

FINAL REPORT



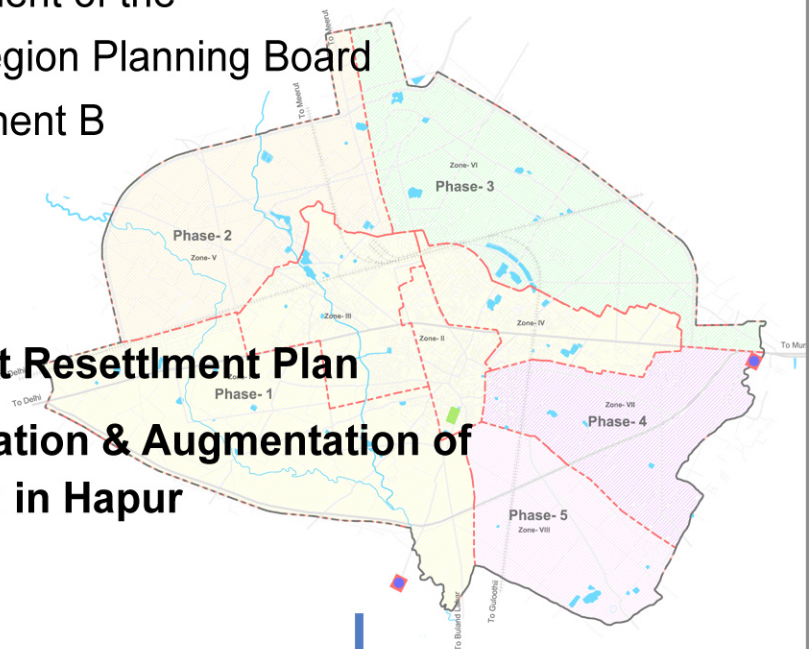
ADB

Asian Development Bank
National Capital Region Planning Board



Capacity Development of the
National Capital Region Planning Board
Package 2 Component B
TA No. 7055-IND

Volume II-G: Short Resettlement Plan
DPR for Rehabilitation & Augmentation of
Sewerage System in Hapur



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ASSOCIATES

July 2010

NCR Planning Board
Asian Development Bank

Capacity Development of the National Capital Region Planning Board (NCRPB) – Component B (TA No. 7055-IND)

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VOLUME II-G: DPR FOR IMPROVEMENT OF SEWERAGE
SYSTEM IN HAPUR

SHORT RESETTLEMENT PLAN

July 2010



Abbreviations

ADB	:	Asian Development Bank
AF	:	Affected Family
AP	:	Affected Person
BPL	:	Below Poverty Line
BSR	:	Basic Schedule of Rates
CPR	:	Common Property Resource
DPR	:	Detailed Project Report
EA	:	Executing Agency
FGD	:	Focus Group Discussions
GoI	:	Government of India
GRC	:	Grievance Redressal Committee
GDA	:	Ghaziabad development Authority
GNN	:	Ghaziabad Nagar Nigam
HH	:	Household
HOH	:	Head of Household
INR	:	Indian National Rupee
IP	:	Indigenous Peoples
IO	:	Implementing Organisations
IA	:	Implementing Agency
IPSA	:	Initial Poverty & Social Assessment
LA	:	Land Acquisition
LTH	:	Legal Title Holder
NCRPB	:	National Capital Region Planning Board
NGO	:	Non-Government Organizations
NPRR	:	National Policy on Resettlement & Rehabilitation
PMU	:	Project Management Unit
PRA	:	Participatory Rural Appraisal
R&R	:	Resettlement & Rehabilitation
ROW	:	Right of Way
RO	:	Resettlement Officer
RP	:	Resettlement Plan
SC	:	Schedule Caste
ST	:	Schedule Tribe
TORs	:	Terms of Reference
WHH	:	Women Headed Household

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Glossary

<i>Affected Person (or Household)</i>	People (households) affected by project-related changes in use of land, water, forest, grazing land, or other natural resources
<i>Compensation</i>	Payment in cash or kind to which the people affected are entitled in order to replace the lost asset, resource or income
<i>Entitlement</i>	Range of measures comprising compensation, income restoration, transfer assistance, income substitution, and relocation which are due to the affected persons, depending on the nature of their losses, to restore their economic and social base to pre-project situation
<i>Grievance Redress Committee</i>	The committee formed to resolve grievances of the project affected persons/families/communities.
<i>Involuntary Resettlement</i>	Development project results in unavoidable resettlement losses that people affected have no option but to rebuild their lives, incomes, and asset bases elsewhere.
<i>Land Acquisition</i>	It is the process whereby land and properties of individuals/community are acquired for the purpose of project construction
<i>Relocation</i>	Rebuilding housing, assets, including productive land, and public infrastructure in another location
<i>Rehabilitation</i>	Re-establishing incomes, livelihoods, living and social system
<i>Replacement rate</i>	Cost of replacing lost assets and incomes, including cost of transactions
<i>Resettlement effects</i>	Loss of physical and non-physical assets, including homes, communities, productive land, income-earning assets and sources, subsistence, resources, cultural sites, social structures, networks and ties, cultural identity and mutual help mechanisms
<i>Resettlement Plan</i>	A time-bound action plan with budget setting out resettlement strategy, objectives, entitlement, actions, responsibilities, monitoring and evaluation
<i>Vulnerable groups</i>	Distinct groups of people who might suffer disproportionately from resettlement effects.

Source: ADB's Handbook on Resettlement: A Guide to Good Practice, 1998

EXECUTIVE SUMMARY

1. *Description of the Project.* On Government of India's request, Asian Development Bank (ADB) has formulated the technical assistance (TA) to enhance the capacities of National Capital Region Planning Board and its associated implementing agencies. One of the sub projects is DPR preparation of sewerage system including sewerage treatment plant of Hapur town. The objective of subproject is to provide facilities for wastewater collection (through lateral, main sewer, branch sewer, interceptor, trunk main and outfall), treatment and disposal system for the project area covering 27 wards of Hapur Nagar Parishad spread over with in an area of 14.01 sq. km. In addition the trunk main, the sewer system will cover the additional Master Plan area of Hapur Pilakhua Development Authority (HPDA) of 32.32 sq km. As per Sewerage Master Plan about 628,302 populations by 2041 of Hapur Nagar Parishad and the added areas of Hapur Pilakhua Development Authority. According to Sewerage Master Plan about 846,013 populations will be included within the Sewerage Zone by the year 2021. Better urban environment and a quality civic infrastructure will facilitate better urban living and overall socio-economic development of the town.

2. *Objectives of the Short Resettlement Plan* The survey and assessment undertaken during preparation of the subproject indicates that the subproject will entail some degree of resettlement impact and this SRP has been prepared in accordance with ADB's Policy on Involuntary Resettlement(Safeguard Policy Statement,June 2009) to address those impacts. This RP identifies the broad scope of the subproject and outlines the policy, procedures for acquisition of land, compensation and other assistance measures for affected persons and institutional requirements for implementation of RP under NCRPB project.

3. *Scope of Land Acquisition & Resettlement.* A total of 32.276 ha of land will be acquired for one STP located at village Chitoli of which 2.199 ha of land shown as foot path under government record which has also been proposed for acquisition. A total of 30.077 ha of private land is proposed to be acquired for the proposed STP. The land acquisition of private land will be impacted upon 59 numbers of APs. There is some full permanent physical displacement or full permanent economic displacement of APs. There will be no social impact due to construction or renewal of wastewater collection system (through lateral, main sewer, branch sewer, interceptor, trunk main and outfall). There will be also no social impact for intermittent sewer pumping stations.

4. *Socioeconomic Information and Profile.* A census and socio-economic survey was undertaken during October 2009 in the proposed STP locations, land for which will have to be acquired. Out of 59 households/APs, 07 APs could not be traced during surveys as they stay outstation. The number of total affected people as derived from the 52 surveyed households is 270, thereby making the average family size as 5.2. The land to be acquired is being used for productive agriculture purpose. No squatters or encroachers are found to be residing or carrying out any productive occupation in the portion of the land identified for STP. Since, all the plots have been considered as productive and support partial/full livelihood, assistance for loss of income has been considered in the entitlement matrix prepared for the subproject.

5. So far as status of ownership of the affected land is concerned 59 households/APs are owner of land according to revenue record. One (1) Affected Household also own 3 guava trees, none of which are of major commercial or timber value. Three agricultural pump set belongs to 3 APs needs relocation. There are no tenants either occupying the land or recorded in the revenue document. However there are 7 informal share croppers. There are 15 land owners who will be losing land more than 50 % of the total holding. On an average 6 regular agricultural worker who provides the support services to those 16 land owners will be losing the livelihood. Of the total 59 APs 28 are economically displaced household who will be losing cent percent land due to proposed acquisition.
6. There are nine vulnerable persons among the affected households have been found from the census and socio economic survey. Of the nine vulnerable households two household belongs to Below Poverty Line and seven households belongs to female-headed households (FHH) category. Main occupation of the surveyed households is cultivation. The average household income is Rs.72,897.
7. Appropriate compensation and assistance will be provided to the Affected Persons, all of whom are title holders, according to LA Act, 1894 of Govt. of U.P and ADB's policy on Involuntary Resettlement. The compensation will be determined as per Uttar Pradesh Land Acquisition (Determination of Compensation and Declaration of Award by Agreement) Rules, 1997.
8. *Information Disclosure and Consultation.* In the course of initial poverty and social assessment, participatory discussion was held with the people around the proposed plant site by means of Focus Group Discussions (FGD). These were held separately with local people, including the youths & the women. Due consideration was given for Stakeholder consultations with the APs at different levels of RP preparation. The short RP will be translated in Hindi language and will be made available to the affected people by the Executing Agency (EA) for review and comments on the policy and mitigation measures, particularly the compensation package, by means of subproject-level Disclosure workshops prior to loan negotiation. Copies of the short RP will also be made available at the local level public offices such as revenue offices, to the stakeholders for local inputs prior to award of civil work contract. The proceedings of the disclosure workshop and the feedback received will be sent to ADB for review. The final RP will also be disclosed on the ADB Website and NCRPB website. In addition, a Public Consultation and Disclosure Plan have been prepared for the subproject.
9. *Resettlement Principles and Policy Framework.* The resettlement principles adopted for this subproject recognize the State Land Acquisition (LA) Act 1894 and the entitlement benefits as listed in the National Policy on R&R, (Government of India) and the relevant Asian Development Bank's (ADB) policies and operations manuals, in particular the policy on Involuntary Resettlement (Safe Guard Requirements 2007), Operations Manual F2 on Involuntary Resettlement (2006) and Hand Book of Resettlement 1998. While determining compensation for title holders, Land Acquisition (Determination of Compensation and Declaration of Award by Agreement) Rules, 1997 of Government of Uttar Pradesh will also be applicable for this sub project. The Section 2 of the above Act

of Government of Uttar Pradesh provides the opportunity to the land owner to determine the compensation on mutual agreement with acquiring body when land is acquired for public purpose under Land Acquisition Act 1894.

10. The cut off date for the APs, all having legal titles of their land/asset is the date of notification of acquisition under the State Land Acquisition Act 1894. EA/IA will use the RP as a planning tool, verify and update the inventory prior to implementation of the project, and provide ID cards to the entitled affected persons for compensation and resettlement purposes. The principles applicable in defining the entitlements and compensation packages for the affected households shall remain unchanged.
11. *Gender Impacts & Mitigation Measures.* . Like other people in the project area the women too were unaware about the proposed subproject, its benefit, etc. The FGD session held with them provided a platform to disseminate information on impact of sewerage collection and disposal system through Sewerage Treatment Plan. It also helped to highlight the benefit likely to be brought about by the project. Although the sub-project will not cause any specific gender issue and is neither focused particularly on women, implementation of sewerage treatment system will have indirect positive impact on women's health. The overall improvement in a clean urban environment is envisaged outcome of the proposed Sewerage collection and disposal system. Diseases related to untreated sewerage disposal into the river and natural water bodies will also be reduced substantially. As a result, impact of a general healthy life will be manifested among average urban household, especially the low income group families. The women will be benefited in more than one way. As they devote time for looking after the sick members in the family, including the children, reduction in the incidence of diseases will enable them utilize their time and leisure more effectively. Improvement on health status will increase the number of working days for the employed women.
12. *Grievance Redress Mechanism.* . A Grievance Redressal Committee (GRC) will be established in Hapur for timely and satisfactory completion of RP related activities and other requirements of the Resettlement Plan (RP) to facilitate satisfactory implementation of all ADB funded projects. The primary objective of creating GRC is to provide a mechanism in order to address and sort out all disputes related to implementation of resettlement plan, most importantly, to mediate conflict and disputes concerning compensation payments and cut down on lengthy litigation.
13. *Institutional Arrangements and Implementation Schedule* National Capital Planning Board (NCRPB) will be the Executing Agency (EA) for the Project. The Hapur Nagar Parishad and HPDA would jointly act as implementing agency (IA). A separate independent unit in EAs office will constitute for the purpose of over all coordination and management of the project and it will be called as The Project Management Unit (PMU) will also implement the RP with assistance of Design & Supervision Consultants (DSC) & an experienced NGO/agency/institution, acting as Implementing Organisation (IO) who will shoulder the primary responsibility of the RP implementation. In addition, establishment of a High Powered Committee (HPC) to supervise pre-construction activities including implementation of RP under ADB assisted project is proposed.

