



INLAND WATERWAYS AUTHORITY OF INDIA

Ministry of Shipping, Government of India

RESETTLEMENT ACTION PLAN / SOCIAL MANAGEMENT PLAN

[DRAFT REPORT 2015]

Prepared by:



EQMS -AIAID – IRGSSA JV

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CHAPTER 1 PROJECT INTRODUCTION

1.1. Background

Inland waterways Authority of India (IWAI) is a statutory body under Ministry of Shipping, Government of India. IWAI is primarily responsible for development, maintenance and regulation of Inland Water Transport (IWT) within the country, particularly National Waterways.

The Ganga-Bhagirathi-Hooghly river system from Allahabad to Haldia has been declared as National Waterway-I (NW-I), which is 1620 km in length and traverses through four states namely Uttar Pradesh, Bihar, Jharkhand and West Bengal. IWAI has proposed the Capacity Augmentation of navigational infrastructure of national Waterway-I from Allahabad to Haldia, due to its constraint infrastructural facilities.

Sustainable waterway development and management necessitate striking a balance over the intermediate and long term facilities to achieve the objectives of various water users and the carrying capacity of the natural transportation system. Inland waterway development requires the improvement or development of navigation and related infrastructure. To sustain navigation, waterways must be safe and reliable, with certain physical characteristics related to depth, clearance, width, alignment and waterway current velocity. To sustain the ecological character and environmental quality of river, waterways must also maintain their ecosystem functions (their natural physical, chemical and biological processes).

Environmental and social aspects of inland waterway development need to be considered at early stages in project preparation to ensure the project achieves the sustainable transport and environmental objectives. As a part of this program, IWAI has commissioned studies to map and understand potential environmental and social impacts associated with navigation improvement of NW-I and to formulate a plan for effective mitigation and management of the impacts associated with the project.

1.2. Overall Study requirements

In accordance with the prescribed objectives and the scope of services of the overall study the following activities and deliverables have been identified:

Section A	<ul style="list-style-type: none"> – A basin level Critical Environmental resources – A cumulative Impact Analysis – EIA & EMP for Local interventions – EIA & EMP for barrages & Locks – Revised & Updated Cumulative Impact Analysis – Preparation of stand Alone EMP Document – Institutional and Implementation Arrangements
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Section B	<ul style="list-style-type: none"> – Social impact Assessment – Preparation of Resettlement Action Plan (RAP) including institutional and implementation arrangement. – Stakeholder consultation at strategic locations and state
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The project in general has prescribed the activities related to Section B, to be taken up for the following categories of projects which include:

- (i) Construction of Terminals (including storage infrastructure and transportation linkages), for which 10 sites are to be identified. The sites for three (03) facilities has been provided in Varanasi, Sahibganj and Haldia.
- (ii) The construction of RO-RO terminals at 10 sites are in the process of identification.
- (iii) The construction of Navigation lock at one of site is identified to be established at Farakka.

In accordance with the above, this report discusses the Social Impact Assessment for the Ramnagar Terminal to be established in Varanasi. The present document is a preliminary report indicating various impacts that are envisaged due to the project development and accordingly related mitigation measures are proposed for addressing the adverse impacts.

1.3. Study Objectives

The main objective of this study is to map and understand potential environmental and social impacts associated with navigation improvements of NW-1 and to prepare plan for effective mitigation and/or management of the impacts, as assessed.

Thus this report will be termed as the Social Management Plan which is also named as Resettlement Action Plan, to address the adverse social impacts under the project.

The other objectives are:

- To examine and understand the aggregate impacts from: (i) the construction related issues such as Repair of ship locks (and for potential doubling), Terminals (including storage infrastructure and transportation linkages) RO-RO terminals, Jetties Dredging sites and other related issues. ii) Operation related issues such as Health of all the current and proposed project development on NW 1, and, (ii) potential scenarios for development and social dimensions impacted by the proposed projects.
- To examine and understand the level of impacts, among the aggregate impacts of development, directly attributable to the project. Particularly important will be to understand the nature and magnitude of impacts by undertaking the activities such as navigation facilities on waterway and construction of barrages on NW1 from over and above the impacts of the projects already in place.
- To recommend specific measures, to be implemented by IWAI, as well as for other future projects, for addressing the Social impacts and issues over and above the mitigation and/or management measures for project-specific impacts.

- Carry out initial public consultations on the outcomes of the EIA, and to record the views of the local communities and other stakeholders. These would, at the least be consistent with the environmental and social safeguard policies of the GOI and World Bank.
- The ESIA studies and reporting requirements to be undertaken under this ToR must also conform to the Government of India (GoI) and World Bank guidelines and regulations, which include, inter-alia, the ESIA amendments and updated guidelines.

1.4. Project Scope

The scope of services under the SIA for the Ramnagar Terminal to be established at Varanasi are:

- Avoidance of any social impacts including avoiding disturbances to neighbouring communities;
- Critical environmental and heritage resources;
- Livelihood of the communities along the NW1 especially focusing on the traditional livelihoods such as boat operation, fishing, etc.;
- Community health and safety, especially safety of women, old persons and children – that can arise from the operation of the NW1 and the associated infrastructure and facilities;
- Baseline Socio-economic data of the project area shall include the demography, livelihood pattern of the communities including fishing community all along the waterway, profile of the human settlements, health status of the communities, existing infrastructure facilities within 500 m on both sides from the bank of the river boundary of the waterway shall be studied. Wherever the land is required to be acquired, the detailed socio-economic study shall be conducted for the entire 100% of Project Affected Persons (PAP) and Project Affected Families (PAF) and a Rehabilitation and Resettlement (R&R) plan along with the compensation and entailment matrix as per the latest acts and regulations shall be prepared;
- Description of implementation arrangement needed for the project, especially the capacity-building proposals for the IWAI, its regional units for enforcement of the environmental and social standards during operation of the NW1;
- Organizational augmentation requirements;
- Discussion of the policy, legal and administrative framework within which the project is set, major stakeholder departments of the state and central government with their specific roles, applicable laws and clearance requirements at various levels and their current status; and
- Preparation of a Detailed Social Management Plan (SMP) or the Resettlement Action Plan (RAP) with data on the existing socio-economic status of the population in the study area and broad plan for resettlement of the displaced population, site for the resettlement.

1.5. Project components

The projects components those have been examined wherein the SIA and the RAP is prepared, includes:

- i. The Ramnagar Terminal location to be established at Varanasi which would require a land area of a 5.5 ha;
- ii. The access road to be constructed for a length of 600 mts from the Ramnagar Terminal to National Highway 7 (NH7); and
- iii. Presently utilising temporary access to the Ramnagar Terminal construction sites.

However, at this stage we have conducted the SIA for the Ramnagar Terminal at Varanasi and provided the Resettlement Action Plan/Social Management Plan for this project site in this report.

The SIA and the RAP/SMP for the component two will be carried out after the alignment is finalized. At this stage the tentative alignment is under discussion with the local Government and the community. For component three, the identification of the land owners is in progress and details will be provided after its field verification is completed.

1.6. Project Activities

The main project activities include:

- Gathering available information about the project location;
- Gathering the relevant revenue map of the project location where the proposed terminal has been planned;
- Demarcating the land requirement for development of the terminal;
- Identification of the access to the terminal location with existing roads or need for construction of a new road connectivity to the nearest major road like state highway or national highway;
- Identification of the land requirement for the access road;
- Gathering the land ownership details of the properties acquired for the project development, both the terminal location and the access road alignment. Establishing the extent of land required for both these developments;
- Conducting the field survey to establish the process adopted by the project Implementing Agency, in this case the IWAI in acquiring the land for these two developments;
- Social impact assessment of the affected families/persons;
- Resettlement Action Plan/Social Mitigation plan comprising of:

- Entitlement Framework for providing compensation and assistances to the project affected families/persons;
- Institutional mechanism to implement the resettlement action plan (RAP)/social mitigation plan (SMP);
- Grievance redressal mechanism;
- Monitoring and evaluation of the implementation of the RAP/SMP;
- Implementing schedule of the RAP/SMP
- Budget estimate for implementing the RAP/SMP.

CHAPTER 2 APPLICABLE LEGAL POLICIES AND REGULATORY FRAMEWORK

2.1. Definitions

The definitions of various terms utilized in this policy are:

- **Acquired land** means the land acquired under Land Acquisition Act 1894 or the Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act, 2013 for the Inland Waterways Authority of India (IWAI) Project or any other prevailing GOs.
- **Agricultural Land** means lands being used for the purpose of (i) Agriculture or horticulture; (ii) Dairy farming, poultry farming, pisciculture, sericulture, seed farming breeding of livestock or nursery growing medicinal herbs; (iii) Raising of crops, trees, grass or garden produce; and (iv) Land used for the grazing of cattle;
- **Affected Area** means such area as may be notified by the Government of Uttar Pradesh or the Government of India under the relevant land acquisition acts for the purposes of land acquisition for the Project;
- **Affected family** means:
 - i. A family whose land or other immovable property has been acquired for the IWAI Project;
 - ii. A family which does not own any land but a member or members of such family may be agricultural labourers, tenants including any form of tenancy or holding of usufruct right, share-croppers or artisans or who may be running a commercial establishment in the Affected Area, whose primary source of livelihood stand affected by the acquisition of the land;
 - iii. The Scheduled Tribes and other traditional forest dwellers who have lost any of their forest rights recognized under the Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Act, 2006 due to acquisition of land;
 - iv. Family whose primary source of livelihood for three years prior to the acquisition of the land is dependent on forests or water bodies and includes gatherers of forest produce, hunters, fisher folk and boatmen and such livelihood is affected due to acquisition of land;
 - v. A member of the family who has been assigned land by the State Government or the Central Government under any of its schemes and such land is under acquisition;

- vi. A family residing on any land in the affected area for preceding three years or more prior to the acquisition of the land or whose primary source of livelihood for three years prior to the acquisition of the land is affected by the acquisition of such land;
- **Family** means a person, his or her spouse, children, brothers and sisters dependent on him/her:
 - i. Provided that Adult children/Widows/divorcees and women deserted by families shall be considered as separate families.
- **Below poverty line or BPL Family** means below poverty line families as defined by the Planning Commission of India, from time to time, and those included in the State BPL list in force.
- **Compensation** refers to the amount paid as compensation under various provisions of the Land Acquisition Act 1894 or RTFCTLARRA 2013, for private property, structures and other assets acquired for the project, excluding rehabilitation and resettlement entitlements as per this policy.
- **Cutoff Date** is the date of Notification under Section 4(1) of Land Acquisition Act 1894 or Section 11(1) of the RTFCTLARRA, 2013.
- **Displaced Family** means any Affected Family, (i) who on account of acquisition of land has to be relocated from the affected area; (ii) a family whose primary place of residence or other property or source of livelihood is adversely affected by the acquisition of land for the Project (iii) any tenure holder, tenant, lessee or owner of other property, who on account of acquisition of land in the affected area, has been involuntarily displaced from such land or other property; (iv) any agricultural or non-agricultural laborer, landless person (not having homestead land or agricultural land) rural artisan, small trader or self-employed person; who has been residing or engaged in any trade, business, occupation or vocation in the acquired land, and who has been deprived of earning his livelihood or alienated wholly or substantially from the main source of his trade, business, occupation or vocation because of the acquisition of land in the affected area
- **Employee** means an individual engaged by a displaced commercial establishment in the Acquired Land, for compensation under a contract for employment whether oral or written, express or implied.
- **Encroachers** are those persons who have extended their building, business premises or work places or agriculture activities into government lands.
- **Land acquisition** means acquisition of land under Land Acquisition Act 1894 or under the Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act, 2013 or any other prevailing Government Orders.

