

# Resettlement Planning Document

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Community Participation Framework  
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## India: Rural Roads Sector II Investment Program

Prepared by Assam State Road Board for the Asian Development Bank (ADB).

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

**COMMUNITY PARTICIPATION**  
**FRAMEWORK**  
**(MAIN)**

**For**  
**Application to ADB-financed Subprojects**  
**under**  
**Rural Roads Sector II**  
**Investment Program**

**ASSAM STATE ROAD BOARD**

**December 2005**

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## LIST OF ABBREVIATIONS

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ADB	–	Asian Development Bank
AE	–	Assistant Engineer
AP	–	Affected Persons
BPL	–	Below Poverty Line
CPF	–	Community Participation Framework
CPR	–	Common Property Resources
DACS	–	District Aids Control Society
DDP	–	Desert Development Programme
DORD	–	Department of Rural Development
DOSW	–	Department of Social Welfare
DRDA	–	District Rural Development Agency
EA	–	Executing Agency
EAF	-	Environmental Assessment and Review Framework
ECOP	-	Environmental Codes of Practice
EE	–	Executive Engineer
GP	–	Gram Panchayat
GRC	–	Grievance Redressal Committee
IA	–	Implementing Agency
JE	–	Junior Engineer
LMC	–	Land Management Committee
MORD	–	Ministry of Rural Development
MOU	–	Memorandum of Understanding
NHDR	–	National Human Development Report
NPRR	–	National Policy on Resettlement and Rehabilitation
NRRDA	–	National Rural Roads Development Agency
PESA	–	Panchayats Extension to the Scheduled Areas
PHC	–	Primary Health Center
PIC	–	Project Implementation Consultant
PIU	–	Project Implementation Unit
PMGSY	–	Pradhan Mantri Gram Sadak Yojana (Prime Minister's Rural Roads Program)
PRI	–	Panchayati Raj Institutions
RD	–	Rural Development
ROW	–	Right - of - Way
SC	–	Scheduled Caste
ST	–	Scheduled Tribe
STA	–	State Technical Agency
TSC	–	Technical Support Consultant
ZP	–	Zilla Parishad

# GLOSSARY

**Affected Persons (APs):** *Affected persons are people (households) who stand to lose, as a consequence of a project, all or part of their physical and non-physical assets, irrespective of legal or ownership titles.*

**Below Poverty Line (BPL):** *A person or household is living below poverty line if his/her personal expenditure (or income) or that of the household is below the **poverty line (see below)**. The determination of BPL households under the CPF will be as per two criteria: (a) written verification (entry in the Government list of BPL or possession of a BPL card) or (b) community confirmation that an affected person/family falls in the category of economically weaker section and thus needs to be assisted under the Project.*

**Detailed Project Report (DPR):** *An engineering report detailing the technical project details*

**Encroacher:** *A person, who has trespassed government land, adjacent to his/her own land or asset, to which he/she is not entitled, by deriving his/her livelihood there. Such act is called “Encroachment.”*

**Kutchra:** *A house is considered kutchra, if both the walls and roof of the house are made of material that includes grass, leaves, reeds, bamboo, mud, unburnt brick or wood.*

**Panchayat:** *An institution (by whatever name called) of self-government for rural areas constituted at the village, intermediate, and district levels under article 243B of the Constitution of India.*

**Panchayati Raj Institution (PRI):** *Local self-governing body within the state. In this CPF, Panchayats at different levels are collectively referred to as “PRIs”.*

**Patwari:** *A Revenue Department official*

**Poverty Line** : *The level of expenditure (or income), below which an individual or a household cannot satisfy a certain minimum consumption level. For the purpose of estimating the head count ratio of poor at the state level, the Planning Commission currently uses a minimum consumption expenditure, anchored in an average (food) energy adequacy norm of 2400 and 2100 kilo calories per capita per day, to define state specific poverty lines, separately for rural and urban areas.*

**Pucca** : *A house is considered pucca, if both the walls and roof of the house are made of material that includes tiles, cement sheets, slates, corrugated iron, zinc or other metal sheets, bricks, lime and stone or RBC/RCC concrete.*

**Sarpanch:** *Elected head of the Gram Panchayat*

**Zilla** : *A district which is the first administrative division at the state level.*

# CHAPTER 1 INTRODUCTION

## 1.1 Investment Program Description

The Rural Road Sector II Investment Program (the Program) involves the construction and upgrading of a total 30,000 km of rural roads in the states of Assam, Orissa and West Bengal. The Program forms part of the nationally popular program called *Pradhan Mantri Gram Sadak Yojana* (Prime Minister's Rural Roads Program or PMGSY), which started in 2000, and aims to provide connectivity to hitherto unconnected villages<sup>1</sup> and promote access to economic opportunities and social services, including increased agricultural incomes and employment/trading opportunities for the local villagers.

The Ministry of Rural Development (MORD) administers the PMGSY as a centrally sponsored scheme in all the states and Union Territories. In the state of Assam, the Assam State Road Board (ASRB) is implementing the PMGSY through the Program Implementation Units (PIUs) established at the district level.

The Government of India (GOI) requested the Asian Development Bank (ADB) financing for part of the Program. Under the multitranche financing facility, the ADB will extend multiple loans, each to finance a subset of the Program (such subset will be hereinafter called "Project"). Each Project will comprise subprojects, each forming a single or multiple contract package(s) for civil works.

## 1.2 Need for a Community Participation Framework (CPF)

The PMGSY employs a bottom-up approach for project planning and preparation. The Core Network, from which the roads to be improved are selected, is prepared at the block level in consultation with the concerned *Panchayats* and consolidated at the district level. The list of roads to be taken up in each yearly allocation is first prepared by the PIU, approved by the *Zilla Parishad*, and then forwarded to the state government for further approval.

In the preparation stage, the alignment of PMGSY roads is finalized through **community consultation**. The PMGSY guidelines require the PIU to conduct **Transect Walk** along project roads before finalizing the alignment, **to ensure active community participation, select the alignment that best suits the community's needs and minimizes adverse social and environmental impacts** of the proposed improvement.

Under the PMGSY, the existing revenue tracks are taken up for construction to the standards in the Rural Roads Manual and other relevant specifications. The available width of the existing tracks is not always sufficient to accommodate the proposed improvements, as a result requiring additional land. However, the extent of impacts on land, structures and livelihood sources is expected to be minimal, as the road improvements are generally carried out along the existing tracks.

Additional land required for road improvement under the PMGSY has been secured through voluntary donation by the land/asset owners. To ensure that donation is voluntary and the negative social and economic impacts due to the Project will be avoided or minimized, **this Framework establishes guidelines supplemental to the current PMGSY guidelines for community consultation, detailing the procedural steps and requirements to be**

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<sup>1</sup> In 2000, about 40% of villages in rural India still remained unconnected by all-weather roads.

**followed for all subprojects to be included under the Project to be financed under ADB Loans.**

The community consultation process under this Framework for subproject preparation will result in a set of documents that will collectively serve as a plan to implement mitigation measures for the perceived likely negative impacts of each subproject.

### **1.3 Guiding Principles of CPF**

This Framework follows the ADB safeguard requirements listed below for projects involving voluntary donations:

- (i) there is **full consultation with landowners and any non-titled people** on site selection;
- (ii) voluntary donations **do not severely affect the living standards of affected people** and are directly linked to benefits for the affected people, with community sanctioned measures to replace any losses that are agreed through verbal and written record by affected people;
- (iii) any voluntary donation will be **confirmed through verbal and written record and verified by an independent third party**; and
- (iv) adequate **grievance redress mechanisms** are in place.

### **1.4 Preparation of CPF**

This Framework has been prepared on the basis of the following:

- ❑ Review of the national as well as state level legislations and policies relevant to the Program;
- ❑ Review of the GOI-World Bank 'Environmental and Social Management Framework' and 'Resettlement and Participation Framework' adopted for implementation of PMGSY in the states of Himachal Pradesh, Jharkhand, Rajasthan and Uttar Pradesh.
- ❑ Assessment of current conditions of the sample subproject roads under the Program spread over 3 districts in Assam, 4 districts in Orissa and 4 districts in West Bengal. The details of the issues related to social safeguard and participation in each of the states have been included in the respective reports on community participation prepared separately.

## CHAPTER 2 ASSESSMENT OF CURRENT CONDITIONS

### 2.1 Sample Subproject Roads:

Assessment of current conditions and identification of Project-related social issues in the state is based on field visits to sample roads and consultations with the villagers in the sample subproject areas. Assessment was made for about 84 km subproject covering 13 road sections, which are in the districts of Kokrajhar, Karbi Anglong and N.C. Hills. The table below provides the details of the sample subprojects in the state.

**Table 2.1: Details of Sample Subprojects in Assam**

State	District	Number of sample road stretches	Total roads length (km)
Assam	Kokrajhar	5	36.62
	Karbi Anglong	5	18.16
	N.C.Hills	3	29.6
	<b>Sub-total</b>	<b>13</b>	<b>84.38</b>

### 2.2 Socio-demographic Overview

The State of Assam comprises of 23 districts and is situated in the north-east corner of India. Except for a narrow corridor running through the foothills of the Himalayas that connects the state with West Bengal, Assam is almost entirely isolated from India<sup>2</sup>. The capital of the state is Dispur. The state has a total population of 26,638,407 with a density of 340 persons per sq. km. The literacy rate is comparatively high at 64.28 percent with males constituting 71.93 percent and females comprising of 56.03 percent. The sex ratio is 932 females per thousand males.<sup>3</sup> The state economy is primarily based on agriculture and oil. The state produces a significant part of the total tea production of the world and more than half of India's petroleum. It is ranked 14<sup>th</sup> in the Human Development Index<sup>4</sup> which is the lowest among all the sub-project states.

### 2.3 Poverty Profile

The poverty line of India is defined by income or rupees earned by a person per month. The poverty lines of Assam in rural and urban areas are Rs365.43 and Rs343.99 respectively. In Assam the population living below poverty line is 36.09 percent (2000) of the total population, which is remarkably high as compared to the All India percentage of 26.10 percent<sup>5</sup>. In comparison to 40.86 percent in the year 1993 – 94 the poverty in the state has reduced significantly. According to the 2001, Human Development Report statistics, the variation in the percentage of rural population living below poverty line is much higher than those in the urban areas with 40.04 percent of the rural and 7.47 percent of the urban population lives below poverty line level. The poverty in this state is especially concentrated in the rural locations.

<sup>2</sup> Website: www.123india.com

<sup>3</sup> Census of India, 2001

<sup>4</sup> National Human Development Report, 2001

<sup>5</sup> Human Development Report of West Bengal, 2004

**Table 2.2: Socio-demographic Profile of the State and Sample Subproject Areas**

<b>District</b>	<b>Population</b>			<b>Density</b>	<b>Literacy</b>			<b>Sex ratio</b>
<b>Year 2001</b>	<b>Total</b>	<b>Male</b>	<b>Female</b>		<b>Total %</b>	<b>Male %</b>	<b>Female %</b>	
<b>All-India</b>	1,027,015,247	531,277,078	495,738,169	324	65.38	75.85	54.16	933
<b>Assam</b>	26,638,407	13,787,799	12,850,608	340	64.28	71.93	56.03	932
<b>Kokrajhar</b>	930,404	478,242	452,162	294	52.55	61.9	42.65	945
<b>Karbi Anglong</b>	812,320	422,599	389,721	78	58.83	68.11	48.65	922
<b>NC Hills</b>	186,189	98,899	87,290	38	68.59	76.59	59.4	883

Source: Census of India 2001

## CHAPTER 3      LEGISLATIONS AND POLICIES APPLICABLE

### Introduction

The principles adopted for addressing social issues in the Project have been guided by the existing legislation and policies of the GOI, the Government of Assam, and the Asian Development Bank. Prior to the preparation of the Framework, a detailed analysis of the existing national and state policies was undertaken. The section below provides details of the various national and state level legislations studied and their applicability within this framework.

### **A: National Level Policies and Legislations**

#### **A.1: National Policy on Resettlement and Rehabilitation for Project Affected Families- 2003, GOI, February 2004**

##### **The Policy:**

The National Policy is in the form of broad guidelines and executive instructions for guidance of all concerned and is applicable to Projects displacing 500 families or more en masse in plain areas and 250 families en masse in hilly areas, Desert Development Programme (DDP) blocks, areas mentioned in Schedule V and Schedule VI of the Constitution of India.

##### **Salient Features of the Policy:**

The Policy lays stress on the need to handle R&R of Project Affected Families with utmost care and forethought particularly in cases of tribals, small and marginal farmers, those below poverty line and women. The policy recognizes the following as vulnerable: BPL, Small and Marginal farmers, SC, ST and Women.

As a result, the Policy provides for additional assistance particularly to BPL (in Section 6.3), Marginal farmers (in Section 6.12), SC (in Section 6.20) and ST (in Section 6.21).

##### **Application to the Project:**

The broad principles of the policy stress upon the need to handle all issues related to R&R with utmost care and provides for special assistance to the vulnerable sections. These principles particularly with regard to assistance to vulnerable groups have been adopted in the Framework.

#### **A.2: The Constitution (73<sup>rd</sup> Amendment) Act, Part IX of the Constitution of India, 1992**

This Act enables the Participation of *panchayat* level institutions in decision making by broadening the village level functions and supporting implementation of development schemes.

##### **Salient Features of the Act:**

- ◆ **Article 243 B:** Constitution of three-tier Panchayat System

- ◆ **Article 243 C:** Direct Election by the People of the Panchayat
- ◆ **Article 243 D:** Reservation of seats for SC, ST and women
- ◆ **Article 243 G: Powers, authority and responsibilities of Panchayats**  
The state may, by law, endow the *Panchayats* with such powers and authority as may be necessary to function as institutions of self-government. This Article further enables, subject to state law, devolution of powers and responsibilities with respect to:
  - a) the **preparation of plans for economic development** and social justice; and
  - b) the **implementation of schemes for economic development and social justice** including those in relation to matters listed in the **Eleventh Schedule**—including the matters related to **roads, culverts, and bridges**.

### **Application to the Project:**

The Act provides for involvement of the PRIs, especially the *Gram Panchayat* during project preparation and implementation of the Project. The *Gram Panchayat* will coordinate with the PIU to finalize the alignment, land width requirements, community consultation and incorporation of their suggestions, identification of vulnerable affected persons (APs), entitlement provisions, grievance redressal and collection of MOU for transfer of land or assets.

### **A.3: Pradhan Mantri Gram Sadak Yojana (PMGSY) Programme Guidelines, November 2004 and Operations Manual, February 2005**

The broad principles as laid down in the PMGSY Guidelines and Operations Manual pertaining to land availability are as follows:

- ◆ No fund to be provided under PMGSY for Land Acquisition. Land Acquisition can be done by the State Government but at its own cost. (PMGSY Guidelines section 6.12)
- ◆ **Responsibility of State Government/District Panchayat** to ensure land availability for taking up the proposed road works. (PMGSY Guidelines section 6.12)
- ◆ State Government may lay down **guidelines for voluntary land donation, exchange or other mechanisms**. (PMGSY Guidelines section 6.12)
- ◆ **The process of making land available for the road works should sub-serve the common good and also be just and equitable**. (PMGSY Guidelines section 6.12, and Operations Manual section 4.3.5)
- ◆ **Stresses on participation of local people and community** including those likely to be affected by the proposed alignment to put forth their views through Transect Walks. (PMGSY Guidelines sections 6.13, and 8.4, Operations Manual section 5.3.3)

## **B. Relevant State Level Legislations**

### **B.1: Assam State Roads Resettlement & Rehabilitation Policy (ASRRRP), 2004**

The Government of Assam felt the need for a comprehensive R&R policy for the state as a whole for all categories of roads in order to ensure that when a road infrastructure development work takes place, no single person is adversely affected in this process of development.