14. The valuation of the acquired land and other assets will be done at market rate based on the principle of compensation at the replacement value of the affected land and assets. The entitled APs will be given advance notice of the date, time and place of payment through public announcement. All the payment will be made in cheques payable to the entitled AP and his/her spouse. Photocopy of the cheques will be preserved by PMU as an evidence of transparent manner of payment. The payment of compensation will be monitored and verified by NGO/ Executing Agency as well as representatives of the affected households. All compensation and other assistances will be paid to the APs prior to commencement of civil works.
15. *Resettlement Budget.* The total estimated budget for implementation of Resettlement Plan (RP) including payment of compensation and assistance to the entitled AP, preparation of identity card, cost of resettlement operation and management for the Project through Implementing Agency and engaging Independent Monitor is INR 299 Million.
16. *Training, Monitoring & Evaluation.* The RP will have both internal and external monitoring. Internal Monitoring will be a regular activity for PMU, Social development & Resettlement specialist and will oversee the timely implementation of R&R activities.

1. SHORT RESETTLEMENT PLAN

A. Description of the Project

17. On Government of India's request, Asian Development Bank (ADB) has formulated the technical assistance (TA) to enhance the capacities of National Capital Region Planning Board and its associated implementing agencies. The TA has been designed in three components: Component A relates to improving the business processes in NCRPB; Component B relates to improving the capacity of the implementing agencies in project identification, feasibility studies and preparing detailed engineering design; and Component C relates to urban planning and other activities. As part of the Component B, several DPRs of various subprojects have been prepared for NCR towns. One of the sub projects is DPR preparation of sewerage system including sewerage treatment plant of Hapur town. This Resettlement Plan pertains to the sub project of sewerage system including sewerage treatment plant of Hapur town.
18. In keeping with ADB's Policy on Involuntary Resettlement, this Short Resettlement Plan (SRP) has been prepared for the subproject: sewerage system including sewerage treatment plant of Hapur town. The objective of subproject is to provide facilities for wastewater collection, treatment and disposal system for the project area covering 27 wards of Hapur Nagar Parishad spread over in 14.01 sq. km area. In addition, the sub project will also propose the trunk main of sewer system in the additional master plan area spread over 32.32 sq km of Hapur Pilakhua Development Authority (HPDA).
19. As per Sewerage Master Plan about 628,302 populations by 2041 of Hapur Municipality and the added areas of Hapur Pilakhua Development Authority would benefit from the subproject. Hapur being a renowned trade and commerce centre, majority of the families earn their living by catering to the trade and commerce activities from various corners of the country. Better urban environment and civic infrastructure will facilitate growth in trade & commerce activities and overall socio-economic development. Sewerage system in city was developed by UP Jal Nigam during year 1972-1974. The present sewerage system exists in about 30 percent area of the old town and is almost defunct. The Hapur Nagar Parishad is maintaining the sewerage system. Most of the sewer lines are choked and are overflowing. Due to lack of free flow in the system, most of the sewers are discharging sewage into open drains. Almost all of the open drains in the congested city area are carrying sewage. As a result, the total sewage reaches the sewage pumping station is very minimal. At present pumping is done for 2 hours a day with one pump operating against installed capacity of four pumps. The sewage reaching sewage pumping station is hardly 5-10 percent of design flow; which confirms that the existing sewerage system is almost defunct.
20. The open surface drains serve as a combined system for both sewage and storm runoff. Total length of sewer line in Hapur is about 15 km. Of the 27 wards of Hapur Nagar parishad, sewers were laid in only 11 wards partly (ward no 9, and 12 to 22). There are four

main/trunk sewers laid to convey sewage collected through laterals to the Sewage Pumping Station (SPS) and then to the sewage farm. The sewage is finally discharged to river kali or natural water bodies, leading to incidence of water borne diseases. The subproject will indirectly improve the river water quality and provide relief to environmental pollution.

21. The survey and assessment undertaken during preparation of the subproject indicates that the subproject will entail some degree of resettlement impact and this SRP has been prepared in accordance with ADB's Policy on Involuntary Resettlement to address those impacts(Safeguard Policy Requirement 2009). This short RP identifies the broad scope of the subproject and outlines the policy, procedures for acquisition of land, compensation and other assistance measures for affected persons and institutional requirements for implementation of RP under NCRPB project.

B. Objectives of the Short Resettlement Plan

22. This Short Resettlement Plan (SRP) is prepared to mitigate land acquisition and resettlement impact, which is unavoidable for implementation of the Sewerage and STP subproject. The RP has been prepared based on census and socio-economic survey that was carried out considering outcome of the final engineering and technical design and topographic survey. The objective of the RP is: i) to identify the project impact on the people in terms of loss of assets, livelihood & income, ii) to outline measures for mitigating adverse impact and iii) to provide an estimate for budgetary allocation for compensation of loss of assets and resettlement benefits, if required, for loss of income & livelihood, according to principles and guidelines provided in the Entitlement Matrix prepared for NCRPB. The primary purpose of this short RP is to identify steps to restore the living standards of the affected persons (APs) to the pre-project situation within a short period of time without any disruptions in their own economic and social environment.

C. Scope of Land Acquisition & Resettlement

23. The proposed subproject will require land for one Sewerage Treatment Plant (STP). The land for STPs will be acquired mainly from private sources. Two numbers of proposed pumping station will be constructed in Government land and it is free from all encumbrances. Hence, land acquisition will be required for one identified STPs only. **Table 1** shows the scope of land acquisition for STP Subproject.

Table 1 Scope of land Acquisition

Name of the Village	Land required – as per Sub Project design (ha)	Proposal for Acquisition of Private Land (ha)	Govt. Land Available (ha)	Total Private and Government Land proposed to be Acquired (ha)
Chitoli	25	30.077	2.199	32.276
Total	25	30.077	2.199	32.276

Source Computed from land Records of Chitoli Village, Tehsil, Hapur, District Ghaziabad

24. It is evident from the **Table 1** that the land acquisition requirement as per project design, is 25 ha for the STP. In order to avoid alienation, and land to be left unproductive after the requirements for the sub project it was essential to propose additional 5.077 ha of private land for acquisition. Another 2.310 ha of land was shown as foot path under government record which has also been proposed for acquisition as it was intrgal part of total parcel of land. Hence, 32.276 ha of land will be acquired for the proposed STP. The loss of land is agricultural in nature. As per the technical team the additional land will be useful for future requirement of expansion of the sub project. The proposed location of STP would be in Village Chitoli of Hapur Tehsil. The proposed location including the area to be acquired including plot numbers to be acquired for the sub project of STP has been placed in **Appendix 1**.
25. The land acquisition of private land will be impacted upon 59 numbers of APs. There are 28 APs will have full permanent economic displacement . There will be no social impact due to construction or renewal of wastewater collection system (through lateral, main sewer, branch sewer, interceptor, trunk main and outfall. There will also be no social impact for the construction of intermittent sewer pumping stations.

D. Socioeconomic Information and Profile

26. A census and socio-economic survey was undertaken in the proposed STP locations, land for which will have to be acquired during October 2009 and a revised survey was also conducted in March and April 2010 on suggestion of the Safeguard Specialists of ADB after his field visit and consultations with the land owners. An estimated 59 persons (households) will be affected by the subproject. Of the total 59 households/APs, 07 APs could not be traced during surveys as they stay outstation. The number of total affected people as derived from the 52 surveyed households is 270, thereby making the average family size as 5.2. Considering the average family size of 5.2 persons per households derived from the census data of 52 affected households the projected total number of affected population of 59 households will be about 307. A list of APs with quantity of loss of land is annexed as **Appendix 2**. There are 28 affected households who will be falling under the category of economic displacement. After the proposed acquisition they will not be left with any land.

Table 2 : Status of Census & Socio-economic Survey

S. No	Details	No.
1.	Total Affected Persons(Household)	59
2.	Total household surveyed	52
3.	Household not found for Survey	07
4.	Total Affected Population(as per survey in 52 HH)	270
5.	Total Affected Persons(Household)- Economic Displacement	28
6.	Total Affected Population(as per survey in 28 Economic Displacement HH)	143
7.	Common Property Resource (CPR)	Nil

Source: Revised Census & Socio-economic survey, March-April, 2010

27. It can be seen from table 3 that of the total 59 APs, there are 12 APs each will be losing land more than 20 percent. There are 28 APs who will be losing cent percent of land. As per ADB Safeguard Policy Statement 2009 they will fall under the category of economic displacement.

Table 3: Loss of Land Title Holders Households/APs

S. No	Percentage Area Loss	Title holders(No.of Households/APs	% Title holders-Households/APs to total APs
1	Less than 10	1	1.69
2	10-30	12	20.34
3	30-50	3	5.08
4	50-70	12	20.34
5	70-90	1	1.69
6	More than 90 but less than 100	2	3.39
7	Cent Percent	28	47.46
	Total	59	100.00

Source: Land Record survey, March-April, 2010

Economic Displacement. Loss of land, assets, access to assets, income sources, or means of livelihoods as a result of (i) involuntary acquisition of land, or (ii) involuntary restrictions on land use or on access to legally designated parks and protected areas.- Glossary, safeguard Policy Statement, June 2009,ADB

28. The land to be acquired is being used for productive agriculture purpose. No squatters or encroachers are found to be residing or carrying out any productive occupation in the portion of the land identified for STP. Since, all the plots have been considered as productive and support livelihood, assistance for loss of income has been considered in the entitlement matrix prepared for the subproject. The Table 4 below provides a summary of type of loss.

Table 4 : Social Stratification details of APs

1	Land	Land requirement/Acquisition	Hectare
		Private	30.077
		Government land	2.199
	Total Land available for Acquisition including transfer from Government		32.276
	Other Assets		
2	Trees (Guava)		3
3	Agricultural/Irrigation Pump set		3
4	Structure(pump house)		3

Source: Revised Census & Socio-economic survey, March-April, 2010

29. So far as status of ownership of the affected property is concerned 59 families are owner of land according to revenue record. One (1) Affected Household also own 3 guava trees, none of which are of major commercial or timber value. There are no tenants either occupying the land or recorded in the revenue document. However, there are two share cropper have been found during the survey. Consultations revealed that they do not have any formal record for share cropping. By generation they are cultivating land of absentee land lords. Adequate provisioning has been made in the entitlement matrix.

Table 5 : Ownership Details of Affected Households

S. No	Type of loss	Title holders
1	Land	59
2	Land with trees	1
3	Land with water/irrigation Pump set	3

Source: Revised Census & Socio-economic survey, March-April, 2010

30. A detailed socio-economic survey was carried out during the census operation in October, 2009 and a repeat survey was also conducted in the month of March – April 2010 after the field visit of the the ADB sector specialist at the residences of the Affected Persons (AP) as per their convenience. **Table 2** shows briefly the status of census and socio-economic survey carried out in March-April, 2010. Table 6 provides a brief socio-economic profile of the affected persons. The table 7 also provides the brief socio-economic profile of the households who are economically displaced. It can be seen from table 7 that of the total 59 project affected households 28(47%) are economically displaced households. The details of loss of land of 59 project affected households including 28 economic displaced households can be seen from **Appendix 2**. Of the total 306 estimated project affected population 143(47%) are economically displaced population.

Table 6 : Summary Profile of the Affected Households

Characteristics	Units-Affected Households	Units- Households- Economic Displacement
Total Affected Households/APs	59	28
Total Affected Population	306	143
Average Family Size of Affected Households	5.2	5.1
Total No. of Scheduled Caste HH	0	0
Total No. of Woman Headed Households	07	5
Total No. of Below Poverty Line Households	02	1
Main Occupation of the Affected Persons	Cultivation	Cultivation
Average Annual Household Income (in Rs.)	72,897	68,392

Source: Revised Census & Socio-economic survey, March-April, 2010

31. The Resettlement Framework prepared for NCRPB classifies several groups of population as socially “vulnerable” and has provided special assistance for them. The Vulnerable groups are: (a) those who are below the poverty line (BPL); (b) those who belong to scheduled castes (SC), scheduled tribes (ST); (c) female/women-headed households (F/WHH); (d) elderly and (e) disabled persons. There are nine vulnerable persons among the affected households have been found from the census and socio economic survey. Of the nine vulnerable households two and seven households belongs to below poverty line female-headed households (F/WHH) category respectively. Of the total nine vulnerable households one below poverty line household and five Woman Headed Households belongs to economically displaced households. Main occupation of the surveyed households is cultivation. The average household income of 52 surveyed households is Rs.72897. The average household income of economically displaced households is Rs.68392.
32. Based on the data of the 52 surveyed households, social stratification of the affected households can be ascertained **Table 7**. The same table also provides the social stratification of the 28 economically displaced households. All the affected households belong to Hindu community. The majority of the households, 40 in number, are of joint family type while 12 are nuclear families. In the case of economically displaced households 18 and 10 are joint and nuclear families respectively. The predominant family size is “medium” with upto 3 persons in both the cases, accounting for 58% of the total affected households and 64% in the case of economically displaced households. The average family size is 5.2, as stated earlier for 52 surveyed households where as it is 5.1 for economically displaced households. The proportion of “large” families, with members five above, is about 4% for all surveyed households.