- **Minimum Wages** means the minimum wage of a person for his/her services/labour per day as per notification published by Department of Labour, Government of Uttar Pradesh.
- **Non-Perennial Crop:** means any plant species, either grown naturally or through cultivation that lives for a particular harvest season and perishes with harvesting of its yields.
- **Notification** means a notification published in the Gazette of India, or as the case may be, the Gazette of State;
- **Perennial Crop:** means any plant species that live for years and yields its products after a certain age of maturity.
- **Project** means the IWAI Project covering the Ramnagar Terminal, its access road and any other physical interventions to be constructed for the operation of this terminal as identified to be covered under Phase IA and/or 1B of the project.
- **Rehabilitation and Resettlement** means carrying out rehabilitation and resettlement as per under Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act, 2013 or as per any other law in force as may be applicable for rehabilitation and resettlement benefits to be provided to the affected families.
- **R & R Entitlements** means the benefits awarded as per the R & R Framework given in the IWAI Policy on Rehabilitation & Resettlement and as subsequently approved by the Government.
- **Severance of Land** means a land holding divided into two or more pieces due to acquisition of land mainly for the new project developments.
- **Squatter** means those persons who have illegally occupied government lands for residential, business and or other purposes for a minimum of 3 years prior to 4(1) notification or 11(1) notification.
- **State Government/Government** refers to the Government of Uttar Pradesh.
- **Tenants** are those persons having *bonafide* tenancy agreements for three years prior to the acquisition of the land, with a property owner with clear property titles, to occupy a structure or land for residence, business or other purposes.
- **Vulnerable groups:** persons such as differently abled, widows, and women headed household, persons above sixty years of age, Scheduled Caste and Scheduled Tribes and other groups as may be specified by the State Government.
- **Women Headed Household** means a family headed by a woman and does not have a male earning member. This woman may be a widowed, separated or deserted person.

2.2. Methodology

All the Affected Families along the corridor of NWI (from Allahabad to Haldia) are identified based on the data available with the Revenue Department. A 100% survey is conducted for collecting relevant information directly from the Affected Families. Based on the survey, duly considering the relevant Guidelines and Acts, the impact of the project on each Affected Families were categorised and accordingly the R & R Policy is framed which also includes the R & R Entitlement Framework. In order to implement the R & R Policy and Entitlement Framework, an R & R Action Plan (RAP) report is also formulated.

The different categories of impacts that were identified has been classified under four categories, viz., loss of land, loss of structures, loss of assets attached to land or structures and loss of livelihood. The quantification of the Rehabilitation and Resettlement entitlements for these losses has been done based on the provisions of schedule I &II of RTFCTLARRA 2013 (Brief of the RTFCTLARRA 2013 is given in **Appendix 1**). The category of losses is provided in **Table 1**.

Table 1 : Category of loss under the project		
Sl. No.	Category of loss	Description of the loss
1.	Land	<ul style="list-style-type: none"> ▪ Agriculture ▪ Non-Agriculture.
2.	Structures	<ul style="list-style-type: none"> ▪ Owners and tenants
3.	Assets attached to land or structures	<ul style="list-style-type: none"> ▪ Owners
4.	Livelihood	<ul style="list-style-type: none"> ▪ Due to direct loss of commercial property or access to economic opportunities (like fishing access to fishing areas along the river due to project development)

In accordance with the above, the entitlements and provisions have been made in the Rehabilitation and Resettlement Action Plan that is being formulated for the Project. The entitlement framework that has been designed is based on the RTFCTLARRA 2013. The categories mentioned in **Table xx** are in accordance with the categories provided in the entitlement framework (**Section 8**) of the Policy. Each category of losses for purpose of R&R entitlements are classified under two major categories, which include the titleholders (owners) and non-titleholders (Tenants in the commercial/residential properties, agriculture sharecroppers, Encroachers and Squatters).

2.3. Correlation of Funding Agency Guidelines with RTFCTLARRA 2013

In order to have an understanding of the correlation of provisions of RTFCTLARRA 2013 with the guidelines and principles of the international funding agencies like the World Bank, on the basis of which the Policy is framed, a comparative analysis of the guiding principles of these enactments were carried out as detailed in **Appendix 2**. The RTFCTLARRA 2013 incorporates all the guiding principles of the World Bank and hence the Policy is ultimately aligned with the

RTFCTLARRA 2013. A brief on the RTFCTLARRA 2013 provisions is provided in **Appendix 3** of the Policy.

2.4. Resettlement and Rehabilitation

The Policy provides appropriate monetary entitlements to the Affected Families under various categories of loss detailed in the Policy based on the applicable guidelines and Acts. The adverse impact due to displacement caused by land acquisition for the Project on the various categories of PAPs has been identified and quantified. The provisions of Second Schedule of RTFCTLARRA 2013 have been adopted for quantifying the entitlements. The R&R Entitlement Framework covers all the categories of PAPs along with the R&R benefits for each such categories of Affected Families.

2.5. R&R Entitlement Framework

The R&R entitlement framework has been formulated based on the guiding principles outlined in the Policy. This R&R framework will be adopted to formulate the Resettlement Action Plan. The R&R entitlement matrix includes various components of R&R benefits as provided in **Appendix 4**. This matrix addresses all categories of people being affected and all categories of impacts accrued to the affected families due to the Project.

Appendix 4 indicates the entitlements for all categories of impact as per the RTFCTLARRA 2013 and the World Bank guidelines that are applicable for the Project. The same can be classified under four major categories of impact, viz., loss of land, loss of structures, assets attached to the land or structures and loss of livelihood, which covers the entire gamut of the affected population.

The Compensation is provided as per the relevant laws of the land and hence is not covered in the policy. However the basic principles governing present Compensation structure for the Project is indicated in **Appendix 5**.

2.6. Resettlement Planning

To achieve the objectives of this policy, the planning instruments used are:

- a) The Resettlement Policy, which is required for providing basic policy guidelines for all Project operations that may entail involuntary displacement.
- b) The Resettlement Action Plan which is required implementing the Policy

The full costs of resettlement and rehabilitation activities necessary to achieve the objectives of the project are included in the total costs of the project. The costs of resettlement, like the costs of other project activities, are treated as a charge against the economic benefits of the project; and any net benefits to resettlers (as compared to the "without-project" circumstances) are added to the benefits stream of the project. Resettlement components or free-standing resettlement projects need not be economically viable on their own, but they should be cost-effective.

2.7. Implementation and Monitoring of the RAP/SMP

In accordance with this Rehabilitation and Resettlement Policy, the Rehabilitation and Resettlement Action Plan (RAP) for the affected families will be devised. The RAP will provide the strategy for implementation of the Policy along with the institutional arrangements and the budgetary estimates for rehabilitation and resettlement packages, monitoring and evaluation as may be necessary for effective implementation of the policy. The monitoring of the implementation will be done by an appropriate authority/committee of IWAI/Government of Uttar Pradesh (GoUP). The external monitoring and evaluation of the RAP/SMP will be done third party agency as appointed by IWAI.

This Policy would ensure a fair and transparent rehabilitation and resettlement to all the affected families or persons as applicable. This Policy is adopted by IWAI to provide rehabilitation and resettlement benefits as defined under the entitlement framework of this Policy.

Appendix- 1

Brief Description of RTFCTLARRA 2013 and World Bank Guidelines

A. The Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act, 2013 (RTFCTLARRA)

This Central Act ensures, in consultation with institutions of Local Self-Government and Gram Panchayats established under the Constitution, a humane, participative, informed and transparent process of land acquisition for industrialization, development of essential infrastructural facilities and urbanization. It also ensures that the same is achieved with the least disturbance to the owners of the land and other affected families and provide just and fair compensation to the affected families whose land has been acquired or proposed to be acquired or are affected by such acquisition. The Act also makes adequate provisions for such affected persons for their rehabilitation and resettlement and ensures that the cumulative outcome of compulsory acquisition should be such that the affected persons become partners in development leading to an improvement in their post-acquisition social and economic status and for matters connected therewith or incidental thereto.

The provisions of this Act Under Section 2(1) relating to land acquisition, compensation, rehabilitation and resettlement, shall apply, when the appropriate government acquires land for its own use, hold and control, including for Public Sector Undertakings and for public purpose. Under RTFCTLARRA, 2013 for land acquisition for various types of project, provisions of consent has been inbuilt to secure the interest of the stakeholders. The details of the consent are given in as follows:

Consent Requirements across Project Types and Sites		
Project Type + Area	Consent	
	Land Owners and Tenants	Gram Sabha/ Panchayat/ Autonomous District Council
Public + Non-Scheduled Area	Not required	Not required
Public + Scheduled Area	Not required	Required
PPP + Non-Scheduled Area	Required (70%)	Not required
PPP + Scheduled Area	Required (70%)	Required
Private + Non-Scheduled Area	Required (80%)	Not Required
Private + Scheduled Area	Required (80%)	Required
<p>i. “Scheduled Areas” means the Scheduled Areas as referred to in Clause (1) of Article 244 of the Constitution. The Act extended the provisions of Panchayats to the tribal areas of nine states that have Fifth Schedule Areas.</p> <p>ii. Panchayats (Extension to Scheduled Areas) Act, 1996 or PESA is a law enacted by the Government of India to cover the "Scheduled areas", which are not covered in the 73rd amendment or Panchayati Raj Act of the Indian Constitution. It was enacted on 24 December 1996 to enable Gram Sabhas to self-govern their natural resources.[1] It is an Act to provide for the extension of the provisions of Part IX of the Constitution relating to the Panchayats to the Scheduled Areas.</p>		

B. World Bank Social Safeguard Policies—Policy Objectives and Operational Principles

The Operational Procedures (OP) is the Involuntary Resettlement OP 4.12. Description (as given under) of the operational principles includes:

Table 2 : Policy objectives and operational principles of the World Bank	
<i>Objectives</i>	<i>Operational Principles</i>
To avoid or minimize involuntary resettlement and, where this is not feasible, to assist displaced persons in improving or at least restoring their livelihoods and standards of living in real terms relative to pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher.	Involuntary Resettlement OP 4.12
	1. Assess all viable alternative project designs to avoid, where feasible, or minimize involuntary resettlement.
	2. Through census and socio-economic surveys of the affected population, identify, assess, and address the potential economic and social impacts of the project that are caused by involuntary taking of land (e.g., relocation or loss of shelter, loss of assets or access to assets, loss of income sources or means of livelihood, whether or not the affected person must move to another location) or involuntary restriction of access to legally designated parks and protected areas.
	3. Identify and address impacts also if they result from other activities that are (a) directly and significantly related to the proposed project, (b) necessary to achieve its objectives, and (c) carried out or planned to be carried out contemporaneously with the project.
	4. Consult project-affected persons, host communities and local nongovernmental organizations, as appropriate. Provide them opportunities to participate in the planning, implementation, and monitoring of the resettlement program, especially in the process of developing and implementing the procedures for determining eligibility for compensation benefits and development assistance (as documented in a resettlement plan), and for establishing appropriate and accessible grievance mechanisms. Pay particular attention to the needs of Vulnerable Groups among those displaced, especially those below the poverty line, the landless, the elderly, women and children, Indigenous Peoples, ethnic minorities, or other displaced persons who may not be protected through national land compensation legislation.
	5. Give preference to land-based resettlement strategies for displaced persons whose livelihoods are land-based.
	6. For those without formal legal rights to lands or claims to such land that could be recognized under the laws of the country, provide resettlement assistance in lieu of compensation for land to help improve or at least restore their livelihoods.
	7. Disclose draft resettlement plans, including documentation of the consultation process, in a timely manner, before appraisal formally begins, in an accessible place and in a form and language that are understandable to key stakeholders.
	8. Apply the principles described in the involuntary resettlement section of this Table, as applicable and relevant, to

Table 2 : Policy objectives and operational principles of the World Bank	
<i>Objectives</i>	<i>Operational Principles</i>
	subprojects requiring land acquisition.
	9. Design, document, and disclose before appraisal of projects involving involuntary restriction of access to legally designated parks and protected areas, a participatory process for: (a) preparing and implementing project components; (b) establishing eligibility criteria; (c) agreeing on mitigation measures that help improve or restore livelihoods in a manner that maintains the sustainability of the park or protected area; (d) resolving conflicts; and (e) monitoring implementation.
Indigenous Peoples Development Plan OP 4.10	
In case there are any indigenous people (persons/families) are adversely affected/displaced due to the project development	This policy contributes to the Bank's mission of poverty reduction and sustainable development by ensuring that the development process fully respects the dignity, human rights, economies, and cultures of Indigenous Peoples. The Bank provides project financing only where free, prior, and informed consultation results in broad community support to the project by the affected Indigenous Peoples. Such Bank-financed projects include measures to (a) avoid potentially adverse effects on the Indigenous Peoples' communities; or (b) when avoidance is not feasible, minimize, mitigate, or compensate for such effects Bank-financed projects are also designed to ensure that the Indigenous Peoples receive social and economic benefits that are culturally appropriate and gender and inter generationally inclusive. The project shall ascertain broad community support for the project based on social assessment and free prior and informed consultation with the affected Tribal community, if any.