The particular R&R principles to be followed in minimizing and mitigating the impacts caused by rural roads as laid down in the policy are as follows:

□ **Section 2.2.1: In the case of Rural Roads –**

- a) To prepare a detail plan to ensure community participation through PRIs, CBOs and local administration in planning, implementation and management of the rural roads;
- b) To provide for a clear programme to sensitize and train executing department towards community participation in planning & implementation of the rural roads up gradation programme;
- c) To entrust Gram Panchayat (GP) to deal with the non-titleholder to facilitate the GPs to sensitize and motivate the non-titleholders to voluntarily relinquish the land;
- d) To enable the GPs to play a greater role in dealing with non-titleholders, who are willing to relinquish the land required for a clear RoW of the rural roads/ODRs;
- e) To develop a mechanism for community contribution to the non-titleholders voluntarily relinquishing the land and falling in the category of destitute and BPL through the GPs as decided by the community.

In addition to the above, some of the key policy guidelines as applicable to the Framework are:

- **Section 5** of the policy defines vulnerable groups as – BPL, women headed households, ST, SC, disabled, widows, divorced, single unwed mother and aged persons and those whose land becomes uneconomical.
- **Section 6.1.4 & 6.4.5:** The CPRs will be replaced as far as feasible and assistance will be provided at replacement value to the project affected communities.
- **Section 8** of the policy specifically lays down steps to be followed in cases of voluntary donation of land/assets.

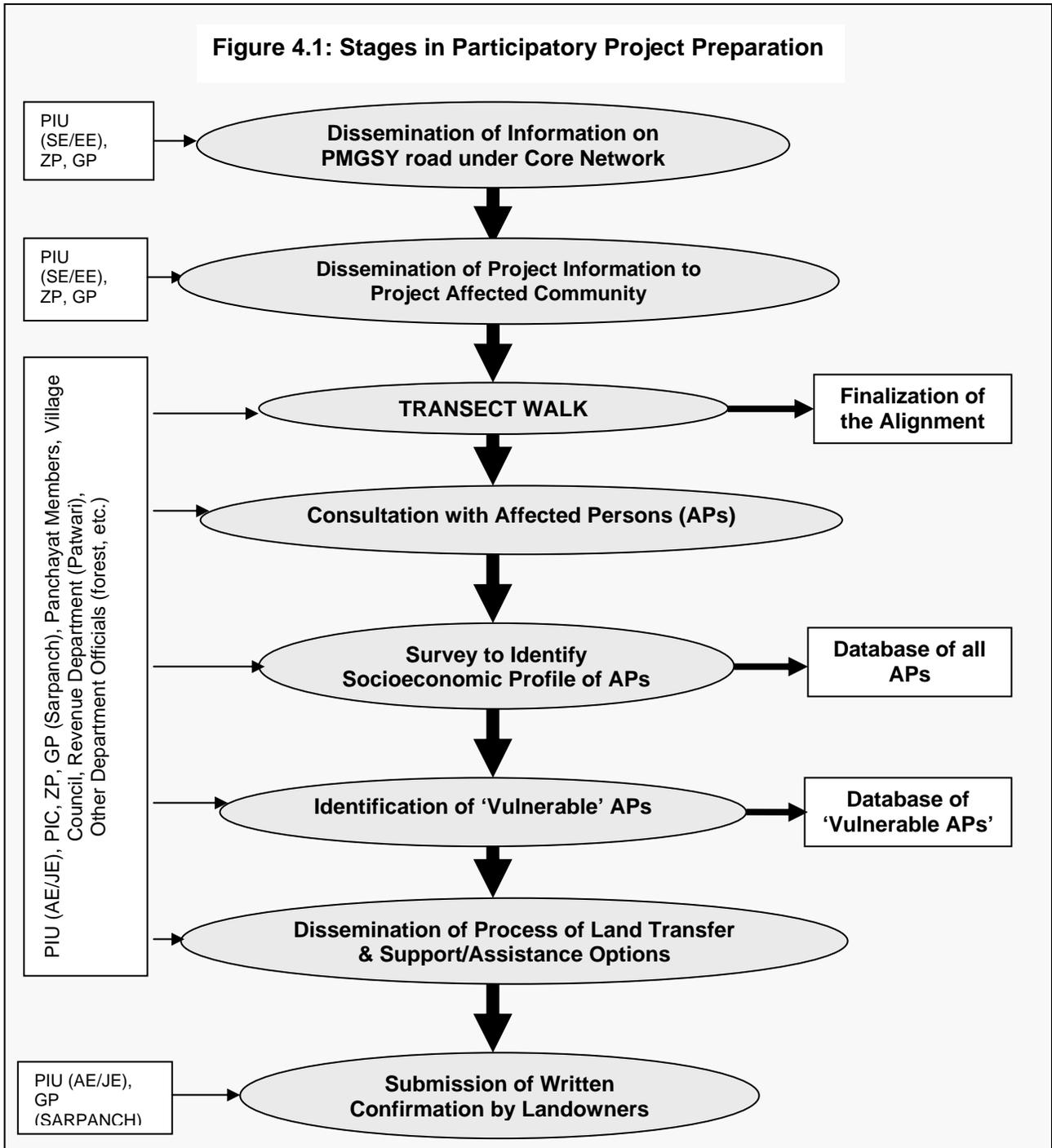
**Application to the Project:**

The principles of the policy particularly deal with the need to handle all issues related to R&R on rural roads as well with particular assistance to the vulnerable sections. The state policy stresses on community participation in planning, implementation and management of rural roads. The policy also specifically lays down steps to be followed in cases of voluntary donation of land and assets in rural roads. These principles particularly with regard to assistance to vulnerable groups have been adopted in the Framework.

# CHAPTER 4 PARTICIPATORY PROJECT PREPARATION

## Introduction

This Chapter provides guidance for the tasks indicated in the Table below, which will be followed in planning and preparation of each subproject to identify and deal with Project-related social issues.



#### 4.1. Dissemination of Information on PMGSY roads under Core Network

Information on the salient features of the finalized PMGSY roads under the Core Network will be disseminated to the public. This information will be displayed at the notice boards of the *Zilla Parishad* and the concerned *Gram Panchayats*. The information to be displayed shall include (i) map of the Core Network of the concerned district/block showing roads to be taken up under PMGSY, (ii) list of villages to be connected, (iii) length and type (link route or through route) of the roads, and (iv) contact persons of the PIU concerned. The format for the display is in **Annex 1**.

#### 4.2 Selection of Roads

The selection of roads for improvement under the Project shall be from the PMGSY Core Network. The following criteria shall be adopted while selecting these roads:

- ❑ Adequate land width availability as specified in the Rural Roads Manual, Specification for Rural Roads 2004 and PMGSY Operations Manual 2005
- ❑ The proposed alignment involves limited land loss and the remaining land and or/structures remain viable for continued use
- ❑ In case impacts are unavoidable, the impacts will be minimized through one or more of the following mechanisms:
  - a. **Design modifications** by reduction of land width, alignment shifts, and modifications in cross-sections etc, to the extent required from safety considerations;
  - b. **Voluntary donation** of land/assets by the land/asset owner by means of memorandum of understanding (MOU) or other documentation acceptable to ADB to the PIU or the state government; and
  - c. **Providing support and assistance to vulnerable affected persons (AP) as per eligibility** through GP and rural development (RD) schemes and agreed mitigation matrix.

Roads for which no scope exists for addressing the social impacts through any of the mechanisms above shall not be taken up under the MFF for that particular year. Such roads will be taken up after the social issues are resolved by the community.

#### 4.3 Dissemination of Project Information

After selection of roads and prior to finalization of the alignment, a **brochure in local language** providing an overview of the PMGSY in the state will be available for distribution in every *Gram Panchayat* along the selected roads. The main purpose of this will be to sensitize the community on the Project related issues, and how the likely issues will be addressed during project preparation and implementation stages. **Annex 2** details out the information package to be included in the brochure.

#### 4.4 Finalization of Alignment through Transect Walk

Community will play a decisive role in the finalization of the alignment. To ensure fuller community participation, **Transect Walks** will be undertaken on each of the proposed alignments. Transect Walks will be organized by the respective PIU in close coordination with the *Gram Panchayats* concerned and the revenue officials at the village level (*Patwari*).

#### 4.4.1 Objectives of the Transect Walk

- ❑ Finalization of alignment through consultations with the communities and their elected representatives
- ❑ A joint on-site inventory, cross-checking and verification of the alignment (as per the revenue map)
- ❑ Identification & redress of grievances on ground
- ❑ Identification of vulnerable people affected by the project
- ❑ Acceptance of the Project and alignment by the community

#### 4.4.2 Participants in the Transect Walk

Various stakeholders from the government, *Panchayati Raj* Institutions (PRIs), and the local community will participate in the Transect Walk, as enumerated below:

##### **From the Government:**

- ❑ Field level PIU staff comprising Assistant Engineer (AE)/Junior Engineer (JE)
- ❑ Revenue Department Officials (*Patwari*)
- ❑ Forest Officials
- ❑ Social Safeguard Specialist and Environmental Specialist of the Project Implementation Consultant (PIC) engaged to support the concerned PIU

##### **From Panchayati Raj Institutions (PRI):**

- ❑ Village *Pradhan* or *Sarpanch*
- ❑ Member of the *Gram Panchayat*

##### **From the Community: (selection to be done by PRI):**

- ❑ Community representatives including APs and non-APs
- ❑ School teacher
- ❑ Women representatives
- ❑ Vulnerable groups comprising households below poverty line (BPL), Scheduled Caste (SC), Scheduled Tribes (ST) and female headed households.
- ❑ Elderly people of the village

#### 4.4.3 Main Stages in a Transect Walk

##### **Preparation Stage:**

- ❑ The PIU to intimate the PRI as well as the community regarding the transect walk with adequate advance publicity including by means of a formal notice at the *Gram Panchayat* building. The notice shall include:
  - (i) salient features of the proposed improvement including maps to show the alignment (refer to **Annex 1**);
  - (ii) PMGSY scheme and how the issues related to the proposed improvement will be addressed (refer to **Annex 2**);
  - (iii) date and time of the Transect Walk and the location where the Walk starts; and
  - (iv) contact persons in the PIU and PRI concerned for further inquiry (name, designation, address, phone numbers, etc.)
- ❑ Collect the village revenue map and mark the proposed alignment
- ❑ Identify the landowners along the alignment from the revenue records

- ❑ The PRI to identify a group of villagers (key informants) who will participate in the walk (This shall not prevent other villagers from participating in the Transect Walk.)
- ❑ Distribute responsibility for recording information during the walk amongst PRI member, *Patwari* and key informants

**Implementation Stage:**

- ❑ PIU representatives to **inform the participants on the possible extent of improvements** and how the Transect Walk and the subsequent consultation/survey will be conducted
- ❑ Participants to slowly travel the alignment, observe the physical features along the alignment, and get as much information as possible from the villagers and the locals
- ❑ Make notes of all vital information gathered and record in detail such information on the revenue map. Information to be recorded on the revenue map will include sensitive locations such as major junctions, cultural properties, water crossings, and forest locations with large numbers of trees, where additional efforts need to be taken before finalizing the design.
- ❑ Understand and make notes of the following **social aspects**:

<b><u>KEY SOCIAL ASPECTS</u></b>	
1.	Sites for additional land take
2.	Encroachments
3.	Squatters
4.	Land categories impacted
5.	Land with traditional, customary rights
6.	Population characteristics including vulnerable groups
7.	Assessment of social impacts on: <ul style="list-style-type: none"> <li>• Land</li> <li>• Structures (Residential/Commercial)</li> <li>• Other structures (temples/wells)</li> <li>• Trees, standing crops</li> <li>• Common properties</li> <li>• Livelihood and economic opportunities</li> </ul>

- ❑ The PIU to **provide adequate responses** on queries related to social issues, voluntary land donation process, possibility of alignment changes to minimize impacts, and engineering requirements to enhance safety of road users
- ❑ Identify **persons likely to get affected by the Project** and **vulnerable groups** among them

**Documentation Stage:**

- ❑ Document all queries and concerns raised
- ❑ Discuss with villagers and participants on key aspects and concerns
- ❑ Record information and data collected
- ❑ Prepare illustrative diagram of the transect walk on the revenue map highlighting likely location for additional land requirements and community suggestions
- ❑ Finalize the date for formal consultation (**within four weeks from the Transect Walk**)

**Annex 3** provides a format for documenting Transect Walk.

#### 4.5 Preparation of Detailed Project Report (DPR)

The PIC based on the findings of the Transect Walk will prepare the **technical drawings** for the road. The PIU will make sure that the design prepared by the PIC addresses to the extent possible the concerns and suggestions brought forth during the Transect Walk.

#### 4.6 Formal Consultation with Affected Persons (APs)

After finalizing the technical drawings of the road alignment, the PIU/*Gram Panchayat* will organize a **formal consultation with all those persons likely to get affected** as a result of the road improvement. This consultation is to inform APS of how the concerns raised by them during the Transect Walk have/have not been addressed in the project design. The following information regarding project design shall be disseminated during the consultation:

- ❑ Alignment with land width requirements indicated on a map
- ❑ Community suggestions and comments incorporated in the design
- ❑ Community suggestions and comments not incorporated and the reasons for the same
- ❑ Procedure for accretion of land/assets (memorandum of understanding (MOU) or other documentation acceptable to ADB)
- ❑ Schedule of census survey, and method and criteria for identifying vulnerable APs
- ❑ Outline entitlement provisions for vulnerable affected people for targeted support/assistance through linkages with rural development schemes, civil support mechanisms or cash assistance;
- ❑ Describe disbursal procedures to vulnerable AP; and
- ❑ Outline inputs required from the community: construction labor, temporary use of land for diversion.

Proceedings of the consultation will be recorded as per **Annex 4**, and signed by the APs, PRI representatives and PIU officials.

#### 4.7 Census of Affected Persons (APs)

Following the formal consultation, the PIU with support of the PIC will undertake a **census of the identified APs**. The concerned *Gram Panchayat* will facilitate the survey. The census survey will:

- Estimate asset ownership, sources of livelihood, and lost assets and livelihood; and
- Identify vulnerable AP to provide targeted support/assistance based on their vulnerability

**Annex 5** provides a sample census questionnaire. Based on the census, a database of all affected households will be prepared, which enables identification of vulnerable APs. **Format A** in **Annex 6** will be used for summarizing the census results.

#### 4.8 Identification of Vulnerable APs and Assistance/Support Options

The Framework provides for assistance and support to the vulnerable APs to ensure that they are not adversely affected by the Project. **The following categories of APs shall be entitled for assistance/support as vulnerable APs:**

#### Definition of Vulnerable APs

- ❑ **Households Below Poverty Line (BPL)** as per the state poverty line for rural areas;
- ❑ **Households who will become BPL as result of loss to assets and / or livelihoods.**
- ❑ **Households losing structure**
- ❑ **Female headed household**
- ❑ **Scheduled Caste**
- ❑ **Scheduled Tribe**
- ❑ **Disabled person**

Based on the census data, the PIU, with support of the PIC and in collaboration with the PRI, assess the vulnerability of APs (households). This assessment will be discussed with APs and then finalized. Thereafter a list of vulnerable APs and the support/assistance options to them will be formulated and displayed at the *Gram Panchayat* office along with the eligibility criteria based on which the list was derived. This list will be prepared as per **Format B** in **Annex 6**. The options for community support/assistance to be provided to vulnerable APs will be based on the nature of their losses. The details of these options are in **Chapter 5**.

#### **4.9 Integration of Impact Mitigation Measures in DPR**

In order to ensure that the design of the subproject roads are sensitive to the social issues raised during the above consultation process and have incorporated the social considerations with a view to minimizing adverse project impacts and enhancing benefits, **the DPR will be finalized only after the tasks listed in sections 4.1 to 4.8 have been completed.** Based on the output of the Transect Walk and subsequent community consultation, as applicable, the PIU will prepare a summary overview of the Project impact as per **Annex 7**.

The documents listed below will form part of the DPR:

- ❑ Major output of the Transect Walk recorded as per **Annex 3**
- ❑ Proceedings of the Community Consultations and willingness of people for land donation documented as per **Annex 4**
- ❑ Census data detailing the profile of the APs and the type and the extent of losses as per **Format A** in **Annex 6**.
- ❑ List of eligible APs for support/assistance documented as per **Format B** in **Annex 6**.
- ❑ Summary overview of the Project impact as per **Annex 7**.