Table 7 : Social Stratification details of Affected Households

S. No	Criteria	Classification	Total No. of Affected Households	No. of Affected Households- Economic Displacement
1.	Community	General	52	28
		Muslim	-	-
		Total	52	28
		SC	0	0
		Total	0	0
2.	Family Type	Joint	40	18
		Nuclear	12	10
		Total	52	28
3.	Family Size	Upto 3	14	08
		4-5	30	18
		More than 5	08	02
		Total	52	28

Source: Revised Census & Socio-economic survey, March-April, 2010

33. Literacy status among the affected families is not much encouraging; to say the least, as per information collected during census and socio economic survey **Table 8**. The majority of the surveyed population, comprising about 22%, is illiterate, which may be fallout of disquiet situation in the region. Only 10 % of the affected population has achieved education up to secondary level, which is up to class X. However, nearly 19 % of the APs have achieved education up-to intermediate level. Nearly 11 population achieved education at graduate level and above. Achievement of education by the economically displaced population shows balance trend. The achievement of education in secondary and intermediate level together counts nearly 36 percent of the total project affected population in the age group of more than 6 years in this category. The middle and primary educated project affected population also together counts 37.50 percent.

Table 8 : Educational Structure (Age more than 6)

Sl.	Occupation	No. of Person in Affected Households	%	No. of Person in Affected Households-Economic Displacement	%
1.	Illiterate	45	21.53	18	15.00
2.	Informally Literate	12	5.74	4	3.33
3.	Primary (Class IV)	32	15.31	21	17.50
4.	Middle (Class VIII)	38	18.18	24	20.00
5.	Secondary (Class X)	20	9.57	19	15.83
6.	Intermediate (Class XII)	40	19.14	18	15.00
7.	Graduate and above	22	10.53	16	13.33
	Total	209	100.00	120	100.00

Source Revised Census & Socio-economic survey, March-April, 2010

34. The proportion of the working population among the APs is 77 %, with unemployed and retired population accounting for about 23 %. The economically displaced population also showing similar trend **Table 9**. So far as occupational structure is concerned, about 42 percent has cultivation as their livelihood. In the case of economically displaced population nearly 43 percent has cultivation as their livelihood. Nearly 19 percent of the surveyed population are employed in private service. Another 12 percent engaged in government service. Only 5 percent economically active population is engaged in professional services. The occupational pursuit of the affected economically active population shows a major dependence on the primary sector of the employment source.

Table 9 : Occupation Structure (Age more than 18 yrs.)

S. No	Occupation	No. of Person in Affected Households %		No. of Person in Affected Households- Economic Displacement %	
		No. s	%	No. s	%
1.	Government Service	11	11.96	6	11.76
2.	Private Service	17	18.48	9	17.65
3.	Cultivation & Allied Agriculture*	38	41.30	22	43.14
4.	Professional	5	5.43	3	5.88
5.	Retired & Unemployed**	21	22.83	11	21.57
	Total	92	100.00	51	100.00

Note : Allied Agriculture denotes for dairy products.

**Unemployed members include persons actively seeking employment

Source Revised Census & Socio-economic survey, March-April, 2010

35. It is evident from the data on annual household income of 52 APs, that only 2 belong to Below Poverty Line **Table 10**. The proportion of families with annual income between Rs.25000 and 50000 is the highest, about 60 %. While nearly 21 % of the APs earn an income varying from Rs. 50,000 to Rs. 100,000. There are 8 APs have an annual income of Rs.100000 and above. The average annual household income of the affected families has been calculated as Rs.72,897, which appears to be somewhat skewed due to significant proportion (60%) of “middle” income group with annual income between Rs.25000 and 50000. Most of these middle income group APs earn their living from cultivation and allied agriculture. However, the economic status of the affected families is synonymous to their rather unimpressive educational achievement, as reported in previous paragraph.

Table 10 : Annual Income Pattern

S. No	Total Household Income (per annum)	Affected Household		Affected Household -Economic Displacement	
		No.	% to total	No.	% to total
1.	Below Rs. 25,000	2	3.85	1	3.57
2.	Rs. 25,000 – 50,000	31	59.62	17	60.71
3.	Rs. 50,000 – 1,00,000	11	21.15	6	21.43
4.	Rs. 1,00,000 and above	8	15.38	4	14.29
	Total	52	100.00	28	100.00

Source Revised Census & Socio-economic survey, March-April, 2010

36. Appropriate compensation and assistance will be provided to the Affected Persons, all of whom are title holders, according to LA Act, 1894 of Govt. of U.P and ADB’s policy on Involuntary Resettlement/Safeguard Policy Statement, June 2009. The compensation will be determined as per Land Acquisition (Determination of Compensation and Declaration of Award by Agreement) Rules, 1997. The survey also found a substantial number of regular and seasonal workers who earns their livelihood from the agriculture. As per **Appendix 2** there are 15 number of titleholder those left with more than 50 percent of the total land after proposed acquisition on average employ 6 regular labourers. In consultation with those titleholders/land owners it is estimated that after acquisition they will loose their livelihood because the firm size and productivity vis-à-vis regular

deployment of labourers will not be much economical for the title holders. They will be more dependent on seasonal labourers who are migratory in nature. Considering the above situation provisioning has been made in the entitlement matrix and resettlement budget. To capture this situation in details a detailed census survey needs to be conducted at the time of implementation of the sub project for detailed mitigation measures.

E. Gender Impacts & Mitigation Measures

37. During the course of the initial social assessment particular emphasis was given to appraise the present status and needs of the women in the subproject area and the potential impact of the Project on them by means of conducting series of Focus Group Discussion (FGD) with women belonging to various socio-economic groups, as well as of affected families. Like other people in the project area the women too were unaware about the proposed subproject, its benefit, etc. The FGD session held with them provided a platform to disseminate information on impact of sewerage collection and disposal system through Sewerage Treatment Plan. It also helped to highlight the benefit likely to be brought about by the project. Although the sub-project will not cause any specific gender issue and is neither focused particularly on women, implementation of sewerage treatment system will have indirect positive impact on women's health. The overall improvement in a clean urban environment is envisaged outcome of the proposed Sewerage collection and disposal system. Diseases related to untreated sewerage disposal into the river and natural water bodies will also be reduced substantially. As a result, impact of a general healthy life will be manifested among average urban household, especially the low income group families. The women will be benefited in more than one way. As they devote time for looking after the sick members in the family, including the children, reduction in the incidence of diseases will enable them utilize their time and leisure more effectively. Improvement on health status will increase the number of working days for the employed women.

F. Information Disclosure, and Consultation

38. In the course of initial poverty and social assessment, participatory discussion was held with the people around the proposed plant site by means of Focus Group Discussions (FGD). These were held separately with local people, including the youths & the women. Due consideration was given for Stakeholder consultations with the APs at different levels of RP preparation. The discussion was initiated with the help of structured questionnaires to share information on the proposed project, their needs and perception for a better urban service and to have their opinion and views about the project & its envisaged benefit to the people. It was evident that the people are aware of the benefit of the sewerage treatment system. However, they were not informed of the project on sewerage disposal in the area. The people welcome the possibility of implementation of the project in the area. However, while consultation on people's co-operation in land acquisition, some of them were reluctant to part away with a small portion of the land, required for the STP as per design. Instead, they want the Government to acquire the whole plot of land and compensate at market price. A summary report on Stakeholder consultation is annexed (**Appendix 3**). The signed stakeholder consultations and photographs of the consultation are placed in **Appendix 3**.

39. The short RP will be translated in Hindi language and will be made available to the affected people by the Executing Agency (EA) for review and comments on the policy and mitigation measures, particularly the compensation package, by means of subproject-level Disclosure workshops prior to loan negotiation. Copies of the short RP will also be made available at the local level public offices such as revenue offices, to the stakeholders for local inputs prior to award of civil work contract. The proceedings of the disclosure workshop and the feedback received will be sent to ADB for review. The final RP will also be disclosed on the ADB Website and NCRPB website. In addition, a Public Consultation and Disclosure Plan have been prepared for the subproject and enclosed at **Appendix 4**.

G. Resettlement Principles and Policy Framework

40. In India, compensation for land acquisition and resettlement assistance for project affected people are governed by the Land Acquisition Act (1894), which has been amended from time to time. The resettlement principles adopted for this subproject recognize the State Land Acquisition (LA) Act 1894 and the entitlement benefits as listed in the National Policy on R&R, 2007 (Government of India) and the relevant Asian Development Bank's (ADB) policies and operations manuals, in particular the policy on Involuntary Resettlement (Safe Guard Requirements 2009), and Operations Manual F2 on Involuntary Resettlement (2006) and Hand Book of Resettlement-A Guide to Good Practices, 1998.
41. While determining compensation for title holders, Land Acquisition (Determination of Compensation and Declaration of Award by Agreement) Rules, 1997 of Government of Uttar Pradesh will also be applicable for this sub project. The Section 2 of the above Act of Government of Uttar Pradesh provides the opportunity to the land owner to determine the compensation on mutual agreement with acquiring body when land is acquired for public purpose under Land Acquisition Act 1894. The Section 2 of the above Act explains that the body or department for which the land is being acquired may, at any stage of the proceedings settle down the terms and conditions and rates of the land under acquisition, with the land owners and appear before the Collectors and make an application indicating the terms and conditions so settled down and its readiness and willingness for determination of compensation and declaration of award in accordance with agreement.

42. The Collector shall, if satisfied; issue notice to the persons interested in the land under acquisition to express their readiness and willingness to execute the agreement in writing, on the matters to be included in the award. A detailed consultation with the title holder and land dealers has been conducted to ascertain the base replacement cost. The signed consultation document has been placed in **Appendix 5**.
43. The RP is based on the general findings of the census, socio-economic survey, observation during field visits, and participatory consultation meetings with various groups including the affected persons in the subproject area. The census and socio-economic survey was carried out during the period from 07 – 15 October, 2009. A detailed revised census and socio-economic survey was carried out during the period between 25th March 2010 and 24th April 2010 in phased manner for maximum coverage of APs. Compensation and resettlement assistance for various types of loss have been determined following the provision made in the resettlement framework of NCRPB. In general, the people affected by the Sub-Project will be entitled to the following types of compensation and assistance - (i) Compensation for loss of land at replacement value, (ii) Compensation for loss of trees at replacement cost, and (iii) Compensation for loss of assets at replacement cost. Loss of the land parcel is part of the total holdings (including the holding in other plots located elsewhere) of each APs, loss of full income or potential impact on the loss of full livelihood of the APs has been captured.
44. The majority of the APs expressed for cash compensation as the primary option as evident from the signed consultation document (**Appendix 5**), hence separate economic rehabilitation plan under this sub project is not required. However, lump sum economic rehabilitation grant due to loss of income from particular parcel of land for all land looser is proposed in this sub project. The lump-sum economic rehabilitation grant is also proposed for the regular labourers working for the land owners who are loosing more than 50 percent of the total land (including the land holdings outside the land in the sub project area). The economic rehabilitation grant will also proposed for the title holders who will be loosing cent percent of the land for proposed sub project. A lump sum allowance for vulnerability is also proposed.
45. Project-induced displacement may lead to loss or diminished income for Affected Person (APs). The main categories of impacts expected as a result of project land and property acquisition include: (a) Loss of agriculture land in part or full; (b) Loss of structures; (c) Loss of livelihood of labourers; and (d) loss of livelihood of share croppers.
46. The economic rehabilitation grant money will be deposited in bank accounts to be released only for the purchase of income generating assets. Women-headed households will be assisted in identifying alternative space in adjacent areas for continuing their trade or vocations. These households will have to be given preference in disbursement of assistance. The IAs will use its good offices with local authorities to facilitate early rehabilitation of these women headed households.
47. The cut off date for the APs, all having legal titles of their land/asset is the date of notification of acquisition under the State Land Acquisition Act 1894. The entitlement matrix (Table 11) has been prepared in accordance with the Resettlement Framework of

the NCRPB, for the people and the community affected by the project and provisions will be kept in the budget for those who were not present at the time of census survey, after verifying their claim for legal ownership. However, people moving in the project area after the cut-off date will not be entitled to any assistance.

