

Resettlement Planning Document

Updated Short Resettlement Plan for Alwar Urban Transport and Roads Sub-project
Document Stage: Draft for Consultation
Project Number:
April 2009

India: Rajasthan Urban Sector Development Investment Program

Prepared by Local Self Government Department

The resettlement plan is a document of the borrower. The views expressed herein do not necessarily represent those of ADB's Board of Directors, Management, or staff, and may be preliminary in nature.

DRAFT SHORT RESETTLEMENT PLAN

A. Scope of Land Acquisition and Resettlement

1. The Investment Program will optimize social and economic development in 15 selected towns¹ in Rajasthan through investments in urban infrastructure (water supply, wastewater management, solid waste management, urban drainage, and urban transport and roads), social infrastructure, and infrastructure support to cultural heritage. The Program will also provide policy reforms to strengthen urban governance, management, and support for urban infrastructure and services.² This short resettlement plan (RP) has been prepared for the first phase of the urban transport and roads sub-project in Alwar.

2. Scope and components of the works consist of the construction of a road over bridge (ROB) which will provide continuous road connection between Station Road and Itrana Road to replace the existing level crossing which is closed 35 times a day to allow the passage of 44 trains. The sub-project includes (i) a 2-lane flyover, (ii) approach ramps, (iii) road widening, and (iv) improvement of ground-level road surface.

3. Minimizing land acquisition and resettlement impacts was a primary consideration in sub-project design and alignment. While most sub-project works will be within the existing roads and vacant rights of way (RoW), the sub-project will have an impact on the fence and store room of the Government Polytechnic College Alwar, and three kiosks situated in the RoW on this side of the Government Polytechnic College fence. A diagram is provided in Appendix 1. A 60-meter (m) long section of the 2.2-m high fence will need to be moved back to accommodate the ROB and a 10 by 5-m store room and various minor unused/abandoned structures will have to be demolished. The store room is used primarily for the storage of student's uniforms. There is sufficient vacant land within the College compound for a new store-room. The total land which will be taken by the ROB within the College compound is 0.20 ha. of the three kiosks one is a 1.7 by 2.25 by 3-m concrete kiosk with an encroachment of 2.1 by 8.0 by 0.65-m on RoW; the other two kiosks are makeshift wooden shops which are on the road RoW. Income from these kiosks range from Rs1,800 to 3,600 per month. Two households are vulnerable.

B. Socio-Economic Background

4. To estimate the temporary impacts initially a series of transect walks were conducted; this was followed by a 100 percent census and a socio-economic survey conducted in the areas, where the works are to be done. This was conducted with the help of a predesigned tool (Appendix 2). The Census was conducted using a two page questionnaire with a battery of questions to address:

- Name of respondent
- Daily Income from the affected structure
- Whether or not belongs to the under privileged / marginal class
- Details of the Construction Package with Address and Chainage
- Whether location is in urban, peri-urban or rural area
- Type of loss : viz. Residential, Commercial, Kiosks etc
- Whether the occupant of the structure is a squatter
- Address of the structure
- Whether the affected occupant holds a legal paper for occupancy
- Whether the occupant has Ration Card & enlisted in Voter's list

¹ Particularly district headquarters and towns with significant tourism potential.

² The assistance will be based on the State-level framework for urban reforms, and institutional and governance reforms recommended by the Government of India through the Jawaharlal Nehru National Urban Renewal Mission and Urban Infrastructure Development Scheme for Small and Medium Towns.

- Description of the affected structure and its present use
- Description of the affected structure within the RoW
- Parallel Distance of the affected structure along the RoW
- Perpendicular Distance of the affected structure from the Centre line and
- Type of construction of the structure for Roof, Walls, Floor & boundary

5. A Socio-economic Survey on 20% of the occupants of the affected structures was conducted as per the requirements after the completion of Census survey in the stretches of impact of the proposed construction package. This was done with the aid of a structured close ended (for ease of information processing) battery of questions targeted to elicit responses on cardinal socio-economic enquiries :

- Name of the Head of the Household (HH)
- Name of Respondent
- Relationship of the respondent with the HH
- Details of the family type eg. Nuclear, Joint or Extended
- Social class & caste of the family eg. ST, SC, OBC or higher caste
- Details of the family members with corresponding details :
 - Name of each of the family members
 - Age of each of the family members
 - Relationship with the HH
 - Sex of each of the family members
 - Marital status of each of the family members
 - Attained Educational levels of each of the family members
 - Any particular skill of each of the family members
 - Main or marginal nature of work & general work of family members
- Nature of business of Name) of each of the family members
- Source of Annual Income of the Household
- Type of Use of affected structure
- Details of nature of business carried out from the affected structure
- Assets of the Household in terms of movable & immovable property
- Standard of living in terms of expenses on essentials AND
- Indebtedness of the Family

6. The details of the social-economic profile of the APs under this sub-project are mentioned below. Among the 3 Affected Persons 1 is OBCs and 2 of them are Muslim;

Literacy- Literacy, being an important indicator of social development, affects the demographic characteristics and participation. The Socio-economic survey results show there are 60.0 percent literate males and 40.0 percent literate females.

Economy- Data on employment shows that of the 3 APs all are squatters and the structures affected are used for business purposes, but have no legal documents for those. Their businesses are small of- pan/bidi, saloon/cycle repairing and carpentry

7. Summary information from the socio-economic survey is in Appendix 3. A summary of resettlement impacts is in Table 1. The scope of land acquisition and resettlement identified was based on preliminary design and has been updated during detailed design.