These collectively will form a **plan to implement mitigation measures** for the perceived likely negative impacts of each subproject.

These documents will be reviewed by the **Technical Support Consultant (TSC)** as part of the DPR scrutiny. The TSC will also verify on a sample basis the information contained in these documents through field visits to project affected communities.

After review by the TSC and approval by the STA, the format in **Annex 7** will be included in the state's subproject proposals to the NRRDA for further review and sanctioning.

#### 4.10. Information Dissemination on Process of Land Transfer and Support/ Assistance

In addition to information dissemination required at each of the community participation steps above, the PIU in coordination with the PRI shall make sure that the following information is known to the community concerned prior to the start of collection of memorandum of understanding (MOU) or other documentation acceptable to ADB:

- ❑ Project details (refer to **Annex 1**)
- ❑ Responsible agencies (refer to **Annex 2**)
- ❑ Process of land transfer (refer to **Annex 2**)
- ❑ List of APs (refer to **Format A in Annex 6**)
- ❑ List of vulnerable APs and support/assistance options to them (refer to **Format B in Annex 6**)
- ❑ Grievance redressal mechanism (refer to **Annex 2**)
- ❑ Likely construction schedule

Information dissemination would be, in addition to through the respective formats to be displayed at the *Gram Panchayat* building, through banners, posters, and pamphlets displayed at *Gram Panchayat* building or other prominent places such as schools, health centers etc.

#### 4.11 Submission of Written Confirmation by Landowners to PRI/PIU

##### Voluntary Donation:

The Project recognizes that **voluntary land donation** is a long established standard practice adopted for rural road developments in India. Keeping this in mind the entire process of land donation emphasizes on the spirit of “free will”, minus any element of coercion. For this, individual verification that people are “volunteering” for donation of their land toward the project is mandatory.

##### Written Confirmation of Voluntary Donation:

To ensure transparency, **written confirmation of voluntary donation will be submitted by the owners of land/asset affected by the Project.** The confirmation will be in a form of a memorandum of understanding (MOU) or other documentation acceptable to ADB, which will be done between the landowner(s) and the PIU concerned or the state government, and will be verified by an independent third party. In this case, the PRI concerned, which is an independent legally constituted body, will be the third party. Samples of the MOU are attached as **Annex 8**. To ensure legal possession of the land under consideration, a copy of the proof of the ownership, as applicable, shall be obtained by the PIU. In case the land owner has unclear titles or is unable to provide proof of ownership, the PRI concerned, the *Patwari* and the village community will be involved to verify the ownership of the concerned land owner on the land parcel or asset in question.

##### Land Involving Traditional and/or Tenorial Rights:

**In case of impact on land involving traditional and tenorial rights**, the legal provisions laid down by the central and state governments pertaining to transfer of land will be duly followed. The existing customary rights of the tribal communities on various categories of land shall be taken into account during the process of land transfer. It will be the responsibility of the AE/JE of the PIU along with village level *Panchayat* members to assess

the impact on livelihood and extent of dependence of such communities on these lands through consultations.

**Execution of Civil Works:**

For the execution of civil works contracts under the Project, the states will acquire or make available on a timely basis the land and rights in land, free from any encumbrances. **No section or part thereof under the civil works contract shall be handed over to the contractor unless the applicable provisions of the CPF and EAF/ECOP have been complied with.**

## CHAPTER 5      IMPACTS AND MITIGATION MEASURES

### 5.1 Mitigation Measure Matrix

To mitigate the possible adverse impacts of the subprojects, the community participation framework (CPF) lists various types of impact categories and mitigation measures, which would apply to sample as well as additional subprojects, based on the specific project impacts. The following mitigation measures matrix (Table 5.1) is prepared to address the following categories of impacts caused by the Project:

**Table 5.1: Mitigation Measures Matrix**

<b>Impact Category</b>	<b>Mitigation Measures</b>	<b>Responsibility</b>
<b>Loss of Agricultural Land</b>	<ul style="list-style-type: none"> <li>• Willing transfer of land by means of memorandum of understanding (MOU) or other documentation acceptable to ADB</li> <li>• Advance notice to harvest standing crops</li> <li>• For vulnerable affected people (AP), assistance/support by means of (i) alternate land sites provided by gram panchayat, or (ii) cash assistance as per replacement cost<sup>a</sup> by gram panchayat to meet loss of land; and inclusion as beneficiaries in the existing poverty reduction/livelihood restoration programs</li> <li>• For land involving traditional and tenurial rights, the legal provisions applicable of the central and state governments pertaining to transfer of land will be followed; existing customary rights of tribal communities on various categories of land will be taken into account during the process of land transfer</li> </ul>	Gram panchayat, project implementation unit (PIU), and state government
<b>Loss of Structure</b>	<ul style="list-style-type: none"> <li>• Provision of an alternate plot of land and structure of equivalent quality and value to be provided as per AP's choice, or cash assistance by gram panchayat to meet the loss of land and structure allowing AP to purchase land and rebuild structure of an equivalent standard</li> <li>• For loss of boundary walls, fences, and other structures<sup>6</sup> willing transfer by means of MOU or other documentation acceptable to ADB. If voluntary donation of such structures is not possible, cash assistance as per replacement cost by gram panchayat to meet the loss of such structures, or provision of materials and/or labor by gram panchayat to allow AP to replace/rebuild the same</li> <li>• For vulnerable AP, inclusion as beneficiaries in the rural development programs/housing schemes</li> <li>• For tenants, assistance to find alternative rental arrangements by gram panchayat, or cash assistance equivalent to advance payments made to the owner</li> <li>• For squatters, provision of alternative relocation site, or cash assistance as per replacement cost, or provision of building material and/or labor by gram panchayat, or inclusion as beneficiaries in the rural development programs/housing schemes</li> <li>• For land and structure involving traditional and tenurial rights, the legal provisions applicable of the central and state governments pertaining to transfer of land will be followed; existing customary rights of the tribal communities on various categories of land shall be taken into account during the process of land transfer</li> </ul>	Gram panchayat, PIU, and state government
<b>Loss of Livelihood</b>	<ul style="list-style-type: none"> <li>• For vulnerable AP, inclusion as beneficiaries in the existing poverty reduction/livelihood restoration programs; in case of non-inclusion in such programs, cash assistance to meet the loss of income during transitional phase and for income restoration</li> <li>• Assistance for asset creation by community and gram panchayat</li> </ul>	Gram panchayat and PIU

<sup>6</sup> Other structures include temporary structures such as cattle shed, pump houses, structure for storing crops etc.

Impact Category	Mitigation Measures	Responsibility
<b>Loss of Assets Such as Trees, Well, and Ponds</b>	<ul style="list-style-type: none"> <li>• Willing transfer of the asset by means of MOU or other documentation acceptable to ADB</li> <li>• For vulnerable affected people, assistance for the loss of these assets through inclusion as beneficiaries in the existing poverty reduction/livelihood restoration programs; in case of non-inclusion in such programs, cash assistance by gram panchayat to meet the loss of assets and income</li> </ul>	Gram panchayat, PIU, and state government
<b>Loss of Community-Owned Assets (such as temple, wells, ponds, grazing land, etc.)</b>	<ul style="list-style-type: none"> <li>• Relocation or construction of assets by gram panchayat with technical inputs from the PIU</li> <li>• Consultations with the concerned section of the community in the case of grazing land, etc.</li> </ul>	Gram panchayat, and PIU
<b>Temporary Impacts during Construction</b>	<ul style="list-style-type: none"> <li>• Temporary use of land will be through written approval of the land owner or the panchayati raj institution.</li> <li>• Construction camp will be sited in consultation with local community and panchayati raj institution</li> <li>• Civil works contract conditions to include provisions to obligate the contractor to implement appropriate mitigation measures for the temporary impacts including disruption of normal traffic, increased noise levels, dust generation, and damage to adjacent parcel of land due to movement of heavy machinery.</li> <li>• Contractor will bear the costs of any impact on structure or land due to movement of machinery and other construction-related reasons.</li> </ul>	PIU
<b>Other Impacts not Identified</b>	<ul style="list-style-type: none"> <li>• Unforeseen impacts will be documented and mitigated based on the principles in this framework.</li> </ul>	

## 5.2 Due Diligence of Rural Development Schemes

Detailed interactions with the PRI and communities residing along the sample roads in the three states have provided an insight into the present levels of implementation of the various schemes and their effectiveness. In terms of coverage, the number of people benefiting from the various schemes is inadequate in comparison to the population in the various districts. There was lack of awareness among the community and the local panchayats about the ongoing rural development and other centrally sponsored schemes available in the state.

*Indira Awas Yojana* and Old Age Pension Scheme were two of the popular schemes, which were being implemented in almost all districts of the three states. In terms of the effectiveness of implementation, the performance of these schemes is not encouraging. Thus, linking the vulnerable APs to existing RD schemes would depend on adequate fund allocations and timely assistance to the vulnerable APs under the schemes.

The communities desired that, considering the poor results of the past RD schemes, assistance to vulnerable groups should be a stand alone component and should not be linked to RD schemes. The community felt that if the two are linked together, those affected may not receive the benefits on time.

Based on this assessment, the option of providing cash assistance directly to vulnerable APs for loss of assets (land, structure, trees, etc) at replacement costs and assistance to support livelihood losses as well as income restoration measures have been included in the mitigation measures matrix as alternative measures.

## CHAPTER 6 IMPLEMENTATION ARRANGEMENTS

### 6.1 Key Agencies Involved

The key agencies involved in implementation of this Framework are as follows (detailed organizational chart is in **Annex 11**):

- ❑ Program Implementation Unit (**PIU**) with support of the Project Implementation Consultant (**PIC**)
- ❑ Panchayat Raj Institution (**PRI**)
- ❑ State Implementing Agency: Assam State Road Board (**ASRB**)
- ❑ State Executing Agency: **Department of Public Works, Government of Assam**
- ❑ Ministry of Rural Development (**MORD**)/National Rural Roads Development Agency (**NRRDA**)

### 6.2 Major Tasks

Major tasks under the CPF and responsible agencies for them are summarized below.

**Table 6.1: Major Tasks under the CPF and Responsible Agencies**

Project stage	Task	Target Groups	Responsible agency/Person	Time Frame	Formats/details to be filled and attached	
Road Selection stage	Dissemination of PMGSY road under Core network	Community	PIU (EE/AE), ZP, GP (Sarpanch)	After approval of Core Network	Annex 1 for information disclosure at ZP and GP offices	
	Selection of Roads		PIU (EE/AE), ZP, GP		-	
Project Planning & Design Stage	DPR Preparation Stage	Dissemination of Project Information	Community	PIU (AE/JE), GP (Sarpanch), PIC	First week of DPR preparation	Annex 2 to be translated into local language and disclosed
		Sensitization of community	Community	PIU (AE/JE), GP (Sarpanch), panchayat Members, PIC	First week of DPR preparation	Annexes 1 and 2 for disclosure and advance publicity
		Finalization of alignment (Transect Walk, alignment shifts & incorporation of community suggestion)	Community	PIU (AE/JE), GP (Sarpanch), Panchayat Members, Revenue Dept (Patwari), Other Dept Officials (if required), PIC	First month of DPR Preparation	Annex 3 to be filled and signed by PIU and GP representatives
		Consultations with Community/APs	Community/APs	PIU (AE/JE), GP (Sarpanch), Panchayat Members, PIC	5 <sup>th</sup> week of DPR Preparation, after alignment finalization	Annex 4 to be filled and signed by participants
		Census for Profile of APs	APs	PIU (AE/JE), GP (Sarpanch), Panchayat Members, PIC	5 <sup>th</sup> to 6 <sup>th</sup> week of DPR Preparation	Annexes 5 and 6 Format A to be filled
		Identification of vulnerable APs	Vulnerable APs	PIU (AE/JE), GP (Sarpanch), Panchayat Members, PIC	6 <sup>th</sup> week of the DPR preparation	Annex 6 Format B for consultation and disclosure
		Dissemination of process of voluntary donation, support/assistance options and grievance procedures	APs	PIU (AE/JE), GP (Sarpanch), Panchayat Members, PIC	7 <sup>th</sup> week of DPR Preparation	Annexes 2 and 6 Format B for disclosure
		Finalization of support/assistance	Vulnerable APs	PIU (AE/JE), GP (Sarpanch), Panchayat Members, DRDA, DoSW, DoTW, PIC	8 <sup>th</sup> week of DPR preparation	Annex 6 Format B to be used as reference

		Marking of Alignment	-	PIU (AE/JE), GP ( <i>Sarpanch</i> ), Panchayat Members, Revenue Dept ( <i>Patwari</i> ), PIC	12 <sup>th</sup> week of DPR Preparation	-		
		Incorporating impact mitigation measures in DPR	-	PIU (AE/JE), GP ( <i>Sarpanch</i> ), Panchayat Members, PIC	End of fourth month of DPR preparation	Annexes 3, 4, 6 A, 6 B and 7		
		Scrutiny and approval of DPR	-	State Technical Agency and TSC		Annexes 3, 4, 6 A, 6 B and 7 to be reviewed by TSC		
Site Preparation Stage	Post DPR Stage	Collection of memorandum of understanding (MOU) or other documentation acceptable to ADB	APs	PIU (AE/JE), GP ( <i>Sarpanch</i> ), Panchayat Members, Revenue Dept ( <i>Patwari</i> ),	First month of implementation after approval of DPR	Annex 8 to be used		
		Advance notice to farmers with standing crops	APs	PIU (AE/JE), GP ( <i>Sarpanch</i> ), Panchayat Members,	First month of implementation after approval of DPR	-		
		Relocation/Shifting of structures / Common Property Resources	Community/ APs	PIU (AE/JE), GP ( <i>Sarpanch</i> ), Panchayat Members, Revenue Dept ( <i>Patwari</i> ),	By the 2 <sup>nd</sup> month of implementation after approval	-		
		Provision of assistance	Eligible APs	PIU (AE/JE), GP ( <i>Sarpanch</i> ), Panchayat Members,	Between 3 <sup>rd</sup> -5 <sup>th</sup> month of implementation after approval of DPR	-		
		Enrollment into RD schemes	Eligible APs	PIU (AE/JE), GP ( <i>Sarpanch</i> ), Panchayat Members, DRDS, DoSW, DoTW	From 3 <sup>rd</sup> month of implementation after approval of DPR	-		
		Physical possession of land by PIU	-	PIU (AE/JE), GP ( <i>Sarpanch</i> ), Panchayat Members, Revenue Dept ( <i>Patwari</i> ),	From 3 <sup>rd</sup> month of implementation after approval of DPR	-		
		Temporary impacts during construction	community	GP ( <i>Sarpanch</i> ), Panchayat Members, Contractors	From 4 <sup>th</sup> month of project implementation till completion of construction work	-		
		Health impacts including HIV/AIDS	Community	GP ( <i>Sarpanch</i> ), Panchayat Members, Contractors, PHC, DACS	From 4 <sup>th</sup> month of Project implementation, till completion of construction work	-		
		Construction stage	Post DPR Stage	Redressal of grievances	Community/APs	PIU (AE/JE), GP ( <i>Sarpanch</i> ), Panchayat Members, Revenue Dept ( <i>Patwari</i> ),	Throughout Project cycle	-
				Unforeseen impacts	Community	PIU (AE/JE), GP ( <i>Sarpanch</i> ), Panchayat Members, Revenue Dept ( <i>Patwari</i> ), Contractors	From 4 <sup>th</sup> month of project implementation , till completion of construction work	-
MOU for local resources	Community			Contractor , GP ( <i>Sarpanch</i> )	From 4 <sup>th</sup> month of Project implementation till completion of construction work	-		
Post Construction	Post DPR Stage	Reclamation of temporarily used land, borrow area, water body, etc.	Community	Contractor as per contract conditions		-		
		Tree Plantation	Community	GP ( <i>Sarpanch</i> ), Panchayat Members, Community		-		
		Monitoring Progress		Internal: PIU (AE/JE) External: TSC		Annex 10		

PIU – Project Implementation Unit, GP – Gram panchayat, ZP – Zilla Parishad, DRDA – District Rural Development Agency, DoRD – Department of Rural Development, DoSW/TD – Department of Social Welfare/Tribal Development, DACS – District Aids Control Society, PHC – Primary Health Centre, TSC- Technical Support Consultants.