Appendix 2

Correlation of funding agency guidelines with RTFCTLARRA 2013		
Objectives	World Bank	RTFCTLARRA, 2013
i. Avoid involuntary resettlement	Involuntary resettlement should be avoided wherever feasible	Yes
ii. Minimize involuntary resettlement	Minimize involuntary resettlement by exploring all viable alternative project designs	Yes
iii. Conduct Social Impact Assessment	Census of all affected families to identify the category and extent of impacts to be carried to	Yes
iv. Mitigate adverse social impacts	Where it is not feasible to avoid resettlement, resettlement activities should be conceived and executed as sustainable development programs, providing sufficient investment resources to enable the persons displaced by the project to share in project benefits.	Yes
v. Identify, assess and address the potential social and economic impacts	Through census and socio-economic surveys of the affected population, identify, assess, and address the potential economic and social impacts of the project that are caused by involuntary taking of land (e.g. relocation or loss of shelter, loss of assets or access to assets, loss of income sources or means of livelihood, whether or not the affected person must move to another location) or involuntary restriction of access to legally designated parks and protected areas.	Yes
vi. Prepare mitigation plans for affected persons	To address the Project impacts, prepare resettlement plan or a resettlement policy framework prior to Project appraisal, estimating to the extent possible the total population to be affected and the overall resettlement costs.	Yes
vii. Consider alternative project design	Assess all viable alternative project designs to avoid, where feasible, or minimize involuntary resettlement.	Yes
viii. Involve and consult with stakeholders	Consult project-affected persons, host communities and local nongovernmental organizations, as appropriate. Provide them opportunities to participate in the planning, implementation, and monitoring of the resettlement program, especially in the	Yes

Correlation of funding agency guidelines with RTFCTLARRA 2013		
Objectives	World Bank	RTFCTLARRA, 2013
	process of developing and implementing the procedures for determining eligibility for compensation benefits and development assistance (as documented in a resettlement plan), and for establishing appropriate and accessible grievance mechanisms. Pay particular attention to the needs of Vulnerable Groups among those displaced, especially those below the poverty line, the landless, the elderly, women and children, Indigenous Peoples, ethnic minorities, or other displaced persons who may not be protected through national land compensation legislation.	
ix. Disclose and inform APs of RP and mitigation measures	Disclose draft resettlement plans, including documentation of the consultation process, in a timely manner, before appraisal formally begins, in an accessible place and in a form and language that are understandable to key stakeholders.	Yes
x. Support existing social and cultural institutions of the affected persons	To the extent possible, the existing social and cultural institutions of resettlers and any host communities are preserved and resettlers' preferences with respect to relocating in pre-existing communities and groups are honored.	Yes
xi. Build capacity of the borrower(s) in IR implementation	Financing of technical assistance to strengthen the capacities of agencies responsible for resettlement, or of affected people to participate more effectively in resettlement operations.	Yes
xii. Categorization	Categorization of the affected families is defined as titleholders, non-titleholders – including encroachers, Squatters, tenants, etc.	Yes

Correlation of funding agency guidelines with RTFCTLARRA 2013		
Objectives	World Bank	RTFCTLARRA, 2013
xiii. Resettlement Plan	To cover the direct social and economic impacts that are caused by the involuntary taking of land and/or the involuntary restriction of access to legally designated parks and protected areas, the borrower will prepare a Resettlement plan or resettlement policy framework . The RP or framework will include measures to ensure that the displaced persons are provided assistance during relocation; provided with residential housing, or housing sites, or as required agricultural sites; offered transitional support; provided with development assistance in addition to compensation.	Yes
xiv. Supervision	The Bank regularly supervises resettlement implementation to determine compliance with the resettlement instrument.	Yes. Provision for R&R committee provided.
xv. Monitoring Evaluation	The borrower is responsible for adequate monitoring & evaluation of the activities set forth in the resettlement instrument. Assess whether the objectives of the resettlement instrument have been achieved, upon completion of the project, taking account of the baseline conditions and the results of resettlement monitoring.	Yes
xvi. Timeline for every process	World bank does not give any time schedule for activities	Under new RTFCTLARRA 2013 the act sets timeline for each activity and its process i.e. for SIA, RAP, Compensation, etc.

Appendix: 3

Summary of the RTFCTLARRA Sections as applicable		
Sl. No.	Section	Description of the section
1.	Section 4(1) – SIA notification	<ul style="list-style-type: none"> ▪ Social Impact Assessment Study ▪ Total duration 6 months
2	Section 5	<ul style="list-style-type: none"> ▪ Public Hearing for SIA
3	Section 6 (1)	<ul style="list-style-type: none"> ▪ Publication of SIA
4.	Section 7(1) – SIA evaluation and approval	<ul style="list-style-type: none"> ▪ Independent SIA Evaluation by Expert Group <ul style="list-style-type: none"> – 2 non official social scientist – 2 representatives of Panchayat, Gram Sabha, Municipality or Corporation – 2 experts on rehabilitation – 1 technical expert in subject area – Publication of recommendation – Total duration 2 months
8.	Section 8	<ul style="list-style-type: none"> ▪ Examination of proposals for land acquisition and Social Impact Assessment report by appropriate Government
9.	Section 11(1) – Notice to acquire land	<ul style="list-style-type: none"> ▪ Publication of Preliminary Notification for acquisition
10.	Section 11(5) – Land record Updation	<ul style="list-style-type: none"> ▪ Updating Land records ▪ Total duration 2 months
11.	Section 14 – SIA lapse period	<ul style="list-style-type: none"> ▪ If Section 11(1) not published within 12 months (18 months from the date of 4(1) notification) after the submission of SIA report under section 7, such report will lapse . Then fresh SIA to be done before acquisition under section 11. ▪ Appropriate government shall have the power to extend the period of 12 months
12.	Section 15(1) – Hearing of objections	<ul style="list-style-type: none"> ▪ Within 60 days from the date of 11(1) notification
13.	Section 16(1) – Preparation of R&R Scheme by Administrator (by state notification not below the rank of Joint Collector or Additional Collector or Dy. Collector or equivalent official of Revenue Department to be the Administrator for R&R)	<ul style="list-style-type: none"> ▪ After the publication of 11(1) notification by collector, Administrator for R&R shall conduct census survey of affected families.
14.	Section 16(5)	<ul style="list-style-type: none"> ▪ Public hearing of R&R Scheme
15.	Section 16(6)	<ul style="list-style-type: none"> ▪ Submission of draft R&R scheme to collector
16.	Section 17(1)	<ul style="list-style-type: none"> ▪ Review of R&R scheme by Collector with R&R committee
18.	Section 18 – Approval of R&R scheme by Commissioner	<ul style="list-style-type: none"> ▪ Officer off the rank of Commissioner or Secretary of that Government
19.	Section 19(1) –	To be published within a period of 12 months from the

Summary of the RTFCTLARRA Sections as applicable		
Sl. No.	Section	Description of the section
	Publication of declaration and summary of R&R	notification under section 11(1) excluding stay or court order
20.	Section 19(7) – Lapse of notification under section 11(1)	<ul style="list-style-type: none"> ▪ If no declaration is made within 12 months from the notification under section 11(1) excluding stay or court order
21.	Section 21(1)	<ul style="list-style-type: none"> ▪ Notice to person interested for taking possession.
22.	Section 23	<ul style="list-style-type: none"> ▪ Land Acquisition Award by collector
23.	Section 25 – Lapse of entire proceeding for acquisition	<ul style="list-style-type: none"> ▪ Award to be made within 12 months from the date of declaration under section 19. (Appropriate government shall have the power to extend the period with justification).
24.	Section 31(1)	<ul style="list-style-type: none"> ▪ R&R award by collector ▪ Collector shall take possession after ensuring 100% compensation payment and R&R entitlement or ▪ Tendered within a period of 3 months for compensation and 6 months for R&R entitlements.
25.	Section 38(1)	<ul style="list-style-type: none"> ▪ Power to take possession of land to be acquired by Collector
26.	Section 38(2)	<ul style="list-style-type: none"> ▪ R&R process to be completed in all respect before displacing the AFs
27.	Section 43(3)	<ul style="list-style-type: none"> ▪ Formulation, Execution and monitoring of R&R scheme shall vest in the Administrator under the direction and control of Government and Commissioner R&R.
28.	Section 44(1)	<ul style="list-style-type: none"> ▪ Appointment of R&R Commissioner
29.	Section 44(2)	<ul style="list-style-type: none"> ▪ Commissioner will be responsible for supervising the formulation of R&R schemes or plans and proper implementation of such schemes or plans.
30.	Section 44(3)	<ul style="list-style-type: none"> ▪ Commissioner shall be responsible for post implementation social audit in consultation with Gram Sabha in Rural areas and municipality in urban areas.
31.	Section 45(1) Composition of R&R committee: (acquisition of equal to or more than 100 acres of land)	<ul style="list-style-type: none"> ▪ Chairman (Collector) ▪ Women representative residing in affected area ▪ Representative of ST & SC residing in the affected area ▪ Representative of NGO working in the area ▪ Representative of Nationalized bank ▪ Land Acquisition officer of the project. ▪ Chairpersons of the Panchayats or municipalities located in the affected area or their nominees. ▪ Chairperson of the District Planning Committee or his nominee. ▪ MP and MLA of the concerned area or their nominees. ▪ Representative of the requiring body. ▪ Administrator for R&R as member-convenor.

Add the issues of the Ordinance of 2015.

Appendix 4

Entitlement Matrix					
Sr. No.	Category of Impact	Eligibility for Entitlement	Relevant RTFCTLARRA 2013 Provisions		IWAI Adopted Policy/Entitlements
			Entitlement	Provisions	
1	2	3	4	5	6
Rehabilitation Package					
1.	Loss of Residential Structure	Title-holder of a Displaced Family whose residential structure is lost due to acquisition)	Provision of Housing unit in case of displacement.	<ul style="list-style-type: none"> ▪ If a house is lost in urban areas, a constructed house shall be provided, which will be not less than 50 sq. mtrs. in plinth area. ▪ Provided also that no family affected by acquisition shall be given more than one house under the provisions of this Act. ▪ Provided that any such family in urban areas which opts not to take the house offered, shall get a one-time financial assistance for house construction, which shall not be less than one lakh fifty thousand rupees. (Rs. 1,50,000) ▪ Explanation: The houses in urban areas may, if necessary, be provided in multi-story building complexes. 	<ul style="list-style-type: none"> ▪ Rs. 1,50,000/- will be given to all residential owners who are displaced due to lose of their housing units.