Table 1: Summary of Resettlement Impacts

Items	Impact
Permanent Land Acquisition	0.20 ha will require transfer from the College which is a Government institution
Temporary Land Acquisition	0
Temporarily Affected Persons / Vendors (AP)	3
Titled APs (Temporarily Affected)	0
Non Titled APs (Temporarily Affected)	3
Female Headed AH	0
IP / ST Headed AH	0
BPL AH	0
Permanently Affected Structures	1
Temporarily Affected Structures	0
Affected Tree / Crops	0
Affected Common Property Resources (CPR)	0
Average Family Size of AHs	5
Average Monthly Income of AHs	4250
Income Sources Affected	Kiosks selling Cigarettes, Tea etc. & Barber's shop

C. Policy Framework and Entitlements

8. The policy framework and entitlements for the Program are based on national laws: *The Land Acquisition Act, 1894* (LAA, amended in 1984), and the National Policy on Resettlement and Rehabilitation for Project Affected Persons, 2003 (NRRP); ADB's *Policy on Involuntary Resettlement, 1995*; and the agreed Resettlement Framework (RF). Based on these, the following core involuntary resettlement principles applicable are:

- (i) land acquisition, and other involuntary resettlement impacts will be avoided or minimized exploring all viable alternative sub-project designs;
- (ii) where unavoidable, time-bound RPs will be prepared and affected persons (APs) will be assisted in improving or at least regaining their pre-program standard of living;
- (iii) consultation with APs on compensation, disclosure of resettlement information to APs, and participation of APs in planning and implementing sub-projects will be ensured;
- (iv) vulnerable groups will be provided special assistance³;
- (v) payment of compensation to APs including non-titled persons (e.g., informal dwellers/squatters, and encroachers) for acquired assets at replacement rates;
- (vi) payment of compensation and resettlement assistance prior to the contractor taking physical acquisition of the land and prior to the commencement of any construction activities;
- (vii) provision of income restoration and rehabilitation; and
- (viii) establishment of appropriate grievance redress mechanisms.

9. Policy framework and entitlements are further discussed in Appendix 4. The entitlement matrix for the sub-project based on the above policies and Section D of this RP are in Table 2.

³ Including poor households, households headed by women, the elderly, the disabled, and indigenous peoples.

Table 2: Entitlement Matrix

	Type of Loss	Application	Definition of Entitled Person	Compensation Policy	Implementation Issues	Responsible Agency
1	Loss of structure (College)	Structure and other assets	Legal titleholders	<ul style="list-style-type: none"> • Replacement value of the structure and other assets (or part of the structure and other assets, if remainder is viable). • Fees, taxes, and other charges related to replacement structure. • Right to salvage materials from structure and other assets. 		Valuation committee will determine replacement value.
2	Temporary disruption of livelihood		Non-titled APs	<ul style="list-style-type: none"> • 30 days advance notice regarding construction activities, including duration and type of disruption. • Right to salvage materials from structure and other assets. • Assistance to mobile vendors/hawkers to shift for continued economic activity.⁴ • For construction activities involving unavoidable livelihood disruption, compensation for lost income or a transitional allowance for the period of disruption whichever is greater. 	<ul style="list-style-type: none"> • Identification of alternative sites to continue economic activity. 	Valuation Committee will determine income lost. Contractors will perform actions to minimize income/access loss.
3	Impacts on vulnerable APs	All impacts	Vulnerable APs	<ul style="list-style-type: none"> • Commercial Structure. In case of total loss of business, skills training for vulnerable households. • Livelihood. Vulnerable households will be given priority in project construction employment. 	<ul style="list-style-type: none"> • Vulnerable households will be identified during the census conducted by the implementing NGO. 	NGO will verify the extent of impacts through a 100% surveys of APs determine assistance, verify and identify vulnerable households.
4	Any other loss not identified	-	-	<ul style="list-style-type: none"> • Unanticipated involuntary impacts will be documented and mitigated based on the principles of the Resettlement Framework (RF). 	-	NGO will ascertain the nature and extent of such loss. IPMU will finalize the entitlements in line with the RF.

⁴ For example assistance to shift to the other side of the road where there is no construction.

D. Consultation, Information Dissemination, Disclosure, and Grievance Redress

10. The RP was prepared in consultation with stakeholders. Meetings and individual interviews were held involving stakeholders, particularly potentially temporarily affected persons; and transect walks census, survey and interviews were conducted to determine the potential impacts of sub-project construction to prepare the sample sub-project RP. Following the model developed for the MFF, a town-wide stakeholder consultation workshop was conducted which provided an overview of the Program and sub-projects to be undertaken in Alwar. During Program preparation, a town-wide stakeholders' consultation workshop was conducted which provided an overview of the Program and sub-projects to be undertaken in Alwar; and discussed the Government and ADB's resettlement policies, and potential resettlement impacts of the sub-projects in Alwar. During the workshop, Hindi versions of the RF were provided to ensure stakeholders understood the objectives, policy principles and procedures for any land acquisition, compensation and other assistance measures for any AP. Information continues to be disseminated to APs and beneficiaries through various media. English and Hindi versions of the RF and RP have been placed in the Urban Local Body (ULB) office and RPs have been provided to APs. The NGO engaged to implement the RP will continue consultations, information dissemination, and disclosure. A strategy for continued consultations and participation is in the RF. The RP has already been made available in the ULB office, Investment Program Project Management Unit and Implementation Unit (IPMU and IPIU) offices, and the town library. The finalized RP has already been disclosed in ADB's website, the State Government website, the local government website, and the IPMU and IPIU websites. ADB review and approval of the RP is required prior to award of civil works contracts; and compensation/assistance of APs is required prior to commencement of civil works.

11. Grievances of APs will first be brought to the attention of the implementing NGO or Social Development Specialist (SDS). Grievances not redressed by the NGO or SDS will be brought to the City Level Committees (CLC) set up to monitor project implementation in each town. The CLC, acting as a grievance redress committee (GRC) is chaired by the District Collector with representatives from the ULB, state government agencies, IPIU, community-based organizations (CBOs) and NGOs. As GRC, the CLC will meet every month. The GRC will determine the merit of each grievance, and resolve grievances within a month of receiving the complaint, failing which the grievance will be addressed by the inter-ministerial Empowered Committee (EC). The Committee will be chaired by the Minister of Urban Development and Local Self Government Department (LSGD), and members will include Ministers, Directors and/or representatives of other relevant Government Ministries and Departments. Further grievances will be referred by APs to the appropriate courts of law. The IPIU will keep records of all grievances received including: contact details of complainant, date that the complaint was received, nature of grievance, agreed corrective actions and the date these were effected, and final outcome.

E. Compensation and Income Restoration

12. Structures affected within the College will be compensated based on the entitlement matrix to enable reconstruction of the lost structures. A Valuation Committee (VC) will be constituted comprising Land Acquisition Officers and Accounts Officers of the Collectorate from the zones; the Social Development Specialists (SDS) of the Investment Program Implementation Units (IPIU); and representatives from the IPIU, Public Works Department; affected persons (AP) and nongovernment organizations (NGO) to determine replacement values. The replacement value of structures and other immovable properties will be finalized by the VC through verification that the Basic Schedule of Rates (BSR) published for the State is up to date.