## 6.3 Responsibility of Key Agencies

The following section provides detailed description of the responsibilities of the agencies listed above:

### 6.3.1 Program Implementation Unit (PIU)

The PIU will –

- (i) prepare plans based on CPF using specified formats and append them with the detailed project report (DPR)
- (ii) with the gram panchayat, assess the impacts on land with traditional tenurial rights and the extent of dependence of the local community on such land and document the findings;
- (iii) disclose the entitlement provisions to all vulnerable AP;
- (iv) ensure timely linking of vulnerable AP to rural development programs, disbursement of entitlements and relocation/construction of assets; and help them obtain benefits from such programs on a priority basis;
- (v) make available MOU or other documentation acceptable to ADB for land donation by owners of land affected by the project prior to commencing construction activities; and
- (vi) monitor progress and resolve grievances and disseminate project progress information.
- (vii) ensure that no malpractices are involved during the disbursement of assistance through PRI and during enrollment of vulnerable APs in the RD schemes.

#### (a) District Level (EE/SE)

- ❑ Ensure disclosure of the Core Network by the *Zilla Parishad* and *Gram Panchayats* at Panchayat offices (refer to 4.1)
- ❑ Oversee land availability for taking up proposed roads (4.2)
- ❑ Ensure that Transect Walks and subsequent community consultation are properly conducted by AE/JE (4.4)
- ❑ Provide support to AE/JE in making revenue records and maps available before the Transect Walk (4.4.3)
- ❑ Ensure that memorandum of understanding (MOU) or other documentation acceptable to ADB are signed and support/assistance provided on time (4.11)

#### (b) Field level (AE/JE)

- ❑ Disseminate Project information at various stages of the Project implementation as envisaged in this Framework (4.1, 4.3 and 4.10)
- ❑ Ensure availability of revenue records and maps prior to the Transect Walk (4.4.3)
- ❑ Organize the Transect Walk with the *Gram Panchayat* concerned and with participation of Revenue Department officials and forest officials, if required (4.4.3)
- ❑ Finalize alignment through community participation giving proper consideration to road safety and scope for future growth (4.5)
- ❑ Along with *Patwari* and PRI identify land to be additionally required and land/asset ownership including customary rights in tribal areas (4.3, and 4.10)
- ❑ Verify ownership of impacted land parcels through proof of ownership during census (4.7)
- ❑ Verify vulnerability of APs based on the criteria adopted (4.8)

- ❑ Coordinate with DRDA, DoTW, DoSW etc for finalization of support/assistance and schedule for enrolments (4.8, and 5.1))
- ❑ Ensure provision of support/assistance as per schedule with support of PRI
- ❑ Initiate process of land transfer and addressal of grievances involving the PRI
- ❑ Collect memorandum of understanding (MOU) or other documentation acceptable to ADB from landowners with support of PRI (4.10)
- ❑ Responsible for addressal of additional unforeseen impacts during construction (5.1)
- ❑ Ensure incorporation of social issues in DPR prior to approval from STA (4.9)
- ❑ Monitor the progress of Framework tasks during implementation in coordination with PRI

### **(c) Project Implementation Consultant (PIC)**

At the PIU level the Social Development/Safeguard Specialist of the PIC will support the PIU in every aspect of the implementation of the Framework provisions and identified impact mitigation measures. He/she will also closely interact with the PRI and representatives of other agencies at the village and district levels concerned with social safeguard aspects of the Project. He/she will be a professionally trained expert with a Master's Degree in relevant disciplines.

- ❑ Assist the PIU in organizing Transect Walk for documenting the social features and profile along the subproject roads (4.4)
- ❑ Undertake a detailed inventory of the land and structures getting affected along the proposed alignment by means of a census covering the 100% affected households along the alignment, and identify vulnerable APs among them (4.6 and 4.7)
- ❑ Based on the survey, prepare support/assistance options for the APs with particular attention to vulnerable groups (4.8)
- ❑ Assist the PIU and the relevant *panchayats* in disseminating information on land transfer, support/assistance options and grievance procedures (4.9)
- ❑ Assist the PIU and the concerned *panchayat* in preparing the documentation for land transfer (memorandum of understanding (MOU) or other documentation acceptable to ADB) (4.11)
- ❑ Assist the PIU in monitoring of the progress of mitigation measures during implementation (7.2)

### **(d) Role of NGO**

In addition, since the project has a provision for retroactive financing and the commencement of the civil works under the first batch is expected in December 2005, till PICs are mobilized, non-government organizations (NGOs) or consultants will need to be engaged at the PIU level to meet the CPF requirements and undertake the process of community participation.

## **6.3.2 Panchayati Raj Institutions**

### **(a) District Level (*Zilla Parishad*)**

- ❑ Display of Core Network at the *Zilla Parishad* and *Gram Panchayat* Office (4.1)
- ❑ Disseminate project information to the project affected community in coordination with the PIU (4.3)
- ❑ Ensure establishment of a Land Management Committee at the village level and a Grievance Redressal Committee at the district level for grievance Redressal (6.4)

### **(b) Field level (*Sarpanch* and other *Panchayat* Members)**

- ❑ Display of Core Network at the *Zilla Parishad* and *Gram Panchayat* Office (4.1)
- ❑ Disseminate Project information to the community in coordination with the PIU (4.3)
- ❑ Facilitate finalization of alignment during Transect Walk along with PIU and Revenue Department (4.4.3)
- ❑ Encourage community participation during Transect Walk and consultations (4.4 and 4.6)
- ❑ Organize consultations involving community and APs to disclose Transect Walk output (4.6)
- ❑ Encourage community/APs to voluntarily donate assets especially land
- ❑ Facilitate the survey of profiles of APs (4.7)
- ❑ Facilitate identifying vulnerable APs and their verification (4.8)
- ❑ Facilitate finalization of procedure for land transfer and provision of support/assistance (4.10)
- ❑ Collect memorandum of understanding (MOU) or other documentation acceptable to ADB from land owners and subsequently submit to PIU (4.11)
- ❑ Facilitate consultation by the civil works contractor with community prior to mobilization of machinery (4.11)
- ❑ Supervise the mitigation measures during implementation and its progress in coordination with PIU (7.2)

### **6.3.3 State IA (SRRDA)**

- ❑ Ensure that all DPR for subprojects are completed with the required formats on community participation and social safeguard aspects (4.9)
- ❑ Ensure that the DPRs are reviewed by the Technical Support Consultants and also by the State Technical Agency (STA) (4.9)
- ❑ Ensure that bidding document of civil works covers relevant impact, social mitigation measures to address temporary impacts during construction (5.1)
- ❑ Undertake routine monitoring on the implementation of mitigation measures and grievances and advise PIUs in resolving grievances (7.2)

### **6.3.4 State EA**

- ❑ Provide the SRRDAs and PIUs with resources required to implement the CPF and plans;
- ❑ Ensure that all CPF requirements are met by the SRRDAs.
- ❑ Ensure that memorandum of understanding (MOU) or other documentation acceptable to ADB are signed and support/assistance provided on time (4.11 and 5.1)

### **6.3.5 MORD/NRRDA**

- ❑ Undertake due diligence systematically for implementing the CPF and plans.
- ❑ Guide state agencies to resolve critical implementation issues and, if required, update the CPF through review of internal and external monitoring outputs. Enforcement of all such changes will be carried forward with prior approval from ADB.
- ❑ Submit subproject proposals for the first 100 km of rural roads for each state for ADB review prior to giving final approval. ADB will also conduct field review of the implementation of the framework/plans provisions for the same subprojects. If ADB is satisfied with the

implementation of the plan/CPF for the first 100 km subprojects, MORD will approve subsequent subproject proposals.

#### **6.4 Due Diligence**

NRRDA, MORD, and the SRRDA will ensure that ADB is given access to all necessary documents to undertake due diligence of social issues for all subprojects. However, the state EA is responsible for undertaking due diligence and monitoring the implementation of social mitigation measures for each subproject. Due diligence processes and monitoring implementation of the plan/CPF need systematic documentation. In addition, ADB will conduct systematic monitoring of implementation. Internal monitoring reports submitted to ADB will include information on land donation and other related issues. ADB will reserve the right to monitor subproject documents and implementation on a random basis.

#### **6.5 Public Disclosure**

The following will be undertaken:

- (i) Information will be disseminated on subproject progress at gram panchayat buildings and at other prominent places.
- (ii) Each SRRDA is responsible for ensuring that all formats specified in the CPF and monitoring reports are properly and systematically kept as part of the project-specific record.
- (iii) Reports of transect walk, CPF, and plans, including specified formats included in DPR, will be disclosed to the public including all AP, panchayats, non-government organizations involved, and other community-based organizations.

#### **6.6 Grievance Redressal Mechanism**

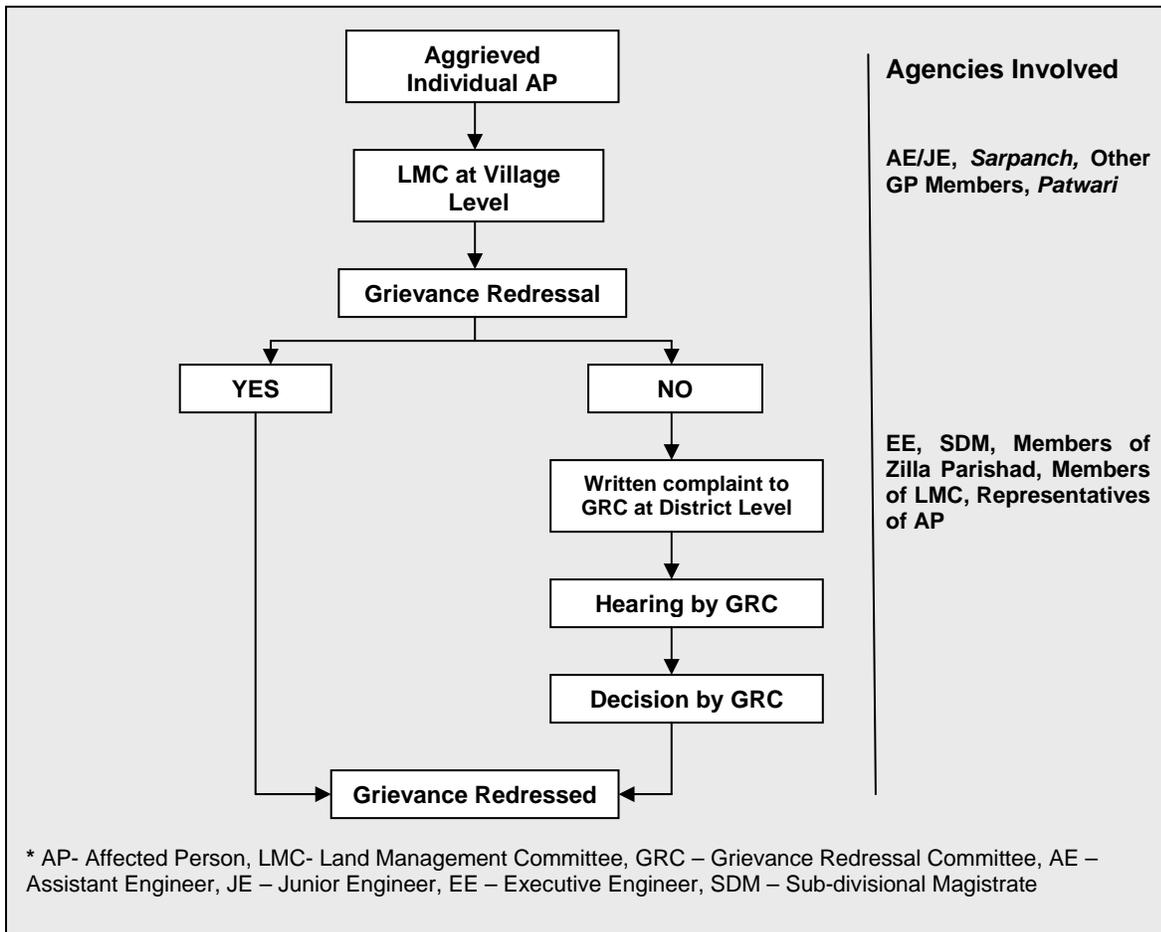
Grievances, if any, will be resolved at the village level. A **Land Management Committee (LMC)** consisting of all members of Gram Panchayat, Lekhpal of Gram Sabha as Secretary, Pradhan, Up-Pradhan of Gram Panchayat will be the Chairman and Vice-Chairman of the LMC. The LMC shall act as the village level grievance committee, and will meet for addressing grievances once in a month until DPR approval and quarterly after initiation of the construction work until completion of the construction work. Residual grievances shall be addressed through a **Grievance Redressal Committee (GRC)** at the district level, comprising:

- (i) Executive Engineer of the PIU
- (ii) Sub-divisional Magistrate
- (iii) Member of Zilla Parishad
- (iv) Member of the grievance committee of the concerned GP

Representatives of APs will be active participants in the proceedings of grievance redressal.

Table 6 below further represents the grievance redressal mechanism.

**Figure 6.1: GRIEVANCE REDRESSAL MECHANISM**



## CHAPTER 7 MONITORING AND REPORTING PROCEDURES

### 7.1 Monitoring System

The State IA shall be responsible for supervision of the Framework implementation. In order to monitor the implementation of the Framework provisions, a two-tier monitoring system will be followed:

- a) Internal Monitoring
- b) External Monitoring and Evaluation

### 7.2 Internal Monitoring:

The **Project Implementation Units (PIUs)** will be responsible for the internal monitoring throughout the implementation of the Project. The PIU shall collect the data as per the monitoring indicators adopted and report them to the State IA. The data shall be later audited by the Social Development Specialist of the Technical Support Consultant (TSC). The Junior Engineer (JE) will communicate the report, on a monthly basis, to the *Gram Panchayat* to enable a discussion on the same in quarterly meeting of the *Panchayat*.

### 7.3 External Monitoring and Evaluation

The **Technical Support Consultant (TSC)** will perform the task of the external monitoring and evaluation. The TSC will have Social Development Specialist as part of the team, who will be responsible for organizing tasks for monitoring and evaluation. The monitoring cycle will be once in six months. The TSC will submit monitoring reports to the State IA, NRRDA and ADB.

As external monitor, TSC will be responsible for the following:

- (i) Review DPRs for all additional subprojects prepared by PIUs to assess whether the Framework requirements have been generally met during the planning and preparation stages. Conduct verification on a sample basis of the information contained in the DPRs through field visits to project affected communities.
- (ii) Review and verify the progress of the identified mitigation measures during implementation on a sample basis.
- (iii) Based on the review and verification above, evaluate the effectiveness of the community participation process defined in the Framework in mitigating adverse socioeconomic impacts of the Project, and recommend improvements to the Framework procedures.
- (iv) Conduct on a sample basis monitoring of socioeconomic indicators associated with the well-being of the project affected communities and persons, and evaluate if the mitigation measures have brought about intended outcome.

The key formats for reporting and monitoring implementation of the Framework requirements and impact mitigation measures are in **Annex 10**.

In addition, Gram Panchayat which is an independent legally constituted people's body will be the independent third party monitor for the Project.

## CHAPTER 8 BUDGET FRAMEWORK

The state Government will provide the budget for the implementation of the mitigation measures in this Framework. Table 8.1 below provides a broad stage-wise budget framework. The budget is indicative, for a typical road with an average length of 4 km.

