cleanable. Sanitary and toilet facilities are required to be cleaned frequently and kept in working condition.

14.11 Solid Waste Management

The solid waste generated from the campsite will mostly comprise compostable wastes like vegetable (kitchen waste) and combustible waste like paper, cans, plastic and some non-degradable waste like glass/glass bottles. The following measures shall be adopted by contractors to ensure effective management of solid waste:

- The solid wastes of domestic nature generated shall be collected and stored separately in appropriate containers with proper sealing on them;
- Separate bins with proper markings in terms of recyclable or non-recyclable waste shall be provided in the houses and kitchen premises in sufficient numbers for collection of garbage;
- Food waste and other refuse are to be adequately deposited in sealable containers and removed from the kitchen frequently to avoid accumulation; and
- The contractor shall identify the nearest municipal solid waste storage facility and tie up with the concerned urban local body for disposal of waste at frequent intervals.

14.12 Medical Facilities

The following medical facilities shall be provided by contractors for the construction workers:

- A first aid center shall be provided for the labour within the construction site equipped with medicines and other basic facilities;
- Adequate first aid kits shall be provided in the campsite in an accessible place. The kit shall contain all type of medicines and dressing material;



- Contractor shall identify and train an adequate number of workers to provide first aid during medical emergencies;
- Regular health check-ups shall be carried out for the construction labourers every six month and health records shall be maintained;
- Labours should have easy access to medical facilities and first aider; where possible, nurses should be available for female workers;
- First aid kits are adequately stocked. Where possible a 24/7 first aid service/facility is available.
- An adequate number of staff/workers is trained to provide first aid; and
- Information and awareness of communicable diseases, AIDS, etc. shall be provided to workers.

14.13 Recreation Facilities

- Basic collective social/rest spaces are provided to workers.
- Facilities like a common television can be provided in labour camps

14.14 Inspection of Accommodation Facilities

The campsite shall be inspected at frequent intervals to ensure that the facilities are well organized and maintained to acceptable and appropriate standards by the Contractor. The key areas are:

- Daily sweeping of rooms and houses shall be undertaken;
- Regular cleaning of sanitary facilities shall be undertaken;
- The kitchen and canteen premises shall be established under good hygiene conditions;
- Daily meal times shall be fixed for the labour;
- Smoking and alcohol consumption shall be prohibited in the workplace;
- Water logging shall be prevented at areas near the accommodation facilities and adequate drainage is to be provided; and
- Checklists pertaining to the daily housekeeping schedule shall be maintained and displayed at houses, toilets, and kitchen.

To limit the impact due to cumulative labour onsite during the construction phase, contractors shall provide adequate labour camp which should be appropriate for its location and be clean, safe and, at a minimum, meet the basic needs of workers.

Contractors should assess the location of labour camp, that it should not be constructed in the immediate vicinity of any drainage channel;

It should be ensured that the labour camp(onsite)should have basic amenities such as electricity, drinking water, health& sanitation facility, kitchen and rest room;

All tanks used for the storage of drinking water are constructed and covered as to prevent water stored therein from becoming polluted or contaminated and all the migrant workers will be instructed accordingly;



Employers should ensure that accommodation which is provided is not overcrowded and does not pose a risk to the health and safety of workers;

The labour camp will be equipped with sceptic tanks and soak pits and avoid the presence of stagnant water is a factor of the proliferation of potential disease vectors such as mosquitoes;

Contractors should ensure that the disruption of local communities is minimum, in particular, local communities' transport infrastructures and if required limit the worker's movements in nearby areas;

Security staff have a clear mandate and have received clear instruction about their duties and responsibilities, in particular, their duties not to harass, intimidate, discipline or discriminate against workers;

Contractors should ensure that workers and members of the surrounding communities have specific means to raise concerns about security arrangement and staff;

Where possible, an adequate transport system to surrounding communities will be provided. It is good practice to provide workers with free transportation to and from local communities

Specifically:

The contractor and labourers will sign a code of conduct by contractors and workers to maintain good manners with the community and avoid gender-based violence;

Project will undertake awareness raising program for the workers and community on the risk of labour influx; and

To the extent possible, the local workforce will be engaged to minimize the influx of workers

14.15 Impact of Influx of Migrant Labourer

- The contractor will preferably engage the local labour force except for the labourer's requiring special skills and the non-availability of such skilled laborers from the local area.
- Awareness raising of laborers/ workers on societal norms, taboos, and other cultural practices
- Organize awareness creation and educational programmes for all workers and the general public on the behavioral changes required to prevent the spread of HIV/AIDS and other STDs
- The 'Labour Influx and Construction Workers Campsite Management Plan' will be implemented
- Project to assess and manage labour influx risk based on risks identified in the ESIA. Depending on the risk factors and their level, appropriate site-specific Labour Influx Management Plan and/or a Workers' Camp Management Plan.
- The project will incorporate the ESMP into the civil works contract. The responsibilities for managing these adverse impacts will be clearly reflected as a contractual obligation, with a mechanism for addressing non-compliance.
- Employment of any person under 18 years of age will be strictly prohibited. The contractor will maintain a labour register with name, age, and sex with supporting document (preferably



copy of Aadhar card or voter's ID card). This will be monitored by the nominated Environmental cum Social officer of the contractors.

- Contractor and labourer will sign a code of conduct to maintain good manners with the community and avoid GBV
- Project will undertake awareness raising program for the workers and community on the risk of labour influx

14.16 Avoiding Gender Based Violence

Contractor will prepare and implement robust measures to address the risk of gender-based violence that include.

- mandatory and repeated training and awareness raising for the workforce about refraining from unacceptable conduct toward local community members, specifically women;
- informing workers about national laws that make sexual harassment and gender-based violence a punishable offence which is prosecuted;
- introducing a Worker Code of Conduct as part of the employment contract and including sanctions for non-compliance (e.g., termination), and (iv) contractors adopting a policy to cooperate with law enforcement agencies in investigating complaints about gender-based violence.

Additional measures can aim to reduce incentives to engage with the local community by providing workers with the opportunity to spend their time off away from the host community, where feasible with a small transport allowance, ideally allowing workers to regularly return for brief visits to their families, spouses, and friends, or to visit nearby urban centres that provide a variety of legal social opportunities. For workers who need to travel further it may be attractive to forego weekends off in exchange for longer breaks that would allow for such home leave travel

14.17 Contractor's and Borrower's Responsibilities

Within 30 days from the appointed date, the Contractor shall prepare and submit 4 hard copies and 1 soft copy of Labour Influx and Worker's Camp Management Plan to the concerned PEA that addresses specific activities that will be undertaken to minimize the impact on the local community, including elements such as worker codes of conduct, training programs on HIV/AIDS, etc. A Workers' Camp Management Plan addresses specific aspects of the establishment and operation of workers' camps.