48. In the present project there are following categories of losses i.e. Loss of Agriculture Land, Loss of structures, loss of standing crops & trees, and loss of livelihood for agricultural workers and the sharecroppers. Out of these, the greatest loss to be suffered by the APs is loss of agriculture land. The entitlement framework for the APs has, therefore, been developed considering these facts.
49. EA/IA will use the RP as a planning tool, verify and update the inventory prior to implementation of the project, and provide ID cards to the entitled affected persons for compensation and resettlement purposes. The principles applicable in defining the entitlements and compensation packages for the affected households shall remain unchanged. A detailed Entitlement Matrix for the subproject is provided in **Table 11**.

Table 11 : Entitlement Matrix

S. No	Category	Type of loss	Unit of entitlement	Entitlement	Details
1A	Private Property	Agricultural land	Titleholder	<p>Compensation at “replacement cost” or “actual market cost” and other assistances</p> <p>Cash disbursement on monthly basis</p>	<p>If the replacement cost¹ is more than the compensation (at market price as determined by the Competent Authority), then the difference is to be paid by the project in the form of assistance.</p> <p>APs will be explained the process and their views will be taken into consideration, while determining the market cost.</p> <p>If the residual plot(s) is (are) not viable i.e., less than average land holding of the districts, there are three options to be given to the EP. The EP remains on the plot, and the compensation and assistance paid to the tune of required amount of land to be acquired;</p> <p>Compensation and “assistance” are given for the entire plot including residual plot, if the owner of such land wishes that his residual plot should also be acquired by the project authority provided residual land is quantified less than MEH. The residual plot so paid will be acquired by the project authority.</p> <p>If EP is from vulnerable group, compensation for the entire land is by means of land for land if so wished by EP provided that the land of equal or more productive cost is available.</p> <p>In case of severance of agricultural land, an additional grant of 10% of the amount paid for land acquisition.</p> <p>All fess, taxes and other charges, as applicable under the relevant laws, incurred in the relocation and resource establishment, are to be borne by the project.</p> <p>Transitional allowance calculated at minimum wages for 9 months if the residual land becomes non- viable as a result of land acquisition or for three months when the residual land is viable.</p> <p>Economic rehabilitation grant for those vulnerable titleholders whose</p>

¹ Land Acquisition (Determination of Compensation and Declaration of Award by Agreement) Rules, 1997. will be followed in determining compensation. A High Powered Committee will be established under the Project. This committee will be responsible to make independent valuation of land based on existing market value. The Committee will also undertake direct negotiation for settlement of compensation with the APs, wherever required.

S. No	Category	Type of loss	Unit of entitlement	Entitlement	Details
					entire property is acquired or the remaining property is unviable. Training for upgradation of skills.
		Loss of land by absentee landlord.	Titleholder		Absentee landlord will receive only the compensation at replacement cost or actual market cost.
		Loss of land by Mortgage	Titleholder		Mortgage clearance will be verified and cleared by the project authority and the cost of clearance will be deducted from the total compensation.. Will receive replacement cost and other assistances provided under 1 to 7 and the unit of entitlement as listed above.
		Loss of land purchased / sold without mutation	Titleholder		In case of current land transactions where process of mutation of the sale deed has not been carried out, PIU/NGOs to facilitate the process of land registration and mutation the cost of registration will be deducted from the total compensation*. Will receive compensation, replacement cost and other assistances provided under 1 to 7 and the unit of entitlement as listed above.
		Loss of such land on which loan has been taken	Titleholder		In case any loan on such acquired land/properties taken by the AP from any Government agency, remain unadjusted as per the information furnished by the PAPs or by the loaner agency then such amounts shall be deducted out of total compensation. This will be submitted to District administration prior to payment of compensation. Will receive compensation, replacement cost and other assistances provided under 1 to 7 and the unit of entitlement as listed above.
		Loss of cultivable land under formal / long duration lease covered by govt law by tenants / sharecroppers	Family/Household	Financial assistance equivalent to the cost of one years gross harvest from the area being acquired. Cash disbursement on monthly basis	Value of gross harvests calculated on the basis of the average of gross harvests during the last three years. Training for up-gradation of the skills. Subsistence allowance calculated at minimum wages for 9 months. Economic Rehabilitation Grant to the vulnerable
		Loss of cultivable	Family		

S. No	Category	Type of loss	Unit of entitlement	Entitlement	Details
		land under informal short term duration lease not covered by Govt. law by informal tenants / sharecroppers.		Cash disbursement on monthly basis	Training for up-gradation of the skills. Subsistence allowance calculated at minimum wages for 9 months. Economic rehabilitation grant to the vulnerable
1B	Private Property (non-agricultural land & assets included) all categories of IA have been included in this too.	Non agricultural assets.	Titleholder	Compensation at “replacement cost” or “actual market cost” and other assistances Cash disbursement on monthly basis Cash disbursement	If the asset (part or full) in question is a structure, then the replacement cost will be calculated as equivalent to the cost of provision of residential structure of area equivalent to that lost. Replacement cost will be provided to meet the quality standards of Basic Schedule of Rates without depreciations as maintained by Government/Local Bodies Authorities. If the amount is less that the designated sum by the National Government for Economically Weaker Section houses the difference will be paid as ex-gratia Rental allowance for 6 months or transitional accommodation to be provided. Right to salvage materials from the demolished structure. To build new assets minimum wage calculated for 6 months A lump sum shifting allowance of Rs 1000/-
		Loss of property by Absentee landlord		Replacement cost	Absentee landlords will receive only the Compensation at replacement cost.
2A	Livelihood	Wage earning	Individual	A grant equal to six months lost income	This is valid for persons directly affected due to the employer being displaced, on a case by case basis after suitably determining the monthly wage. In individual cases, when the Wage earner is the only earner in the family, then he will be entitled to a grant equal to six months lost income. Training for up-gradation of skill.
2B		Non-perennial crops	Titleholder/ non-titleholder	Notice to harvest standing crops	They are entitled to be given a notice substantially 4 months in advance. Grant towards crop lost before harvest due to forced relocation, equal to market cost of crop lost plus cost of replacement of seeds for the next

S. No	Category	Type of loss	Unit of entitlement	Entitlement	Details
					season's harvest.
2C		Perennial crops such as fruit trees	Titleholder	Compensation at "replacement cost"	Compensation for perennial crops will be calculated as per the annual produce cost of the crops. Replacement cost in case of fruit bearing trees will be as per the rates decided by the competent authority in consultation with Departments of Agriculture, Forest, Horticulture, Sericulture etc. as the case may be.
3	Additional support to vulnerable group	To all Vulnerable Project Affected losing the only source of income	Households	Additional assistance	Alternate economic rehabilitation grant (Rs 30,000/-) as per the State amount recognised for the income of Below Poverty Line.
4	Any other impact not yet identified, whether loss of asset or livelihood				Unforeseen impacts shall be documented and mitigated based on the principles agreed upon this policy framework.

H. Grievance Redress Mechanism

50. A Grievance Redressal Committee (GRC) will be established in Hapur for timely and satisfactory completion of RP related activities and other requirements of the Resettlement Plan (RP) to facilitate satisfactory implementation of all ADB funded projects. The primary objective of creating GRC is to provide a mechanism in order to address and sort out all disputes related to implementation of resettlement plan, most importantly, to mediate conflict and disputes concerning compensation payments and cut down on lengthy litigation. The GRC is constituted as follows:

Chairman, Hapur Nagar Parishad	:	Chairman
Vice- Chairman HPDA	:	Member
Social & Resettlement Expert of PMU	:	Member-Secretary
2 Representative of affected persons	:	Member
Panchyats Members and Head	:	Member

I. Institutional Arrangements, and Implementation Schedule

51. National Capital Planning Board (NCRPB) will be the Executing Agency (EA) for the Project. The Hapur Nagar Parishad and HPDA would jointly act as implementing agency (IA). A separate independent unit in IAs office will constitute for the purpose of overall coordination and management of the project and it will be called as The Project Management Unit (PMU) will also implement the RP with assistance of Design & Supervision Consultants (DSC) & an experienced NGO/agency/institution, acting as Implementing Organization (IO) who will shoulder the primary responsibility of the RP implementation. The PMU would ensure monitoring any changes to subproject design which may require re-evaluation of the need for and adequacy of the RP. If necessary, RP will be updated keeping changed design in view while entitlement principle remaining unchanged. The PMU will ensure resettlement budgets are delivered on time for timely RP implementation, prior to commencement of construction work. A brief Terms of Reference for implementing organization/NGO is annexed in **Appendix 6**.
52. 2 In addition, establishment of a High Powered Committee (HPC) to supervise pre-construction activities including implementation of RP under ADB assisted project is proposed. The HPC will consist of the following personnel: Divisional Commissioner – NCR Cell (U.P)
- Divisional Commissioner – NCR Cell (U.P)
 - Executive officer Hapur Nagar Parishad – Hapur
 - Chair man – HPDA
 - Revenue Officer
 - NCRPB Representative
 - Representatives of the Affected Persons/Eminent person

53. This HPC will be responsible to make independent valuation of land based on existing market price which is equivalent to replacement value. In addition, the Committee will also establish the transitional allowance and assistance to be provided to affected persons based on the prevailing rates to restore the pre-project levels of livelihoods, in case of loss of livelihood. The HPC will also undertake direct negotiation settlements with the APs, wherever required.
54. The valuation of the acquired land and other assets will be done at market rate based on the principle of compensation at the replacement value of the affected land and assets. The entitled APs will be given advance notice of the date, time and place of payment through public announcement. All the payment will be made in cheques payable to the entitled AP and his/her spouse. Photocopy of the cheques will be preserved by PMU as an evidence of transparent manner of payment. The payment of compensation will be monitored and verified by NGO/ Executing Agency as well as representatives of the affected households. All compensation and other assistances will be paid to the APs prior to commencement of civil works.
55. Compensation and assistances including that payable to Vulnerable AP are required to be disbursed prior to taking possession of the asset, land in this case. If during further verification or updating of AP database due to change in project design, relocation or livelihood assistance, or rehabilitation measures become necessary, implementation of resettlement plan may take longer period of time beyond commencement of civil work construction. Affected people will be provided with certain

Table 12 : Tentative Implementation Schedule

S. No	RP Implementation Activities	Year 1				Year 2		
		Q 1	Q2	Q3	Q4	Q 1	Q2	Q3
		Schedule Completion				Schedule Completion		
1.	Engaging NGO/Implementing Agency	■						
2.	Public consultation/Dissemination of information on Project	■						
3.	Verification of AP with Census cut-off-date		■					
4.	Updating census data in respect of changed design (if required)		■	■				
5.	Finalization of entitled APs			■				
6.	Preparation of photo Identity Card of Entitled AP			■	■			
7.	Opening Bank Account (Joint A/c in the name of HOH & his spouse/next of kin)			■	■			
8.	Distribution of ID Card			■	■			
9.	Computation of Compensation/Assistance				■			
10.	Disbursement of payment of compensation				■			
11.	Disbursement of payment of other Assistance				■			
12.	Setting up of GRC	■						
13.	Grievance Redress Initiation							
14.	Preparation of Database of AP	■	■	■	■	■		
15.	Engaging External Monitor	■	■	■	■	■		

J. Resettlement Budget

56. The total estimated budget for implementation of Resettlement Plan (RP) including payment of compensation and assistance to the entitled AP, preparation of identity card, cost of resettlement operation and management for the Project through Implementing Agency and engaging Independent Monitor is INR Rs 298.94 Million, say INR 299 Million. A break up of cost estimate is given in the following **Table 13**

Table 13: Tentative Budget

S. No	Item	Unit	Qty.	Unit Cost in Rs	Total cost in Million INR
<i>A. Compensation for Land and Assets- Replacement Cost</i>					
1	Private Land	Hectare	30.077	8,000,000	240.61
2.	Trees		3	40,000	0.12
3.	Irrigation Pump set		3	50,000	0.15
4.	Stamp Duty and registration cost @10%				24.06
	Sub-Total of A				264.94
<i>B. Resettlement Assistance</i>					
1	Economic Resettlement Grant		155	30,000	4.65
2	Assistance for Vulnerable	103		10,000	1.03
	Sub-Total of B				5.68
<i>C. Support for RP Implementation</i>					
1	Engaging NGO for RP Updating & Implementation	L/s			0.45
2	Social and Resettlement Team of PMU And EA including Logistics	L/s		0.400	0.40
3	Training	L/s		0.100	0.10
4	Independent External Monitoring	L/s		0.350	0.20
	Sub-Total of C				1.15
	Total (A+B+C)				271.77
	Contingencies @ 10%				27.17
	Total Rs. in Million				298.94

Note: Market valuation of the land has been informally collected from the Patwari (Revenue officer) of the concerned circle and also from the local people through consultative process (**Appendix 5**). This need to be authenticated at the time of fixation of compensation and by the High Level Committee constituted for implementation of the sub Project.