**Table 8.1: Stage-wise Budget Framework**

S.NO.	ITEM	UNIT	Rate	Quantity	Cost (in Rs.)	Assumption
<b>Information Dissemination</b>						
1.	Brochures	Brochure	10	100	1,000	Approx. Village Population -1000 and 10% along the road
2.	Pamphlets	Pamphlet	2	1,000	2,000	To be distributed at various stages of the project
<b>Consultation and Profiling of APs</b>						
1.	Organization of public consultations	Tea and other logistic costs	1,500	4	6,000	Approx. 6 villages in 2 km and 1 consultation amongst 2 village
2.	Conducting census	Survey forms	5	100	500	Estimated 100 APs
<b>Display of List of Vulnerable APs</b>						
1.	Preparation and printing of the list	Display of eligible APs			1,000	
<b>Transfer of land</b>						
1.	Issuance of advance notices	Notice			2,000	
2.	Legal cost of land transfer	Form			In actual as per law	
<b>Support/Assistance for APs</b>						
1.	Cost of land	In actual	-	-	In actual as per the replacement cost for vulnerable AP	-
2.	Cost of Structure	-	-	-	As per ownership status and vulnerability	
3.	Cost of trees, wells, ponds	-	-	-	Cash assistance for vulnerable APs	
4.	Loss of Livelihood	-	-	-	Cash assistance to vulnerable	
5.	Cost of CPRs	-	-	-	Reconstruction cost	
6.	Cost of temporary impacts during construction	-	-	-	To be borne under the civil works contracts as per contract conditions	
<b>Grievance Redressal</b>						
1.	Per meeting	Meeting	500	4	2,000	
<b>TOTAL (in Rs.)</b>					Rs14,500*	

\* This amount is excluding the legal cost for land transfer which will be in actual.

In addition, the support/assistance to the vulnerable APs as given in the Mitigation Measures Matrix (Table 5.1) will be the responsibility of the State Government.

**COMMUNITY PARTICIPATION**  
**FRAMEWORK**  
**(ANNEXURE)**

**For**  
**Application to ADB-financed Subprojects**  
**under**  
**Rural Roads Sector II**  
**Investment Program**

**ASSAM STATE ROAD BOARD**

**December 2005**

## **List of Annexes**

- Annex 1: Information on Core Network**
- Annex 2: Information Package to Be Disclosed to Community**
- Annex 3: Format for Recording Transect Walk**
- Annex 4: Format for Documenting Consultation with Affected Persons**
- Annex 5: Sample Format of Census Questionnaire**
- Annex 6: Format for Documenting and Displaying Details of Affected Persons**
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- Annex 7: Format for Reporting Impact Overview**
- Annex 8: Sample Form of Memorandum of Understanding**
- Annex 9: List of Some of the State Rural Development Schemes**
- Annex 10: Monitoring Formats**
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## ANNEX 1: INFORMATION ON CORE NETWORK

### Format for Displaying Information on Core Network

**State:**

**District:**

Block Name & code	Name of Road	Through Route or Link Route	Code in Core Network	Length (km)	Population served			Names and Populations of Habitations to be Connected
					Total	SC	ST	

**Further details available at:**

**Agency Name:** \_\_\_\_\_ **Address:** \_\_\_\_\_

**Contact Person Name:** \_\_\_\_\_ **Phone No.:** \_\_\_\_\_

The map of the Core Network should clearly communicate

- Administrative boundaries (District/Block/Tehsil/Village) and locations of Panchayat offices
- Names and locations of connected habitation/s
- Locations of social service facilities such as health centers and schools
- Types of roads (link route or through route)

**Responsible Agency /Person:**

PIU (EE/SE), District Panchayat (Zilla Pradhan), Gram Panchayat (Sarpanch and other members)

## **ANNEX 2: INFORMATION PACKAGE TO BE DISCLOSED TO COMMUNITY (To be translated into local languages)**

### **A. What is Pradhan Mantri Gram Sadak Yojana (PMGSY)?**

PMGSY is a central government program to build all-weather rural roads to connect villages with population of 500 persons or more in the rural areas. In desert, hill and tribal areas, the villages with population of 250 and more will be provided connectivity. Only villages currently unserved with all-weather roads are eligible under PMGSY.

### **B. What does “all-weather road” mean?**

The Project road will be improved to a standard that will be passable throughout the year with necessary culverts and cross-drainage structures. This does not necessarily mean that the road will be sealed or blacktopped. The standards adopted for improvement will be determined by many factors including topography, climatic and environmental conditions, and future traffic volume.

### **C. Who will improve the road?**

PMGSY is administered by the Ministry of Rural Development (MORD) at the center. In Assam, the Assam State Road Board (ASRB) implements PMGSY through the Programme Implementation Units (PIUs) established at the district level. The PIU are staffed with senior officers and engineers from the state department. The PIU works with the District and Gram Panchayats and plays the key coordination role in planning, design, implementation and monitoring of the road improvement. Construction works will be done by the private contractor engaged by the state. For design and supervision of the construction works, PIU will be supported by a team of consultants.

### **D. The Project & Asian Development Bank**

The Government of India will finance the proposed PMGSY works through financial assistance from the Asian Development Bank, which is a multilateral development finance institution covering Asia and the Pacific based in Manila, Philippines.

### **E. How are the Project roads selected?**

The Project roads will be selected from the ‘Core Network’ which is the minimal network of roads to give eligible villages at least a single all-weather road. The Core Network will be displayed at the notice boards of the District and the Gram Panchayat offices.

The criteria below will apply while selecting the Project roads:

- ❑ Adequate land width availability as specified in the national design standards for rural roads;
- ❑ The proposed alignment involves little or no loss of land or structures, and the remaining land and or/structures remain viable for continued use;
- ❑ In case wherein the impacts are unavoidable, the losses will be minimized through the adoption of one or more of the following mechanisms:
  - a. Design modifications by reduction of land width, alignment shifts, and modifications in cross-sections etc, to the extent required from safety considerations;
  - b. Voluntary donation of land/assets by the land/asset owner by means of MOU or other documentation acceptable to ADB the PIU or the state government; and

- c. Provision of support and assistance to the vulnerable affected persons<sup>1</sup> through GP and rural development (RD) schemes.

Roads for which no scope exists for addressing the social impacts through any of the mechanisms above will not be taken up under the MFF for that particular year. Such roads will be taken up after the social issues are resolved by the community and there is a demand for the improvement of the roads by the community to the PIU.

With regard to transfer of land, **affected persons have the choice of opting for donating or refusing to donate their land/assets.**

#### F. How will the Community participate in the Project?

The community is the major beneficiary of the Project and is also accountable for the Project's success. The community will participate directly or through *Panchayats* in the following (details are provided in Table 1):

- ❑ Selection of the Project roads from the Core Network
- ❑ Finalization of the alignment by participation in the transect walk
- ❑ Facilitate identification of issues and concerns
- ❑ Suggest measures for mitigating impacts including impacts on vulnerable groups
- ❑ Redressing grievances at the individual/community level.
- ❑ Providing assistance to the contractor to ensure speedy implementation

**Table 1: Community Participation at Various Stages of the Project**

Project Stage/Activities	Responsible Person/Agency	Responsible Person/Agency will:	Community is expected to:
<b>PRIORITIZATION</b>			
After finalization of Core Network	PIU, Zilla Parishad and Gram Panchayat	Disseminate information on Core Network to Community - List and maps of Core Network roads will be posted at District and Gram Panchayat offices	Provide opinions on the Project roads to GP and PIU or later provide such feedback during Transect Walk
<b>PLANNING</b>			
Prior to finalization of alignment	PIU, Zilla Parishad and Gram Panchayat	Distribute Project information - Brochures with key project information at Village Chaupal, Haat, Local Newspaper, etc,	Understand the purpose of the Project, nature of road improvement envisaged, and responsibility of the community in project preparation and implementation
Transect Walk	PIU, Gram Panchayat, and Patwari	Announce the date, time and route of Transect Walk one week before the Walk Explain how the Walk and subsequent consultation will be conducted Walk with the community people along the proposed alignment and listen to the issues and concerns raised Identify the locations requiring additional land, environmentally sensitive areas, vulnerable groups of people, etc. Identify modifications to be made to the design	Provide concerns related to proposed road improvement such as extent of land take, impacts on vulnerable people and common properties, land with traditional rights, etc. Provide suggestions to be incorporated in the road design such as issues relating to drainage lines, irrigation water courses, road safety, etc.

<sup>1</sup> Affected persons are defined as people (households) who stand to lose, as a consequence of the project, all or part of their physical and non-physical assets irrespective of legal or ownership titles.

Formal Consultation with Affected Persons	PIU, and Gram Panchayat	Hold public meetings to be participated by persons likely to be affected by the project Inform the final alignment and how the concerns raised by the community during the Transect Walk have/have not been addressed in the project design	Raise further concerns, if any, to the final design and alignment Proceedings of the consultation will be duly recorded and signed by all the affected persons, PRI representatives and PIU officials.
Census Survey of Affected Persons	PIU, and Gram Panchayat	Dispatch survey enumerators to individual affected persons/households to identify (i) extent of impacts, (ii) vulnerability of affected persons, and (iii) extent of support required	Cooperate with the survey enumerators in gathering data on socio-economic profiles of individual affected persons/households
Finalization of Support/Assistance	PIU, and Gram Panchayat	Consult individually with vulnerable affected persons/households to agree on support/assistance Announce community-wise the finalized support/assistance as a public notice at the Gram Panchayat office	State preferred modality of support/assistance Raise concerns, if any, about support/assistance proposed
<b>IMPLEMENTATION</b>			
Prior to initiating construction works	PIU, Gram Panchayat, and Patwari	Collect MOU or other documentation acceptable to ADB for transfer of land required for implementing road improvement as per finalized alignment	Sign MOU or other documentation acceptable to ADB for willing transfer of required land Sarpanch or other village representatives will verify the MOU or other documentation acceptable to ADB.

### G. Definition of Vulnerable Affected Persons (APs)

The following categories of Affected Persons are eligible for support and assistance as vulnerable APs:

- Households Below Poverty Line<sup>2</sup> (BPL) as per the state poverty line for rural areas
- Households becoming BPL as a result of loss of assets and / or livelihood.
- Households losing structure
- Female headed household
- Scheduled Caste
- Scheduled Tribe
- Disabled person

### H. Support/Assistance Provisions for APs

**Table 2: Mitigation Measures Matrix**

Impact Category	Mitigation Measures	Responsibility
-----------------	---------------------	----------------

<sup>2</sup> The determination of BPL households under the CPF will be as per two criteria: (a) written verification (entry in the Government list of BPL or possession of a BPL card) or (b) community confirmation that an affected person/family falls in the category of economically weaker section and thus needs to be assisted under the Project.

Impact Category	Mitigation Measures	Responsibility
<b>Loss of Agricultural Land</b>	<ul style="list-style-type: none"> <li>• Willing transfer of land by means of memorandum of understanding (MOU) or other documentation acceptable to ADB</li> <li>• Advance notice to harvest standing crops</li> <li>• For vulnerable affected people (AP), assistance/support by means of (i) alternate land sites provided by gram panchayat, or (ii) cash assistance as per replacement cost<sup>a</sup> by gram panchayat to meet loss of land; and inclusion as beneficiaries in the existing poverty reduction/livelihood restoration programs</li> <li>• For land involving traditional and tenurial rights, the legal provisions applicable of the central and state governments pertaining to transfer of land will be followed; existing customary rights of tribal communities on various categories of land will be taken into account during the process of land transfer</li> </ul>	Gram panchayat, project implementation unit (PIU), and state government
<b>Loss of Structure</b>	<ul style="list-style-type: none"> <li>• Provision of an alternate plot of land and structure of equivalent quality and value to be provided as per AP's choice, or cash assistance by gram panchayat to meet the loss of land and structure allowing AP to purchase land and rebuild structure of an equivalent standard</li> <li>• For loss of boundary walls, fences, and other structures<sup>3</sup> willing transfer by means of MOU or other documentation acceptable to ADB. If voluntary donation of such structures is not possible, cash assistance as per replacement cost by gram panchayat to meet the loss of such structures, or provision of materials and/or labor by gram panchayat to allow AP to replace/rebuild the same</li> <li>• For vulnerable AP, inclusion as beneficiaries in the rural development programs/housing schemes</li> <li>• For tenants, assistance to find alternative rental arrangements by gram panchayat, or cash assistance equivalent to advance payments made to the owner</li> <li>• For squatters, provision of alternative relocation site, or cash assistance as per replacement cost, or provision of building material and/or labor by gram panchayat, or inclusion as beneficiaries in the rural development programs/housing schemes</li> <li>• For land and structure involving traditional and tenurial rights, the legal provisions applicable of the central and state governments pertaining to transfer of land will be followed; existing customary rights of the tribal communities on various categories of land shall be taken into account during the process of land transfer</li> </ul>	Gram panchayat, PIU, and state government
<b>Loss of Livelihood</b>	<ul style="list-style-type: none"> <li>• For vulnerable AP, inclusion as beneficiaries in the existing poverty reduction/livelihood restoration programs; in case of non-inclusion in such programs, cash assistance to meet the loss of income during transitional phase and for income restoration</li> <li>• Assistance for asset creation by community and gram panchayat</li> </ul>	Gram panchayat and PIU
<b>Loss of Assets Such as Trees, Well, and Ponds</b>	<ul style="list-style-type: none"> <li>• Willing transfer of the asset by means of MOU or other documentation acceptable to ADB</li> <li>• For vulnerable affected people, assistance for the loss of these assets through inclusion as beneficiaries in the existing poverty reduction/livelihood restoration programs; in case of noninclusion in such programs, cash assistance by gram panchayat to meet the loss of assets and income</li> </ul>	Gram panchayat, PIU, and state government
<b>Loss of Community-Owned Assets (such as temple, wells, ponds, grazing land, etc)</b>	<ul style="list-style-type: none"> <li>• Relocation or construction of assets by gram panchayat with technical inputs from the PIU</li> <li>• Consultations with the concerned section of the community in the case of grazing land, etc.</li> </ul>	Gram panchayat, and PIU

<sup>3</sup> Other structures include temporary structures such as cattle shed, pump houses, structure for storing crops etc.

Impact Category	Mitigation Measures	Responsibility
<b>Temporary Impacts during Construction</b>	<ul style="list-style-type: none"> <li>• Civil works contract conditions to include provisions to obligate the contractor to implement appropriate mitigation measures for the temporary impacts including disruption of normal traffic, increased noise levels, dust generation, and damage to adjacent parcel of land due to movement of heavy machinery.</li> <li>• Contractor will bear the costs of any impact on structure or land due to movement of machinery and other construction-related reasons.</li> </ul>	PIU
<b>Temporary use of land during construction</b>	<ul style="list-style-type: none"> <li>• Temporary use of land will be through written approval of the land owner or the panchayati raj institution.</li> <li>• Construction camp will be sited in consultation with local community and panchayati raj institution.</li> <li>• Contractor will bear the costs of any impact on structure or land due to movement of machinery and other construction-related reasons</li> </ul>	PIU
<b>Other Impacts not Identified</b>	<ul style="list-style-type: none"> <li>• Unforeseen impacts will be documented and mitigated based on the principles in this framework.</li> </ul>	

### I. Grievance Redressal Mechanism

Grievances, if any, will be resolved at the village level. A **Land Management Committee (LMC)** consisting of all members of Gram Panchayat, Lekhpal of Gram Sabha as Secretary, Pradhan, Up-Pradhan of Gram Panchayat will be the Chairman and Vice-Chairman of LMC. The LMC shall act as the village level Grievance Committee, and will meet once in a month till DPR preparation and quarterly after initiation of the construction work for addressing grievances till the construction is completed. Residual grievances shall be addressed through a **Grievance Redressal Committee** at the district level, comprising:

- (i) Executive Engineer of the PIU
- (ii) Sub-divisional Magistrate
- (iii) Member of Zilla Parishad
- (iv) Member of the Grievance Committee of the concerned GP

Representatives of APs will be active participants during the proceedings of grievance redressal.

### J. Information about Implementing Agencies and Contact Persons

#### Assam State Road Board

Address: \_\_\_\_\_ Tel: \_\_\_\_\_ E-mail: \_\_\_\_\_

Contact Person & Designation \_\_\_\_\_

#### Department of Public Works, Government of Assam

Address: \_\_\_\_\_ Tel: \_\_\_\_\_ E-mail: \_\_\_\_\_

Contact Person & Designation \_\_\_\_\_

The official website of PMGSY ([www.pmgysy.nic.in](http://www.pmgysy.nic.in)) provides detailed project information at the national, state and district level.