2.	Loss of Livelihood	Affected Family	<p>Annuity or Employment</p> <p>(a) Job OR</p> <p>(b) 5 lakh one-time payment OR</p> <p>(c) Rs. 2000.00 per month for 20 years (with increment) (the option of availing a, b, or c shall be that of the affected family)</p>	<p>a. Where jobs are created through the project, affected families will get after providing suitable training and skill development in the required field, make provision for employment at a rate not lower than the minimum wages provided for in any other law for the time being in force, to at least one member per affected family in the project or arrange for a job in such other project as may be required; or</p> <p>b. onetime payment of five lakhs rupees (Rs. 5,00,000) per affected family;</p> <p>or</p> <p>c. Annuity policies that shall pay not less than two thousand rupees per month per family for twenty years, with appropriate indexation to the Consumer Price Index for Agricultural Labourers (Refer: http://labourbureau.nic.in).</p>	<p>The head of the household of all Affected Families losing primary source of livelihood due to land acquisition will be provided with Rs. 5,00,000/- (per Affected Family as defined under the Policy).</p>
3.	Loss of Livelihood	Displaced Family	<p>Subsistence grant for displaced families for a period of one year (for the families displaced due to land acquisition)</p>	<p>Each affected family which is displaced from the land acquired shall be given a monthly subsistence allowance equivalent <i>to Rs. 3000/- per month for a period of one year</i> from the date of award. (3000 x 12months= Rs. 36000/-)</p>	<p>Each Displaced Family will be provided with Rs. 36,000/-.</p>

				<p>In addition to this amount, the Scheduled Castes and the Scheduled Tribes displaced from Scheduled Areas shall receive an amount equivalent to Rs. 50000.</p> <p>In cases of displacement from the Scheduled Areas, as far as possible, the affected families shall be relocated in a similar ecological zone, so as to Preserve the economic opportunities' language, culture and community life of the tribal communities.</p>	<p>a. All Displaced Family belonging to the Scheduled Castes or the Scheduled Tribes shall receive an amount equivalent to fifty thousand rupees. (Rs. 50,000/-).</p> <p>b. This amount is additional to other rehabilitation measures being provided to all displaced families.</p>
4.	Loss of Structure	Displaced Family	Transportation cost for displaced families.	Each affected family which is displaced shall get a one-time financial assistance of Rs. 50,000.00 as transportation cost for shifting of the family, building materials, belongings and cattle.	One time financial assistance of Rs. 50,000.00 for shifting family, building material, belongings and cattle shall be given to each Displaced Family.
5.	Loss of Structure	Affected Family	Cattle shed / petty shops	Each affected family having cattle or having a petty shop shall get one-time financial assistance of such amount as the appropriate Government may, by notification, specify subject to a minimum of twenty-five thousand rupees for construction of cattle shed or petty shop as the case may be.	Each Affected Family having cattle or having a petty shop in the Acquired Land shall get one time financial assistance of Rs. 25,000/- for re construction of cattle shed or petty shop as the case may be.
6.	Loss of Livelihood	Affected Family	One time grant to artisan, small traders and certain others	Each affected family of an artisan, small trader or self-employed person or an affected family which owned non-agricultural land or commercial, industrial or institutional structure in the affected area, and which has been	Each Affected Family of an artisan, small trader or self-employed person or a Displaced Family which owned non-agricultural land or commercial, industrial or institutional structure in the Affected Area, shall get one-time

				involuntarily displaced from the affected area due to land acquisition, shall get one-time financial assistance of such amount as the appropriate Government may, by notification. specify subject to a minimum of Rs. 25,000.00	financial assistance of Rs. 25,000.
7.	Loss of Land/Structure/Livelihood	Affected Family	One time resettlement allowance.	Each affected family shall be given a one-time "Resettlement Allowance" of Rs. 50000 only.	Each Affected Family will be given a one-time "Resettlement Allowance" of Rs. 50000/- .
8.	Loss of Livelihood	Employees	On time subsistence allowance	Each affected person shall be given a one-time subsistence allowance of Rs.36,000/- only.	A onetime subsistence allowance of Rs. 36000/- to each Employee, who has been working for a minimum period of three years prior to the date of acquisition of the land.
9	Loss of Commercial Establishment(small)	Displaced Affected Family, being a small merchant or having a small Commercial establishment, in the acquired land.	On time subsistence allowance	Each affected family shall be given a one-time allowance of Rs.25,000/- only.	Those losing non-agricultural land or commercial, industrial or institutional structure in the affected area and which would be involuntarily displaced from affected area due to land acquisition shall be eligible for this allowance.

Appendix 5

Basic Principles Governing Compensation Structure as per RTFCTLARRA 2013

Sr. No.	Category of Impact	Eligibility for Entitlement	Relevant RTFCTLARRA 2013 Provisions	
			Entitlement	Provisions
1	2	3	4	5
1.	Loss of Land	Titleholder	<ol style="list-style-type: none"> 1. Market value of land. This will be determined as per Sections 26 to 29 of LARR Act 2013 by Collector. 2. Amount equivalent to current stamp duty and registration charges on compensation amount for replacement of lost assets. 	<ul style="list-style-type: none"> ▪ Applicable as per RTFCTLARRA 2013. ▪ PAPs that have received the compensation on or before 31st December 2013 will be provided additional compensation as per RTFCTLARRA 2013. ▪ This is as per Section 24 of RTFCTLARRA 2013 wherein it is mentioned: <i>... Provided that where an awarded has been made and compensation in respect of majority of land holdings has not been deposited in the account of the beneficiaries, then, all beneficiaries specified in the notification for acquisition under section 4 of the said Land Acquisition Act, shall be entitled to compensation in accordance with the provisions of this Act.</i>
			Land Value factor	<ul style="list-style-type: none"> ▪ Scale 1 to 2 based on the distance of project from urban area, as may be notified by appropriate government. Illustrative scale (0-10 km=1), (10-20=1.20), (20-30 km=1.40), (30-40 km=1.80), and (40-50 km=2).
		Affected Family/Person	Land for land	<ul style="list-style-type: none"> ▪ Not applicable
2.	Loss of other Immovable Assets	Titleholder	Value of Assets attached to land or building	<ul style="list-style-type: none"> ▪ This will be provided to affected families as per the RTFCTLARRA 2013 (provision under First Schedule Sl.No.2 (ref. Section 29 of the said Act). ▪ This will be provided along with the loss of land

Sr. No.	Category of Impact	Eligibility for Entitlement	Relevant RTFCTLARRA 2013 Provisions	
			Entitlement	Provisions
1	2	3	4	5
				and/or the structure which will be finalised by the Collector (revenue department).
3.	Loss of Land, Structure and other immovable assets (1+2)	Titleholder	Solatum	<ul style="list-style-type: none"> As per RTFCTLARRA 2013 – Under section 30(1) of the said Act. The compensation is calculated for land, structures and such assets attached to the building or land as applicable and the total of all considered before considering the solatium.
4.	Loss of Land and other assets	Titleholder	Additional 12% on market value of land.	<ul style="list-style-type: none"> In addition to the market value of land, additional 12% per annum to be paid on such market value commencing on and from the date of publication of notification of SIA u/s (2) of section 4 in respect of land, till award or date of taking possession of land whichever is earlier.
5.	Land/Structure	Titleholder	Stamp duty and registration fee.	The stamp duty and other fees payable for registration of the land or house allotted to the affected families shall be borne by the Requiring Body.

CHAPTER 3: SOCIAL IMPACT ASSESSMENT

3.1. Introduction

The social impact assessment included gathering information on the socio-economic profile of the project area which was compiled through secondary sources which is the published data of the Government of India. Secondly, in order to understand the socioeconomic profile of the affected families a primary census socio-economic survey (SES) will be carried out as necessary. The information from secondary sources enabled the project team to understand the general socio-economic issues if any in the project area and the primary information enabled the project to understand the following issues:

- The socio-economic profile of the affected families;
- The category and extent of loss due to the project development; and
- The demography, literacy level, the occupation pattern, etc. about the project affected families.

The ensuing section provides the analysis of the secondary and the primary information thus gathered

3.2. Published information analysis on the socio-economic profile of the project area

The Ramnagar terminal will be location in Varanasi (Banaras) of the state of Uttar Pradesh. Uttar Pradesh is the largest state in India. The administrative and legislative capital is Lucknow and the judicial capital is Allahabad. Other notable cities include Agra, Aligarh, Ayodhya, *Varanasi (also known as Benares and Kashi)*, Etawah, Kanpur, Mirzapur and Deoband. Neighbouring states are Uttaranchal, Himachal Pradesh, Haryana, Delhi, Rajasthan, Madhya Pradesh, Chhattisgarh, Jharkhand and Bihar. Uttar Pradesh also shares its border with Nepal.

The published information included the websites of the Government of India the Census of India data 2011, which was utilized to enlist the socio-economic profile of the project area. The analysis of the data is provided in the sections below.

Table 3 shows the population of Uttar Pradesh. Out of the total population of 19.99 crore, 10.04 crore people are males and remaining 9.53 crore people are females. Out of the total population, around 78% people are residing in rural areas and remaining in urban areas.

Table 3 : Uttar Pradesh State Population					
State	TRU	No. of HH	Total Population	Total Male	Total Female
Uttar Pradesh	Total	33448035	199812341	104480510	95331831
	Rural	25685942	155317278	80992995	74324283
	Urban	7762093	44495063	23487515	21007548

Source: Census of India, 2011

Table 4 shows the literacy population of Uttar Pradesh. Out of the total literate population of 11.43 crore, 6.83 crore males are literate and remaining 4.61 crores are female literates. Nearly 75% of the total literate populations are in rural areas.

Table 4 : Uttar Pradesh State Literacy Level				
State	TRU	Population Literate	Male Literate	Female Literate
Uttar Pradesh	Total	114397555	68234964	46162591
	Rural	85284680	51793688	33490992
	Urban	29112875	16441276	12671599

Source: Census of India, 2011

Table 5 shows the SC and ST population of Uttar Pradesh. Out of the total population of 19.99 crores, 4.13 crore (21%) population belongs to Schedule Cast and 11.34 lakhs belongs to Schedule Tribes, which is nearly 0.57% of the total population.

Table 5 : Uttar Pradesh State Population SC and ST			
State	TRU	Population SC	Population ST
Uttar Pradesh	Total	41357608	1134273
	Rural	35685227	1031076
	Urban	5672381	103197

Source: Census of India, 2011

Table 6 shows the Worker population of Uttar Pradesh. Out of the total population of 19.99 crore, 6.58 crores are working population. Out of these 4.98 crores are male worker and remaining 1.59 crores are female workers. Out of these only 21% (1.38 crores) are working in urban areas.

Table 6 : Uttar Pradesh State Worker Population				
State	TRU	Total Work Population	Total Male Worker	Total Female Worker
Uttar Pradesh	Total	65814715	49846762	15967953
	Rural	51950980	38352879	13598101
	Urban	13863735	11493883	2369852

Source: Census of India, 2011

i. District Varanasi, Uttar Pradesh

About Varanasi

Varanasi, one of world's oldest living cities, is rightly called the religious capital of India. Also known as Banaras or Benaras, this holy city is located in the south-eastern part of the state of Uttar Pradesh in northern India. It rests on the left bank of the holy river Ganga (Ganges), and is one of the seven sacred spots for Hindus. Varanasi a place for pilgrimage, and also known as a

great center of learning, and a place known for its cultural heritage in music, literature, art and craft.

It is a cherished name in the art of silk weaving. The Banarasi silk sarees and brocades are prized all over the world. The classical musical styles or 'gharanas' are woven into the lifestyle of the people and are accompanied by musical instruments that are manufactured in Varanasi.

The ancient city of Varanasi was not built in a day. The city has two remnants of a holy past: the first being Rajghat plateau, where the archaeological findings of wares date back to the period of very existence of urban settlement and the second being Sarnath, where Buddha gave his first sermon, "Turning the wheel of law" in 528 BC. Later during 3rd century King Ashoka built a monastery township there, which continued its existence till 12th century and was later destroyed.

Since ancient times the natural and cultural landscapes of the city have retained an active social role in contemporary society closely associated with the traditional way of life. The city is a place of pilgrimage and a holy site for sacred baths in the Ganga River, to have a good death, to get relief from transmigration, to learn and receive spiritual merit, etc. The city has still maintained its traditions. In spite of several downfalls and upheavals, traditions are fully alive even today¹.

Being the holiest city of Hinduism, the impact of the religion is found everywhere in the city – the chanting bells and the monotonous, but oddly soothing, chant of Sanskrit hymns, in the fragrant flower offerings, and the colored powders that are sold in a myriad roadside shops which decorate the foreheads of the devout, in the tens of thousands of worshippers and the thousands who offer them salvation or services.