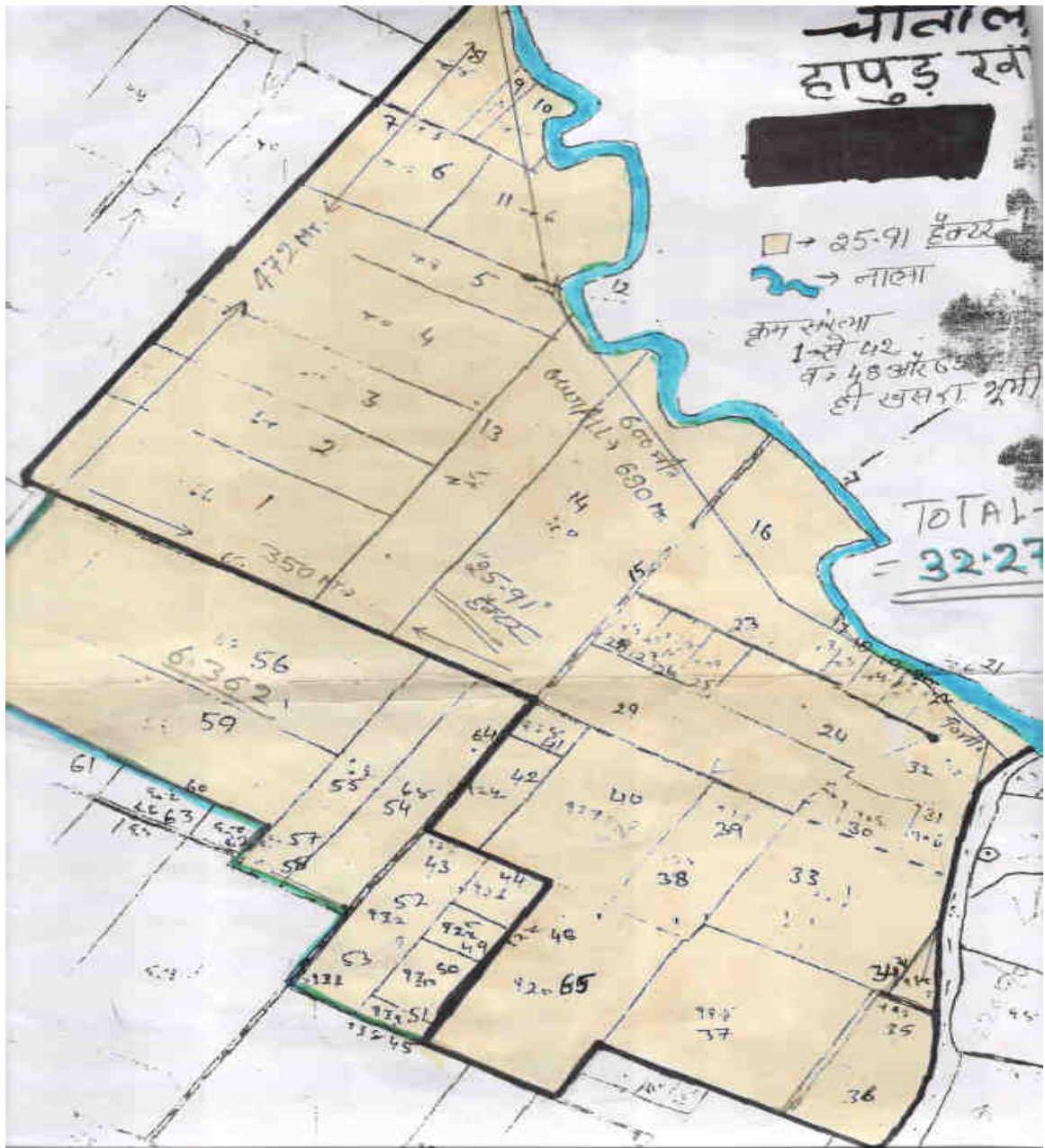
K. Training, Monitoring & Evaluation

57. The RP will have both internal and external monitoring. Internal Monitoring will be a regular activity for PMU, Social development & Resettlement specialist and will oversee the timely implementation of R&R activities.
58. An orientation and training in resettlement management will be provided under the Project to the NGO/agencies by the Social Development & Resettlement specialist at the PMU level. The training activities will focus on issues concerning – (i) principles and

procedures of land acquisition; (ii) the policies and principles agreed under the ADB loan; (iii) public consultation and participation; (iv) entitlements and compensation disbursement mechanisms; (v) Grievance redressal and (vi) monitoring of resettlement operation

59. The NGO/agency, assisting in preparation and implementation of a RP, will submit monthly progress report of RP implementation to the EA through the respective PMU. The PMU will conduct regular internal monitoring of resettlement implementation and prepare quarterly progress reports for submission to ADB. The reports will contain progress made in RP implementation with particular attention to compliance with the principles and entitlement matrix set out in the resettlement plan. The report will also document consultation activities conducted, provide summary of issues or problems identified and actions taken to resolve the issues, and provide summary of grievances or complaints lodged by households and actions taken to redress such complaints.
60. An independent agency/monitoring expert will be engaged by the PMU in agreement with ADB to undertake biannual external monitoring of the project implementation. This expert will submit its reports biannually directly to ADB. A brief Terms of Reference for External Monitor is annexed (**Appendix 7**).

Appendix 1: Land Record and Location of STP



Appendix 2: List of Affected Persons

Name of AP/ Head of Household	Father's/ Husband's Name	Khasra/ Plot No.	Affected Area in that Kharsa No.	Total Owned Are to be Acquired + Area in that Kharsa No.	%age loss	Other Khasra Owned - Number	Total Area of other Khasra Number	Grand Total (I+N) of toal land with the AP	Balance Area Left with AP after Acquisition (%age)
Daryab	Jaidayal	71 + 74 + 90	3.7288	3.7288	100%	68, 248	0.21	3.9388	5.33%
Rajpal	Jaidayal	71	0.3088	0.3088	100%			0.3088	0.00%
Gajai Singh	Jaidayal	71	0.3088	0.3088	100%			0.3088	0.00%
Bharm Singh	Jaidayal	71	0.3088	0.3088	100%			0.3088	0.00%
Ramesh Chander	Nanak Chand	71	0.3088	0.3088	100%			0.3088	0.00%
Jagdish	Balvir	73	0.2400	0.2400	100%	237, 240, 241	0.708666667	0.9487	74.70%
Virpal	Balvir	73	0.2400	0.2400	100%		0.708666667	0.9487	74.70%
Mahipal	Balvir	73	0.2400	0.2400	100%		0.708666667	0.9487	74.70%
Nirankar Singh	Vijender Singh	79	0.2100	0.2100	100%		0.0000	0.2100	0.00%
Mehakar Singh	Vijender Singh	79	0.2100	0.2100	100%		0.0000	0.2100	0.00%
Omkar Singh	Vijender Singh	79	0.2100	0.2100	100%		0.0000	0.2100	0.00%
Smt. Saytawati	Vijender Singh	79	0.2100	0.2100	100%		0.0000	0.2100	0.00%
Smt. Vinod	Omkar Singh	79	0.2100	0.2100	100%		0.0000	0.2100	0.00%
Rupender Singh	Chanderpal Singh	80	0.2114	0.2114	100%	461	0.0916	0.3030	30.22%
Vikas	Chanderpal Singh	80	0.2114	0.2114	100%	461	0.0916	0.3030	30.22%
Sonu	Chanderpal Singh	80	0.2114	0.2114	100%	461	0.0916	0.3030	30.22%
Sanjay	Sureshpal	80	0.2114	0.2114	100%	461	0.0916	0.3030	30.22%
Rajkumar	Sureshpal	80	0.2114	0.2114	100%	461	0.0916	0.3030	30.22%
Havinder	Sureshpal	80	0.2114	0.2114	100%	461	0.0916	0.3030	30.22%
Yashpal	Satyapal Singh	80	0.2114	0.2114	100%	461	0.0916	0.3030	30.22%
SatyaPrakash	Pyare	81	0.6800	0.6800	100%	514	0.3490	1.0290	33.92%
Rishi Pal Singh	Atar Singh	82 + 100 + 102	0.8425	0.8425	100%	264, 376, 135, 62	0.9176	1.7601	52.13%
Jabar Singh	Atar Singh	82 + 102	0.2645	0.2645	100%	264, 376, 135, 62	0.9176	1.1821	77.63%

Name of AP/ Head of Household	Father's/ Husband's Name	Khasra/ Plot No.	Affected Area in that Kharsa No.	Total Owned Are to be Acquired + Area in that Kharsa No.	%age loss	Other Khasra Owned - Number	Total Area of other Khasra Number	Grand Total (I+N) of toal land with the AP	Balance Area Left with AP after Acquisition (%age)
Chandrashekhar	Atar Singh	82 + 102	0.2645	0.2645	100%	264, 376, 135, 62	0.9176	1.1821	77.63%
Kirparam	Horam	84	0.4910	0.4910	100%	545, 546	0.6620	1.1530	57.42%
Smt. Anguri Devi	Jagdish Pal	85 + 86	0.2980	0.2980	100%		0.0000	0.2980	0.00%
Chetan	Dharmraj	87	0.1875	0.1875	100%		0.0000	0.1875	0.00%
Jitender	Jagvir	87	0.1875	0.1875	100%		0.0000	0.1875	0.00%
Smt. Vijendri	Lt. Jagvir	87	0.1875	0.1875	100%		0.0000	0.1875	0.00%
Parvesh	Mahipal	87	0.1875	0.1875	100%		0.0000	0.1875	0.00%
Dinesh	Mahipal	87	0.1875	0.1875	100%		0.0000	0.1875	0.00%
Dhermendra Kr. Bana	Narendrapal Singh Bana	87	0.1875	0.1875	100%		0.0000	0.1875	0.00%
Ashok Kumar	Chater Singh	89 + 95 + 96 + 98	0.4133	0.4133	100%	226, 373, 375, 376, 377, 379	2.3900	2.8033	85.26%
Harendra	Chater Singh	89 + 95 + 96 + 98	0.4133	0.4133	100%	226, 373, 375, 376, 377, 379	2.3900	2.8033	85.26%
Vijendra	Chater Singh	89 + 95 + 96 + 98	0.4133	0.4133	100%	226, 373, 375, 376, 377, 379	2.3900	2.8033	85.26%
Smt. Preetam Kaur	Chater Singh	89 + 95 + 96 + 98	0.4133	0.4133	100%	226, 373, 375, 376, 377, 379	2.3900	2.8033	85.26%
Kirpal Singh	Seesh Ram	92	0.6835	0.6835	100%		0	0.6835	0.00%
Dushyant Kumar Bana	Kryapal Singh Bana	93 + 94	0.1390	0.1390	100%		0	0.1390	0.00%
Kashalpal Singh	Atar Singh	102	0.0188	0.0188	100%	264, 376, 135, 63	0.9176	0.9364	97.99%
Smt. Prakashi	Atar Singh	92 + 102	0.7023	0.7023	100%	264, 376, 135, 66	0.9176	1.6199	56.65%
Bharm Singh	Roop Ram	105	0.9160	0.9160	100%		0	0.9160	0.00%

Name of AP/ Head of Household	Father's/ Husband's Name	Khasra/ Plot No.	Affected Area in that Kharsa No.	Total Owned Are to be Acquired + Area in that Kharsa No.	%age loss	Other Khasra Owned - Number	Total Area of other Khasra Number	Grand Total (I+N) of toal land with the AP	Balance Area Left with AP after Acquisition (%age)
Smt. Rajesh	Ram Ratan	110 + 132	0.8870	0.8870	100%	549	0.032	0.9190	3.48%
Vijay Singh	Amar Singh	119	0.1531	0.1531	100%		0	0.1531	0.00%
Satender Singh	Amar Singh	119	0.1531	0.1531	100%		0	0.1531	0.00%
Tara Singh	Mohar Singh	119	0.1531	0.1531	100%		0	0.1531	0.00%
Smt. Sashi Bala	Harender Singh	119	0.1531	0.1531	100%		0	0.1531	0.00%
Deepak Sirohi	Virender Singh	119 + 121	0.2360	0.2360	100%	109	0.217285714	0.4533	47.94%
Mohit Sirohi	Virender Singh	119 + 121	0.2360	0.2360	100%	109	0.217285714	0.4533	47.94%
Vivek Sirohi	Virender Singh	119 + 121	0.2360	0.2360	100%	109	0.217285714	0.4533	47.94%
Smt. Jagvir	Virender Singh	119 + 121	0.2360	0.2360	100%	109	0.217285714	0.4533	47.94%
Harender Singh	Tara Singh	119	0.1531	0.1531	100%		0	0.1531	0.00%
Satyaveer Singh	Bhure Singh	121 + 122	0.1100	0.1100	100%		0	0.1100	0.00%
Smt. Chand Kaur	Amar Singh	121	0.0829	0.0829	100%	109	0.217285714	0.3001	72.39%
Vijay Singh	Amar Singh	121	0.0829	0.0829	100%	109	0.217285714	0.3001	72.39%
Satender Singh	Amar Singh	121	0.0829	0.0829	100%	109	0.217285714	0.3001	72.39%
Tara Singh	Mohar Singh	124	0.0675	0.0675	100%		0	0.0675	0.00%
Subay Singh	Mohar Singh	124	0.0675	0.0675	100%		0	0.0675	0.00%
Smt. Somwati	Tara Singh	131	0.0890	0.0890	100%		0	0.0890	0.00%
Pushpender		156	0.6380	0.6380	100%			0.6380	0.00%