### ANNEX 3: FORMAT FOR RECORDING TRANSECT WALK

**Name of Road:** \_\_\_\_\_  
**Gram Panchayat:** \_\_\_\_\_  
**Block:** \_\_\_\_\_  
**District:** \_\_\_\_\_  
**Date:** \_\_\_\_\_ **Time:** \_\_\_\_\_ -

- Total Number of Participants in the Transect walk:** \_\_\_\_\_
- Numbers of Participants falling in the following categories:**

**Female headed household :** \_\_\_\_\_  
**Scheduled Caste :** \_\_\_\_\_  
**Scheduled Tribe :** \_\_\_\_\_  
**Disabled :** \_\_\_\_\_  
**BPL<sup>4</sup> :** \_\_\_\_\_  
**Households losing structure:** \_\_\_\_\_  
**Women in general :** \_\_\_\_\_

- Name & Designation of the Key Participants:**

**From Government:** .....  
 .....  
 .....

**From Panchayati Raj Institutions (PRI):** .....  
 .....  
 .....

- Issues and suggestions raised by the Participants** (*issues to be also recorded on revenue map*)

1. **Road alignment:** .....  
 .....  
 .....

2. **Road width and land availability:** .....  
 .....  
 .....

<sup>4</sup> The determination of BPL households under the CPF will be as per two criteria: (a) written verification (entry in the Government list of BPL or possession of a BPL card) or (b) community confirmation that an affected person/family falls in the category of economically weaker section and thus needs to be assisted under the Project.

3. Land owned/used by vulnerable groups of people: .....

.....  
.....

4. Sensitive locations (forests, cultural properties, etc.): .....

.....  
.....

5. Water-related issues (drainage lines, rivers and water crossings, irrigation water courses, other water bodies, etc.):

.....  
.....

6. Road safety-related issues (major junctions, curves, bends, etc.): .....

.....  
.....

7. Other suggestions (such as regarding cattle crossing, borrow pits, etc.) .....

.....  
.....

**Major Outcomes of the Transect Walk:** *(to be also recorded on revenue map)*

1. Changes to be incorporated in the design: .....

.....  
.....

2. Extent of land take and willingness/unwillingness of land owner/users for donation:

.....  
.....

3. Environmental issues to be resolved: .....

.....  
.....

4. Other issues: .....

.....  
 .....  
 5. The road alignment will be finalized with the best efforts to address the above issues. The next consultation with the likely affected persons will be on (date) at (location).

Countersigned

*(signature & name)*

*(signature & name)*  
 Sarpanch/Secretary, Gram Panchayat  
(name)

AE/JE, PIU (name)

**□ Attendance**

*(to be recorded on a separate sheet in the following format)*

<b>Community</b>		<b>PIU/PRI</b>	
Name of the Participants	Signature	Name and designation of the official	Signature

**ANNEX 4: FORMAT FOR DOCUMENTING CONSULTATION WITH  
AFFECTED PERSONS**

---

Name of Road: \_\_\_\_\_  
Gram Panchayat: \_\_\_\_\_  
Block: \_\_\_\_\_  
District: \_\_\_\_\_  
Date: \_\_\_\_\_ Time: \_\_\_\_\_ -

---

Total number of affected persons present in the Consultation : \_\_\_\_\_

Numbers of participants falling in the following categories:

Women : \_\_\_\_\_

BPL<sup>5</sup> : \_\_\_\_\_

Scheduled Caste: \_\_\_\_\_

Scheduled Tribe: \_\_\_\_\_

Disabled: \_\_\_\_\_

Names of affected persons who did not attend the Consultation meeting: .....

.....

Name & Designation of the Key Participants from PRI & Government:

From Government: .....

.....

From Panchayati Raj Institutions (PRI): .....

.....

.....

Major Issues discussed during the Consultation:

*(issues will include: (i) Concerns raised during transect walk addressed in DPR; (ii) Why concerns raised could not be addressed in DPR; (iii) land width requirements; (iv) procedure for land transfer (MoU or other documentation acceptable to ADB); (v) Impacts and support/assistance provisions for vulnerable APs; (vi) Procedure of support/assistance; (vii) mechanism of grievance redressal)*

.....

.....

.....

Responses provided by the PIU to APs:

.....

.....

---

<sup>5</sup> T The determination of BPL households under the CPF will be as per two criteria: (a) written verification (entry in the Government list of BPL or possession of a BPL card) or (b) community confirmation that an affected person/family falls in the category of economically weaker section and thus needs to be assisted under the Project.

**Willingness of participants to donate land**  
**Yes (No. of APs)**  
**No (No. of APs), if no then why?.....**

.....

**Summary of Discussion:.....**

.....

.....

**Attendance**  
*(to be recorded on a separate sheet in the following format)*

Community		PIU/PRI	
Name of the affected person	Signature	Name and designation of the official	Signature

**Suggested Guidelines for Formal Consultation Session:**

The meeting duration shall be for about 1-1/2 to 2 hours and shall cover the following. All these steps of the consultation shall be recorded in the format.

**I: The session shall start with a description of the project by the PIU officials to the community. The following information shall be covered:**

- Overview of PMGSY and criteria for selection
- Involvement of PRIs & communities in project planning, design and implementation
- Expectations of the project from the beneficiaries, the communities
- Outputs of the transect walk and how the concerns of the communities have been incorporated into the design, if not, why they have not been incorporated
- Procedure to be adopted for accretion of land assets (MOU)
- Environmental issues in the project and how the issues will be resolved
- Schedule of census survey, and method and criteria for identifying vulnerable APs
- Options for support/assistance to APs identified as vulnerable
- Mechanisms for grievance redressal
- Likely construction schedule

**II: After the description of the project, suggestions from the community on the project and issues will be obtained.**

**III: Responses to the issues raised will be provided by the PIU, PRI during the meeting.** For issues that require a visit to the site or involves certain engineering decisions, or consultations with other Government agencies, a date shall be committed for response to the same. The response shall be given by the PIU to the PRI within the specified date.

**IV: The PIU summarizes the issues. Record willingness of the participants to donate land.**

**V: Conclusion by the PRI representatives.**

## ANNEX 5: SAMPLE FORMAT OF CENSUS QUESTIONNAIRE

1. Project Road : .....
2. Household Identification Number : .....
3. Plot No./Patta No./Khasra No. : .....
4. Name of the Head of the Household : .....
5. Vulnerability : Tick here if belong to any of the following:
  - Households Below Poverty Line<sup>6</sup> (BPL) as per the state poverty line for rural areas;
  - Households becoming BPL as a result of loss of asset and / or livelihood.
  - Households losing structure
  - Female headed household
  - Scheduled Caste
  - Scheduled Tribe
  - Disabled person
6. Household Size : .....
7. No. of Adult earning members : .....
8. No. of Dependents : .....
9. Annual Income (prior to donation) : .....
10. Nature of Impact :
  - Loss of Agriculture land
  - loss of Residence
  - Loss of Commercial Structure
  - Any Other (Specify ) .....
11. Type of land: 1. Irrigated, 2. Un-irrigated, 3. Barren, 4. Govt land
12. Type of structure: 1. Kutcha, 2. Semi Pucca, 3 Pucca
13. Category of AP: 1. Titleholder, 2. Squatter, 3. Encroacher, 4. Tenant, 5. Others (specify)
14. Agriculture
- 14.1 Size of Total Land holding (in acres): .....
- 14.2 Marginal farmer<sup>7</sup> : a) Yes b) No
- 14.3 Extent of impact (% of total land holding including any other land parcels owned elsewhere by the APs). Specify extent of Loss in the following:

<sup>6</sup> The determination of BPL households under the CPF will be as per two criteria: (a) written verification (entry in the Government list of BPL or possession of a BPL card) or (b) community confirmation that an affected person/family falls in the category of economically weaker section and thus needs to be assisted under the Project.

<sup>7</sup> Marginal Farmer is defined as any landowner whose landholding size is less than the district average land holding size.

Less than 5%	More than 5% - less than 10%	More than 10% - less than 15%	More than 15% - less than 20%	More than 20% - less than 25%	More than 25%.....

14.4 Size of the residual holding (in acres) : .....

15. Residence

15.1 Plot size (in sq mts) : .....

15.2 Extent of impact (Full/partial) : .....

15.3 Impacted Area (in sq. mts) : .....

15.4 Residual Plot viable : a) Yes b) No

15.5 If No, Alternate house site (if relocation required):

Yes	No	If yes, specify

16. Commercial establishment

16.1 Plot size (in sq mts) : .....

16.2 Extent of impact (Full/partial) : .....

16.3 Impacted Area (in sq. mts) : .....

16.4 Commercial Plot viable : a) Yes b) No

16.5 If No, alternate commercial site (if relocation required):

Yes	No	If yes, specify

17. Asset Loss

17.1 Inventory assets lost (Trees, Wells, hand pump, CPRs etc) : .....

18. Livelihood Loss due to donation of asset ( Rs / year) : .....

18.1 Alternate livelihood sources, other than mentioned above:

Yes	No	If yes, specify

18.2 If yes, annual income from alternate source? : .....

18.3 Annual Income (in Rs) after donation of asset? : .....

## ANNEX 6: FORMAT FOR DOCUMENTING AND DISPLAYING DETAILS OF AFFECTED PERSONS

### A: FORMAT FOR DOCUMENTING PROFILES OF AFFECTED PERSONS (APs)

---

**District:** \_\_\_\_\_ **Block:** \_\_\_\_\_

**Name of Subproject Road:** \_\_\_\_\_

**Road No.:** \_\_\_\_\_ **Total length (in km):** \_\_\_\_\_

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#### Details of APs

S.No.	Village name	Name of the AP	Vulnerable Category							Type of Impact/Loss				Extent of Loss	Ownership	
			Scheduled Caste	Scheduled Tribe	Below Poverty Line <sup>8</sup>	HH becoming BPL	Female headed Household	Disabled	Households losing structure(R, C, R+C, boundary / Fence)	Land (total land holding size) with type of land (irrigated / un-irrigated)	Livelihood	Structure (partial / total and type of structure (sqm)	CPR, trees, crops (specify)			Land (sqm) (size of residual holding)
<b>Total</b>																

**Responsible agency/Person:** PIU (AE/JE), Gram Panchayat (Sarpanch and other members)

<sup>8</sup> The determination of BPL households under the CPF will be as per two criteria: (a) written verification (entry in the Government list of BPL or possession of a BPL card) or (b) community confirmation that an affected person/family falls in the category of economically weaker section and thus needs to be assisted under the Project.

## B: FORMAT FOR DISPLAYING INFORMATION ON VULNERABLE APs

District:  
Block:  
Village:  
Name of Subproject Road:  
Road No.:

### Village-wise Details of Eligible APs

S.No.	Name of the AP	Type of Loss	Vulnerability Category	Support/Assistance Options

**Note:** The following category of APs shall be entitled for support and assistance as Vulnerable APs:

- a. Households Below Poverty Line<sup>9</sup> (BPL) as per the state poverty line for rural areas;
- b. Households becoming BPL as a result of loss of assets and / or livelihood.
- c. Households losing structure
- d. Female headed household
- e. Scheduled Caste
- f. Scheduled Tribe
- g. Disabled person

The mitigation proposed for the Project impacts on these vulnerable households will be as per the Mitigation Measures Matrix in the Project brochure.

The PIU will facilitate and coordinate with the Panchayat the enrollment of vulnerable APs in the existing Rural Development (RD) schemes as per his/her vulnerability and delivery of support/assistance as described in the agreed Mitigation Measure Matrix.

### Further details available at:

Agency Name: \_\_\_\_\_ Address: \_\_\_\_\_

Contact Person Name: \_\_\_\_\_ Phone No.: \_\_\_\_\_

<sup>9</sup> The determination of BPL households under the CPF will be as per two criteria: (a) written verification (entry in the Government list of BPL or possession of a BPL card) or (b) community confirmation that an affected person/family falls in the category of economically weaker section and thus needs to be assisted under the Project.

## ANNEX 7: FORMAT FOR REPORTING IMPACT OVERVIEW

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**State:** \_\_\_\_\_ **District:** \_\_\_\_\_ **Block:** \_\_\_\_\_

**Village:** \_\_\_\_\_

**Name of Subproject Road:** \_\_\_\_\_ **Road No.:** \_\_\_\_\_

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**Date of Transect Walk:** (day, month, year)

**Date of Consultation with Affected Persons:** (day, month, year)

**Date of Census Survey:** (day, month, year)

**List of Vulnerable Affected Persons Publicly Displayed on:** (day, month, year)

Types of Impacts	As per the field verification	Remarks
<b>Impacts on Land (sq m)</b>		
Private land		
Gram Sabha/Community Land include <i>Pashuchar/ Gauchar/Open land etc.</i>		
Government/Departmental Land include Forest Land, Gair Majua kahs & Aam		
<b>TOTAL</b>		
<b>Category of Impact</b>		
Loss of Land (No. of APs) Loss of land (no. of Vulnerable APs)		
Loss of Structure (No. of APs)		
Loss of Common Property Resources (No. of Structures)		
Non-titleholders (No. of APs losing land, no of APs losing structure)		
<b>TOTAL APs</b>		

*Note: This format will be compiled by PIU and attached to the DPR, together with (i) record of Transect Walk as per **Annex 3**, (ii) minutes of consultation with affected persons as per **Annex 4**, (iii) list of all affected persons as per **Annex 6 A**, and (iv) list of vulnerable affected persons as per **Annex 6 B**.*

**ANNEX 8: SAMPLE FORM OF MEMORANDUM OF UNDERSTANDING**  
*(in case signing is done individually)*

**MEMORANDUM OF UNDERSTANDING**

This memorandum of understanding is made on \_\_\_\_\_ day of \_\_\_\_\_ 2005 between Sri/Srimati \_\_\_\_\_ resident of \_\_\_\_\_ (hereinafter referred to as "the First Party") and the Governor of (State) through Sri/Srimati \_\_\_\_\_ (designation) \_\_\_\_\_ (hereinafter referred to as "the Second Party").

**THESE PRESENT WITNESS AS FOLLOW:**

1. That the First Party is landowners with transferable right of \_\_\_\_\_ acres of land bearing khasra Nos \_\_\_\_\_ in village \_\_\_\_\_ block \_\_\_\_\_, tehsil \_\_\_\_\_, district \_\_\_\_\_.
2. That the First Party has taken part in the transect walk conducted under the requirements of the Pradhan Mantri Gram Sadak Yojana (PMGSY) and has been made to understand the benefits of obtaining a rural road for the village under PMGSY.
3. That the First Party hereby grants to the Second Party, out of its free will, above said land for the construction and development of PMGSY rural road in the village \_\_\_\_\_ under \_\_\_\_\_ Panchayat for the benefit of the villagers and the public at large.
4. That the First Party would not claim any compensation against the above said grant of land.
5. That the Second Party agrees to accept the above grant of land for the purposes mentioned in Clause 3.
6. That the Second Party shall construct and develop the PMGSY road and take all possible precautions to avoid damage to land adjacent to PMGSY road.
7. That the First Party also assures the Second Party that the first party will not indulge in any willful act of damaging the PMGSY road or obstructing the movement of public and vehicles on the PMGSY road.
8. That both the Parties hereto agree that the PMGSY road so constructed/developed shall be public premises.
9. That the provisions of the MEMORANDUM OF UNDERSTANDING will come into force and effect from the date of signing of this deed.

IN WITNESS WHEREOF the Parties hereto have signed this deed on the day and the year first above written.

Signatures of the First Party

Signature for and on behalf of the Second Party

\_\_\_\_\_

\_\_\_\_\_

Witnesses:

Witnesses:

1. \_\_\_\_\_

1. \_\_\_\_\_

2. \_\_\_\_\_  
(Signature, name and address)

2. \_\_\_\_\_  
(Signature, name and address)

Note: The witnesses will include the panchayat head and the Junior Engineer conducting the transect walk. More witnesses can be added – including NGOs, village elders etc.