- ✓ This Labour Influx and Worker's Camp Management Plan will include:
- ✓ mandatory and repeated training and awareness raising for the workforce about refraining from unacceptable conduct toward local community members, specifically women;
- ✓ informing workers about national laws that make sexual harassment and gender-based violence a punishable offence which is prosecuted;
- ✓ introducing a Worker Code of Conduct as part of the employment contract and including sanctions for non-compliance (e.g., termination), manual scavenging, engagement with



local residents, child labour, non-discrimination, harassment of co-workers including women and those belonging to SC and STs and other minority social groups,

- ✓ contractors adopting a policy to cooperate with law enforcement agencies in investigating complaints about gender-based violence.
- ✓ training programs on HIV/AIDS and other communicable diseases,
- ✓ workers' Camp Management Plan addressing specific aspects of the establishment and operation of workers' camps provided the Local Body/ Executing Agency is unable to cater to the demand for affordable housing for this additional workforce in terms of rentals, hostels, apartments, etc.; and complaint handling Mechanism at the project level

Additional measures that aim to reduce incentives to engage with the local community by providing workers with the opportunity to spend their time off away from the host community, where feasible with a small transport allowance, ideally allowing workers to regularly return for brief visits to their families, spouses, and friends, or to visit nearby urban centres that provide a variety of legal social opportunities. For workers who need to travel further, it may be attractive to forego weekends off in exchange for longer breaks that would allow for such home leave travel.

While clear and decisive measures by the contractor are critically important, the effectiveness of these measures often depends on complementary actions by the Borrower. Those are typically focused on public administration and law enforcement, such as:

- ✓ reinforcing local police in a remote setting, where services may not be sufficiently staffed or equipped to maintain public order after the influx;
- ✓ ensuring that complaints about gender-based violence are taken seriously by local law enforcement, which may be supported by deploying female officers to the project area, and
- ✓ participating in training with workers to demonstrate the presence of government authority in the project area.

14.18 Responsibility for Labour Management Plan

The contractor will be responsible for the implementation of the Labour Management Plan (LMP) including the labours engaged by the sub-contractors at project sites. The PMC will ensure strict adherence to the same. The work progress report submitted by the contractor shall mandatorily include a section on LMP. In addition, internal and external monitoring reports shall also cover LMP. The M&E consultant shall also cover LMP based on a visit to labour camps, discussion with labours/group of labours at different project sites, contractor's representative in-charge of labour management, and PMC.

14.19 COVID-19 Protocol

Corona virus disease (COVID-19) is an infectious disease caused by the newly discovered corona virus which is mainly transmitted through droplets generated when an infected person coughs, sneezes, or exhales. One can be infected by breathing in the virus if within close proximity of someone who has COVID-19, or by touching a contaminated surface and then eyes, nose or mouth. Most people who fall sick with COVID-19 will experience mild to moderate symptoms and recover without special treatment.



The COVID-19 pandemic presents unprecedented challenges. Projects involving construction/civil works involve a large workforce with associated supply chains. As such there will be regular entry and exit of people providing support services at construction sites. Besides, there will be local workers and others who after work will return to their homes and interact with family members and others in the community. This creates unprecedented challenges and therefore managing issues related to COVID-19 require an adaptive responsive management system to avoid, minimize and manage an evolving situation.

In context of upgrading of project roads, it is estimated that at a given time the maximum number of work force required during the peak construction time will be approximately 400. Experience indicates that group of specialised work force (say bar benders, steel works, machine operators, bridge/flyover construction workers, etc) move from one construction site to another construction site with the civil contractor. These specialised groups of workers (mainly skilled and semi-skilled) are migrant workers. They stay together at construction site and generally work on contract basis. Majority of these migrant groups of workers belong to different parts of the country. Since, these groups of workers move from one location to another location, it is quite likely that these workers could become vectors for transmission of COVID-19 to other workers at project road construction sites and community while travelling by local transport facilities, buying groceries, vegetables, medicines, etc and various other activities. Interactions of migrant workers are bound to happen with other project staff working, fellow local workers, local community, and others in one way or the other way. It may not be possible to fully isolate the migrant workers from interactions with others and hence dealing with migrant workers at construction site will require additional considerations.

In view of the above, the Public Works Department, GoUP has developed a Standard Operating Procedures (SOP) for UPCRNP, Phase I for COVID-19 Pandemic based on the guidelines of Ministry of Home Affairs, GoI & State Government. The SOP for COVID-19 for Phase I shall be also applicable to the upgrading of project road (SH-30).

14.19.1 Objectives

The objectives of the COVID-19 protocol are:

- To ensure compliance with guidance provided on latest COVID 19 pandemic in the country,
- To lay down the procedure for prevention from COVID-19 at construction sites of the project road.

14.19.2 Scope of COVID-19

The SOP will be applicable to everyone (all employees/consultants/clients, sub-contractor's employees, material suppliers, visitors, service providers, etc) at the construction sites. The PMC & PWD will ensure that the SOP for COVID-19 is strictly followed at everyone at the construction sites irrespective of the presence of migrant workers and project staff from outside the state.

14.19.3 Procedure

The procedure to be followed at sites are listed below:

- Deep Cleaning and Sanitization of all areas in the premises,
- Work Force Planning,



- Workers Mobility,
- Screening of employees prior to work,
- Prior to Work Basic Provisions for Workers/employees,
- Employees and Workers' Responsibility,
- Working Practices at Project Site,
- Screening of all Visitors/ Material Suppliers / Vendors,
- Workers' Camp (Housing/ Accommodation),
- Health care for workers,
- Code of conduct and communication,
- Posters, Helpline and Training,
- Documentation & Compliance,
- Emergency Process (to deal with case of a suspected case),
- Grievance Redressal Process for COVID-19.

Details of SOP is provided as **Annexure 14.1.**

14.19.4 COVID -19 Budget

The Lumpsum COVID -19 Budget: proposed INR 5 lac for two years. The justification of the proposed has been assumed as 20000 /month for COVID-19-SOP Compliance for two years.



15 GENDER BASED VIOLENCE

15.1 Introduction

GBV is an umbrella term for any harmful act that is perpetrated against a person's will and that is based on socially ascribed gender differences. GBV includes acts that inflict physical, mental, sexual harm or suffering; threats of such acts; and coercion and other deprivations of liberty, whether occurring in public or in private life. GBV disproportionately affects women and girls across their lifespan and takes many forms, including sexual, physical, and psychological abuse. It occurs at home, on the streets, in schools, workplaces, farm fields, and refugee camps, during times of peace as well as in conflicts and crises.

GBV greatly undermines the ability of survivors, and often their families, to engage in meaningful and productive lives. Discrimination on the basis of sex or gender identity is not only a cause of many forms of GBV, but also contributes to the widespread acceptance and invisibility of such violence—so that perpetrators are not held accountable and survivors are discouraged from speaking out and accessing support. SEA and SH are manifestations of GBV and most likely to occur in project works that are likely to engage a large number of migrant workers and project staff.

It is in this context, the risk identification and mitigation of these forms of GBV are the primary focus of the World Bank Good Practice Note⁷ (GPN). The GPN builds on World Bank experience and good international industry practices, including those of other development partners.

15.2 GBV in India

Violence against women in India is systematic and occurs in the public and private spheres. It is underpinned by the persistence of patriarchal social norms and inter- and intra-gender hierarchies. Women are discriminated against and subordinated not only on gender, but on other grounds, such as caste, class, ability, sexual orientation, tradition and other realities. That exposes many to a continuum of violence throughout the life cycle. The manifestation of violence against women is a reflection of the structural and institutional inequality that is a reality for most women in India.⁸ Women are subjected to different forms of violence including intimate partner violence, sexual violence, early marriage, forced marriage, deprivation of freedom of movement and of choice.