13. The socio-economic survey shows that the loss of APs from the kiosks are temporary because the kiosks can easily be shifted without reconstruction. These APs will be assisted through (i) 30 days advance notice regarding construction activities, including duration and type of disruption; (ii) right to salvage materials from structure and other assets; (iii) assistance to mobile vendors/hawkers to shift for continued economic activity (for example assistance to shift to the other side of the road where there is no construction); and (iv) should construction activities have unavoidable livelihood disruption, compensation for lost income or a transitional allowance for the period of disruption whichever is greater. Vulnerable APs will be given additional entitlements in accordance with the entitlement matrix. Compensation and assistance to APs will be made prior to possession of land/assets and prior to the award of civil works contracts.⁵

F. Institutional Framework, Resettlement Costs, and Implementation Schedule

14. The LSGD is the Executing Agency (EA) responsible for overall technical supervision and execution of all sub-projects funded under the Program. The Implementing Agency (IA) is the Project Management Unit of the ongoing RUIDP, which has been expanded and assigned as the IPMU, to coordinate construction of subprojects and ensure consistency across the towns. The EC provides LSGD with central policy guidance and coordination. The IPMU is assisted by: Investment Program Management Consultants (IPMC) who manage the program and assures technical quality of the design and construction; and Design and Supervision Consultants (DSC), has designed the infrastructure, managing tendering of Contractors, and supervising construction.

15. IPIUs have already been established in the project towns to manage implementation of subprojects in their area. CLCs will monitor sub-project implementation in each town. They will appoint Construction Contractors (CC) to build elements of the infrastructure in a particular town (supervised by DSC). Once the infrastructure begins to operate, responsibility will be transferred to the appropriate state or local Government Agency (GA), who will be given training, support and financial assistance through the Program where necessary to enable them to fulfill their responsibilities. They will employ local Operations and Maintenance Contractors (OMC) to maintain and repair the infrastructure as required.

16. Resettlement issues will be coordinated by a Social Development Specialist (IPMU SDS) within the IPMU, who will ensure that all subprojects comply with involuntary resettlement safeguards. A Resettlement Specialist (RS) who is part of the IPMC team will assist the SDS. SDS, as part of the DSC, will be appointed to work with each IPIU to update the RP in the detailed design stage, and to prepare RPs for new subprojects, where required to comply with Government and ADB policies. NGOs will be appointed to implement RPs. The responsible agencies, resettlement costs, and implementation schedules are provided in Tables 3, 4, and 5, respectively. Details on implementation arrangements, flow of funds, and implementation schedules are in the RF.

⁵ The APs will hand over land and properties acquired free from all encumbrances such as mortgage, debt, etc. after compensation. However, in case there are loans on acquired land and properties such amounts will be deducted from the total compensation. The acquired land and properties shall vest in the Competent Authority paying compensation for such lands/properties. If the Competent Authority fails to pay decided compensation to APs within a year after the date of notification, additional amount by way of interest (12 percent) will apply on final compensation payable to each AP, unless and except in cases where the AP has approached the judiciary for grievance redress.

Table 3: Institutional Roles and Responsibilities

Activities	Agency Responsible
Sub-project Initiation Stage	
Finalization of sites/alignments for sub-projects	IPMU
Disclosure of proposed land acquisition and sub-project details by issuing Public Notice	IPMU
Meetings at community/household level with APs of land/property	NGO
Formation of Valuation Committees	IPMU
RP Preparation Stage	
Conducting Census of all APs	IPMU/IPIU/NGO
Conducting FGDs/meetings/workshops during SIA surveys	IPIU/NGO
Computation of replacement values of land/properties proposed for acquisition and for associated assets	VC/IPIU
Categorization of APs for finalizing entitlements	IPIU/IPMU
Formulating compensation and rehabilitation measures	IPIU/IPMU
Conducting discussions/meetings/workshops with all APs and other stakeholders	IPIU/NGO
Fixing compensation for land/property with titleholders	VC/IPMU
Finalizing entitlements and rehabilitation packages	IPIU/IPMU
Disclosure of final entitlements and rehabilitation packages	IPIU/NGO
Approval of RP	IPMU/ADB
Sale Deed execution and payment	IPMU
Taking possession of land	
RP Implementation Stage	
Implementation of proposed rehabilitation measures	NGO/SDS
Consultations with APs during rehabilitation activities	NGO/SDS
Grievances redressal	NGO/SDS/GRC
Internal monitoring	IPIU
External monitoring	External Agency

AP=affected person, VC=Valuation Committee, FGD=focus group discussions, GRC = Grievance Redress Committee, NGO = nongovernment organization, IPMU = investment program management unit, IPIU = investment program implementation unit, SDS = Social Development Specialist, RP=resettlement plan, SIA=social impact assessment.

Table 4: Summary of Land Acquisition and Resettlement Costs

S rl.	Item	Unit	APs	Rate Rs.	Cost.
1.	Relocation & Transfer				
	Shifting assistance	Once	3	200	600
	Loss of Income Livelihood	90 days	3	142	38340
	Sub Total Item 1				38940
2	Administrative & Implementation costs				
	Implementing NGO covering NGO engagement, cost of census and survey of APs and inventory of assets, cost of information and consultations, training and monitoring (including evaluation by independent agency), and rental of office space and required physical facilities and materials.	Lump Sum			100000
3	Contingencies				
	Price (5%) of Project Cost				6947
	Physical (20%) for unanticipated impacts such as temporary impacts on structures or temporary loss of land				27788
	Total				173675