(in case signing is done community-wise)

**MEMORANDUM OF UNDERSTANDING**

This memorandum of understanding is made on \_\_\_\_\_ day of \_\_\_\_\_ 2005 between the persons listed below on the one part (hereinafter collectively referred to as “the First Party”), and the Governor of (State) through Sri/Srimati \_\_\_\_\_ (designation) \_\_\_\_\_ (hereinafter referred to as “the Second Party”).

**THESE PRESENT WITNESS AS FOLLOW:**

1. That the First Party is the landowners with transferable right of the respective acres (**OR OTHER UNITS AS APPLICABLE**) of land bearing khasra Nos as listed below in village \_\_\_\_\_, block \_\_\_\_\_, tehsil \_\_\_\_\_, district \_\_\_\_\_.
2. That the First Party has taken part in the transect walk conducted under the requirements of the Pradhan Mantri Gram Sadak Yojana (PMGSY) and has been made to understand the benefits of obtaining a rural road for the village under PMGSY.
3. That the First Party hereby grants to the Second Party, out of their free will, above said land as detailed in the list below for the construction and development of PMGSY rural road in the village \_\_\_\_\_ under \_\_\_\_\_ Panchayat, for the benefit of the villagers and the public at large.
4. That the First Party would not claim any compensation against the above said grant of land.
5. That the Second Party agrees to accept the above grant of land for the purposes mentioned in Clause 3.
6. That the Second Party shall construct and develop the PMGSY road and take all possible precautions to avoid damage to land adjacent to PMGSY road.
7. That the First Party also assures the Second Party that the first party will not indulge in any willful act of damaging the PMGSY road or obstructing the movement of public and vehicles on the PMGSY road.
8. That both the Parties hereto agree that the PMGSY road so constructed/developed shall be public premises.
9. That the provisions of the MEMORANDUM OF UNDERSTANDING will come into force and effect from the date of signing of this deed.

S.No:	Name	Description of land owned	Description of land granted for PMGSY rural road

*(add as many more who are granting their land)*

IN WITNESS WHEREOF the Parties hereto have signed this deed on the day and the year first above written.

Signatures of the First Party

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

...

*(all the signatures of the First Party should be obtained)*

Signature for and on behalf of the Second Party

\_\_\_\_\_

Witnesses:

1. \_\_\_\_\_
  2. \_\_\_\_\_
- (Signature, name and address)

Witnesses:

1. \_\_\_\_\_
  2. \_\_\_\_\_
- (Signature, name and address)

Note: The witnesses will include the panchayat head and the Junior Engineer conducting the transect walk. More witnesses can be added – including NGOs, village elders etc.

**ANNEX 9:  
LIST OF SOME OF THE STATE RURAL DEVELOPMENT SCHEMES**

**1. SCHEMES UNDER MINISTRY OF RURAL DEVELOPMENT (MoRD)**

**(A) Employment Oriented Schemes**

**Swarnajayanti Gram Swarozgar Yojana (SGSY):** The main aim of the scheme is to bring the poor into Self Help Groups (SHGs) through the process of social mobilization, training and capacity building along with provision of income through the process of social mobilization, training and capacity building along with provision of income generating assets. This scheme has encompassed the earlier ongoing programmes of Integrated Rural Development Programme and Jawahar Rozgar Yojana. The Block SGSY Committee interacts with the sarpanches and discusses with groups of the rural poor such as the landless labour, the educated unemployed, those rural poor with lands, the artisan groups etc. the scheme is implemented in two phases, (a) At the District and Intermediate Panchayat along with the Zilla Parishad and (b) At the village Panchayat and Gram Panchayats through DRDAs/Zilla Parishads.

**Sampoorna Grameen Rozgar Yojana (SGRY):** The scheme provides wage employment in rural areas along with the food security, creation of durable community, social and economic assets and infrastructure developments. It includes the rural poor (BPL and APL) who are in need of wage employment and are willing to take up manual or unskilled work. Preference is given to the poorest among the poor, Scheduled Castes/ Scheduled tribes, and parents of child labour, withdrawn from hazardous occupation. This scheme includes the earlier initiated Employment Assurance Scheme for assured wage employment during the lean agriculture season.

**Jawahar Rozgar Yojana (JRY):** The programme is directed to provide wage employment to the rural poor during the lean agricultural season. It also aims to provide employment and create rural infrastructure through the Panchayati Raj Institutions (PRIs). The National Rural Employment Programme (NERP) and Rural Landless Employment Guarantee Programme (RLEGP) are also merged with the scheme. Safeguards for weaker sections (Scheduled Castes/ Scheduled Tribes, freed bonded laborers and parents of child laborer withdrawn from hazardous / non – hazardous occupation for employment, women) of the community are covered under the scheme.

**(B) Rural Housing Schemes**

**Indira Awaas Yojana:** A Sub-scheme of Rural Landless Employment Guarantee Programme (RLEGP) and continued as a sub-scheme of Jawahar Rozgar Yojana (JRY), primarily aims to provide grant for construction of houses. It covers members of Scheduled Castes/ Scheduled Tribes, freed bonded laborers, non-SC/ST rural poor below the poverty line and Physically handicapped, families/widows of personnel of defense services / paramilitary forces, killed in action. District Rural Development Agencies (DRDAs)/ Zilla Parishads on the basis of allocations made and targets fixed decide Panchayat-wise number of houses to be constructed under IAY, during a particular financial year and intimate the same to the Gram Panchayat. Thereafter, the Gram Sabha selects the beneficiaries restricting its number to the target allotted, from the list of eligible households, according to IAY guidelines and as per priorities fixed. No approval of the Panchayat Samiti is required, however a list of selected beneficiaries is sent for their information.

**Credit-cum Subsidy Scheme for Rural Housing:** Households (below the poverty line and above it) who could not be covered under Indira Awas Yojana, as either they do not fall within the range of eligibility or due to the limits imposed by the available budget. The target group covered under the scheme is rural households having an annual income of up to Rs 32000/- only. However, Below Poverty line Rural Households shall be given preference. 60% of the funds allocated under this Scheme as subsidy to each State, is utilized in financing the construction of Scheduled Castes, Scheduled Tribes and freed bonded laborers. Identification of beneficiaries under the scheme is the sole prerogative of the States. The Implementation Agency may be the State Housing Board, State Housing Corporation, specified Scheduled Commercial Bank, Housing Finance Institution or the DRDA/ ZPs and shall be left to the State Government.

**National Social Assistance Programme:** NSAP is a social assistance programme for poor households including the aged population ensuring minimum national standards, in addition to the benefits that the States are currently providing or might provide in future. It provides opportunities for linking the social assistance package to schemes for poverty alleviation and the provision of basic needs such as Integrated Rural Development Programme (IRDP)/ Nehru Rozgar Yojana (NRY) assistance may be provided in addition to family benefits for the families of poor households on the loss of sole wage earner. It is implemented by the Panchayats in the delivery of social assistance so as to make it responsive and cost-effective and mobilize local resources for supplementing benefits from the Government, Panchayats are encouraged to involve voluntary agencies to the extent possible in taking these benefits to the poor households for whom they are intended.

**Innovative Stream for Rural Housing and Habitat Development :** Under this scheme financial assistance is provided for innovative, cost effective and environment friendly techniques in the building/housing sectors in rural areas. Efforts are initiated on a project basis by organizations such as HUDCO/Building Material Technology Promotion Council (BMTPC)/Central Building Research Institute (CBRI)/NGOs.

**Samagra Awaas Yojana :**SAY aims to ensure integrated provision of shelter, sanitation and drinking water. During the first phase of its implementation it was decided to take up the Scheme on pilot basis in one block each of 25 districts of 24 States and one Union Territory, which have been identified for implementing the participatory approach under the Accelerated Rural Water Supply Programme. The existing schemes of housing, drinking water and sanitation would follow the normal funding pattern. However, a special central assistance of Rs. 25 lakh would be provided for each block for undertaking overall habitat development and information, education and communication (IEC) work with 10 percent contribution coming from the people.

**Pradhan Mantri Gramodaya Yojana (Gramin Awaas):**This Scheme aims at sustainable human development at the village level. The PMGY envisages allocation of additional central assistance to the states / UTs for providing / improving the outlay of Basic Minimum Services including "Rural Shelter" in the rural areas.

**Jawahar Gram Samridhi Yojana:** (JGSY) is the restructured, streamlined and comprehensive version of the erstwhile Jawahar Rozgar Yojana (JRY). It has been launched on 1st April, 1999. It has been designed to improve the quality of life of the rural poor by providing them additional gainful employment. The primary objective of JGSY is the creation of demand-driven village infrastructure including durable assets to enable the rural poor to increase the opportunities for sustained employment. The secondary objective is the generation of supplementary employment for the unemployed poor in the rural areas.

## (C) Land Related Schemes

**Land Reforms:** It covers the landless poor and involves restructuring agrarian relations to achieve an egalitarian social structure, elimination of exploitation in land relations; realizing the age-old goal of land to the tiller; increasing agricultural productivity and production and infusing equality in local institutions. Abolition of intermediary tenures; Tenancy reforms; Ceiling on agriculture holdings and re-distribution of surplus land; and Updating and maintenance of land records are the main objectives. These include the main legal provisions enacted in protecting the ownership and tenurial rights of the population.

**Integrated Wasteland Development Programme:** As a part of the wasteland development programme, it includes checking land degradation, increasing biomass availability and putting wastelands to sustainable use. The scheme aims generation of employment in rural areas besides enhancing people's participation in the wasteland development programmes at all stages leading to equitable sharing of benefits and sustainable development.

## 2. SCHEMES FOR TRIBAL DEVELOPMENT

**Special Central Assistance (SCA) to Tribal Sub Plan(TSP):**Under the scheme assistance is given to state governments as an additive to state TSP to enhance the pace of socio-economic development of backward tribal areas. The scheme ensures socio-economic development and protection of the tribal masses from exploitation. The main emphasis is on tribals below poverty line and areas not covered for infrastructural development under the state plans.

**Integrated Tribal Development Project:** The ITDPs are generally contiguous areas of the size of a Tehsil or Block or more in which the ST population is 50% or more of the total. The Project recognizes that the tribals are relatively less endowed, compared to their non-tribal counterparts in terms of technical, financial and institutional capabilities.

**Special central assistance & Grants Under Article 275 (I) of the Constitution:** It aims to supplement efforts by the Government in tribal development through Tribal Sub-Plan through family-oriented income-generating schemes in the sector of agriculture, horticulture, minor irrigation, soil conservation, animal husbandry, residential schools, hostels, roads, culverts, minor irrigation, forests, education, cooperatives, fisheries, village and small scale industries and for minimum needs programme. Grants are also given to meet the costs of projects for tribal development and for raising the level of administration of Scheduled Area.

**Scheme For Primitive Tribal Group:** A scheme for overall development of primitive tribal groups under which financial assistance is made available to integrated Tribal Development Projects, Tribal Research Institutes and Non-Governmental Organizations for undertaking projects/ activities not covered by any of the existing schemes.

**Vocational Training in Tribal Areas:** Developing the skills of the tribal youth in order to gain employment / self-employment opportunities by setting up of Vocational Training Centers (VTCs) is the main objective of the scheme and implemented through State governments and NGOs.

**Relief against atrocities:** Measure taken to provide safety and security for tribal population through **Rahat Yojana**. The scheme provides a mechanism to provide them immediate relief to make for the losses incurred upon them through criminal acts, causing temporary and permanent disabilities. In this scheme immediate monetary assistance is provided to them considering the degree of their losses.

**Scheduled Castes and Scheduled Tribes Finance and Development Corporations:** The scheme for assistance to the scheduled Castes Finance and Development Corporation and the establishment for the National Scheduled castes/ Scheduled Tribes Finance and Development Corporation (NSFDC) are important measures for economic development of SC & ST. These Corporations function not only as guarantors and promoters but also play a very important role in the context of attracting credit from financial institutions. These Corporations identify the target families and motivate them to undertake economic development schemes besides sponsoring the cases of financial institutions for credit support. These Corporations also extend margin money loan to the beneficiaries at concessional rates of interest out of share capital assistance as also subsidy from the Special Central Assistance.

**Tribal Cooperative Marketing Development Federation of India:** The Tribal Cooperative Marketing Development Federation of India (TRIFED) aims at providing marketing assistance and remunerative prices to ST communities for their minor forest produce and surplus agricultural produce and to wean them away from exploitative private traders and middlemen.

**Grant-in-Aid for Minor Forest Produce Operations:** This is a Central Sector Scheme with cent percent grant available to the State Tribal Development Cooperative Corporations (STDCCs), Forest Development Corporations (FDCs), and Minor Forest Product (Trading and Development) Federations (MFPTDFs) for taking up minor forest produce (MFP) operations. Under this scheme grants are utilized by the States for (i) strengthening the share capital base of STDCCs for increasing the volume of procurement of MFPs; (ii) construction of scientific warehouses; (iii) establishing process industries for value addition to MFP items; and (iv) research and development activities.

**Village Grain Bank Scheme:** The scheme provides for food security to prevent starvation in remote and backward tribal areas. Funds are channelised through the Tribal Cooperative Marketing Development Federation of India (TRIFED).

**The Project Golden Thread:** is conceived as a rural development project through sericulture activity. This special project aims to increase livelihood of the poor through improvement of traditional sericulture activity in the North Eastern India. The project involves development of non-mulberry silk namely Eri (Endi) & Muga. These silks are found only in the North East India. The project is implemented by Department of Panchayat & Rural Development, Assam in collaboration with Central Silk Board and Department of Handloom Sericulture, Assam. The project is under the special SGSY. The Project Golden Thread is a holistic project covering all aspects from plantation to spinning with modern machines and market linkage. It is now going on in the eight districts of Assam namely Dhemaji, Lakhimpur, Karbianglong, Goalpara, Dhubri, Golaghat, Kamrup and Kokrajhar.

**Employment Assurance Scheme: (EAS),** implementation of the scheme has been undertaken in blocks selected in the drought prone areas, desert areas, tribal areas and hilly areas. The primary objective of the EAS is to provide gainful employment during the lean agricultural season in manual work to all able bodied adults in rural areas who are in need and desirous of work, but can not find it. The work may be either on farm or on other allied operations or on the normal plan/ no-plan works during such a period. The secondary objective is the creation of community, social and economic assets for sustained employment and development.

### 3. SCHEMES UNDER MINISTRY OF WOMEN AND CHILD DEVELOPMENT

**The Norwegian Agency for International Development (NORAD)** offers assistance on a sustained basis for poor and needy women in rural areas. The main emphasis of the programme is on income generating activities with the aim of achieving self-reliance on sustained basis. The department of Women and Child Development would provide financial assistance to the stipend will be given to the trainees with an attendance record of 75 percent and above.

**Swawlamban (NORAD) Scheme** implemented by the Department of Women and Child Development with partial assistance from Norway. Its basic objective is to provide training and skill to women to facilitate them obtaining employment or self-employment on a sustained basis. The target groups under the scheme are the poor and needy women, women from weaker sections of the society, such as Scheduled Castes and Scheduled Tribes, etc. Financial assistance is provided to undertake training programmes for women in both traditional as well as non-traditional trades. The State Women Corporations (WDCs) are the nodal agencies for the implementation of the scheme mostly through the voluntary organizations of the State. Financial assistance is provided to Women Development Corporations/Public Sector Corporations/ Autonomous bodies and registered voluntary organizations. Wherever the State Women Development Corporations do not exist the scheme is implemented through the State Social Welfare Advisory Board.

**SWAYAMSIDHA** aims at holistic empowerment of women through awareness generation, economic empowerment and convergence of various schemes:

- Indira Mahila Yojana (IMY)
- Balika Samridhi Yojana (MSY)
- An integrated scheme for women's empowerment
- Based on the formation of women into Self-Help Groups (SHGs)

The main implementing district/intermediary level panchayat institutions along with NGOs or Government departments/ organizations.