15.3 GBV in Uttar Pradesh

According to NFHS-4, 34% of women in Uttar Pradesh have experienced physical or sexual violence. Victims are often discouraged from reporting to the police and that many women do not file a complaint owing to fear of reprisals or lack of guarantees of adequate shelter and access to livelihoods. Informal dispute settlement alternatives are often sought, allegedly by police, family members or community leaders. There is often a complete or partial absence of legal, housing,

⁷Good Practice Note: Addressing Gender Based Violence in Investment Project Financing involving Major Civil Works, 28 September 2018, the World Bank group.

⁸Report of the UN Special Rapporteur, April 2014



security and financial assistance measures for victims. To be able to officially report complaints and continue throughout the lengthy judicial process in safety and with an adequate standard of living is not an option for many women.⁹

The extent of vulnerability of women in Uttar Pradesh is described below:

- **Extent of Violence Against Women:** A very high rate of GBV is prevalent in the State of Uttar Pradesh as can be seen below.¹⁰ Among women age 15-49, 33% have experienced physical violence and 6% have experienced sexual violence. The physical violence inflicted on women in Uttar Pradesh is higher than the national ratio of 30%. A little more than one-third (34%) of women in the State have experienced physical or sexual violence. Among those who experienced physical violence since age 15, the most common perpetrator was the husband and for never-married women, it was a mother/stepmother, followed by sister/brother, father/stepfather, or teacher.
- **Intimate Partner Violence:** Domestic violence is one of the most pervasive forms of violence against women and girls. Extent of violence in the state is described below:¹¹ 33% of women report having been slapped by their husband; 11-17% report being punched; or being kicked, dragged, or beaten up; having their arm twisted or hair pulled; being pushed, shaken, or having something thrown at them. 2% have either been choked or burned on purpose, and less than 1% have been threatened or attacked with a knife, gun, or any other weapon. 6% report that their husbands have physically forced them to have sex even when they did not want to and 4% report that their husband forced them with threats or other ways to perform sexual acts they did not want to perform. Overall, 37% of ever-married women have experienced spousal physical or sexual violence from their current husband or, if not currently married, from their most recent husband. 14% report spousal emotional violence. The intimate partner violence subjected to women in this state is higher than the national average. NFHS4 data indicates that at the national level, one-third of ever-married women (33%) have ever experienced spousal physical, sexual, or emotional violence by their current husband (for currently married women) or their most recent husband (for formerly married women).
- **Justification of wife beating:** An important indicator of empowerment is the rejection of norms that underlie and reinforce gender equality. One such norm is the husbands right to control women in various ways, including through violence. At the national level, 52% of women and 42% of men agree with one or more of the specified seven reasons for wife beating.¹²

In Uttar Pradesh, 51% of women believe it is justifiable for a husband to beat his wife under some circumstances. Women are most likely to believe that wife-beating is justified if a

⁹Report of the UN Special Rapporteur, April 2014

¹⁰National Family Health Survey-4 (2015-16); <http://rchiips.org/nfhs/>

While some have expressed concerns that projects may engender GBV reporting, experiences have shown that reporting of GBV is generally low globally. Even though a third of women experience violence by an intimate partner, or sexual violence by a stranger, only 7 percent of women and girls experiencing GBV report the incident to a formal source (regional variations include 2 percent in India and East Asia to 14 percent in Latin America and the Caribbean).

¹¹National Family Health Survey-4 (2015-16); <http://rchiips.org/nfhs/>

¹²National Family Health Survey-4 (2015-16); <http://rchiips.org/nfhs/>



woman shows disrespect for her in-laws (39%), followed by if she argues with her husband (32%), and if she neglects the house or children (30%). Men are slightly less likely to agree. 42% say that wife-beating is justified in some circumstances, especially if the wife shows disrespect for in-laws (28%), if the husband suspects his wife is unfaithful (23%), and if she argues with her husband (24%). Even among women and men who have completed at least 12 years of schooling, 40% of women and 31% of men say that a husband is justified in beating his wife for one or more of the specified reasons.

- **Help seeking Behaviour:** Data reflects that a very large proportion of women do not seek help from outside.¹³

In Uttar Pradesh, **only 15% of women who have experienced physical or sexual violence by anyone have sought help.** Over four-fifth (77%) of ever-married women and 61% of never married women have neither sought help nor told anyone about the violence. Abused women who have sought help most often seek help from their own families. Only 4% of abused women, who sought help, approached the police. The help seeking behaviour in Uttar Pradesh is better than the national ratio of 14%.

15.4 GBV (SEA/SH) in UPCRNDP

Large infrastructure projects often involve major civil works¹⁴ that require labour force and associated goods and services that cannot be fully met by local supply. In such cases, workers are often brought in from outside the project area.

There are six (6) project roads under UPCRNDP Phase II and it is estimated that during peak project activities about 200 workers across all functions are expected to be on the project site. Besides, there will be a number of project officials available at the project site. The migrant work force is likely to be present in the project area till the completion of major project road construction works i.e. for a period of 2 to 3 years. Further, the contract modalities such as Engineering Procurement & Construction (EPC) include 5 years of maintenance after the construction phase. The presence of a large number of migrant work forces will not only exacerbate existing SEA/SH risks for the adjoining communities, but also create new ones.

Major civil works can exacerbate the risk of SEA/SH in both public and private spaces by a range of perpetrators in many ways, for example¹⁵:

- Projects with a large influx of workers may increase the demand for sex work—even increase the risk for trafficking of women for the purposes of sex work—or the risk of forced early marriage in a community where marriage to an employed man is seen as the best livelihood strategy for an adolescent girl.¹⁶ Furthermore, higher wages for workers in a community can

¹³National Family Health Survey-4 (2015-16); <http://rchiips.org/nfhs/>

¹⁴ Major civil works include construction, maintenance and/or upgrading of infrastructure (transport, energy, water & sanitation, irrigation and urban infrastructure, school or hospital construction, etc.) and related supervision oversight, as well as technical assistance activities related to such projects.

¹⁵Good Practice Note: Addressing Gender Based Violence in Investment Project Financing involving Major Civil Works, 28 September 2018, the World Bank group.

¹⁶As per Demographic & health Survey (2015-16), among the women now in the age between 20-49, 36.9% were married before the age of 18. See <https://dhsprogram.com/what-we-do/survey-Types/dHs.cfm>



lead to an increase in transactional sex. The risk of incidents of sex between laborers and minors, even when it is not transactional, can also increase.

- Construction workers are predominantly young males, typically separated from their families on a construction job for extended periods of time. They can therefore act outside their normal spheres of social control, which can lead to a spectrum of unacceptable and illicit behaviours, including sexual exploitation and abuse of women and girls and illicit sexual relations with minors from the local community.
- Projects create changes in the communities in which they operate and can cause shifts in power dynamics between community members and within households. Male jealousy, a key driver of GBV, can be triggered by labour influx on a project when workers are believed to be interacting with community women. Hence, abusive behaviour can occur not only between project-related staff and those living in and around the project site, but also within the homes of those affected by the project.
- When land redistribution occurs—for example due to resettlement for civil works—women may be extremely vulnerable to GBV. This is particularly true in countries where the legal systems preclude women from holding land titles.
- Women and girl's job opportunities are limited due to a lack of appropriate transportation options. When creating job opportunities for women within projects, teams should be aware that traveling to and from work in some settings can force women and girls to use unsafe, poorly lit commuter routes, or unsafe public transport. Increased risk of violence is experienced when women are confronted with traveling long distances to access work opportunities or forced to travel at night.
- Increased interactions between the incoming workforce and the local community may result in increasing rates of communicable diseases, including sexually transmitted diseases and HIV/AIDS.