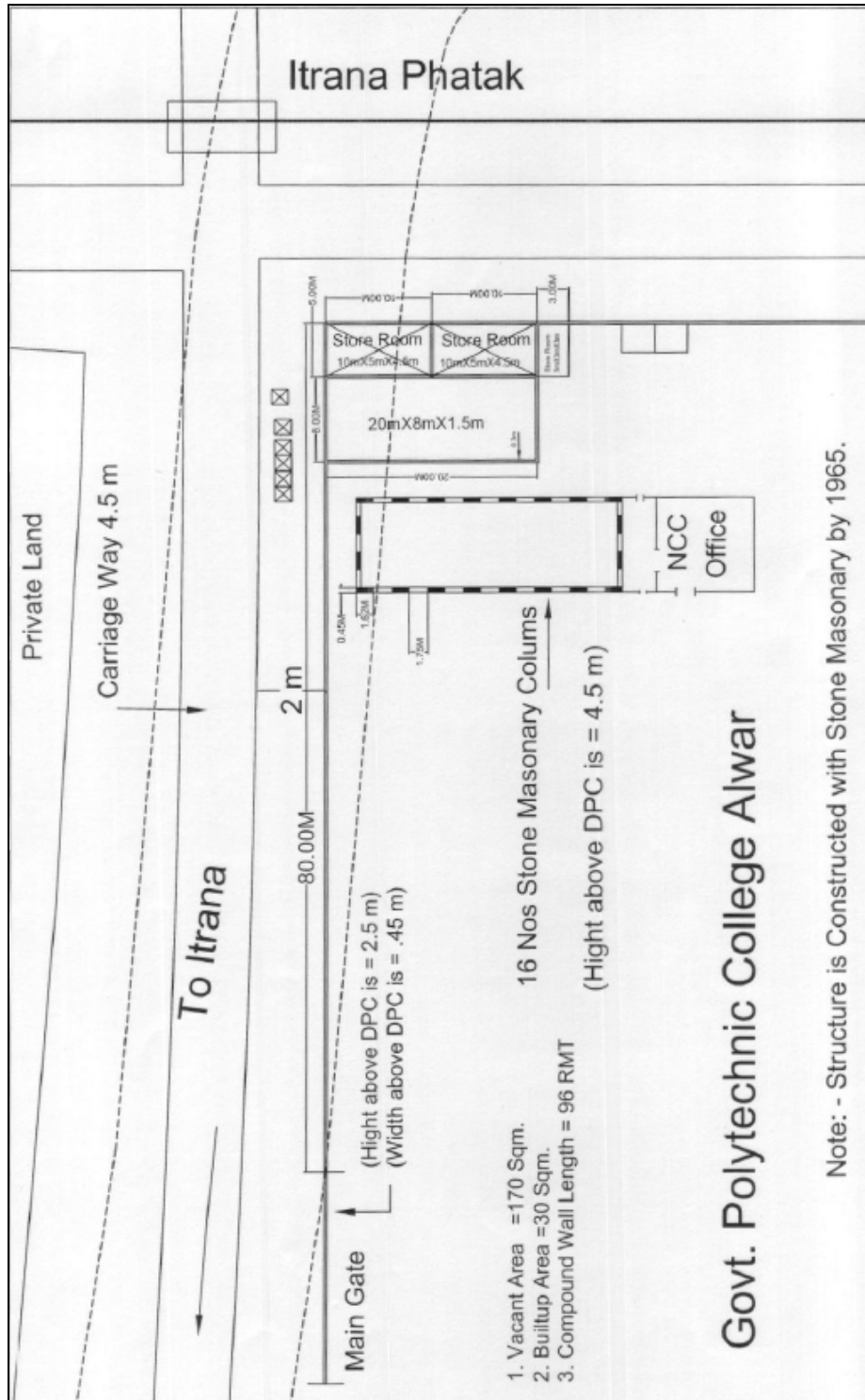
Table 5: Schedule of Resettlement Implementation

Activity	Months																	
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
i. Establishment of IPMU and IPIU	◆																	
ii. Appointment of SDS (IPMU and IPIU)	◆																	
iii. Appointment of NGOs	◆																	
iv. Briefing of the CLC on GRC functions	◆																	
v. Census and socio-economic surveys (issuance of i.d. cards)	◆	◆																
vi. Consultations and disclosure		◆	◆	◆	◆	◆	◆	◆	◆	◆	◆	◆	◆	◆	◆	◆	◆	◆
vii. Confirmation of government land to be used and transfer from other departments	◆	◆																
viii. RP preparation		◆	◆															
RP review and approval (IPMU and ADB)			◆															
ix. Issue notice to APs				◆														
x. Compensation and resettlement assistance					◆	◆	◆											
xi. Relocation as required					◆	◆	◆											
xii. Skills training as required					◆	◆	◆											
xiii. Takeover possession of acquired property								◆	◆	◆								
xiv. Internal monitoring				◆	◆	◆	◆	◆	◆	◆	◆	◆	◆	◆	◆	◆	◆	◆
xv. Handover land to contractors											◆							
xvi. Start of civil works												◆						
xvii. External monitoring												◆						◆
xviii. Rehabilitation of temporarily occupied lands																		Immediately after construction

F. Monitoring and Evaluation

17. RP implementation will be closely monitored to provide the IPMU with an effective basis for assessing resettlement progress and identifying potential difficulties and problems. Internal monitoring will be undertaken by the IPIU with assistance from the IPMU. Internal monitoring will involve: (i) administrative monitoring to ensure that implementation is on schedule and problems are dealt with on a timely basis; (ii) socio-economic monitoring during and after any resettlement impact utilizing baseline information established through the socio-economic survey of APs undertaken during project sub-preparation, and (iii) overall monitoring to assess AP status. Job charts will be given to the SDS. The job charts will indicate the targets to be achieved during the month. Monthly progress report will be prepared and submitted to the IPMU, reporting actual achievements against the targets fixed in their respective job charts and reasons for shortfalls, if any. The IPIU will be responsible for managing and maintaining AP databases, documenting results of AP census, and verifying asset and socio-economic survey data which will be used as the baseline for assessing RP implementation impacts. The EA will appoint an independent agency to undertake external monitoring to document: (i) restoration of income levels; (ii) changes and shifts in occupation pattern; (iii) changes in AP type of housing; (iv) assessment of APs access to amenities, such as water, electricity, and transportation; and (v) performance of NGO, IPIU, and IPMU in resettlement implementation. The independent agency will monitor sub-projects twice a year and submit reports directly to the EA (IPMU). The EA will submit all external monitoring reports to ADB for review. Further details are in the RF.