**Swadhar, Scheme of women in difficult circumstances:** The scheme addresses the specific vulnerability of each of group of women in difficult circumstances through a Home-based holistic and integrated approach. It aims to support the women socially and economically through provision of shelter, food, clothing and education to rehabilitate them. Awareness, skill up gradation and personality development through behavioral training are also ingrained components of the scheme. The main target groups included widows deserted by families, women survivors of natural disasters, mentally challenged or handicapped women etc. the main implementing agency is Social Welfare/ Women and Child Welfare Department, NGOs, Women Development Corporations.

**Political Representations of Women by People's Rural Education Movement** has promoted rural women to represent their villages in the Panchayat (village council) and currently more than 30% of the seats in the Panchayat are filled by. It also conducts different activities as money saving, adult literacy etc. which helps tribal women to come out from their cocoon. It will also help tribal women in that area to become aware of and accept different activities as money saving, adult literacy etc. which helps tribal women to come out from their cocoon. It will also help tribal women in that area to become aware of and accept different health practices for their improvement.

**Self-help groups (SHGs)** as an alternative employment model have been set covering BPL persons have found employment under the self-employment schemes. The SHG experiment has taken off largely among women. The SHGs provide inter-lending for small economic activities to the members of the group. These SHGs are also eligible for loans from institutions such as NABARD, Rashtriya Mahila Kosh and the nationalized banks. A related project has established marketing linkages for the SHGs. Rural markets or grameen haats are sought to be created in this project. Some of the SHGs were also in charge of preparation of the mid-day meals in schools across the State, which helps them earn an additional income.

**Rashtriya Mahila Kosh:** The main objective of RMK is to facilitate credit support or micro-finance to poor women, as an instrument of socio-economic change and development. RMK mainly channelises its support through Non-Governmental Organizations, Women Development Corporations, Women Cooperative Societies, Indira Mahila Block Samities under the Indira Mahila Block Samities under the Indira Mahila Yojana and suitable State Govt. agencies. It encompasses several other in built and ongoing schemes under MoRD to provide easy access to credit for women.

**Priyadarshini Yojana:** The emphasis on developing entrepreneurship among women is growing day by day. With a dual objective of promoting women entrepreneurs to take up self-employment and reducing the growing unemployment among women, Priyadarshini Yojana was launched. All women entrepreneurs desirous of promoting a self employment venture as well as women entrepreneurs enterprises, i.e. an enterprise owned and administered by a women entrepreneur having a minimum financial interest of 51% of the share capital and giving at least 50% of employment generated in the enterprise to women are eligible for financial assistance under the scheme.

#### **4. SOCIAL WELFARE SCHEMES**

**Annapurna:** A MoRD scheme covering the old age people under the National Old Age Pension Scheme, for distribution of food for the poor pensioners who will be eligible for 10kg of rice every month. According to the GO, the district administration will issue separate ration cards in distinct colors to the Annapurna scheme beneficiaries. The Principal Commissioner for Revenue Administration oversees the implementation. In villages, panchayats will distribute free rice. The names and addresses of all beneficiaries will be displayed at the panchayat offices.

The center is to introduce a comprehensive insurance scheme for people living below the poverty (BPL) line, i.e., poorest of poor to be covered by insurance through LIC in the country.

**Jan Shri Bhima Yojana:** A comprehensive social security scheme for sub-poverty line families at subsidized premium (50 per cent) rates.

#### **5. MINORITIES SC WELFARE SCHEMES**

- Small Industry Development Bank of India
- Special Component Plan for Integrated Development of SC covering education, housing, irrigation, and intend to ensure the rapid socio-economic development of SC

## ANNEX 10: MONITORING FORMATS

<b>Form Title</b>	<b>Frequency</b>	<b>Preparation</b>	<b>Audit/Verification</b>
Summary Monitoring Sheet <b>(Form M-1)</b>	Monthly	PIU	TSC
Verification of Ownership of Land and Assets <b>(Form M-2)</b>	Once for each project road before start collecting MOU or other documentation acceptable to ADB	Information collected and verified by PRI and Revenue Department, and compiled into the form by PIU	TSC
Collection of MOU or other documentation acceptable to ADB and Grievance Redressal <b>(Form M-3)</b>	Monthly	Information to be collected and verified by PRI and Revenue Department and compiled into the form by PIU	TSC
Progress of Distribution of Support/Assistance <b>(Form M-4)</b>	Monthly	Progress monitored by PRI and compiled into the form by PIU	TSC
External Monitoring and Evaluation <b>(Form M-5)</b>	Every six months	TSC	-

PIC: Project Implementation Consultant, PIU: Programme Implementation Unit, PRI: Panchayati Raj Institution, TSC: Technical Support Consultant.

**Form M-1: Summary Monitoring Sheet (monthly)**  
(as of end (month, year))

**State:** \_\_\_\_\_ **District:** \_\_\_\_\_ **Block:** \_\_\_\_\_ **Village:** \_\_\_\_\_  
**Name of Subproject Road:** \_\_\_\_\_ **Road No.:** \_\_\_\_\_

Project stage	Task	Time Frame	Completed (Date)	Outstanding tasks	Time frame for completion
<b>Road Selection stage</b>	Dissemination of PMGSY road under Core network	After approval of Core Network			
	Selection of Roads				
<b>Project Planning &amp; Design Stage</b>	<b>DPR Preparation Stage</b>	Dissemination of Project Information	First week of DPR preparation		
		Sensitization of community	First week of DPR preparation		
		Finalization of alignment (Transect Walk, alignment shifts & incorporation of community suggestion)	First month of DPR Preparation		
		Consultations with Community/APs	First month of DPR Preparation, after alignment finalization		
		Survey for Profile of APs	5 <sup>th</sup> to 6 <sup>th</sup> week of DPR Preparation		
		Identification of vulnerable APs	6 <sup>th</sup> week of the DPR preparation		
		Dissemination of process of voluntary donation, support/assistance options & grievance procedures	7 <sup>th</sup> week of DPR Preparation		
		Finalization of support/assistance	8 <sup>th</sup> week of DPR preparation		
		Marking of Alignment	12 <sup>th</sup> week of DPR Preparation		
		Incorporating impact mitigation measures in DPR	End of fourth month of DPR preparation		
		Scrutiny and approval of DPR			
<b>Site Preparation Stage</b>	<b>Post DPR Stage</b>	Collection MOU or other documentation acceptable to ADB	First month of implementation after approval of DPR		
		Advance notice to farmers with standing crops	First month of implementation after approval of DPR		
		Relocation/Shifting of structures / Common Property Resources	By the 2 <sup>nd</sup> month of implementation after approval		
		Provision of support/assistance	Between 3 <sup>rd</sup> -5 <sup>th</sup> month of implementation after approval of DPR		
		Enrollment into RD schemes	From 3 <sup>rd</sup> month of implementation after approval of DPR		
		Physical possession of land by PIU	From 3 <sup>rd</sup> month of implementation after approval of DPR		
<b>Construction stage</b>		Redressal of grievances	Throughout Project cycle		
		Unforeseen impacts	From 4 <sup>th</sup> month of project implementation , till completion of construction work		
		Tree Plantation			

*Note: This form will be prepared monthly by the PIU for each village.*



**Form M-3: Collection of MOU or other documentation acceptable to ADB and Grievance Redressal (monthly)**  
**(as of end (month, year))**

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**State:** \_\_\_\_\_ **District:** \_\_\_\_\_ **Block:** \_\_\_\_\_ **Village:** \_\_\_\_\_

**Name of Subproject Road:** \_\_\_\_\_ **Road No.:** \_\_\_\_\_

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S.No.	Name of the Eligible APs/ community	Verification and Collection of MOU or other documentation acceptable to ADB				Grievance Redress					
		Ownership verified by Revenue official (Date) and PIU	MOU or other documentation acceptable to ADB signed prior to date of contract award	MOU or other documentation acceptable to ADB Signed and collected by PIU (Date)	Remarks	Any Grievance reported	Reason for the grievance	Grievance resolved / unresolved by LMC	Grievance resolved / unresolved by GRC	Time taken to resolve the grievance	Remarks

*Note: Information for this form will be provided by PRI. This form will be filled out by the PIU.*

**Form M-4: Progress of Distribution of Support/Assistance (monthly)**  
**(as of end (month, year))**

**State:** \_\_\_\_\_ **District:** \_\_\_\_\_ **Block:** \_\_\_\_\_ **Village:** \_\_\_\_\_

**Name of Subproject Road:** \_\_\_\_\_ **Road No.:** \_\_\_\_\_

S.No.	Name of the Eligible APs / community	Support/Assistance for Vulnerable APs										
		Alternate Site	land	Cash assistance for land or structure, trees, wells and other assets	Inclusion in housing / RD schemes for IR	Provision of alternate plot and structure	Cash assistance for livelihood losses / linkage to RD schemes	Material & labor for rebuilding structures	Alternate rental arrangements for tenants	Replacement and Relocation of CPR	Advance notice for crops	Remarks

*Note: Distribution of support/assistance is monitored by PRI. This format will be prepared by PRI and compiled by PIU.*

**Form M-5: External Monitoring and Evaluation (bi-annually)**  
**(for the period covering the six months from (month, year) to (month, year))**

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<b>State:</b>	<b>District:</b>	<b>Block:</b>	<b>Number and Name of Sample Villages:</b>
<b>Name and No. of Subproject Road:</b>		<b>Total Number of Sample Households (APs and Non-AP households):</b>	

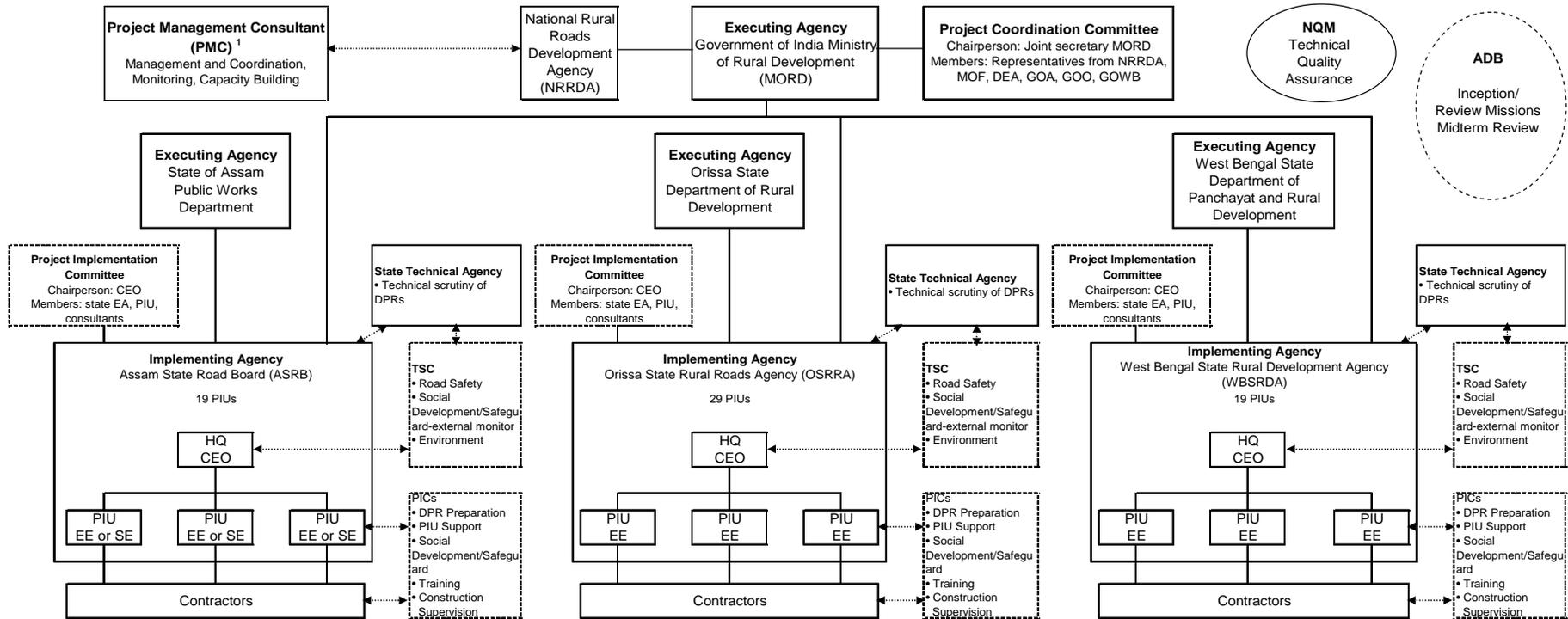
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Monitoring and Evaluation Indicators	Description
<b>A. Adequacy of Budget</b> 1. Enrollment of APs in RD schemes. 2. Funds allocated for cash assistance, relocation, legal process of land transfer and other support costs.	
<b>B. Severity of Impacts</b> 1. Numbers and percentage of APs and vulnerable APs categorized into those losing less than 5% and losing more than 5% of their land/asset. 2. Percentage of APs having residual land below district average. 3. No. of structures and CPRs affected. 4. No. of affected structures and CPRs relocated. 5. Variations in the number of APs and that in DPR.	
<b>C. Social Infrastructure Development Indicators</b> 1. Increased ownership of production assets (agricultural implements, tractors etc). 2. Increased asset ownership such as two-wheelers, bicycle etc. 3. Reduction in travel time and cost to basic services such as educational, medical facility etc. 4. Frequency of bus services. 5. Number of children born in PHCs. 6. Enrollment in schools. 7. Improved road safety. 8. Role of Women in decision-making.	
<b>D. Economic Indicators</b> 1. Source of income. 2. Number of earners per household. 3. Average number of days of employment in month/year. 4. Increase in wage rates (Rs/day). 5. Alteration in agricultural practices (Method and intensity of cropping, use of HYV etc). 6. Number & frequency of migration of work.	

<p><b>E. Adequacy Of Mitigation Measures</b></p> <ol style="list-style-type: none"> <li>1. Percentage of APs actually enrolled in RD and government housing schemes.</li> <li>2. Percentage of AP continuing with schemes.</li> <li>3. Percentage of APs who perceive to have benefited from the schemes.</li> <li>4. Percentage of APs receiving alternate land and assistance for relocating and rebuilding structure or assistance for land and structure.</li> <li>5. Percentage of APs receiving assistance for rebuilding structure on existing land not requiring relocation.</li> <li>6. Others.</li> </ol>	
<p><b>F. Adequacy Of Land Transfer Documentation</b></p> <ol style="list-style-type: none"> <li>1. Percentage of plots identified for land donation.</li> <li>2. Percentage of cases where written agreement has been done.</li> </ol>	
<p><b>G. Grievance Redressal</b></p> <ol style="list-style-type: none"> <li>1. No. of grievances per APs in each corridor.</li> <li>2. Percentage of grievances redressed.</li> <li>3. Time taken for redress of grievance.</li> <li>4. Existence and effectiveness of GR mechanism.</li> </ol>	
<p><b>H. Realism Of Work Schedule</b></p> <ol style="list-style-type: none"> <li>1. No. of activities which has exceeded time limit.</li> <li>2. Delay and reasons for such delay for each activity.</li> </ol>	

*Note: This report will be prepared by TSC for each district based on a sample assessment of affected and non-affected households.*

## ANNEX 11: ORGANIZATIONAL STRUCTURE



ASRB=Assam State Road Board; CEO=Chief Executive Officer; DEA= Department of Economic Affairs; DPR=detailed project report (road design); EE=Executive Engineer; GOA=Government of Assam; GOO: Government of Orissa; GOWB=Government of West Bengal; HQ=headquarters; MOF=Ministry of Finance; MORD=Ministry of Rural Development; NRRDA=National Rural Roads Development Agency; OSRRA=Orissa State Rural Roads Agency; PIU=project implementation unit; PIC=project implementation consultant; PMC=project management consultant; SE=superintending engineer; STA=State Technical Agency; TSC=Technical Support Consultant; WBSRDA=West Bengal State Rural Development Agency.

<sup>1</sup> Existing under Loan 2018-IND: Rural Roads Sector I Project