Finding solutions to reduce and respond to SEA/SH is a critical development imperative, with implications for the productivity, agency and well-being of individuals and communities. It is also critical due to the high prevalence and social acceptability of violence against women and girls.

15.5 SEA/SH Risk Assessment in UPCRNDP Phase I Roads

The following have been concluded based on the SEA/SH risk assessment conducted for UPCRNDP Phase I roads.

15.5.1 At-Risk Groups

- Women and adolescent girls in adjoining communities.
- Women impacted due to displacement
- Women staff in Project Offices
- Women Workers on the construction site and labour camps

15.5.2 SEA/SH Hot Spots

- Construction camp
- Construction site and Project Offices
- Petty Roadside Businesses Run by Women
- Community Resources/Properties accessed by Women & Adolescent girls
- Access Route to Educational institutes



The SEA/SH Risk rating of UPCRNDP interventions have been evaluated to be **low**.

15.6 GPN of World Bank on Addressing GBV

The GPN outlines the Three Step action that needs to be undertaken during project preparation and implementation.¹⁷

- **Identify and assess** the risks of SEA/SH, including social and capacity assessments, and include measures for their mitigation in project design. Ideally, this is done during project preparation, with the understanding that SEA/SH risk assessment is a continuous process and should take place throughout the project life cycle as SEA/SH can occur at any moment.
- **Address** the risks by identifying and implementing appropriate SEA/SH risk mitigation and monitoring measures on an ongoing basis during project implementation.
- **Respond** to any identified SEA/SH incidents, whether related to the project or not, ensuring that effective monitoring and evaluation mechanisms are in place to report on such incidents and to monitor follow up.

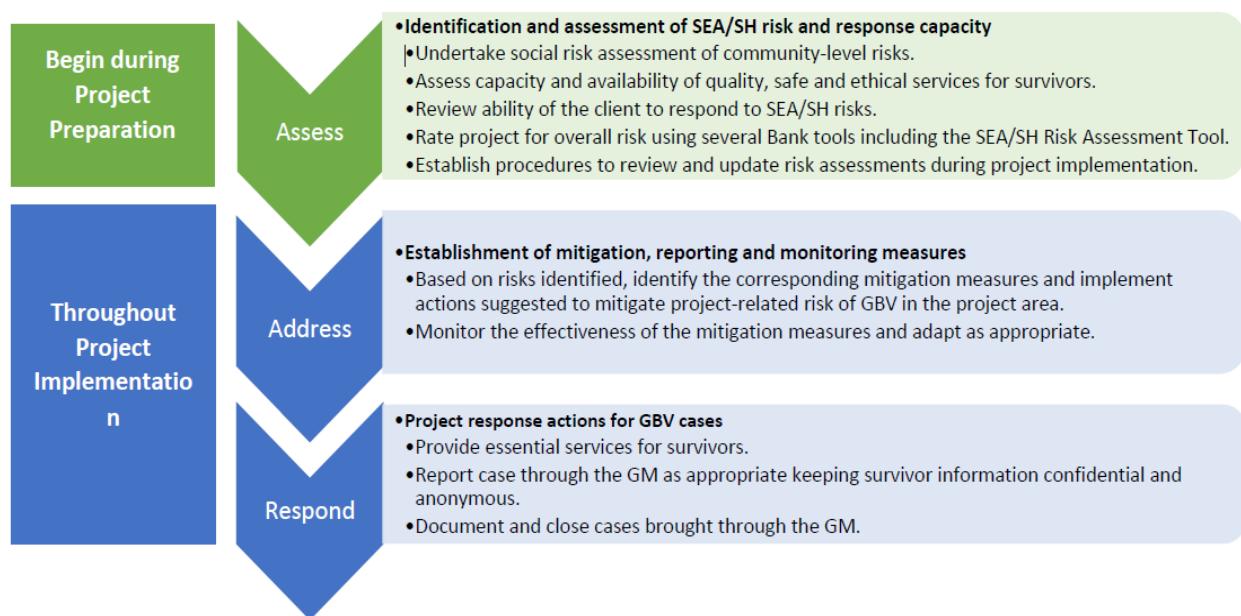


Figure 15.1: Assessing, Addressing and Responding to SEA/SH in IPF Involving Major Civil Works

15.7 Measures to Address the Gender Gaps in UPCRNDP Phase II

Gap: Job opportunities declining for women

Measure: UPCRNDP has mandated contractors to hire minimum 30% women for routine maintenance works such as filling of potholes; maintaining shoulders; etc. The contractor will strictly adhere to Equal Wages Act. The project will provide of an opportunity to women for upgrading skill for future employment.

Gap: Victims not reporting due to fear of reprisal and social stigma

¹⁷Good Practice Note: Addressing Gender Based Violence in Investment Project Financing involving Major Civil Works, 28 September 2018, the World Bank group.



Measure: The SEA/SH GM will be handled by a capable and ethical GBV Service Provider who will be able to offer a suite of services to the survivor (health, legal, security etc). They will establish close ties with various civil departments like police, healthcare, judicial, Anganwadi, Asha Jyoti Kendra etc for their effective functioning. The GBV Service provider, in co-ordination with the GBV Focal Point within PIU, will route the complaints to the correct department and follow-up for redressal. Signing of CoCs by all workers and sensitization training's for workers at all levels, appropriate signages at all hotspots will help in creating awareness among workers of the "ZERO Tolerance of SEA/SH" policy of the project.

Gap: Sexual Harassment of women in workplace despite of PoSH Act

Measure: ICC will be strengthened as described in the SEA/SH Prevention and Response Action Plan.

15.8 SEA/SH Prevention and Response Action Plan

A Prevention and Response Action Plan has been prepared for effectively addressing the SEA/SH risks under UPCRNDP which outlines:

For the project's SEA/SH risks to be properly addressed, it is important to have an effective "SEA/SH Prevention and Response Action Plan," which outlines:

- How the project will put in place the necessary protocols and mechanisms to address the SEA/SH risks; and
- How to address any SEA/SH allegations that may arise.

The SEA/SH Prevention and Response Action Plan includes an Accountability and Response Plan, which details how allegations of SEA/SH will be handled (investigation procedures) and disciplinary action will be taken for violation of the Code of Conduct (CoC) by workers.

All interventions within UPCRNDP project will follow the recommended actions given below (refer **Table 15.1**) for preventing and addressing the SEA/SH risks caused or exacerbated by them.