**Appendix 1
POTENTIAL IMPACTS OF THE PROPOSED ROAD-OVER-BRIDGE**



Appendix 2

Census of Affected Persons and Socio-Economic Survey

Name of the Field Supervisor	Date: / /2004
Name of the Investigator	Time: Fr To
Schedule No.	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

1.0 सामान्य जानकारी

- 1.1 पैकेज (नाम) :-----
- 1.2 चैनेज (कि.मी.) :Start End
- 1.3 (1) जिला :-----
- (2) ब्लॉक/खण्ड/पंचायत समिति :-----
- (3) गाँव :-----
- (4) कस्बा/शहर :-----

1.4 स्थिति (लोकेशन)

1	ग्रामीण	2	अर्द्ध शहरी	3	शहरी
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1.5 हानि का प्रकार:

1	आवासीय
2	व्यावसायिक
3	आवासीय व व्यावसायिक
4	कियोस्क/खोखा लकड़ी आदि का
5	कृषि / खेतीहर भूमि
6	अन्य (कृपया लिखें)

- 1.6 प्रभावित ढाँचा क्या उपवेशी (स्कैवेटर) हैं ? (1) हां (2) नहीं

2.0 ढाँचे का विवरण

2.1 ढाँचे का क्रमांक :

2.2 ढाँचे का पता :-----

2.3 ढाँचे के परिवारों का विवरण:

2.4 क्या आपके पास ढाँचे / कृषि भूमि के कानूनी कागजात (जमाबंदी की नकल/किसान पास बुक) हैं।

(1) हाँ (2) नहीं

3.0 नामांकन

3.1 क्या आपके पास राशन कार्ड है ?

1. हां 2. नहीं

3.2 यदि हां, प्रश्न 3.1 में है तो कितने वर्ष से (केवल वर्षों में लिखें)

3.3 क्या आपका नाम वोटर लिस्ट में है ?

(1) हाँ (2) नहीं

4.0 आर.ओ.डब्ल्यू. में ढाँचे का विवरण

क्र.सं.	ढाँचे का प्रकार	आर.ओ.डब्ल्यू में ढाँचे का प्रकार	वर्तमान उपयोग
1			
2			
3			
4			
5			

कोड: 4.1

1	आवास	6	ढाँचा व प्लॉट
2	व्यावसायिक	7	चार दीवारी
3	आवासीय एवं व्यावसायिक	8	रुफ सैड (केवल छत के ढका हुआ)
4	खाली प्लाट	9	कंटीले तारों से घिरा हुआ
5	कृषि भूमि	10	घर बारी
		11	अन्य (लिखें)

कोड 4.2

1	स्थायी	2	अर्द्धस्थायी	3	अस्थायी
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कोड 4.3

1	आवासीय	4	कार्यालय	7	फार्म हाउस
2	व्यवसायिक	5	बाड़ा (पशु घर)	8	अन्य (लिखें)
3	आवासीय एवं व्यवसायिक	6	कृषि भूमि		

कोड 4.4 – ढाँचे का माप

1.	सड़क के समान्तर दूरी (चौड़ाई)	(मीटर में)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
2.	सड़क के लम्बवत दूरी (लम्बाई)	(मीटर में)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
3.	सड़के के मध्य से दूरी (बाएं)	(मीटर में)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
	(दाएं)	(मीटर में)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

4.5 निर्माण के प्रकार

छत			
1	आर.सी.सी. / आर.बी.सी.	3	पत्थरकी पट्टी से
2	एस्वेस्टस / टिन / ज़िंक	4	छप्पर
दीवारी			
1	मिट्टी	3	पत्थर से बनी
2	ईट से बनी	4	अन्य (लिखें)
फर्श			
1	मिट्टी	3	कंकरीट
2	पत्थर	4	अन्य (लिखें)
चार दीवारी			
1	कंटीला तार	3	पत्थर से बनी
2	ईट से बनी	4	पत्थर / ईट से अस्थायी

HOUSEHOLD SCHEDULE FOR SOCIO-ECONOMIC DATA UPDATION SURVEY

1.0 परिवार का विवरण :

1.1 परिवार के मुखिया का नाम : -----

1.2 उत्तरदाता का नाम : -----

1.3 उत्तरदाता का परिवार क मुखिया से सम्बन्ध:

1	स्वयं	6	बहू	11	साला	<input type="checkbox"/>	<input type="checkbox"/>
2	पुत्र	7	पोता / पोती	12	भतीजी		
3	भाई	8	बहिन	13	भतीजा		
4	पुत्री	9	जेठानी / देवरानी	14	अन्य (लिखें)		
5	पत्नी	10	दामाद				

2.0 सामाजिक समूह विवरण

2.1 परिवार का प्रकार

1	संयुक्त	2	एकल	3	विस्तृत (एक्स टेन्डेड)	<input type="checkbox"/>
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2.2 जातिगत संरचना

1	अनुसूचित जाति	3	अन्य पिछड़ी जाति	<input type="checkbox"/>
2	अनुसूचित जन जाति	4	उच्च जाति	

**कोड यहां से देखकर करें
परिवार के मुखिया से संबंध के लिए कोड**

1	स्वयं	6	बहू	11	साला
2	पुत्र	7	पोता / पोती	12	भतीजी
3	भाई	8	बहिन	13	भतीजा
4	पुत्री	9	जेठानी / देवरानी	14	अन्य (लिखें)
5	पत्नी	10	दामाद		

वैवाहिक स्थिति के लिए कोड

1	विवाहित	6	अलग-अलग (बिना किसी कानूनी कार्यवाही के)	7	बिछुड गये / उजड़ गये
2	अविवाहित	5	विधवा		
3	तलाक शुदा	6	विधुर		

शैक्षणिक स्तर के लिए कोड

1	निरक्षर	6	दसवी कक्षा तक	11	अन्य (लिखें)
2	स्कूल के बिना पढ़ने लिखने की जानकारी	7	बारवी कक्षा तक	99	लागू नहीं होता
3	शिक्षित स्कूल में जा रहे हैं	8	स्नातक		
4	प्राइमरी कक्षा तक	9	स्नातकोत्तर		
5	आठवीं कक्षा तक	10	व्यावसायिक		

सामान्य क्रिया कलाप के लिए कोड

1	रोजगार	4	विद्यार्थी	7	स्कूली उम्र का बच्चा किन्तु स्कूल नहीं जाता (6 व ई या उससे अधिक आयु के)
2	बेरोजगार	5	वृद्ध / सेवा निवृत्त	8	विकलांग
3	घर का कार्य	6	बच्चा (स्कूल न जाने वाले 6 वर्ष से कम आयु के)	9	अन्य (लिखें)