Ghats with stairways along the Ganga with presence of "dying homes", charitable homes, pilgrims' rest houses, are some of the city's unique characteristics. Apart from that, silk weaving and sari making, metal, wood and terracotta handicrafts, toy making, particular painting forms, etc., comprise the continuity of historical and cultural tradition. Varanasi is famous for its fairs and festivals with respect to variety, distinction, time, sacred sites, performers, viewers and sideshows.

Varanasi town lies between the 25015' to 25022' North latitude and 82057' to 83001' East longitude. The River Ganga only here flows South to North having the world famous ghats on the left bank of the river. The highest flood level of river Ganga was 73.90m (1978) and the lowest river water level is approximately 58m. It is at an elevation of 80.71 metres above mean sea level.

Linkages and Connectivity

Varanasi is well connected by road, rail and air with other parts of the country. The distance from the major cities are Delhi-750 km, Lucknow-286 km and 125 km from Allahabad. There are three national highways i.e. NH-2, NH-56 and NH-29 and four state highways i.e. SH-87, SH-73, SH-74 and SH-98 passing through the heart of the city. The linkages provided by the National

¹ Prof. Rana B P Singh (2005), "Life in Historic Urban Landscape of Varanasi, a Heritage City of India", Geography Department, Banaras Hindu University, Varanasi, UP

highways are, NH 2- G.T. Road from Mughal Sarai to Allahabad; NH 29- Varanasi to Gorakhpur, Kushinagar; and NH 56- Varanasi to Jaunpur Lucknow.

These National Highways and state highways have high passenger traffic as these roads provide a good connectivity to the surrounding areas in the U.P. state as well as to metropolitan cities like Delhi and Kolkata. The Grand trunk road or NH2 forms the main transportation spine of the city.

A bypass is being constructed along the Eastern edge of the city to relieve the burden off NH-2. Another ring road is under consideration along the Western edge of the city to divert the traffic and provide better connectivity to the newer developments coming up in the Trans Varuna Region.

Varanasi is well connected by railways with broad gauge. There are three rail lines entering to the city from Lucknow, Bhadoi and Allahabad and is diverted in two lines to Gorakhpur and Mughal Sarai. The city lies on Delhi-Kolkata rail route of North Eastern Railways, which is the broad gauge. A rail line connects the town with Sarnath. The other cities having good connectivity through railways are Patna, Guwahati, Chennai, Mumbai, Gwalior, Meerut, Lucknow, Kanpur and Allahabad.

The town also has an airport at a distance of about 24 km away from the city. There are flights to Varanasi from Agra, Bhubaneshwar, Kolkata, Delhi, Gorakhpur, Khajuraho, Lucknow, Raipur and Kathmandu (Nepal). It is on a regular aviation route of Delhi to Kolkata and Bhubaneshwar. It is also the aviation gateway to Nepal.

Basic issues in Varanasi

There are several issues facing the millions of people who live and visit the city of Varanasi. By the time the Ganga reaches the end of the city, Ganga is polluted its waters are grey, stinking, and a breeding ground for water-borne diseases such as dysentery, cholera, and typhoid, among others. An estimated 66% of the local population of Varanasi faces some sort of water-borne disease each year.

The infrastructure of Varanasi has never been properly developed to fit the booming population. The sewage lines that exist today were created by the British for a population of 200,000. Many residents do not have access to any sort of toilet, and thus use the river banks. No proper solid waste disposal has ever been created for the city. Many residents do not have access to any sort of clean, purified drinking water. Thus they use the polluted Ganga for their everyday needs, such as drinking, bathing, cooking, and doing laundry. Further, the sewer lines and sewage treatment plants that are present in Varanasi do not work, as they rely heavily on electricity (and electricity does not work in the city for many hours every day). During monsoon season, the floods force these facilities to cease their function entirely. Thus, raw untreated sewage is directly dumped every day into the Ganga, Varuna, and Assi rivers at approximately thirty sources. This accounts for 95% of the pollution in Ganga at Varanasi, and it is making people sick.

The other 5% of the pollution in the Ganga at Varanasi comes from non-point sources, such as cremation grounds. Thousands of cremations happen along the banks of the river in Varanasi, and the river simply is filled with ash and half-burnt bodies

Varanasi district demographic profile

The demography, occupation pattern and the other socio-economic features of Varanasi is provided in this section of the report.

Table 7 shows the population of affected Varanasi district. Total population of Varanasi district is 36.76 lakhs (1.84% of UP). Out of which 19.21 lakhs are males and 17.54 are females. Out of these 15.59 lakh population resides in Urban areas.

Table 7 : Population of the District						
State	District	TRU	No. of HH	Total Population	Total Male	Total Female
Uttar Pradesh	Varanasi	Total	560162	3676841	1921857	1754984
		Rural	306978	2079790	1076526	1003264
		Urban	253184	1597051	845331	751720

Source: Census of India, 2011

The growth rate of population in Varanasi District declined between 1991 – 2001 from 33% to 17.15%, however in the past decade the growth rate has been about 25.16%.

Table 8 shows the literacy population of Varanasi district. Total literate population of Varanasi district is 24.03 lakhs. Out of which 13.89 lakhs are males and 10.01 lakhs are females. Literate population are more in rural areas (54.14%) than urban areas.

Table 8 : Literacy in the District					
State	District	TRU	Population Literate	Male Literate	Female Literate
Uttar Pradesh	Varanasi	Total	2403903	1389116	1014787
		Rural	1301232	769456	531776
		Urban	1102671	619660	483011

Source: Census of India, 2011

Table 9 shows the SC and ST population of Varanasi district. Out of the total population of 36.76 lakhs, 4.86 lakhs belongs to schedule caste and only 0.28 lakhs (5.88%) belongs to schedule tribes. Out of these 73.64% of SC and 67% of ST are in rural area.

Table 9 : SC and ST population of the District				
State	District	TRU	Population SC	Population ST
Uttar Pradesh	Varanasi	Total	486958	28617
		Rural	358612	19144

Table 9 : SC and ST population of the District

State	District	TRU	Population SC	Population ST
		Urban	128346	9473

Source: Census of India, 2011

Table 10 shows the worker population of Varanasi district. Total 12.20 lakhs people belongs to working class. Out of which 9.21 lakhs are males and 2.99 are females.

Table 10 : Work population of the District

State	District	TRU	Total Worker Population	Total Male Worker	Total Female Worker
Uttar Pradesh	Varanasi	Total	1220708	921234	299474
		Rural	695418	496488	198930
		Urban	525290	424746	100544

Source: Census of India, 2011

Table 11 shows the Tehsil population of Varanasi Tehsil. Total population of Varanasi Tehsil was 30.49 lakh, out of which 16.03 lakhs are males and 14.45 lakhs are females.

Table 11 : Tehsil Wise Population of district

District	Tehsil	TRU	No. of HH	Total Population	Total Male	Total Female
Varanasi	Varanasi	Total	467569	3049543	1603805	1445738
		Rural	216031	1463875	764427	699448
		Urban	251538	1585668	839378	746290

Source: Census of India, 2011

Table 12 shows the literacy of Varanasi Tehsil. Total 20.07 lakhs people are literate in Varanasi Tehsil. Out of which 11.57 are males and 8.50 are females.

Table 12 : Tehsil wise literacy population of District

District	Tehsil	TRU	Population Literate	Male Literate	Female Literate
Varanasi	Varanasi	Total	2007746	1157401	850345
		Rural	912382	542025	370357
		Urban	1095364	615376	479988

Source: Census of India, 2011

Table 13 shows the SC and ST population of Varanasi Tehsil. Total 3.69 lakhs are SC and 0.24 lakhs are females.

Table 13 : Tehsil wise SC and ST population of District

District	Tehsil	TRU	Population SC	Population ST
Varanasi	Varanasi	Total	369361	24012
		Rural	243343	14630

Table 13 : Tehsil wise SC and ST population of District				
District	Tehsil	TRU	Population SC	Population ST
		Urban	126018	9382

Source: Census of India, 2011

Table 14 shows the work population of Varanasi Tehsil. Total 10.01 lakhs population are working, out of which 7.76 lakhs are males and 2.24 are females.

Table 14 : Tehsil wise work population of District					
District	Tehsil	TRU	Total Worker Population	Total Male Worker	Total Female Worker
Varanasi	Varanasi	Total	1001113	776204	224909
		Rural	480279	354383	125896
		Urban	520834	421821	99013

Source: Census of India, 2011

ii. Ramnagar – location of the multi-modal IWAI terminal

Ramnagar is a city and a municipal board in Varanasi district in the Indian state of Uttar Pradesh. Ramnagar has a fort known as Ramnagar Fort which is still the residence of King of Varanasi (Benares). The demographic profile of Ramnagar is detailed in the ensuing section of this report.

Table 15 shows the population in the proposed terminal area in Ramnagar town. Total population of Ramnagar town is 49132.

Table 15 : Town where the Terminal is to be located along NW-1 - Population					
District and Tehsil	Village/Town	No. of HH	Total Population	Total Male	Total Female
District: Varanasi Tehsil: Varanasi	Ramnagar	7729	49132	26071	23061

Source: Census of India, 2011

Table 16 shows the SC and ST population in the proposed terminal area in Ramnagar town.

Table 16 : Town where the Terminal is to be located along NW-1- SC and ST population			
Tehsil	Village/Town	Population SC	Population ST
District: Varanasi Tehsil: Varanasi	Ramnagar	5340	191

Source: Census of India, 2011

Table 17 shows the Literate and work population in the proposed terminal area in Ramnagar town. 70% of the total Ramnagar town population is literate and 30% of the total population are working.

Table 17 : Town where the Terminal is to be located along NW-1 - Literacy and work population
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Tehsil	Village/Town	Population Literate	Male Liter ate	Fema le Liter ate	Total Worker Populat ion	Total Male Work er	Total Fema le Work er
District: Varanasi / Tehsil: Varanasi	Ramnagar	34400	19484	14916	14895	12794	2101

Source: Census of India, 2011

This location has a population of about 49000 and about 7700 households. However there is insignificant population being affected adversely due to this project development. The details of the adversely affected population is discussed in the section below.

iii. Social Impact assessment of project affected families/persons

The multi-modal terminal to be established at Ramnagar is covering an area of about 5.56 ha under the phase I activities. This location is on the banks of the river Ganga and will have a connectivity by road to the NH7. The area identified for the project development has been demarcated and shown in **Figure 1** below. In addition to this we have also provided a revenue map of the project location demarcated with the land parcels to be acquired under the project.

The project authorities, in this case the IWAI has already acquired the land from the private land owners through the Government of Uttar Pradesh. This transaction was carried out in 2010 through a Government Gazette order which was published by invoking the Public Purpose and the Emergency acquisition clause of the Land Acquisitions Act of 1894. The land acquisition details of the families that area losing land under this project is given in **Table 18**.

Table 18 : List of owners losing land under Ramnagar Terminal project								
Sl. No.	Project affected families	Khata No.	Ghata No./ Khasra	Total Area (ha)	Acquired Area (ha)	Total Amount	Paid Amount	Balance Amount
1	2	3	4	5	6	7	8	9
1.	Dinesh Singh, S/o.	2				6189310.00	6189310.00	0
	Indra Bahdur Singh		145	0.563	0.075			
	Ashok Kumar		150	0.191	0.178			
	Singh, S/o.		160	0.526	0.506			
	Indra Bahdur Singh		161	0.182	0.177			
	Santosh Kumar		162	0.287	0.278			
	Singh, S/o.		167	0.235	0.004			
	Indra Bahdur Singh		168	0.672	0.045			
	Santosh Kumar		242	0.344	0.332			
	Singh, S/o.		247	0.692	0.668			

	Indura Bahdur Singh Alok Kumar Singh, S/o. Indra Bahdur Singh							
2.	Bachha Ram, Jawahir S/o. Samu	17	151 245	0.036 0.012	0.035 0.011	125810.00	125810.00	0
3.	Lakshmi Prasad Rai, S/o. Phul Chand Ashok Kumar Rai, Ajay Kumar Rai Abhay Kumar Rai, S/o. Lakshmi Prasad Rai, Vibha Rai, W/o. Anil Kumar Rai, Mangal Soni, S/o. Mukund Lal Soni	27	151 243 244 245 246	0.150 0.231 0.173 0.053 0.174	0.145 0.172 0.171 0.052 0.174	1679290.00	1679290.00	0
4.	Raj Kumari Devi, W/o. Devindar Bahdur Singh, Gopal Singh, Gyanendar Bahdur	28	148 152 153 159 169 239 241 248 249 249/255	0.392 0.474 0.510 0.170 1.011 0.024 0.113 0.498 0.304 0.073	0.110 0.468 0.493 0.164 0.640 0.012 0.107 0.481 0.252 0.036	7283311.00	1709580.00	Rs. 5573731 deposited with Govt.