Table 15.1: Response Action Plan for LOW SEA/SH Risk

✓: Action recommended; ○ Action may be considered

Recommended actions to address project induced SEA/SH risks For SEA/SH Risk Level=Low	Option	By when	By Whom
Include SEA/SH risks ESIAs (<i>based on visits, risk assessment tool, interactions</i>); <i>No prevalence data or baseline data should be collected as part of risk assessments</i>)	✓	Preparation	PIU
Map out GBV service providers /response actors in communities adjoining the projects	✓	Preparation Implementation	GBV Focal Point at PIU
Include adequately SEA/SH risks, GBV service provider in mitigation plans documents – Project ESMP, C-ESMP	✓	Preparation	PIU/Contractor



Recommended actions to address project induced SEA/SH risks For SEA/SH Risk Level=Low	Option	By when	By Whom
Inform & Consult those affected by the project, of the SEA/SH risks and project activities, to get their feedback on project design and safeguard issues.	✓	Through-out project cycle	<ul style="list-style-type: none">• GBV Focal Point at PIU• GBV Service Provider
Address SEA/SH-related issues in the SEP of the project to keep the local communities and other stakeholders informed about the project's activities	○	Through-out project cycle	<ul style="list-style-type: none">• GBV Focal Point at PIU• GBV Service Provider
Create an effective SEA/SH GRM with multiple channels; should have specific procedures for SEA/SH, including confidential reporting with safe and ethical documenting of SEA/SH cases.	✓	Prior to contractor mobilizing.	<ul style="list-style-type: none">• GBV Focal Point at PIU• GBV Service Provider
Ensure GBV Focal Point to support project preparation	✓	Preparation	PIU
Clearly define SEA/SH requirements in Bid-documents and also the requirement for a CoC which addresses SEA/SH	✓	Preparation	PIU
Review C-ESMP to verify that appropriate mitigation actions are included.	✓	Periodic during Implementation	PIU
Review SEA/SH GM's reception and processing of complaints regularly to ensure that the protocols are being followed in a timely manner for addressing the SEA/SH complaints arising in the project.	✓	Implementation.	<ul style="list-style-type: none">• GBV Focal Point at PIU.• GBV Service Provider.
Ensure Codes of Conduct are clearly understood and signed by those with a physical presence at the project site; Train project staff on the behaviour obligations under the CoCs and Disseminate CoCs (including visual illustrations) and discuss with employees and local communities.	✓	Upon contractor mobilization	<ul style="list-style-type: none">• Contractor.• Consultant.• PIU Staff.
Train Project workers and local community on SEA/SH	✓	Implementation	<ul style="list-style-type: none">• PIU,• Contractors,• Consultants
Undertake regular M&E of progress on SEA/SH prevention and response activities, including reassessment of risks as appropriate.	✓	Implementation	<ul style="list-style-type: none">• GBV Focal Point at PIU,• GBV Service Provider,• Contractors,• Consultants
Implement appropriate project-level activities such as: <ul style="list-style-type: none">• Separate, safe and easily accessible facilities for women and men in the place of work and the labour camps. (e.g. toilets should be located in separate areas, well-lit)• Display signs that the project site is an area where SEA/SH is prohibited.	✓	Prior to works commencing.	<ul style="list-style-type: none">• Contractor (implementation).• GBV Focal Point at PIU.• GBV Service Provider

The steps and measures of the **SEA/SH Prevention and Response Action Plan** for all interventions within UPCRNDP will include, but not be limited to:



15.9 Appointment of GBV Focal Point

For assessing SEA/SH challenges created or exacerbated by the project intervention and for proposing and implementing appropriate prevention and mitigation measures, GBV Focal Point¹⁸ will be appointed at PIU under each circle of PWD and PIU at the Traffic Directorate of the Home Department.

The GBV Focal Point in the PIU of each circle of PWD, will report to the Social Specialist in the Environment, Social Development and Resettlement Cell (ESDRC) constituted in the PMU. In case an abuse which is perpetrated by a UPHP personnel, is reported in the SEA/SH GM, then the GBV Focal Point in the PIU of PWD will report the incident to the GBV Focal Point in the PIU at the Traffic Directorate for necessary action who will then revert back to the PIU of PWD with action taken within a reasonable timeframe.

The GBV Focal Point will constantly monitor the SEA/SH quotient of the project by undertaking activities which include:

- **Co-ordination with GBV Service Provider for:**

- Development and implementation of the SEA/SH Prevention and Response strategy.
- Ensuring that the GBV Service Provider is maintaining confidentiality and functioning empathetically and ethically.
- Ensuring that the GBV Service Provider is undertaking periodic Stakeholder Consultations with various focus groups of the adjoining communities for imparting knowledge on the project activities and the safeguards put in place (e.g. CoC, SEA/SH GM etc) for the protection of community women and girls from the risks of SEA/SH that exacerbates due of the presence of migrant workers.
- Ensuring that the GBV Service Provider is engaging in periodic community consultations for understanding the intensity of the already identified risks and also to catch the early signals of the emergence of new SEA/SH risk/s created by the project.
- Monitoring and helping in enhancing the institutional linkages of the GBV Service Provider for effective support to the SEA/SH Survivor.
- Monitoring and Supporting the GBV Service Provider to ensure that the survivor has been provided adequate suite of services for getting mainstreamed back in society.

- **Monitor SEA/SH GM by:**

- Periodically checking the SEA/SH GM for effective functioning.
- Regularly checking the effective functioning of all channels (toll free#, online, telephone#, sms, register etc) of lodging complaints.
- Channelizing the complaint/s appropriately for redressal (ICC in case the perpetrator is a staff member, the contractor for workers on contractor's payroll or GBV Focal Point at Traffic Directorate if the perpetrator is a UPHP personnel).
- Following-up for redressal and closing the case in the SEA/SH GM if the issue is resolved.

- **Ensure safety of women staff in UP PWD offices by:**

- Strengthening of the already existing (ICC constituted as per the Supreme Court guidelines) by organizing regular meetings of the ICC members.

¹⁸ GBV Focal Point can either be a GBV Specialist or an already hired Social Specialist with the added portfolio of managing and monitoring the GBV hygiene of the project.



- Organizing meetings with staff members imparting knowledge of the PoSH Act and provisions made available to women staff for protection against sexual harassment at workplace.
- Preparing and displaying appropriate posters with information on ways of escalating sexual harassment issues.
- Having well-lit and separate toilets for men and women staff. Ensuring that the toilet doors can be locked from inside.
- **Ensure safety of women workers in the construction site by:**
 - Developing IEC material in regional language and displaying adequate number of posters and signages with good visibility, all over the construction site and other hot spots, conveying the State's policy against sexual harassment in the workplace; zero tolerance for SEA/SIH in the project and all channels available (e.g. toll free#, telephone#, sms, online, register etc) for reporting and escalating SEA/SIH incidents.
 - Presence of a creche and a covered place for nursing mothers.
 - Ensuring well-lit and separate toilets for men and women with adequate distance between them.
 - Presence of adequate security personnel.
 - Making sure that all parts of the construction site are adequately lit after dark.
- **Monitor Labour Camp conditions w.r.t safety of women workers by:**
 - Supervision and oversight of labour camps to ensure that suitable accommodation conditions for migrant women labours is provided for, which is in accordance with country labour laws and WB ESS2. This includes, safety & security issues, childcare facilities, health and sanitary requirements and separate toilets for women, gender-equal wage rates and temporary housing for families of labours during the construction work at the labour camp site with strict compliance to availability of water and sanitation facilities.
 - Ensure strict adherence to child labour norms.
- **Implement the Accountability and Response Framework by:**
 - Developing a Code of Conduct for the project and the strategy for implementing it.
 - Ensuring that each worker with footfalls on the project site (which will include contractor, subcontractor, suppliers, workers etc), understands and signs it.
 - GBV Focal Point at the Traffic Directorate has to ensure that UPHP personnel have understood and signed the CoC.
- **Maintaining a strict Training Schedule by:**
 - Ensuring adherence to the training timetable and ensuring full attendance for all levels.
 - Sensitizing the staff/workers and contractors on the importance of participating and conducting the trainings on SEA/SIH and the implications.
- **Preparing Reports for Review:**
 - Preparing reports on SEA/SIH for the Quarterly Performance Review and the bi-annual Joint Review Meeting on the effectiveness of the project's ability at mitigating the risks and dealing with the incidences that may arise.