मुख्य व सीमान्त मजदूर की परिभाषा

1. मुख्य (यदि वर्ष में 183 दिनों या इससे अधिक दिनों तक कार्य करते हैं)
2. सीमान्त (यदि वर्ष में 183 दिनों से कम कार्य करते हैं)

व्यवसाय के लिए कोड

1	कृषि कार्य / काश्तकार	6	सरकारी नौकरी	11	अन्य (लिखें)
2	खेतीहर मजदूर	7	प्राइवेट नौकरी		
3	कृषि पर आधारित कार्य जैसे पशुपालन, मधुमक्खी पालन आदि	8	उद्योग एवं व्यापार		
4	गैर खेतीहर मजदूरी जैसे ईट, पत्थर, सड़क कार्य आदि	9	व्यावसायिक (डाक्टर, इंजिनियर, आदि)		

4.0 भूमि का उपयोग

4.1 कृपया निम्न जानकारी दें,

भूमि का प्रकार	स्वयं की कुल भूमि	आर.ओ.डब्ल्यू. में आने वाली भूमि का क्षेत्रफल
सिंचित (स्थानीय माप में)		
असिंचित (स्थानीय माप में)		
बाग-बगीचा (स्थानीय माप में)		
घरवारी भूमि (वर्ग मीटर में)		
अन्य (लिखें)		

4.2 क्या आपके पास इस प्रभावित भूमि के अलावा भूमि है। 1.हां 2.नहीं
यदि हां, प्रश्न संख्या 4.2 में है तो इस प्रकार की भूमि का माप (एकड़ में) -----

5.0 परिवार की आमदनी

कृपया अपने परिवार की पिछले वर्ष की आमदनी सभी स्रोतों से बताये।

क्र.	मद	आमदनी (रुपये में)
अ	कृषि	
1	अपनी भूमि पर खेती से	
2	पांती/बंटाई पर ली गई भूमि से	
3	अतिक्रमण की गई भूमि से	
4	पांती/बंटाई पर ली गई भूमि से	
5	कृषि यंत्रों को किराये पर देने से	
ब	कृषि आधारित व्यवसाय से	
6	दुग्ध उत्पादन, मुर्गी पालन, बकरी पालन, सुअर पालन, भेड़ पालन आदि	
7	उद्यान से	
स	जंगलात	
8	जलावन इंधन से	
9	जंगल उत्पाद से	
10	कुटीर उद्योग से	
11	उद्योग एवं व्यापार से	
12	व्यवसाय /पेशा से	
13	सरकारी नौकरी से	
14	प्राइवेट नौकरी से	
15	गैर खेतीहर मजदूरी से	
16	खेतीहर मजदूरी से	
17	किराये से (मकान दुकान आदि से)	
18	अन्य (लिखें)	

6.0 ढाँचे का उपयोग (केवल व्यावसायिक ढाँचे के लिए)

6.1 ढाँचे का उपयोग

1. दुकान
2. गोदाम
3. वर्कशॉप
4. कार्यालय (ऑफिस)

6.2 आप किस प्रकार का व्यवसाय कर रहे हैं।

1	चाय की दुकान	2	ढाबा	17	नाई की दुकान	25	अन्य (लिखें)
2	किराना	10	फल एवं सब्जी	18	धोबी की दुकान		
3	कपड़े की (रेडिमेड)	11	रनैक्स	19	क्लिनिक		
4	कपड़े की (कटपीस)	12	पान/बीडी/सिगरेट	20	मोटल		
5	दवाई	13	साईकिल रिपेयर	21	होटल		
6	ऑटो रिपेयर	14	टायर रिपेयर	22	बिजली का सामान		
7	स्पेयर पार्ट्स	15	टेलरिंग	23	कुटीर उद्योग		
8	मिठाई	16	जनरल स्टोर	24	वैलडिंग		

7.0 सम्पत्ति

7.1 कृपया निम्न सम्पत्ति की जानकारी दे

सामान	कल स्वयं की ईकाइयां (संख्या)	बाजार मूल्य (रुपये में)
बाड़ा/पशु घर		
फार्म हाउस		
पम्प हाउस		
सिंचाई इकाइयां (संख्या)		
ओपिन वेल		
ट्यूबवेल		
लिफ्ट इरिगेसन		
वित्त (फाईनेन्स) रुपये में		
सेविंग एकाउन्ट		
लॉग ट्रम डिपोजिट		
रिकरिंग डिपोजिट		
करेन्ट एकाउन्ट		
अन्य घरेलू सम्पत्ति		
टी.वी./टैप/रेडियो		
साईकिल/मोटर साईकिल		
जेवर/घड़ी		
फर्नीचर		
बर्तन		
बैलगाड़ी/बुद्धी/उंटगाड़ी		
लकड़ी/लोहे का हल		
फावड़ा/हंसिया		
ट्रेक्टर/थ्रेसर		
पशुधन		
पशु		
मुर्गी		
बकरी/भेड़/सुअर		

8.0 जीवन स्तर (वार्षिक खर्च)

क्रमांक	मद	व्यय (रुपयों में)
1	खाने पर	
2	जलावन/ईंधन पर	
3	कपडो पर	
4	स्वास्थ्य (दवाई) पर	
5	शिक्षा पर	
6	आने जाने एवं संचार पर	
7	पर्व/त्यौहार पर	
8	कृषि (जैसे बीज, खाद, पानी, कृषि यंत्र आदि किराये पर)	
9	अन्य (लिखें)	
10	कुल	

9.0 कर्ज

9.1 कृपया अपने पिछले वर्ष के कर्जों के बारे में जानकारी दें।

स्रोत	कुल कर्ज (रुपयों में)	अदा किया (रुपये में)	शेष (रुपये में)
बैंक से (नाम)			
प्राइवेट कर्जदाता से			
अन्य			

Appendix 3

Table 1.1 Summary Socio-Economic Survey Information

Types of Business	Head of the Household	Family Members	Ownership	Daily income (in Rs.)	Impact	Types of Structure	Size of Structure (in meter)	Willing to be Relocated	Category
Barbar Shop	Trilok Chand	3	No	104	Affected	Temporary Shop	1.5 x 1.6 x 2.7	Yes	OBC
Other type	Ismile Khan	8	No	250	Affected	Wooden Kiosk	1.5 x 1.6 x 2.6	Yes	Muslim
Cigarette Shop	Sadik Khan	4	No	71	Affected	Wooden Kiosk	1.5 x 1.5 x 2.4	Yes	Muslim

Appendix 4

Policy Framework and Entitlements

A. Policy and Legal Framework

1. The policy framework and entitlements for the Program are based on national laws: *The Land Acquisition Act, 1894* (LAA, amended in 1984) the National Resettlement and Rehabilitation Policy, 2007 (NRRP); and ADB's *Policy on Involuntary Resettlement, 1995*. The salient features of Government and ADB policies are summarized below.