Appendix 3: Stakeholders' Participatory Consultation - Abstracts

Sl. No.	Place & Date	Participants	Issues discussed	Opinion & consensus about the Project
1.	Hapur, Hapur Nagar Parisad 25.09.09	8 Officials of Hapur Nagar Parisad	1. Location of the STP. 2. Design option.	1.Details of project 2. Development of the area. 3. Project Concept
2.	Tatarpur 07.10.2009, 8.10.09&9.10.09	7 persons, including, local shop keepers, Rtd. Govt. officials and a senior citizen. and the survey team	1.Details of project 2. Development of the area 3.Employment opportunity for the local youth 4. Valuation of the land	The Project work should be completed within the shortest possible time as people face a lot of problems due to the absence of the proposed Infrastructure at present. Provisions should be made to include all the households to be linked to the sewerage system facility so that the maximum number of people is benefited. People are willing to cooperate by all means to implement the project successfully and are willing to pay user charges if levied within their affordable means. The area is particularly affected due flood and water logging. The school going children and the old people suffer most. Proper care should be taken during implementation to mitigate the problem. They are anxious to know whether the project will reduce the flood problem.
3	Chitoli 9.10.09,10.10.09 & 11.10.09	10 persons including the APs, one woman member of AF, & Survey team	1.Details of project 2.Development of the area 3.Employment opportunity for the local youth 4.Valuation of the land	The Project work should be completed within the shortest possible time as people face a lot of problems due to the absence of the proposed Infrastructure. Provisions should be made to include all the households to be linked to the sewerage system facility so that the maximum number of people is benefited. People are willing to cooperate by all means to implement the project successfully and are willing to pay user charges if levied within their affordable means. The compensation for land should be at market rate. The Govt. should take total land of the plot. The rest of the area will be of no use. Since the trees are of firewood quality only and also of small height they do not expect rate at timber value.

Appendix 3: Stakeholders' Participatory Consultation – Abstracts

पिपली/वाँगा गाँव समुदाय के लोगों के भावनाओं के कुछ परामर्श

उपग्रह गाँव/वार्ड	अध्यक्षता	विषय	निर्णय / निष्कर्ष
पिपली/वाँगा वाँगा वाँगा 23/4/2010	अभि पिपली के साहेब अबुल फय्याज गड	टाउंड पिपली/वाँगा विकास निगम टाउंड के गाँव वालों के भावनाओं के लिस्ट सहित	पिपली/वाँगा के लोगों के के बारे में साहेब/अबुल सहमत हैं. अगर निम्न है :- 1. पिपली को खरीदा जाए 2. पिपली को खरीदा के पीछे व्यक्ति के सम्बन्ध में 3. पिपली की कीमत में कीमत के अग्रक है कि को भी 80 लाख में की 1 करोड़ प्रती है 4. टाउंड को भी प्रदूषण के बाधक के लिए सड़क के बाधक को प्रकृत निगम 5. पिपली परिवार के भी पिपली उसके बदले के लिये और पिपली के दिलवाए जाए

पावर लिस्ट
 अ. शीव कुमार
 हरकतलु काला
 रिशा बाल सिंह
 इन्द्र कुमार
 सिधु कुमार
 विरवर्ण
 मनीत
 मेरा

(10) पिपली
 ... Sonu
 ... अ. शीव
 (13) जगपाल सिंह
 ... प्रीतम कुमार
 ... विवेक



Appendix 4: Public Consultation and Disclosure Plan

Activity	Task	Timing (Date /Period)	No. of People	Agencies	Feedback/Issues/ Concerns Raised
Stakeholder Identification	Mapping of the project area	From February, 09 to Sept, 09	15 persons	TA Consultants – Technical, Environmental & Social Safeguard Specialists and HNP, HPDA	The project area was observed with a view to identify suitable plot of land for STP SPS locations.
Project information Dissemination	Dissemination of information	From October, 08 to Sept, 09	-	TA Consultants – Technical, Environmental & Social Safeguard Specialists and HNP, HPDA	-
Consultative meetings with APs during Scoping Phase	Discuss potential impacts of the project	August and September 2009	25 persons	TA Consultants – Technical, Environmental & Social Safeguard Specialists	Issues related to impact of the project: Local people were apprehensive of the household connection to the sewerage line. Adequate compensation for loss of land Job/labour opportunity during construction/implementation of the project
Project information Dissemination	Informal Meetings with affected persons (APs)	-	All the APs & other important persons of the locality	CTA Consultants – Technical, Environmental & Social Safeguard Specialists	-
Public Notification	Publish list of affected lands/sites in a local newspaper; Establish eligibility cut-off date		-	Collector, Land Acquisition.	-
Socio-Economic Survey	Collect socio-economic information of AP's and their perception on the	07-15 Oct, 2009	12	TA Consultant & Social Survey team	Information and census data collected on : No. of affected families

Activity	Task	Timing (Date /Period)	No. of People	Agencies	Feedback/Issues/ Concerns Raised
	project				Socio-economic profile of the AFs Awareness created about project concept & resettlement impact due to LA
Consultative meetings on Resettlement Mitigation Measures	Discuss entitlements, compensation rates, grievance redress Mechanisms	-	-	IA&EA(HNP/HPDA and NCRPB)	-
Publicize the resettlement plan (RP) (Proposed date)	Distribute Leaflets or Booklets in local language	-	-	IA&EA(HNP/HPDA and NCRPB)	-
Full Disclosure of the RP to Affected families (Proposed date)	Distribute short RP in local language to APs	-	-	IA&EA(HNP/HPDA and NCRPB)	-
Web Disclosure of the short RP (Proposed date)	Short RP posted on ADB and/or EA website	-	-	IA&EA(HNP/HPDA and NCRPB)	-
Consultative Meetings during DMS	Face to Face meetings with APs	-	-	IA&EA(HNP/HPDA and NCRPB)	-
Disclosure after Detailed Measurement Survey (DMS)	Disclose updated short RP to APs	-	-	IA&EA(HNP/HPDA and NCRPB)	-
Web Disclosure of the Updated short RP (subject to change of technical design)	Updated short RP posted on ADB and/or EA website	-	-	IA&EA(HNP/HPDA and NCRPB)	-

Appendix 5: Consultation Regarding Fixation of Land Rate

26/3/2010 को चितौली गांव के लिए भूमि का मूल
निश्चयन के लिए किसानों एवं प्रापर्टी डीलरों के
साथ-से चर्चा की गई।

चर्चा के मुख्य बिन्दु हैं :-

1. चार साल पहले वाईपास बनने के समय से 30 से 40 लाख
2. वाईपास बनने के बाद जमीन की कीमत रु 50 से 60 लाख
है।
3. हाउस मिलानुसार विकास भाव से दो साल पहले प्रीत विहार कालोनी
आवासीय तैयार नही। इसकी कीमत रु 600 से 800 प्रति मीटर
संकायत थी।
4. प्रीत विहार कालोनी के स्वामिदारों को एक-एक प्लॉट की
वीयागार।

1) विकास प्रापटी डीलर — Subz
 2) Janak Property Dealer — Ad
 3) Bana Property Dealer — Sunder Baner
 4) संजय
 5) राजेश्वर
 6) चेतन
 7) राजेश



Appendix 6: Terms of Reference for RP Implementing Agency / NGO

Project Description

The proposed STP Subproject for the city of Hapur improve the sewer management system through establishing a Sewerage Treatment plant and other related infrastructural development. The implementation of the project will require land acquisition which will cause involuntary resettlement for the titleholders. The RP has been prepared to mitigate the adverse resettlement impact, so far as land acquisition is concerned and measures have been incorporated in the plan. Other than land acquisition the project will also affect some vulnerable people and special assistance for them has been provided in the RP. There are no squatters or encroachers either residing or carrying on productive occupation in the plots to be acquired.

PMU will engage experienced non-government organizations (NGOs) or institution to assist in the implementation of the RP, particularly to conduct public consultation program and to develop public awareness and action programs to facilitate implementation of the subproject. The proactive role of the people living in the vicinity of the sanitary land fill site area is a requisite condition for success of the project. The NGOs to be hired would be responsible to the PMU and will function in close cooperation with and under the guidance of the R&R Expert of PMU.

Scope of Work – General

To design and produce information materials such as project brochures, pamphlets, posters, and billboards to be used in the information and awareness campaign in the project area, particularly to create awareness on environmental protection.

To assist the R&R Expert, in implementation of RP provisions with special attention on timely payment disbursement to the entitled APs prior to commencement of civil construction work.

Specific Tasks

- Information campaign on the proposed project and Resettlement Plan for the project affected persons.
- Prepare and update AP database, if required, with reference to changed design and census cut-off-date. Create computerized updated database of the entitled APs.
- Assist APs to open bank account, jointly with their spouses, or next of kin, prior to payment disbursement.
- Assist PMU in verification and updating of record of rights of the title holders.
- Prepare photo identity cards of the entitled APs.
- Assist the APs to resolve their grievances, specially regarding payment of compensation, through interaction with the GRC.
- Participate in and organize community consultation with the various groups of stakeholders for smooth progress of project implementation.
- Contribute towards capacity building of the community based organizations, specially in the land fill site where the unemployed youth can be actively engaged in the project.

- Formation of groups that can maintain and protect the green belt around the landfill site.
- Prepare quarterly reports on work completed and progress made. Provide specific examples of community involvements in the process and local capacity building to deal with the issues.

Qualifications

The NGOs must have at least 5 years of work experience in the above activities with good track records. Local NGOs in the project area with good credentials will be preferred. If local experienced NGOs are not available any reputed institute may be engaged after proper orientation and RP implementation training is provided to the selected staff of the agency.

Time Frame

The NGO/Implementing Agency will be engaged for a period of 18 months and the agency will commence their work from the beginning of RP implementation. A budgetary allocation has been provided in the Tentative Budget for RP implementation.

Appendix 7: TOR for Independent External Monitor for Monitoring & Evaluation of RP implementation

Project Description

The proposed STP Subproject for the city of Hapur improve the sewer management system through establishing a Sewerage Treatment plant and other related infrastructural development. The implementation of the project will require land acquisition which will cause involuntary resettlement for the titleholders. The RP has been prepared to mitigate the adverse resettlement impact, so far as land acquisition is concerned and measures have been incorporated in the plan. Other than land acquisition the project will also affect some vulnerable people and special assistance for them has been provided in the RP. There are no squatters or encroachers either residing or carrying on productive occupation in the plots to be acquired.

Scope of Work

The Independent External Monitor will be supervising and monitoring RP implementation activities and will work in coordination with R&R Expert, PMU. The key tasks of the External Monitor will be to as follows:

- To review and verify the progress in resettlement implementation as outlined in the Resettlement Plan (RP).
- To assess whether resettlement objectives, particularly living standard of the Affected Persons (APs) has been restored or enhanced.
- To assess resettlement efficiency, effectiveness, impact and sustainability, drawing both on policies and practices and to suggest any corrective measures, if necessary.

Specific Tasks and Methodology

1. Review pre-project baseline data on income and expenditure, occupational and livelihood patterns, arrangements for use of common property, social organization, leadership patterns, community organizations and cultural parameters.
2. Identify an appropriate set of indicators for gathering and analyzing information on resettlement impacts; the indicators shall include but not limited to issues like disbursement of payment of entitlement packages and level of satisfaction by the APs in post-Project period.
3. Review results of internal monitoring and verify claims through random checking at the field level to assess whether resettlement objectives have been generally met. Involve the APs, host population, and community groups in assessing the impact of resettlement for monitoring and evaluation purposes.
4. Conduct both individual and community level impact analysis through the use of formal and informal surveys, key informant interviews, focus group discussions, community public meetings, and in-depth case studies of APs and other stakeholders from various social classes to assess the impact of resettlement.
5. Identify the strengths and weaknesses of basic resettlement objectives and approaches, implementation strategies, including institutional issues, and provide suggestions for improvements in future resettlement policy making and planning.

Time Frame and Reporting

The External Monitor will be engaged for a period of 15 months about 3 months after commencement of RP implementation so that some activities will be in progress. The Monitor will submit quarterly report to the PMU and to ADB concurrently each completion of each quarter of the year.

Budget

The budgetary allocation has been provided in the Tentative Budget prepared for RP implementation. The logistics for supervising RP activities may be provided by PMU.

Appendix 8: Census & SES Format

Questionnaire No. :

Date of Census/ Survey : / /
d d m m y y y y

Name of the Investigator : _____

1.0 HOUSEHOLD (PAF) IDENTIFICATION

1.1 House / Plot / Khasra No. :

1.2 Ward / Mouza No. :

1.3 Name of Ward / Mouza : _____

1.4 Name of Town / Block / Tehsil : _____

1.5 Name of District : _____

2.0 PAH — CHARACTERISTICS

(THE RESPONDENT SHOULD BE **PREFERABLY** THE **HEAD OF HOUSEHOLD (HOH)** OR THE **OWNER** OF SBE).