15.10 Hiring of GBV Service Providers

GBV Services Providers are critical for the successful implementation of the SEA/SIH Prevention and Response Action Plan of the project. Hence a thorough capacity assessment will be done before selecting a GBV Service Provider in the area. The selection of the Service Provider will be



done before the contractor mobilization so that the project is prepared for mitigation and redressal of SEA/SH risks before the work begins.

For an effective functioning, GBV service providers engaged with the project, will report directly to the GBV Focal Point at the respective PIUs who will be responsible for managing and monitoring its performance and progress.

GBV service providers mapped in U.P are given in GBV report. Broadly the role of the GBV Service Provider is explained below:

- Creating synergies with various actors in community is the key for managing SEA/SH risks. GBV service providers will identify active community members, women's groups, Gram Panchayat and other Community Based Organization in the adjoining areas. Stakeholder guidance will be sought to identify existing and potential local SEA/SH risks, and they will be consulted on interventions and risk mitigation measures. Consultations with those working with at-risk groups, will be prioritized to enable understanding of SEA/SH risks and trends in the community.
- The GBV Service Providers will engage in continuous consultations/dialogue with local communities in the project's adjoining areas throughout the life of the project. These regular consultations will provide opportunities to share information with communities on project-related risks, reporting, response measures, and in identifying new issues that may be arising with regards to SEA/SH. This means the consultations will have a particular focus on women, children and other at-risk groups—each of which may require different approaches to enable a safe space for discussion.
- Hot Spots will be identified, and close monitoring of these areas will be done throughout the project life cycle.
- Awareness Raising Strategy will play an important role in the risk mitigation process. GBV Service providers will regularly sensitize stakeholders and citizens about SEA/SH risks exacerbated in the community by the project intervention and the redressal mechanism devised by the project management. The worker's CoC, SEA/SH GM, principle of confidentiality of information, and all ways for submitting the SEA/SH grievances will be explained.
- A SEA/SH GM will be managed by the project's GBV Service Provider and overseen by the GBV Focal Point appointed in the PIU.
- Multiple channels will be made available (telephone#, police helpline, toll free#, online, sms, register etc) for reporting SEA/SH and checked regularly for proper functioning.
- GBV Service providers will periodically inspect the labour camps for living conditions to be in line with the Labour Laws of India and the Environment and Social Safeguard policies of the World Bank, since such adherence will help reduce risk of SEA/SH in the labour camps, significantly.
- They will create institutional linkages in order to effectively provide for necessary case management, psycho-social, paralegal, medical, shelter and other support to women survivors of violence using human rights principles.



15.11 Addressing SEA/SH Risk and Responding to SEA/SH Incidents

15.11.1 Grievance Mechanism

A series of mitigation measures to address and monitor the identified SEA/SH risks are required to be undertaken throughout the life of the project. Effective implementation of the SEA/SH Prevention and Response Action Plan and SEA/SH GM is key to addressing safety issues of vulnerable groups in the place of work and adjoining areas.

- To properly address SEA/SH risks, each PIU will mandatorily set up SEA/SH GM for workers and community members, prior to contractor's mobilization.
- For SEA/SH complaints, there are risks of stigmatization, rejection, and reprisals against survivors. This creates and reinforces a culture of silence so survivors may be reticent to approach the project directly. The SEA/SH GM therefore need to have multiple channels through which complaints can be registered in a safe and confidential manner.¹⁹
- Owing to the sensitivities involved, the SEA/SH GM should be separate from the Project GM.
- GRM operators/ GBV Service Provider should be trained on how to collect SEA/SH cases confidentially and empathetically (with no judgment). The SEA/SH GM should ask for, or record, information related to the SEA/SH incident strictly as per the guidelines in the GPN.

15.11.2 Accountability and Response Framework

"Accountability and Response Framework" outlines the disciplinary action for violation of the CoC by workers. It is essential that such actions be determined and carried out in a manner that is consistent with local labour legislation and applicable industrial agreements, otherwise there is risk that the CoC will not be implemented effectively.

15.11.3 Code of Conduct and Strategy for Implementation

Code of Conduct defines the mandatory Dos and Don'ts expected from each staff member, worker, contractor and supplier/vendor associated with the project and having footprint on the project site. A worker's Code of Conduct will be introduced and made a part of the employment contract and signed by all. At the time of signing, workers will be explained the required strict compliance of the CoC and the sanctions for a possible breach of the Code (e.g. termination). An indicative CoC can be seen in *GBV report*.

The "Accountability and Response Framework" will be developed by PIU which defines a mechanism to hold accountable alleged perpetrators associated to the project and timeframe within which the supervisor/contractor is expected to take action.²⁰ In this project, the "Accountability and Response Framework" will be defined and implemented by the PIU of both PWD and UP Police Traffic Directorate.

¹⁹Good Practice Note: Addressing Gender Based Violence in Investment Project Financing involving Major Civil Works, 28 September 2018, the World Bank group

²⁰Accountability and Response Framework" outlines the disciplinary action for violation of the CoC by workers. It is essential that such actions be determined and carried out in a manner that is consistent with local labour legislation and applicable industrial agreements, otherwise there is risk that the CoC will not be implemented effectively. GPN WB



Mandatory trainings for the workforce on: state and department policies on sexual harassment in the workplace; unacceptable conduct toward local community members, specifically women; CoC; “Zero tolerance” for SH and SEA; GM for “reporting and response” of SEA/SH incidents will be conducted regularly.

15.11.4 Institutional Arrangement and Workflow for Addressing SEA/SH at Each PWD Circle

- As illustrated in the **Figure 15.2** below, the SEA/SH survivor can lodge a complaint through multiple channels like helpline number, SMS, GBV registers maintained onsite etc. The request will be received by the GBV Service provider. Owing to the sensitive nature of the complaint and the need for confidentiality, the GBV Service Provider will log only the following information in their records:
 - Nature of the complaint
 - The age of the survivor
 - If the perpetrator was associated with the project.
- Upon gaining the consent of the survivor, this information will be shared immediately with the GBV Focal Point in PIU of the same PWD circle.
- The GBV Service Provider will support the survivor with all the services needed (medical, paralegal, security, psycho-social, shelter etc.), either through its own capabilities or through its institutional linkages.
- If the perpetrator is a UPHP personnel, then the information will be forwarded to the GBV Focal Point at the PIU in Traffic Directorate for redressal. On the other hand if the perpetrator is not from UPHP then depending on whether the perpetrator is a staff member or a contract worker, the escalation will be made either to the ICC in PWD or the PWD contractor for necessary action.
- Upon redressal, the GBV Service Provider will be informed by the GBV Focal Point at the PIU so that the case can be marked - “Closed” in the SEA/SH GM record, along with the date of closure.