1. Government Policy

a. National Resettlement and Rehabilitation Policy, 2007

2. The NRRP stipulates the minimum facilities to be ensured for persons displaced due to the acquisition of land for public purposes. The objectives of the Policy are:

- (i) to minimize displacement and to identify non-displacing or least displacing alternatives;
- (ii) to plan resettlement and rehabilitation of project affected families (PAFs) or project affected households (PAHs), including tribal and vulnerable households;
- (iii) to provide improved standard of living to PAFs or PAHs; and
- (iv) to facilitate a harmonious relationship between the requiring body and PAFs.

3. Though NRRP is applicable for projects where over 400 PAFs in the plains or 200 PAFs in hilly or tribal areas are displaced, the basic principles can be applied to resettling and rehabilitating PAFs regardless of the number affected. NRRP's provisions are intended to mitigate adverse impacts on PAFs. While key principles of NRRP are similar, and for some items go beyond ADB's Policy on Involuntary Resettlement (1995), NRRP excludes linear projects (which acquire only narrow strips of land). Linear impacts and temporary linear impacts (which is the likely impact of the Program) are not covered by NRRP. Further, there is no law on resettlement in the country. The law relating to the acquisition of privately owned immovable property is the Land Acquisition Act of 1894 (LAA, amended 1984) discussed in the following section.

b. Land Acquisition Act, 1894

4. The LAA provides a framework for facilitating land acquisition in India. LAA enables the State Government to acquire private land for public purposes. LAA ensures that no person is deprived of land except under LAA and entitles APs to a hearing before acquisition. The main elements of LAA are:

- (i) Land identified for the purpose of a project is placed under Section 4 of the LAA. This constitutes notification. Objections must be made within 50 days to the District Collector (DC, the highest administrative officer of the concerned District).
- (ii) The land is then placed under Section 6 of the LAA. This is a declaration that the Government intends to acquire the land. The DC is directed to take steps for the acquisition, and the land is placed under Section 9. Interested parties are then invited to state their interest in the land and the price. Under Section 11, the DC will make an award within one year of the date of publication of the declarations. Otherwise, the acquisition proceedings shall lapse.
- (iii) In case of disagreement on the price awarded, within 6 weeks of the award, the parties (under Section 18) can request the DC to refer the matter to the Courts to make a final ruling on the amount of compensation.

- (iv) Once the land has been placed under Section 4, no further sale or transfer is allowed.
- (v) Compensation for land and improvements (such as houses, wells, trees, etc.) is paid in cash by the project authorities to the State Government, which in turn compensates landowners.
- (vi) The price to be paid for the acquisition of agricultural land is based on sale prices recorded in the District Registrar's office averaged over the three years preceding notification under Section 4. The compensation is paid after the area is acquired, with actual payment by the State taking about two or three years. An additional 30 percent is added to the award as well as an escalation of 12 percent per year from the date of notification to the final placement under Section 9. For delayed payments, after placement under Section 9, an additional 9 percent per annum is paid for the first year and 15 percent for subsequent years.

2. ADB's Policy on Involuntary Resettlement, 1995

5. The three important elements of ADB's involuntary resettlement policy are (i) compensation to replace lost assets, livelihood, and income; (ii) assistance for relocation, including provision of relocation sites with appropriate facilities and services; and (iii) assistance for rehabilitation to achieve at least the same level of well-being with the project as without it.

6. For any ADB operation requiring involuntary resettlement, resettlement planning is an integral part of project design, to be dealt with from the earliest stages of the project cycle, taking into account the following basic principles:

- (i) Involuntary resettlement will be avoided whenever feasible.
- (ii) Where population displacement is unavoidable, it should be minimized.
- (iii) All lost assets acquired or affected will be compensated. Compensation is based on the principle of replacement cost.
- (iv) Each involuntary resettlement is conceived and executed as part of a development project or program. APs need to be provided with sufficient resources to re-establish their livelihoods and homes with time-bound action in co-ordination with civil works.
- (v) APs are to be fully informed and closely consulted.
- (vi) APs are to be assisted to integrate economically and socially into host communities so that adverse impacts on the host communities are minimized and social harmony is promoted.
- (vii) The absence of a formal title to land is not a bar to ADB policy entitlements.
- (viii) APs are to be identified and recorded as early as possible to establish their eligibility, through a census which serves as a cut-off date, and prevents subsequent influx of encroachers.
- (ix) Particular attention will be paid to vulnerable groups including those with out legal title to land or other assets; households headed by women; the elderly or disabled; and indigenous groups. Assistance must be provided to help them improve their socio-economic status.
- (x) The full resettlement costs will be included in the presentation of project costs and benefits.

C. Comparison of Borrower's Policy with the RF

7. The NRRP represents a significant milestone in the development of a systematic approach to address resettlement issues in India. LAA, 1894 however gives directives for acquisition of land in public interest and provides benefits only to titleholders. Table 1

presents a comparison of Government policies (LAA and NRRP) in comparison with the RF which is consistent with ADB's involuntary resettlement policy.