2.1 Name of the **HOH/ Owner** : _____

2.2 Name of the Respondent : _____

2.3 Relationship with the **HOH / Owner** :
 01 Self 02 Spouse 03 Son/ Daughter-in-law
 04 Daughter/ Son-in-law 05 Brother/ Sister 06 Father/ Mother
 07 Other Relatives 08 Tenant 09 Business Partner
 99 Others (Specify)

3.0 SOCIAL GROUP PARTICULARS FOR THE HOH/ OWNER

3.1 **Family Type** :
 01 Joint 02 Nuclear 03 Extended

3.2

A. Community

What category do you belong to :
 01 SC 02 ST 03 OBC
 04 General 05 Muslim

3.3 **Vulnerability**

What V.G. do you belong to?
 01 WHH 02 BPL 03 SC / ST
 04 PHC 05 Elderly person living alone / Orphan

1.1. CODE LIST FOR HOUSEHOLD PARTICULARS

B. Column 2 Relationship with the Head of the Household/ Owner of the Shop/ Business/ Enterprise

01 Self
04 Daughter / Son-in-law
07 Other Relatives
15 Employee

02 Spouse
 05 Brother / Sister
 08 Tenant
 99 Others

03 Son / Daughter-in-law
 06 Father / Mother
 09 Business Partner

C. Column 3 Sex

01 Male

02 Female

D. Column 5 Marital status

01 Married
04 Separated without Court Order
99 Others (Specify)

02 Unmarried
 05 Widow / Widower

03 Divorced
 06 Deserted

E. Column 6 Education

01 Illiterate
04 Middle Educated (upto Class 8)
07 Graduate & Above

02 Informally Literate
 05 Secondary Educated (upto Class 10)
 08 Diploma

03 Primary Educated (upto Class 4)
 06 Intermediate Educated (upto Class 12)
 99 Others

F. Column 7 Occupation

01 Cultivation
04 Government Service
07 Small Entrepreneur
99 Others (Specify)

02 Allied agricultural activities (e.g., dairy, animal husbandry/Fisherman)
 05 Private Service in Organised Sector
 08 Trade & Business

03 Labour (daily waged)
 06 Private Service in Un-organised Sector
 09 Professional (Doctor, Engineer, Mechanic etc.)

4.0 HOUSE HOLD PARTICULARS/ OWNER OF BUSINESS & EMPLOYEE DETAILS

	1	2	3	4	5	6	1. 7				8		9
Sl.	Name of the members of the family/ Business Enterprise	Relationship with HOH/ Owner	Sex	Age	Marital status	Education	2. Occupation				Monthly Income from Occupations		Skill Possessed by adult members
							Main	Subsidiary			Main	Subsidiary	
								1	2	3			
		Code	Code	Yrs.	Code	Code	Code	Code	Code	Code	Rs.	Rs.	
1.													
2.													
3.													
4.													
5.													
6.													
7.													
8.													
9.													
10.													
11.													
12.													

Please see Clarifications & the Codes for different Columns in the previous Page.

5.0

G. Ownership of Structure / Land

5.1 Use of Land / Structure : Land Structure
01 Residential 02 Rented 03 Commercial
04 Agricultural 05 Fallow 06 Gazing
07 Allied Agri. 99 Others (Specify)

5.2 Do you own the structure / Land? :
01 Owner 02 Tenant 03 Lessee

5.3 If Yes, since when : years

5.4 If you are an owner do you have legal document to support your claim?
: 01 Yes 02 No

5.5 Name the documents :
1. _____
2. _____
3. _____
4. _____
5. _____

5.6 If you are a tenant, have you paid any advance/ deposit to the owner?
: 01 Yes 02 No

5.7 How much? : Rs.

5.8 Is the advance/ security deposit refundable?
: 01 Yes 02 No

5.9 Do you have legal document to support your claim?
: 01 Yes 02 No

5.10 As a tenant have you erected/extended any essential structure on your owner's property?
: 01 Yes 02 No

5.11 If Yes, then specify : sq. m.

5.12 Cost of the structure built by you? : Rs. in year

6.0 AGRICULTURAL LAND USAGE (OF AREA TO BE ACQUIRED)

6.1 LAND UTILIZATION

Kindly give details of your landholdings

Sl. No.	H. PARTICULARS	Unit (in acres / local unit)		Remarks
		Owned	Acquired	
A.	I. OWN LAND			
1.	J. CULTIVATED LAND			
2.	K. FALLOW LAND			

NB: If unit of area is in local unit state the conversion rate in acre/ Hectare

7.0 DETAILS OF TREES, ORCHARDS AND BUSHES

	Trees Name	No.	Domestic	Sale	Remarks
1.					
2.					
3.					
4.					
5.					
	Orchards Name	No.	Domestic	Sale	Remarks
1.					
2.					
3.					
4.					
5.					
	Bushes Name	No.	Domestic	Sale	Remarks
1.					
2.					
3.					
4.					
5.					

8.0 HOUSEHOLD EXPENDITURE

L. Items expenses of	M. Consumption per month	1.1. Expenditure (Rs.)
1. N. FOODING	O.	P.
2. Clothing		
3. Fuel & Firewood		
4. Health, Education & Misc.		
5. Others (Specify)		
Q. TOTAL		

9.0 HOUSEHOLD INCOME

Kindly give details of your income from various sources during the last one year.

R. Source	1.1. Annual Income (Rs.)
1. Cultivation	
2. S. ALLIED AGRICULTURE/SHEEP FARMING/ETC	
3. Small Entrepreneurships	
4. Trade & Business	
5. Profession	
6. Salary / Commission from Service	
7. Rent/ Lease (of agri. Land / equipment / animals)	
8. Labour	
9. Any Others (Specify)	
T. TOTAL	

Note: Respondent may not be in a position to give yearly income. In that case ask how many days in a month he works and how much is his earnings per day.

10.0 ASSET HOLDINGS

Sl.	Type of Assets	UNITS No.	Remarks
10.1.	U. Durable Assets		
A.	Gold and Silver Jewellery		
B.	Motor Cycle/ Scooter/ Car		
C.	Mobile Phone / Electronic Gadgets		
D.	Others (Specify)		
	V.		
10.2.	W. Livestock		
A.	Cow / Buffalo		
B.	Goat / Sheep		
C.	Poultry Birds		
D.	Others (Specify)		
10.3.	AGRICULTURAL ASSETS		
A.	Tractor and Threshers		
B.	Power Tiller		
C.	Others (Specify)		

11.0 COVERAGE UNDER GOVERNMENT DEVELOPMENT SCHEMES

11.1 Have you availed of any benefit under any Government schemes?

:

01 Yes

02 No

11.2 If yes, kindly give us the following details

	X. MENTION NAME OF THE SCHEME	Kind of help
1.		
2.		
3.		
4.		
5.		

01 Loan

02 Training

99 Others, Specify

11.3 If Loan (01), kindly indicate the amount

:

Rs.

11.4 If Training (02), kindly indicate the type

:

11.5 When did you receive the help?

:

11.6 After availing this scheme did your annual income increase?

:

01 Yes

02 No

11.7 If yes, how much?

:

Rs.

11.8 If No, Why?

:

11.9 Are you still continuing with the activity?

:

01 Yes

02 No

11.10 If No, why?

:

12.0 REMARKS, IF ANY

Appendix 9: Capacity Development of the National Capital Region Planning Board (NCRPB) – Component B – Sub Project Sewerage System in Hapur City

INVOLUNTARY RESETTLEMENT CATEGORIZATION

A. Introduction

Projects¹ are assigned an involuntary resettlement category depending on the *significance* of the probable involuntary resettlement impacts. “Significant” means 200 or more people will experience major impacts. Major impacts are (i) being physically displaced from housing, or (ii) losing 10% or more of productive assets or both.

Initial screening for involuntary resettlement is to be conducted as early as possible in the project cycle, at the project concept stage where feasible, and no later than project or program preparatory technical assistance, project preparatory note fact-finding, or due diligence.

B. Instructions

1. (i) The checklist and categorization form is to be completed by the Project Team Leader (PTL) with the assistance of a Resettlement Specialist or Social Development Specialist in the Operations Department. This form, endorsed by the Sector Division Director, is then submitted by the PTL to the Environment and Social Safeguard Division (RSES) for endorsement by RSES Director, and for approval by the Chief Compliance Officer (CCO) of the Regional and Sustainable Development Department (RSDD).

(ii) The involuntary resettlement categorization of a project is a continuing process. If there is a change in a project that may result in category change, the Sector Division should resubmit a categorization form for endorsement by RSES Director and approval by the CCO. The previous checklist should be attached to the revised checklist for reference.

D. Screening Questions for Resettlement Categorization

Probable Involuntary Resettlement Effects*	Yes	No	Not Known	Possible	Remarks
Will the project include any physical construction work?	√				
Does the project include upgrading or rehabilitation of existing physical facilities?		√			
Are any project effects likely lead to loss of housing, other assets, resource use or incomes/livelihoods?		√			To some extent.
Is land acquisition likely to be necessary?		√			
Is the site for land acquisition known?	√				
Is the ownership status and current usage of the land known?	√				
Will easements be utilized within an existing Right of Way?				√	
Are there any non-titled people who live or earn their livelihood at the site or within the Right of Way?		√			
Will there be loss of housing?		√			
Will there be loss of agricultural plots?	√				
Will there be losses of crops, trees, and fixed assets?	√				

¹ ADB projects include (i) public sector project loans, program loans, sector loans, sector development program loans, financial intermediation loans, private sector loans or equity investments, and guarantees for funding of specific projects or subprojects; (ii) all project components regardless of the source of financing.

Will there be loss of businesses or enterprises?		√			
Will there be loss of incomes and livelihoods?		√			
Will people lose access to facilities, services, or natural resources?		√			
Will any social or economic activities be affected by land use-related changes?	√				To some extent
If involuntary resettlement impacts are expected:					
<ul style="list-style-type: none"> Are local laws and regulations compatible with ADB's Involuntary Resettlement policy? 		√			To some extent. The Uttar Pradesh Land Acquisition(Determination of Compensation and Declaration of Award by Agreement) Rules,1997[SubSection (1) of Section 55 of Land Acquisition Act,1894] provides the opportunity to land owners to negotiate the land Price with Competent Authority.
<ul style="list-style-type: none"> Will coordination between government agencies be required to deal with land acquisition? 	√				Coordination with district administration and revenue department of state government is required.
<ul style="list-style-type: none"> Are there sufficient skilled staff in the Executing Agency for resettlement planning and implementation? 		√			Capacity building of the existing staff and recruitment of new staff is required.
<ul style="list-style-type: none"> Are training and capacity-building interventions required prior to resettlement planning and implementation? 	√				Before implementation capacity building through training is essential.

*Whenever possible, consider also any future subprojects or investments.

Information on Affected Persons:
Any estimate of the likely number of households that will be affected by the Project?
 No Yes If yes, approximately how many?- There are approximately 56 households will be affected.
Are any of them poor, female-heads of households, or vulnerable to poverty risks?
 No Yes If yes, please briefly describe their situation: There are nine vulnerable persons among the affected households have been found from the census and socio economic survey. Of the seven vulnerable households two household belongs to Below Poverty Line and seven households belongs to female-headed households (FHH) category. Main occupation of the surveyed households is cultivation. There will be no vulnerable to poverty risk because in the entitlement matrix of the project specific RP, adequate provision has been made.

Are any APs from indigenous or ethnic minority groups? If yes, please explain?

Additional Information Requirements for Private Sector projects:
 Resettlement and land acquisition completed PSOD is lending to a Financial Intermediary
 Resettlement to be completed The project is an Equity Investment
 Project entails risk by association (e.g associated Risk Guarantee The project is a Partial Credit /Political facilities are part of the project but not funded Others, please describe _____ by the proponent)

E. Involuntary Resettlement Category New Re-categorization

After reviewing the answers above, the Project Team Leader and Social Development/ Resettlement Specialist agree subject to confirmation, that the project:

1. Project Categorization and Resettlement Planning Requirements

- Category A, Significant IR impact, a full Resettlement Plan is required.
- Category B, Non-significant IR impact, a short Resettlement Plan is required.
- Category C, No IR impact, no resettlement report is required.
- Additional information is needed for categorization and is to be gathered by the Project Team Leader. In the interim, the project is classified as:
 - Category A/B
 - Category B/C
 - Social Development/ Resettlement Specialist to participate in Fact Finding
 - Consultant support is required to prepare Resettlement Plan/Resettlement Framework (RP/RF), therefore the TOR for a Social Development/ Resettlement Specialist should be included in TA Report

2. Additional Requirements for Sector, Sector Development Program/Project Loans, Emergency Loans and Hybrid Loans

- Resettlement Framework
- Core Subproject Resettlement Plans

Note:

A draft RP/RF disclosed to APs and endorsed by the Executing Agency is required before Management Review Meeting (MRM).