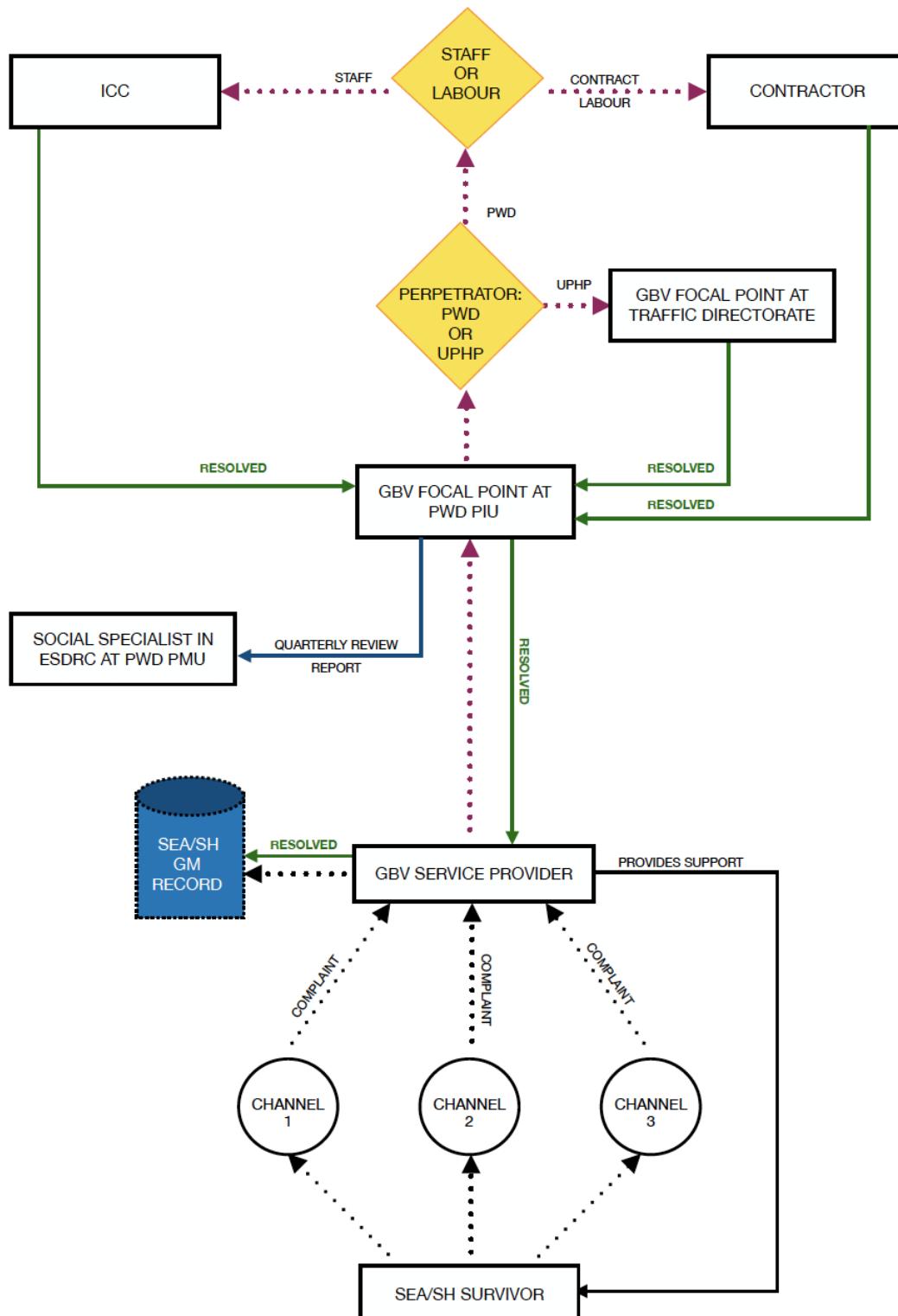


Figure 15.2: Institutional Arrangement and Workflow for Addressing SEA/SH at each PWD Circle



15.11.5 Project Safeguard Document

SEA/SH Prevention and Response Action Plan (including CoC) and the Budget required for implementing the SEA/SH Prevention and Response Action Plan will be incorporated in the ESMP before the Contractor mobilization.

Requisite provisions will be included in the bid documents as well, so that the contractors are aware of all required roles and responsibilities of SEA/SH Prevention and Response Action Plan and accordingly price the bids.

15.11.6 Training

CoC training to workers/staff at all levels will broadly cover:

- What GBV (particularly SEA and SH) is and how the project can exacerbate SEA/SH risks.
- Roles and responsibilities of actors involved in the project (the standards of conduct for project-related staff captured in CoCs).
- GBV incident reporting mechanism, accountability structures, and referral procedures within the project and for community members.
- Services available for survivors of SEA/SH.

Training modality and frequency for all levels of staff/workers is indicated in GBV report.

15.11.7 Monitoring and Reporting

- Monitoring will be integrated into the projects safeguard monitoring framework with a special focus on identified Hot Spots.
- SEA/SH Prevention and Response Action Plan will be monitored during Joint Review Meetings (JRM) by a GBV Focal Point. A sample reporting format is provided in the GBV report.
- QPRs will include updates on the status of the SEA/SH activities on the project. They will be prepared by the GBV Focal Points in each PWD Circle and reviewed by Social Specialist in ESDRC of the PMU.
 - SEA/SH GM Indicators
 - Number of SEA/SH cases received.
 - Number of SEA/SH cases resolved.
 - Time taken to resolve.
 - SEA/SH Activities indicators
 - Successful implementation of agreed SEA/SH Prevention and Response Action Plan.
 - Number of training courses related to SEA/SH delivered.
 - Percentage of workers that have signed a CoC.
 - Percentage of workers that have attended the CoC training.

15.11.8 Supervision and Oversight

The supervision of Contractors on civil works under UPCRNDP projects shall be done by ESDRC in PMU. A key challenge faced by many projects is that the supervision and oversight of SEA/SH activities during civil works is inadequate.

For proactive supervision and monitoring, discussion of the SEA/SH and SEA/SH GM parameters will be included in the bi-annual JRM. A sample reporting format which will be filled by the GBV Focal Point of each PIU is provided in GBV report.



For projects with Substantial and High risk of SEA/SH, quarterly inspections to monitor the implementation of SEA/SH Prevention and Response Plan, are recommended.

Supervision Modalities

Effective supervision and oversight of the project's SEA/SH prevention and mitigation efforts is vital and should therefore be carefully considered during project preparation. Effective oversight requires various actors with additional ones needed in higher risk projects. All entities involved - supervision consultants, PIU, any independent oversight entities, as well as other entities such as steering committees and civil society - must have clear roles and responsibilities throughout the implementation of the project. All those involved in SEA/SH activities should have appropriate training and skills for the tasks assigned to them.

A GBV specialist will provide capacity support and execute a bi-annual review of the implementation of recommendations for SEA/SH mitigation.

Independent Monitoring of SEA/SH

For projects with high risk of SEA/SH, independent third-party SEA/SH monitoring (TPM) is recommended. The TPM or IVA is an organization commissioned to independently monitor and report on the effectiveness of the SEA/SH Prevention and Response Action Plan implementation to prevent and mitigate SEA/SH risks associated with the project.

Since the risk level of this project is Low, hence TPM is not suggested.

15.12 Budget

A separate budget has been provisioned for capacity building for an effective implementation of SEA/SH Prevention and Response Action Plan, as a part of SMP of UPCRNDP.

Requisite provisions will also be included in the bid documents, so that the contractors will be aware of all required roles and responsibilities of SEA/SH Prevention and Response Action Plan and accordingly price the bids.