Table 1: Comparison Between the Borrower's and ADB's Involuntary Resettlement Policy

	Policy Principles	LAA	NRRP	Remarks	Compliance of proposed RF with ADB's IR Policy
1.	Involuntary resettlement should be avoided where feasible.	X <input type="checkbox"/>	✓ <input type="checkbox"/>	LAA is applicable wherever private land is to be acquired by Government for public purpose.	This is addressed in the RF. The locations for project components have been identified in such a manner that IR is avoided to the extent possible. These IR impacts shall be further minimized during detailed designs.
2.	Where population displacement is unavoidable, it should be minimized by exploring viable project options.	X <input type="checkbox"/>	✓ <input type="checkbox"/>	LAA is applicable wherever private land is to be acquired by Government for public purpose.	This is addressed in the RF. The locations for project components have been identified in such a manner that IR is avoided to the extent possible. These IR impacts shall be further minimized during detailed designs.
3.	If individuals or a community must lose their land, means of livelihood, social support systems, or way of life in order that a project might proceed, they should be compensated and assisted so that their economic and social future will generally be at least as favorable with the project as without it. Appropriate land, housing, infrastructure, and other compensation, comparable to the without project situation, should be provided to the adversely affected population, including indigenous groups, ethnic minorities, and pastoralists who may have usufruct or customary rights to the land or other resources taken for the project.	X <input type="checkbox"/>	✓ <input type="checkbox"/>	According to the ADB's IR policy full RP is required when 200 or more people will experience major impacts. A Short RP is required when resettlement is insignificant when less than 200 people will experience major impacts. According to the NRRP, RP should be prepared when it involves resettlement of more than 500 families (roughly about 2,000 persons) in plain areas and 200 families (roughly about 1,000 people) in hilly areas, Desert Development Programme (DDP) blocks, areas mentioned in Schedule V and Schedule VI of the Constitution of India.	The RF addresses the IR impacts. The entitlements to the APs are outlined in the Entitlement Matrix.
4.	Any involuntary resettlement should, as far as possible, be conceived and executed as a part of a development project or program and resettlement plans should be prepared with appropriate timebound actions and budgets. Resettlers should	X <input type="checkbox"/>	✓ <input type="checkbox"/>	According to the ADB's IR policy full RP is required when 200 or more people will experience major impacts. A Short RP is required when resettlement is insignificant when less than 200 people will experience major impacts.	The RF addresses the IR impacts. The entitlements to the APs are outlined in the Entitlement Matrix.

	Policy Principles	LAA	NRRP	Remarks	Compliance of proposed RF with ADB's IR Policy
	be provided sufficient resources and opportunities to reestablish their homes and livelihoods as soon as possible.			According to the NRRP, RP should be prepared when it involves resettlement of more than 400 families (roughly about 2,500 persons) in plain areas and 250 families (roughly about 1,250 people) in hilly areas, Desert Development Programme (DDP) blocks, areas mentioned in Schedule V and Schedule VI of the Constitution of India.	
		<input type="checkbox"/>	<input type="checkbox"/>	LAA does not provide for resettlement. However, it specifies the time limit for acquisition, though the project / program for which it is conceived need not necessarily be time-bound.	A time-bound action plan and implementation schedule for the IR activities is outlined. The key RP activities are identified and the responsibilities for the same outlined.
5.	The affected people should be fully informed and closely consulted on resettlement and compensation options. Where adversely affected people are particularly vulnerable, resettlement and compensation decisions should be preceded by a social preparation phase to build up the capacity of the vulnerable people to deal with the issues.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	LAA recognizes only titleholders, who are to be notified prior to acquisition.	Consultations have been carried out with APs. This will be further consolidated by the RP implementing NGO. The plan for information disclosure in the project, including the RF.
6.	Appropriate patterns of social organization should be promoted, and existing social and cultural institutions of resettlers and their hosts should be supported and used to the greatest extent possible. Resettlers should be integrated economically and socially into host communities so that adverse impacts on host communities are minimized. One of the effective ways of achieving this integration may be by extending development benefits to host communities.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	-	This is addressed in the Entitlement Matrix.
7.	The absence of formal legal title to land some affected groups should not be a bar to compensation. Affected persons entitled to compensation and rehabilitation should be identified and recorded as early as possible, preferably at the project identification stage, in order to prevent an influx of illegal encroachers, squatters, and other nonresidents who wish to take advantage of such benefits.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	LAA provides for every affected person to receive a notification prior to acquisition and for a hearing in case of any objection. Acquisition under the Act is permitted within one year from the date of declaration of intent to acquire, failing which, the process has to start again. LAA does not regard non-titleholders as APs.	The process for verification of impacts and establishing the eligibility of the APs is outlined in the RF.

	Policy Principles	LAA	NRRP	Remarks	Compliance of proposed RF with ADB's IR Policy
	Particular attention should be paid to the needs of the poorest affected persons including those without legal title to assets,, female-headed households and other vulnerable groups, such as indigenous peoples, and appropriate assistance provided to help them improve their status.			The <i>Rajasthan Urban Housing and Habitat Policy, 2006</i> aims to provide tenurial rights to urban slum dwellers with special emphasis on persons belonging to scheduled castes, scheduled tribes, weaker sections, physically handicapped and widows. This is consistent with recognizing those without legal titles and the vulnerable.	
8.	The full costs of resettlement and compensation, including the costs of social preparation and livelihood programs as well as the incremental benefits over the "without project" situation, should be included in the presentation of Project costs and benefits.	X <input type="checkbox"/>	✓ <input type="checkbox"/>	According to the ADB's IR policy full RP is required when 200 or more people will experience major impacts. A Short RP is required when resettlement is insignificant when less than 200 people will experience major impacts. According to the NRRP, RP should be prepared when it involves resettlement of more than 500 families (roughly about 2,500 persons) in plain areas and 250 families (roughly about 1,250 people) in hilly areas, Desert Development Programme (DDP) blocks, areas mentioned in Schedule V and Schedule VI of the Constitution of India.	The RF addresses the IR impacts. The entitlements to the APs are outlined in the Entitlement Matrix.
		<input type="checkbox"/>	<input type="checkbox"/>	The NRRP's concept of replacement cost is not clearly defined. However, the NRRP does consider various compensation packages to substitute the losses of APs.	This is addressed in the Entitlement Matrix
9.	To better assure timely availability of required resources and to ensure compliance with involuntary resettlement procedures during implementation, eligible costs of resettlement and compensation may be considered for inclusion in Bank loan financing for the project, if requested.	X <input type="checkbox"/>	✓ <input type="checkbox"/>	-	The impacts have been assessed and RP costs according to the entitlement matrix have been worked out. These costs are included in the Project Costs.