A summary RP/RF should be included as a core appendix in the draft RRP for MRM.

A satisfactory RF/RP is required before Appraisal.

INDIGENOUS PEOPLES IMPACT CATEGORIZATION FORM

A. Identification of indigenous peoples in project area

Impact on indigenous peoples (IPs)/ ethnic minority(EM)	Not known	Yes	No	Remarks or identified problems, if any
Are there IPs or EM groups present in project locations?			✓	
Do they maintain distinctive customs or economic activities that may make them vulnerable to hardship?			✓	
Will the project restrict their economic and social activity and make them particularly vulnerable in the context of project?			✓	
Will the project change their socioeconomic and cultural integrity?			✓	
Will the project disrupt their community life?			✓	
Will the project positively affect their health, education, livelihood or social security status?			✓	
Will the project negatively affect their health, education, livelihood or social security status?			✓	
Will the project alter or undermine the recognition of their knowledge, preclude customary behaviors or undermine customary institutions?			✓	
In case no disruption of indigenous community life as a whole, will there be loss of housing, strip of land, crops, trees and other fixed assets owned or controlled by individual indigenous households?			✓	

B. Anticipated project impacts on indigenous peoples

Project activity and output	Anticipated positive effect	Anticipated negative effect
Not applicable		

C. Decision on Categorization

After reviewing the answer above, the Mission Leader and Social Development Specialist agree that the project:


- Should be categorized as an A project, an Indigenous Peoples Development Plan (IPDP) is required or, for sector/FI projects, an Indigenous Peoples Development Framework (IPDF) is required

- Should be categorized as a B project, a specific action favorable to indigenous peoples/ethnic minority is required and addressed through a specific provision in RRP and in related plans such as a Resettlement Action Plan, a Gender Action Plan or a general Community Participatory Plan
- Should be categorized as a C project, no IPDP/IPDF or specific action required

Project Team Comments:

The component of the sewerage sub projects will be providing trunk sewer to HPDA and uncovered zones of Hapur Municipality and construction of 1 sewerage treatment plant. As the trunk sewer will follow the existing road alignment, no social impact has been envisaged. The location for the sewerage treatment plant has been included in the sub project design. The land requirement for two number of sewerage treatment plant would be to the tune of 32.276 hect. Of which 30.077ha and 2.199 ha will be acquired from private and Government respectively. Around 59 households/APs will be affected. All of them are land owners/title holders. There are 28 APs who will loosing cent percent of the land. There will be economic displacement and livelihood loss of 28 APs for the sub project of STP. In addition another 90 agricultural worker and 7 share cropper will be loosing livelihood due to land acquisition of the sub project. There are no other likely impacts for displacement due to construction of sewer lines and STP. If there is any change in sub project design the proposed RP needs to be updated before implementation.

RSES Comments: If there is any change in sub project design the proposed RP needs to be updated before implementation.


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Appendix 10: Summary Poverty Reduction and Social Strategy

Country/Project Title: (Capacity Development of the National Capital Region Planning Board (NCRPB) – Component B	
Sub-Project: Sewerage and STP for Hapur : Hapur City	
I. POVERTY ANALYSIS AND STRATEGY	
A. Linkages to the National Poverty Reduction Strategy and Country Partnership Strategy	
<p>The Program is primarily designed to improve the urban infrastructure and services in the Municipal Area of Hapur and partly the area of HPDA area. Hapur is an important commercial centre. It is an important town in NCR area, which is being developed to decongest National Capital Delhi by improving infrastructure in NCR towns with the aim of shifting some of the offices and establishments of Government of India. Potential growth in NCR will cause stress over existing urban services. The present sewerage system exists in about 30 percent area of the old town and is almost defunct. Untreated sewage is discharged to open natural channels through a network of surface drains and spill channels. Consequently the river is also getting polluted by sewage disposal. Improvement in health status for all is part of the national poverty reduction strategy. The project, when implemented, will reduce the risk of diseases caused by untreated sewage disposal, especially among the low income group families. Besides, better urban services will lead to a better urban life, thus fulfilling the objective of decongestion of Delhi and planned healthy urban living in NCR towns. The general hygienic condition of the city will improve which will have an indirect impact on the poor.</p>	
B. Poverty Analysis	Targeting Classification: General intervention (GI)
1. Key Issues	
<p>The National Human Development Report, 2001 prepared by Planning Commission of India presents poverty scenario at national and state level during the period 1999-2000 based on various parameters. By Head Count Ratio the proportion of poor for India as a whole was 26.1%, while rural areas recorded 27.1% against 23.6% in urban areas. The estimates for 2000-01 on HDI shows that UP's rank 12 amongst the States in India. UP's rank shows some improvement between 1991 and 2001. The Human Poverty Index indicates human deprivation in terms of development in economic, educational and health dimension. Uttar Pradesh belongs to the category of high poverty States. In 1993-94 the State ranked 11th out of the 14 major States of India in poverty levels with 36 Per Cent of persons below the poverty line. One striking feature of poverty in the State has been that urban poverty ratios have remained above the rural poverty ratio. The official estimate shows that poverty may have declined by about 10 Per Cent points in UP between 1993-94 and 1999-00.</p> <p>Per capita net state domestic product in Uttar Pradesh in current prices doubled from Rs. 5,066 in 1993/94 to Rs. 10,289 in 2002/03. NSS UP data show that the pattern of growth between 1993/94 and 2002/03 was pro-poor, meaning that per capita expenditures of the poorest one-tenth of the population increased faster (by 109 percent in nominal terms) than that of the richest one-tenth (which increased by 62 percent in nominal terms). The head count poverty rate for UP fell from 40.9 percent to 29.2 percent between 1993/94 and 2002/03. In absolute terms, the absolute number of poor in UP declined from 59.3 million in 1993/ 94 to 48.8 million in 2002/03. The poverty rate in rural areas of UP fell from 42.3 percent to 28.5 percent, while that in urban areas declined only slightly from 35.1 to 32.3 percent.</p> <p>In UP, in 2002/03, 57 percent of all dwellings were of pucca construction material, up from 42 percent in 1999/2000. Improvements in housing structure are registered both in urban and rural areas and across all income groups. Hand-pumps increased in importance as the most common drinking water supply source in UP, with about three-quarters of the population in 2002/03 reporting this as their main water source. There have been virtually no improvements in access to sanitation in UP over the same period mentioned above. Some 71 percent of UP's population (85 in rural and 19 in urban) do not have access to latrines of any type.</p> <p>Although direct poverty alleviation is not envisaged the project will provide an essential urban service to improve considerably the urban environment and public health. Besides, unskilled labour available in the locality will be engaged during implementation of the project providing employment opportunity to the poor families.</p>	
2. Design Features	
<p>There is no specific pro poor design for this project. But as mentioned above the poor /underemployed families stand to gain from implementation of the sub project.</p>	

C. Poverty Impact Analysis for Policy-Based Lending Not Applicable

II. SOCIAL ANALYSIS AND STRATEGY

A. Findings of Social Analysis

Key Issues

The people of Hapur Municipal Area as well as Hapur Development Authority will be the primary beneficiaries of the sub project who will enjoy the benefit of a scientific Sewerage collection network and disposal system as proposed in the project. The benefit will accrue to a targeted population of nearly 278143 by 2011 with a projected population of 0.364 million in 2021, 0.478 million in 2031 and 0.628 million in 2041. At present 30 percent of the Hapur Nagar Parisad area is being covered by sewerage system. Open surface drains serve both as sewage and storm water runoff. Untreated sewage is finally discharged into river open areas or natural water bodies, thereby polluting the environment. Households will be connected to the road side sewer chambers. Better urban services will facilitate overall socio-economic development. Growth of the city as a major educational and market centre city will provide better job opportunities for the local people, particularly the low income families.

The component of the sewerage sub projects will be providing trunk sewer to HPDA and uncovered zones of Hapur Municipality and construction of 1 sewerage treatment plant. As the trunk sewer will follow the existing road alignment, no social impact has been envisaged. The location for the sewerage treatment plant has been included in the sub project design. The land requirement for two number of sewerage treatment plant would be to the tune of 32.276 hect. Of which 30.077ha and 2.199 ha will be acquired from private and Government respectively. Around 59 households/APs will be affected. All of them are land owners/title holders. There are 28 APs who will loosing cent percent of the land. There will be economic displacement and livelihood loss of 28 APs for the sub project of STP. In addition another 90 agricultural worker and 7 share cropper will be loosing livelihood due to land acquisition of the sub project. There are no other likely impacts for displacement due to construction of sewer lines and STP.

If there is any change in sub project design the proposed RP needs to be updated before implementation. Although the land owners were apprehensive of their likely loss but the advantage of a scientific sewerage development system also appealed to them. The likely APs are ready to cooperate during the project implementation.

B. Consultation and Participation

1. In the course of social assessment informal participatory discussion was held with the project beneficiaries with the help of structured questionnaires. All the persons consulted expressed satisfaction regarding proposed sewerage system. Separate focus group discussions were held with the residents around the proposed STP sites the youths and women. These discussion and consultations were held with a view to share information and to obtain people's opinion regarding a new system of sewerage collection & disposal.

2. What level of consultation and participation (C&P) is envisaged during the project implementation and monitoring?

Information sharing Consultation Collaborative decision making Empowerment

3. Was a C&P plan prepared? Yes No

To make the project effective public awareness & participation are essential so that individual houses are connected to the road side sewer chambers. It is envisaged that after the sub project is approved, the details of the project design and requirement will be disclosed to the people before commencement of implementation through community consultation.

C. Gender and Development

1. Key Issues

The sub-project will not cause any specific gender issue and is neither focused particularly on women. However, execution of project will have indirect positive impact on women's health. The overall improvement in general hygiene and a clean urban environment are envisaged outcome of the proposed Sewerage collection and disposal system. Diseases related to untreated sewerage disposed into the natural water bodies will also be reduced substantially. As a result, impact of a general healthy life will be manifested among average urban household. The women will be a part of that healthy family. The women among the slum settlements have also

responded positively to the project. According to them the improved system will facilitate a clean environment and risk of diseases will be minimized which will enable them utilize their time and leisure more effectively.

2. Key Actions. Measures included in the design to promote gender equality and women’s empowerment— access to and use of relevant services, resources, assets, or opportunities and participation in decision-making process:

Gender plan Other actions/measures No action/measure

III. SOCIAL SAFEGUARD ISSUES AND OTHER SOCIAL RISKS

Issue	Significant /Limited/ No Impact	Strategy to Address Issue	Plan or Other Measures Included in Design
Involuntary Resettlement	Limited	<p>The land requirement for two number of sewerage treatment plant would be to the tune of 32.276 hect. Of which 30.077ha and 2.199 ha will be acquired from private and Government respectively. Around 59 households/APs will be affected. All of them are land owners/title holders. There are 28 APs who will loosing cent percent of the land. There will be economic displacement and livelihood loss of 28 APs for the sub project of STP.In addition another 90 agricultural worker and 7 share cropper will be loosing livelihood due to land acquisition of the sub project.There are no other likely impacts for displacement due to construction of sewer lines and STP.</p> <p>If there is any change in sub project design the proposed RP needs to be updated before implementation. A Resettlement Plan will be prepared to address the issue of for land acquisition impact on the title holders as per LA act, 1894 & Resettlement Framework.</p>	<input type="checkbox"/> Full Plan <input checked="" type="checkbox"/> Short Plan <input checked="" type="checkbox"/> Resettleme nt Framework <input type="checkbox"/> No Action
Indigenous Peoples	No impact	There are no indigenous people residing in the project area that will either be required for acquisition or will be displaced.	<input type="checkbox"/> Plan <input type="checkbox"/> Other Action <input type="checkbox"/> Indigenous Peoples Framework <input checked="" type="checkbox"/> No Action
Labor <input checked="" type="checkbox"/> Employment opportunities <input checked="" type="checkbox"/> Labor retrenchment <input type="checkbox"/> Core labor standards	Limited No impact No impact	There will be opportunity of employment generation during construction of the project component. No loss of job or other form waged labor is envisaged.	<input type="checkbox"/> Plan <input type="checkbox"/> Other Action <input checked="" type="checkbox"/> No Action
Affordability	No impact	No user fees/tax exists as of today. Awareness campaign and public consultation may be needed to encourage people to take house connections to the road side sewer chambers.	<input type="checkbox"/> Action <input checked="" type="checkbox"/> No Action
Other Risks and/or Vulnerabilities <input type="checkbox"/> HIV/AIDS <input type="checkbox"/> Human trafficking <input checked="" type="checkbox"/> Others(conflict,	No impact No impact No impact		<input type="checkbox"/> Plan <input checked="" type="checkbox"/> Other Action <input type="checkbox"/> No Action

political instability, etc), please specify			
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IV. MONITORING AND EVALUATION

Are social indicators included in the design and monitoring framework to facilitate monitoring of social development activities and/or social impacts during project implementation? Yes No

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