	Singh, S/o. Devendar Bahdur Singh							
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In accordance with the above the affected families have obtained the compensation provided by the government. However one person has not drawn the compensation money from the government account. All the owners have approached the district administration for enhancement of the compensation amount. The owner that has not drawn the compensation is also awaiting the result of the enhancement of the compensation.

The land is already in the possession of the IWAI and they have initiated civil works on ground. They are also utilising a temporary access for construction activities presently in progress. The project consultant team is in the process of identifying these owners and work out the appropriate compensation for temporary damages during this construction phase.

The other land area that will be acquired for the access road connecting the Ramnagar terminal to the NH7, is about 5.56 ha. The land owners of this site have also been identified and a copy of the same is given in **Figure 1**.

Figure 1: Project area – Ramnagar Terminal

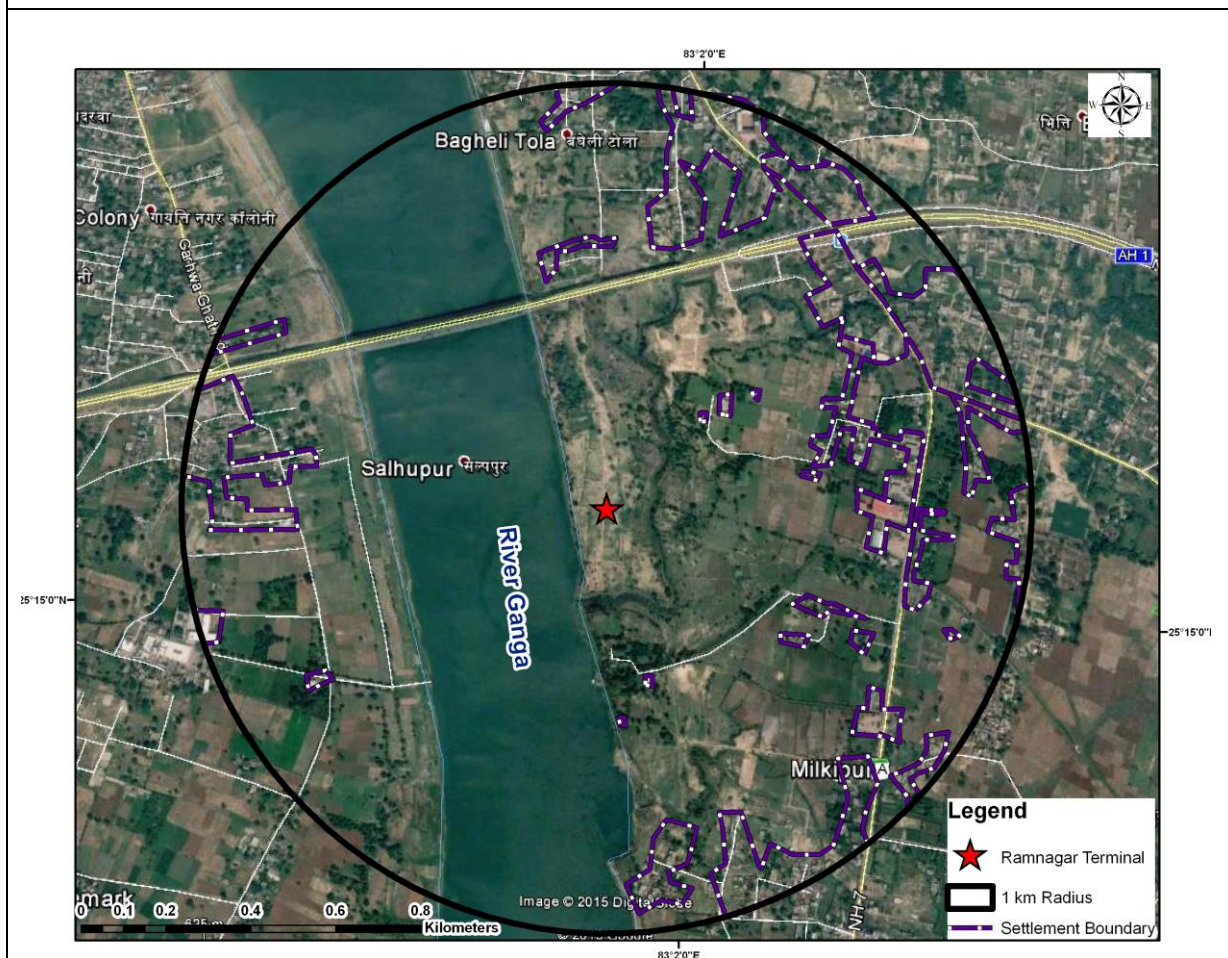


Figure 2: Ramnagar Terminal – Revenue map with the affected plots marked for Terminal and the Access Road



CHAPTER 4 PUBLIC CONSULTATIONS AND DISCLOSURE

4.1. Introduction

Public consultations are important for any investment in infrastructure development project. This is an important tool to ensure peoples' participation in the planning and implementation phase of the project. The aim of the public consultation is to make the people aware about the developmental activities being undertaken in their locality and to incorporate their views for making sustainable plan during the design and to have successful completion of the project.

In this project various consultations with stakeholders at different stages of the project preparation were undertaken and issues related to local needs, problem and prospects of resettlement, compensation options etc. were discussed. The project will therefore ensure that the affected people and other stakeholders are informed, consulted, and allowed to participate actively in the planning and development process. This will be done throughout the course of the project, both during preparation, implementation, and monitoring of project results and impacts.

The need for public consultation for this kind of an intervention is many folds. Following points were considered while conducting the public consultations as major objectives.

- I. Informing people about the project, its objectives and potential impacts.
- II. Understand the views of the people affected, with reference to use of land.
- III. Understand views of people on resettlement options, if any.
- IV. Identify and assess major economic and social characteristics of the villages to enable effective planning and implementation of rehabilitation.
- V. Resolve issues related to impacts on community property and their relocation, if any.
- VI. Identify levels and extent of community participation in project implementation and monitoring.
- VII. To establish an understanding for identification of overall developmental goals and benefits of the project.
- VIII. To develop a thorough coordination between the stakeholders for the successful implementation of the project.

4.2. Methods of Public Consultation

Public consultations in the project area were held on 24.6.2015 at Balwa Ghat under Rampur town near the proposed terminal location. The following methodology has been adopted for carrying out public consultations in this project:

- Disseminating information on the project development and the general consultations that were being held.
- Walk over survey and discussion with people within the affected area.
- Individual interviews with affected people.
- Sharing the opinions and preferences of the affected persons/ family.

The methodology adopted included providing information to the affected families (fishermen, boatman and squatters), the Village Revenue officials and the members of the affected families through the field team of the consultant. The appropriate date, time and the venue were also finalized in consultation with the affected people and conducted at a convenient location in

concurrence. The invitation was given through individual contacts at the site. The extensive discussions at individual levels during the field survey facilitated in finalizing the issues to be discussed during the Public Consultations. Thus the Public Consultations were extensive and effective. The target stakeholders' that were contacted during the Public consultations are given

Table 19 : List of stakeholders contacted during Public Consultations		
Sl.No	Stakeholders	Name and designation
1	IWAI-Varanasi	Mr AK Misra (Deputy Director) Mr Brijesh (Land acquisition In charge)
2.	Special Land Acquisition officer	Mr. Rajinder Prasad (Special Land Acquisition officer)
3.	Health Department	Dr MP Chaurasia Chief Medical Officer Varanasi
4.	Varanasi Vikas Paradhikaran Banaras Development Authority	Mr Tej Pratap (City Planner) Mr Gopal Krishan (Executive Engineer –VDA)
5	District Statics department Varanasi (Vikash Bhawan)	Rapesh Kumar (DESTO) 541 525214
4	PWD	Satya Prakash Chief Engineer (Varanasi Circle)
5	PMGSY	Mr MP Singh Administration Office (9621626963)
6	Agriculture department	DISTRICT Agriculture office Varanasi Vikas Bhawan
7	Irrigation Department (Sigra)	Raghuveer Sarev (S.E) OP Srivastava Chief Engineer
8	Ramnagar (Balauva Ghat)	Fishermen, Boatmen and Squatters at Ghat
9	Banaras Hindu University	Prof N.K Dubey (FNASC) (9838602197) Prof B D Tripathy (UGC-BSR Faculty fellow BHU, Ganga Pollution Research) (94152 25011)
10	Jal Nigam	Mr. SP Srivastava (Chief Engineer)
11	PWD Urban Part	Mr. Rapesh Rajvanshi
12	UPSIDC Varanasi	Mr. Subhash Tripathy (9935757014)
13	District Industries Centre	Mr Umesh Kumar Singh Joint Commissioner Industries
14	Ganga Pollution	Mr. Ramesh Chaudhary GM
15	BHU	Zoology Department Ms. Usha Kumari Senior Research Fellowship

in Table 19.

4.3. Institutional Stakeholders

- Special Land Acquisition Officer
- IWAI
- Banaras Development Authority
- Health Department
- District Statistical Department
- PWD Rural and Urban
- PMGSY
- Agriculture Department
- Irrigation Department (Sigra)
- BHU
- Jal Nigam
- UPSIDC
- DIC

Community Consultations

- Village elders and leaders
- Affected families
- Vulnerable groups

In addition to the above consultations, the project team provided information to the affected population and the communities about the project developments. All suggestions about the alignment.

However, at the implementation stage the executive summary of this RP will be translated in the local language and distributed amongst the affected population. A copy of the Detailed RP will be available with the respective local Administration and the Implementing Agency at the field level for the affected population. The land acquisition details is as per the Land Acquisition Act, which will be published in the local papers in local language for easy access and understanding of local population.

The key findings of the stakeholder consultation details have been provided below:

4.4. Institutional Consultations

Consultations at the institutional level was to understand the proposed infrastructure development projects around proposed NW-1 project. It came out with the discussion that no infrastructure development project will cause any adverse impact on the NW-1 project. The planned projects will facilitate the NW-1 project; i.e. road connectivity with the terminal, sewage treatment for clean Ganga.

4.5. Affected Person's (Land Acquisition) Consultation

Land Acquisition for the terminal was carried out and the affected families have approached the DC for higher compensation.

4.6. Direct/Indirect Affected Person's Consultation

Consultations were carried out with the fishermen, boatmen and Squatters at the Balwa Ghat near the proposed terminal. The outcome of the consultations are as follows:

- People were happy with the NW-1 project.
- Fishermen sell their catch near the ghat in the evening and the provision to continue the same should be ensure.
- Ghat is also used for various religious activities, which give them livelihood and are looking for continued livelihood activities during project work phase.
- Squatters are happy and looking for new and enhanced livelihood/ business opportunities.
- Villagers informed that forest department is not allowing their boats for fishing, which is affecting their livelihood and government should allow fishing or provide them work in project as per their skill and education background.
- Awareness programs may be taken up by the Government agencies to update the project activities on regular basis.