UPCRNDP shall include a strategy for continuance of the implementation of SEA/SH Prevention and Response Action Plan with requisite budgetary support and provisions in bid documents throughout the implementation phase of the project.

Appropriate budgetary allocations shall support and include the process to prevent and respond to SEA/SH in the project. The budgetary provision includes investment in:

- Staff development and training programs.
- Guidance notes and continuous learning.
- Capacity-building on SEA.
- To partner with GBV Services Providers to facilitate access to timely, safe and confidential services for survivors (including money for transportation, documentation fees, and lodging if needed).

A lumpsum budget of Rs. 1000000/- has been considered for implementation of SEA/SH Prevention and Response Action Plan for the project road.



16 COSTS AND BUDGET

16.1 Budget

The implementation of SMP entails expenditure, which is a part of the overall project cost. The R&R budget, gives an overview of the estimated costs of the SMP and provides a cost-wise, item-wise budget estimate for the entire package of resettlement implementation, including compensation, assistance, administrative expense, monitoring and evaluation and contingencies. Values for compensation amounts and other support mechanism will be adjusted, based on annual inflation factor.

Around 5% of the total cost has been set aside for physical contingencies. Such type of contingencies may arise as a result of time overrun of the project or due to various other unforeseen circumstances

While preparing the budget, the R&R team laid special emphasis on arriving at an estimate of the market value of the assets. The R&R team verified price data from a section of the PAPs, revenue officials in the concerned district; local entrepreneurs engaged in these works and other people having some knowledge of civil works. The resettlement budget, has been computed accordingly.

Compensation for land: Compensation for land has been computed considering the existing circle rate of land multiplied by a factor of ^{2²¹} with 100% solatium.

R&R assistance: The R&R assistance amounts such as shifting allowance; subsistence allowance and grant for working shed has been taken from approved R&R policy for the project.

Cost towards implementation arrangement: The cost for hiring NGO; M&E agency and implementation of gender action plan has been estimated based on other projects; activities envisaged; and number of PAPs.

The budget for SMP implementation is estimated to **Rs. 75.00 Crores**. Itemwise budget is presented below in **Table 16.1**.

Table 16.1: Estimated R&R Budget

Sl. No	Item	Unit	Qunatity	Rate (in Rs.)	Amount (Rs.)	Total Compensation in Rs. (with Factor 2 & 100% Soltium)
A Replacement cost of land						
i	Rath East	Ha	4.345	1500000	6517500	26070000
ii	Etayal	Ha	1.520	1500000	2280000	9120000
iii	Rath North	Ha	10.424	1500000	15636000	62544000
iv	Chulla	Ha	0.027	800000	21600	86400
v	Rath South	Ha	6.020	1500000	9030000	36120000
vi	Kurra	Ha	3.520	800000	2816000	11264000

²¹ Revenue Department Notification No. 2/2016/414/EK-13-2016-5Ka(25)/13TC



Sl. No	Item	Unit	Qunatity	Rate (in Rs.)	Amount (Rs.)	Total Compensation in Rs. (with Factor 2 & 100% Soltium)
vii	Malahua Maaf	Ha	1.370	800000	1096000	4384000
viii	Beehar	Ha	2.484	800000	1987200	7948800
ix	Ikthar	Ha	4.268	800000	3414400	13657600
x	Barel	Ha	8.464	800000	6771200	27084800
xi	Gauhani Panwari	Ha	3.717	800000	2973600	11894400
xii	Tola Rawat	Ha	0.095	800000	76000	304000
xiii	Kuchhechha	Ha	8.719	800000	6975200	27900800
xiv	Moti Katra	Ha	5.181	670000	3471270	13885080
xv	Nipan	Ha	11.073	670000	7418910	29675640
xvi	Gharauth khas	Ha	5.409	1000000	5409000	21636000
xvii	Gharauth Khurd	Ha	0.564	1800000	1015200	4060800
Sub-total			77.200	77.200	76909080	307636320
B	Registration cost @ 2% of land cost (A) - in Rs.					6152726
C	Assistance for Title-holders	Unit	Quantity	Rate (in Rs.)	-	Amount (Rs.)
i	Subsistence allowance of Rs. 36000 - (TH)	No.	533	36000	-	19188000
ii	One time grant of Rs. 500,000 or annuity (TH) - In case land acquisition through direct purchase with some land owners fails (15% of total land owner families)	No.	533	500000	-	266500000
iii	Onetime additional financial assistance of Rs. 50,000/- to vulnerable families (land owners)	No.	830	50000	-	41500000
Sub-total						327188000
D	Replacement cost of other assets (THs)	Unit	Quantity	Rate (in Rs.)	-	Amount (Rs.)
i	Borewell / Well	Sqm	22	100000	-	4400000
ii	Trees	Sqm	468	8000	-	7488000
Sub-total						11888000
E	Replacement cost for Structure (NTHs)	Unit	Quantity	Rate (in Rs.)	-	Amount (Rs.)
i	Replacement cost for Permanent Structure	Sqm	767.66	12000	-	9211920
ii	Replacement cost for Semi Permanent Structure	Sqm	1563.8	10000	-	15638000
iii	Replacement cost for Temporary structure	Sqm	851.08	7500	-	6383100
Sub-total			3182.50		-	31233020
F	Assistance for Structure (NTHs)	Unit	Quantity	Rate (in Rs.)	-	Amount (Rs.)
i	One time grant of Rs 36000 as subsistence allowance (HH) - TH & NTH (excluding kiosks)	No.	94	36000	-	3384000



Sl. No	Item	Unit	Qunatity	Rate (in Rs.)	Amount (Rs.)	Total Compensation in Rs. (with Factor 2 & 100% Soltium)
ii	Shifting allowance of Rs 50,000 as one time grant for a permanent structure	No.	0	50000	-	0
iii	Shifting allowance 30,000 as one time grant for a semi permanent structure	No.	3	30000	-	90000
iv	Shifting allowance 10,000 as one time grant for a temporary structure	No.	4	10000	-	40000
v	Kiosks only Rs. 5000 will be paid as one time grant	No.	43	5000	-	215000
vi	Shifting allowance for Tenants Rs 50,000 towards Shifting	No.	0	0	-	0
vii	Training Assistance of Rs 10,000/- for income generation (families)	No.	1546	10000	-	15460000
Sub-total						19189000
G	CPR-compensation for Community/Properties	Unit	Quantity	Rate (in Rs.)	-	Amount (Rs.)
i	Compensation for Structure	Sqm	117.6	10000	-	1176000
ii	Community Boundary Wall (Running mts.)	RM	24.5	3000	-	73500
Sub-total						1249500
H	Implementation Arrangement	Unit	Quantity	Rate (in Rs.)	-	Amount (Rs.)
i	Covid -19	LS**				1500000
ii	Implementation of GAP	LS			-	1000000
iii	Hiring of NGO	LS			-	4600000
iv	Hiring of M&E agency	LS			-	800000
v	Training of Project Staff on SMP issues	LS			-	100000
vi	Labour Management Plan	LS				750000
vii	Gender Based Violence	LS				1000000
Total (A+B+C+D+E+F+G+H)						9750000
<i>Contingency @ 5% of Total (A+B+C+D+E+F+G+H)</i>						35714328
Grand Total (Total + Contingency)						750000894

* Circle Rate of land - As per District Circle Rate (Government of Uttar Pradesh) is attached as **Annexure-16.1**.

**LS – Lump sum