4.7. Remarks

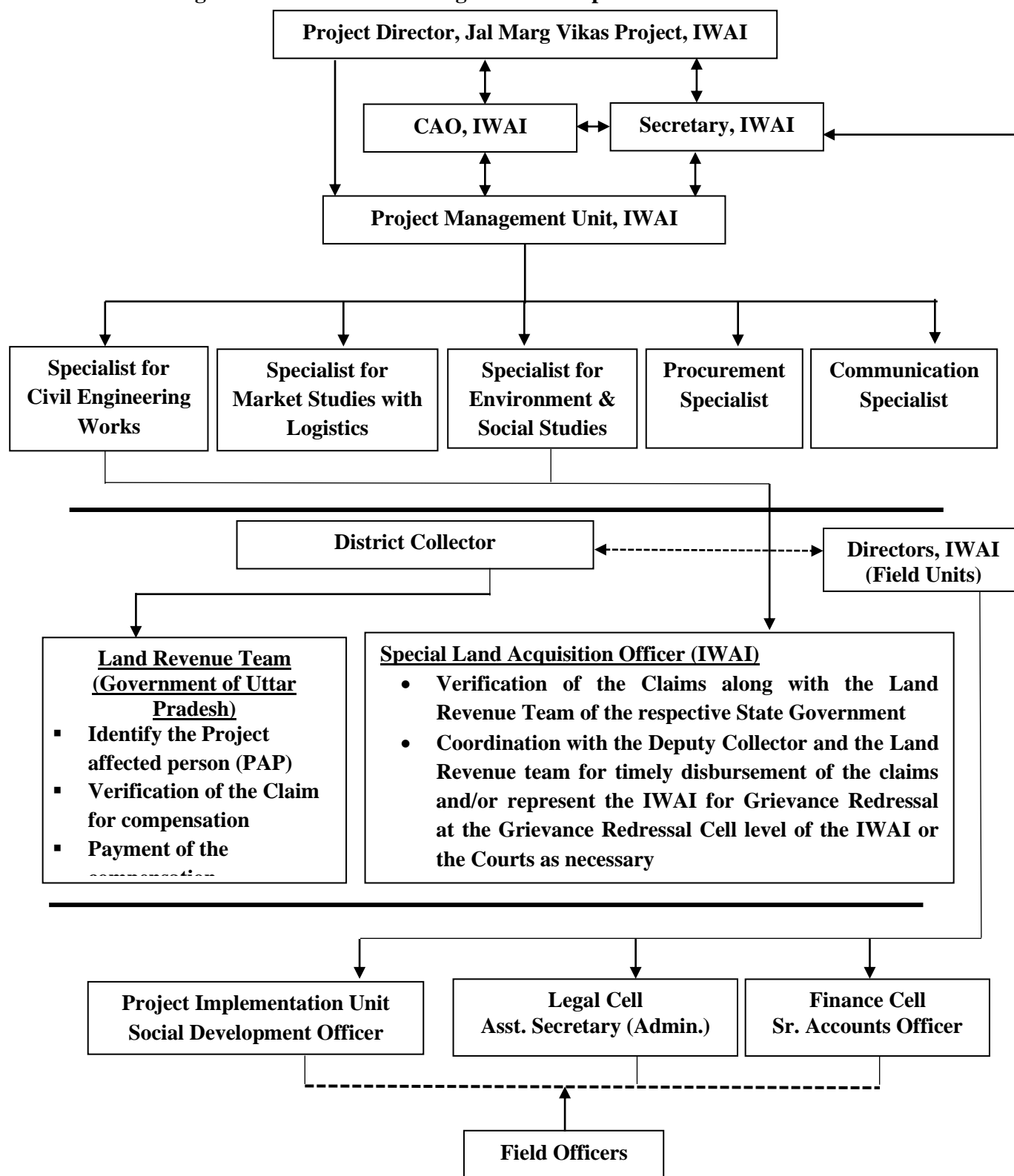
Social Assessment (SA) has been carried out as part of the entire study. Under the study, basic social investigations were carried out to collect views and opinions of different stakeholders of the project area. The main objective of the SA under this project was to carry out an assessment on prevailing socio-economic condition and likely impacts of the project and prospects in connection with the proposed structures and interventions of the project.

A further study in detail (if required) will be carried out once the land acquisition and related activities are complete to identify the project-affected household, their socio-economic condition and assessment of their land and properties to be affected under the project. A resettlement and rehabilitation plan will be prepared giving due attention to the socio-economic condition of the PAFs, and other vulnerable and indigenous groups of people likely to be affected due to the implementation of project.

CHAPTER 5: INSTITUTIONAL ARRANGEMENT

The institutional mechanism for implementation of the RAP/SMP will be the responsibility of the Project Director, IWAI. He would be supported by a team of subject specialists and the existing institutional framework of the PMU and the PIU for this project. This has been indicated in Figure 3 and all these will be part of the PMU.

Figure 3: Institutional Arrangement for implementation of the RAP/SMP



In accordance with the above institutional structure the roles and responsibilities for each officer has been specified in the **Table 20**. The IWAI officials will have regular interaction on a day-to-day basis with the Revenue Department, which will facilitate timely land acquisition and disbursement of the R&R Package and assistances as necessary for effective implementation of the RAP/SMP.

Table 20 : Roles and Responsibilities for Implementation of the RAP/SMP Implementation and Monitoring Unit			
No.	Designation	Responsibility	Unit
1.	Project Director – PMU IWAI	<ul style="list-style-type: none"> – Overall implementation of the RAP/SMP. – Coordination with the RR and LA team on a regular basis. – Timely disbursement of the RR and assistances as necessary. – Address Grievances on RR issues with the relevant team. – Timely arrangement of funds for payment of compensation and assistances under the project from the government as necessary. – Briefing IWAI Management on progress of activities on the RR and resolving any issues that may need their intervention for expediting the clearance of the encumbrances from the Project site. – Coordination with all the stakeholders on RR issues as necessary. – Any other activities related to the RR will be addressed accordingly by this officer accordingly. 	– PMU - ESMC
2.	Deputy Collector – Land Acquisition (Revenue Department)	<ul style="list-style-type: none"> – Overall acquisition of land. – Coordination with the LA team on a regular basis. – Timely disbursement of the LA compensation as necessary. – Address Grievances on LA issues with the relevant team. – Timely arrangement of funds for payment of compensation under the project from the government as necessary. – Briefing IWAI and the Government of Uttar Pradesh on progress of activities on the LA and resolving any issues that may need their intervention for expediting the clearance of the encumbrances from the project site. – Coordination with all the stakeholders on LA issues as necessary. – Any other activities related to the LA will be addressed accordingly by this officer accordingly. 	– Revenue Department
3.	Specialist for Social studies	<ul style="list-style-type: none"> – Overall acquisition of land and RR activities. – Coordination with the LA and RR team on a regular basis. – Timely disbursement of the LA compensation and 	– PMU

Table 20 : Roles and Responsibilities for Implementation of the RAP/SMP Implementation and Monitoring Unit

No.	Designation	Responsibility	Unit
		RR packages as necessary. – Timely availability of the land for the construction activities free of encumbrances. – Address Grievances on LA and RR issues with the relevant team. – Timely arrangement of funds for payment of compensation and assistances under the project from the government as necessary. – Briefing IWAI and the Government of Uttar Pradesh on progress of activities on the LA/RR and resolving any issues that may need their intervention for expediting the clearance of the encumbrances from the project site. – Coordination with all the stakeholders on LA/RR issues as necessary. – Any other activities related to the LA/RR will be addressed accordingly by this officer accordingly.	
4.	Director – PIU IWAI	– Collect the LA/RR information through their teams and compile for finalization of the PAPs and disbursement of the LA compensation and R&R assistances. – Engage in grievance redressal along with the local administration and the DC as necessary. – Verification and compilation of all land ownership from the records and examination at the field level along with the field assistants for identification of PAPs as necessary. – Provide information as necessary for grievance redressal.	– PIU
6.	Social Development Officer – PIU IWAI	– Overall LA and RR activities which involve addressing the issues related to identification of the titleholders, encroachers, squatters, tenants as necessary. – Ensuring that the compensation, assistances and other allowances as per the entitlement framework is provided to the affected families. – Coordination with local government bodies in relocating the encroachers and squatters as necessary under other schemes and appropriately. – Arranging for timely availability and disbursement of funds to this category of impacted persons or families so that the encumbrances are cleared from the project site. – Grievance redressal of all vulnerable groups as required with coordination with the government. – Briefing the IWAI and the Government of Uttar Pradesh on R&R issues for timely action during	– PIU

Table 20 : Roles and Responsibilities for Implementation of the RAP/SMP Implementation and Monitoring Unit

No.	Designation	Responsibility	Unit
		implementation. – Any other issues that may be related as necessary will be responsibility of this officer on R&R issues.	
8.	Legal Cell – Assistant Secretary (Admin)	<ul style="list-style-type: none"> – Support the IWAI PMU/PIU - ESMC in all legal matters related to land acquisition, ownership issues, encroachers and squatters, if any. – Coordination with local government bodies in relocating the encroachers and squatters as necessary under other schemes and appropriately. – Coordinating all legal cases if any for timely clearance for project implementation. – Conflict resolution. – Grievance redressal of all vulnerable groups as required with coordination with the government. – Any other issues that may be related as necessary on LA and RR issues. 	– PIU
9	Finance Cell – Senior Accounts Officer	– Assist the IWAI Team in all financial matters.	– PMU/PIU
10.	Field Officers	– Provide all support at the field level to the PMU and PIU for effective and timely implementation of the LA and RR activities.	– PIU

The overall responsibilities also include:

- Monthly meeting to monitor the disbursement of LA and R&R package done by Revenue department.
- To facilitate the Revenue team for payment related issues.
- To resolve any legal issues related to R&R package

In accordance with the above, the designated IWAI team to implement the RAP/SMP will be provided appropriate training on Social Impact assessment, formulation of the Rehabilitation and Resettlement Framework and preparation of the rehabilitation and resettlement action plan along with the implementation, monitoring and evaluation processes. This training will be combination of both, class room training and field trip exposure, that will provide hands on experience on the implementation of an RAP/SMP in a neighbouring state where a similar project is being implemented through an international funding agency support.

CHAPTER 6: GRIEVANCE REDRESSAL

6.1. Introduction

The general grievances under the project include issues related to land acquisition, loss of structures and the loss of livelihood. In addition to the titleholder's issues there could also be issues related to the non-titleholders' that may be affected during the project development or implementation. These category of people also should be provided equal opportunity to voice their grievances and be redressed accordingly. The enactment of the RTFCTLARRA, 2013 has indicated that all titleholder/non-titleholder issues would be under the jurisdiction of the respective state governments. However there could be some involvement of the project utilities, in this case the IWAI in resolving any such non-titleholder issues at their level if possible.

In this context we have proposed a different levels of grievance redressal under this project. All issues related to the land or RR would be within the jurisdiction of the Project Management Unit (PMU) at the Central level as it is established within the headquarters of the IWAI. To support the PMU there have been various Project Implementation Units (PIUs) established at the field level. These PIUs provide all necessary support in successfully implementing and execution of the project activities, which includes support in providing the land for the project development free of all encumbrances.

In accordance with the SIA study, IWAI has formulated a Rehabilitation and Resettlement Policy that includes the Entitlement Framework. In accordance with this the RAP/SMP has been prepared to mitigate the adverse social issues under the project. This RAP/SMP is a tool prepared as per the guidelines of the World Bank. This gives emphasis on addressing adverse social issues under development projects funded by them.

In accordance with this the grievance redressal mechanism has been proposed under this project to address adverse social issues, conflicts and grievances of the project affected persons or families as applicable.

6.2. Objective

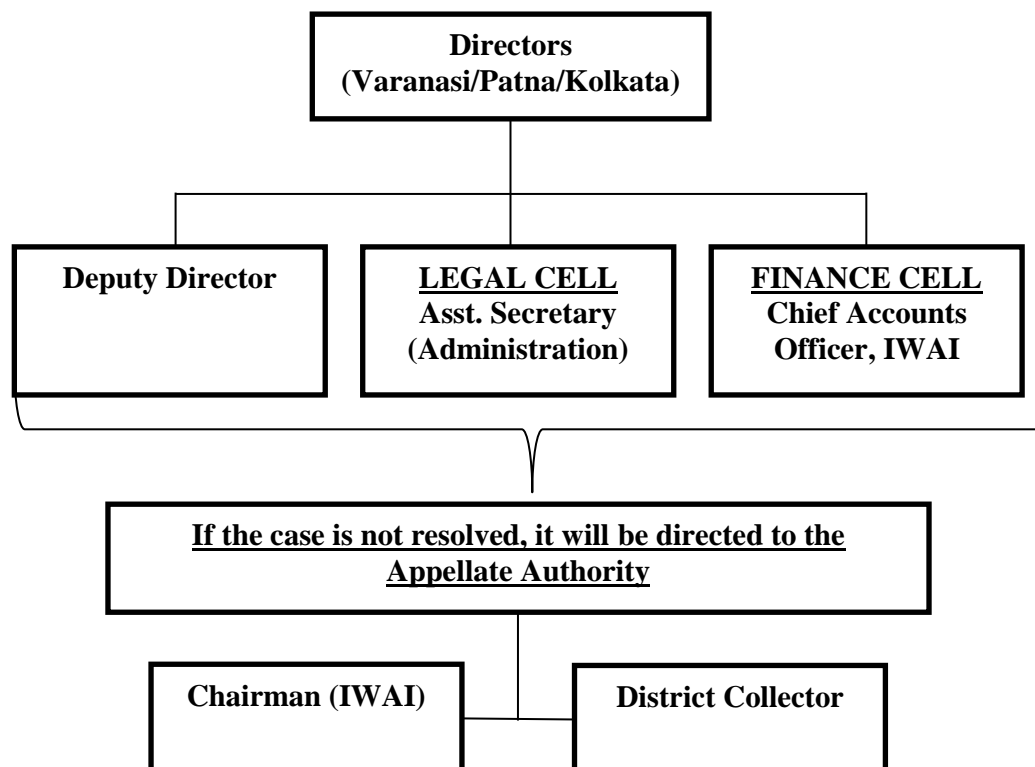
The main objective of the Grievance Redressal Committee that will be established within IWAI is to provide a Cell wherein the grievances of the project affected persons/families will be addressed unbiased and fairly within the ambit of the laws of the land.

6.3. Grievance Redressal Committee

The GRC will be headed by the Project Director who will be provided with the authority to take decisions on all matters in consultation with the team comprising of Directors at the PIU level. However these will be supported by the Deputy Directors and the legal cell of the IWAI. The IWAI and the LA Team of the Revenue Department will be responsible for any matters of the LA. In case the conflict or grievance is not resolved then this would be referred to the Appellate

Authority at the District level. In addition to the above team the Representatives of the affected persons/families (including from vulnerable groups), Representative from the Local Administration and any other officer as the IWAI may be designated on a case to case basis as necessary. The framework of the GRC is given in **Figure 4**.

Figure 4: Grievance Redressal Cell



The grievances will be filed with the GRC that would be housed within the IWAI PMU and the PIU field offices by the aggrieved person/family and then examined for redressal accordingly. Based on the category of grievance the GRC will initiate the consultation process to address the grievance. This could be with the entire team of the GRC or the relevant officers for the redressal. The categories of the grievances will be classified based on the impacts as defined in R&R Framework.

The GRC has the power to resolve the issues or reject grievances that are not legitimate.

The GRC will meet at least once a month and will deliver the decision within four weeks of the case being placed before the GRC. The functions of the GRC are:

- Provide support to Affected families/persons on problems arising out of their land/property acquisition and/or eviction from the construction area of the project identified land;
- Record the grievance of the Affected families/persons, categorize and prioritize the grievances that need to be resolved by the Committee;

- Report to the aggrieved parties about the developments regarding their grievances and the decision of the Project authorities.
- Affected families/persons who are still not satisfied with the GRC decision have the right to forward their complaints to the court.

Grievances will be entertained only for a period of one year from the date of initiation of implementation of RAP/SMP. All efforts will be made to resolve the issues at the GRC level and avoid the judicial process to minimize litigation as much as possible. All compensation and other assistances will be paid to all affected families/persons prior to commencement of civil works.

CHAPTER 7: MONITORING AND EVALUATION

7.1. Introduction

Monitoring and evaluation (M&E) is conducted at two levels, i.e., internal and external. The internal M&E is conducted by the Executing Agency that is IWAI. In order to carry out effective and objective M&E, periodic review has to be done in identifying the gaps and accordingly methodologies to be adopted to fill them by way of the social mitigation measures. The external M&E is necessary to be conducted through third party Evaluation as per the requirements of the funding agency which will be unbiased and will facilitate in undertaking appropriate corrective action for effective implementation. This will be conducted during the implementation of the RAP/SMP on a mid-term and an end-term evaluation for the project. This section of the report indicates the process adopted to conduct monitoring and evaluation criteria for the effective implementation of the RAP/SMP.

7.2. Monitoring Indicators

The monitoring indicators those will enable to identify the appropriate implementation of the RAP/SMP are given in **Table 21**.

Table 21 : Monitoring Indicators for RAP/SMP Implementation					
Sl. No.	Indicator	Present Impact (Nos/area as applicable)	Present Status Completed /Relocated (during implementation of the RAP/SMP)	Post Implementation Scenario (Atleast 6 months from implementation of the RAP/SMP station wise)	Remarks
1.	Total number of land parcels affected				
2.	Total number of Affected families losing land				
3.	Total number of affected families that received compensation for loss of land				
4.	Total number of affected families that did not receive compensation for loss of land				
5.	Total number of affected families that received compensation for loss of				

Table 21 : Monitoring Indicators for RAP/SMP Implementation

Sl. No.	Indicator	Present Impact (Nos/area as applicable)	Present Status Completed /Relocated (during implementation of the RAP/SMP)	Post Implementation Scenario (Atleast 6 months from implementation of the RAP/SMP station wise)	Remarks
	land and have approached the DC for enhancement of the compensation				
6.	Total number of affected families that received compensation for loss of land and have approached the DC for enhancement of the compensation and received the same				
7.	Total number of affected families that received compensation for loss of land and have approached the DC for enhancement of the compensation and not received the same				
8.	Grievance registered				
9.	Grievance redressed				
10.	Conflict continuing and resolution in process at the Government level				

7.3. Evaluation criteria and periodicity

In order to conduct an objective implementation of the RAP/SMP a periodic evaluation (initially will be quarterly, and followed by a mid-term and end term evaluation) will be carried out by the IWAI. This evaluation will involve identifying the gaps between the implementation of the RAP/SMP and the mitigation measures proposed in the RAP/SMP. Any gaps thus identified will be discussed and corrective actions will be designed for timely implementation. The evaluation criteria will involve examining the following issues:

7.4. Output

The number of affected families and persons against the number actually compensated or assistances disbursed. The payment of the relocation assistance, the transition assistance, and the

shifting allowance, etc. is also to be enlisted and verified. In case there has been any lapse in conducting the activities as prescribed, then corrective actions will be provided on a case to case basis. This will also enhance the confidence of the PAPs towards the executing agency about the positive approach to the PAPs problems and issues.

7.5. Outcome

The evaluation will also examine the quality of life with respect to the income levels of the persons or families that are losing livelihood and business structures. There will be direct comparison of the income level in pre-project period and at post project implementation stage. If there are any families that are impoverished or went below poverty line, lost livelihood, etc. due to the project development, measures will be suggested to address the same.

Similar issues will be examined and evaluated on a timely basis to ensure the effective implementation of the RAP/SMP.

CHAPTER 8: IMPLEMENTATION SCHEDULE

The implementation of the RAP/SMP should be the priority of IWAI (the implementation agency).

Thus, the implementation of the RAP/SMP should be planned in line with the civil works those are proposed on the stretches of the IWAI.

The implementation schedule is provided in **Table 22** below. The total implementation duration considered is 1 year from the initiation of the activities on the RAP/SMP implementation which includes the institutional arrangement/ mechanism that is required to be positioned with appropriate delegation of roles and responsibilities within the IWAI. The 1 year considered includes implementation of RAP/SMP and addressing the grievance if any. In addition to this the related activities on the rehabilitation are time consuming and thus this duration has been recommended. In case these activities can be completed in a shorter duration it is considered as success of the implementation agency.

The implementation of the RAP/SMP will be carried out by the Institutional Mechanism under the aegis of Project Director. The financial support, the administrative and government level intervention in facilitating the implementation of the RAP/SMP will be provided by IWAI.

Table 22 : RAP/SMP Implementation Schedule					
Sl. No.	Activities	Year 2015-16			
		Q1	Q2	Q3	Q4
I	Institutional Mechanism				
a	IWAI Team for Implementation of the RAP/SMP	+			
b	Training and Capacity Building to the IWAI Team	+			
c	Third Party Agency for Monitoring and Evaluation of the /RRAP	+			
d	Formation of the Grievance Redressal Committee	+			
II	Implementation of the RAP/SMP				
a	Public Disclosure of the Entitlement Matrix	+			
b	Public Discussion on the Entitlement Matrix	+			
c	Verification of the ownership records and finalization of the AFs/APs	+			
e	Disbursement of the Compensation/Assistances AFs/APs	*	*	*	*
d	Notice to AFs/APs for vacating the affected structures/land as may be necessary from the required construction width	*	*	*	*
III	Grievance Redressal	*	*	*	*
IV	Monitoring and Evaluation		*	*	*
V	Deliverables				
a	Monthly (1st week of every month) 24 reports	++	++	++	++
b	Half yearly (1st week of month) 4 reports		++		++
c	Annual (End of 12th month) 2 reports				
d	Implementation Completion Report (End of the RRAP activities)				

Legend:	
Completed activity	+
Ongoing activity	*
Submissions	++

CHAPTER 9: BUDGET ESTIMATES

The budget estimate for implementation of the RAP/SMP includes the following heads and the detail of the budget estimate is provided in **Table xx**. The budgeted items include:

- Loss of Land
- Subsistence cost
- One Time Resettlement Cost
- One Time Grant
- Transportation cost
- One Time Grant to the Employee cost

The total budget (**Table 23**) will include the Land, Structure and assets to this land and structure and the rehabilitation and resettlement cost to be incurred under the project as applicable. However at this stage the cost of Rehabilitation and resettlement is included. The cost of the Land, Structure and assets to this land and structure will be gathered from the Revenue department and then included into the total budget cost. The Rehabilitation and resettlement cost is **Rs.1,52,77,721.00 (Rupees One Crore Fifty Two Lakhs Seventy Seven Thousand Seven Hundred only)** (15.27 million INR – approximately USD 0.25 Million USD @Rs.63 per USD).

Table 23 : Estimated Budget for implementation of the RAP/SMP

S. No.	Item	market value of land/ structure / acre	Quantity (ha/no.)	Total Land/structure cost	Distance from urban area multiplying illustrative factor (1)	Cost
A	Land Acquisition (Schedule 1)		5.56 ha	1,52,77,721		15277721
1.	Land Value					0
2.	<i>Structures on land</i>					0
3.	<i>Standing crops/ plants</i>					0
4.	<i>Trees</i>					0
5	<i>Misc. assets dug well</i>					0
6.	<i>Misc. assets tube well</i>					0
7.	<i>Misc. assets water</i>					0

Table 23 : Estimated Budget for implementation of the RAP/SMP

	<i>tank</i>					
8.	<i>Misc. assets water tap</i>					0
9.	<i>Misc. assets retaining wall</i>					0
10.	<i>Loss/change of residence</i>					0
11.	<i>Loss/change of business</i>					0
12.	<i>Livelihood loss</i>					0
13.	<i>any other loss of benefit due to equity, justice or social</i>					0
14.	<i>Diminution of profit (from the date of declaration under section 20 and taking possession)</i>					0
Compensation for Land/Structure and assets attached to the land / structure (Sec 26-29)						0
Solatium (100%) (Sec 30(1))						0
Compensation including Solatium						0
Additional 12% as per section 30(3) on market value from the date of publishing under section 4(sub-section 2) and taking possession					1 year considered	0
Sub Total A – Compensation						15277721
B	Rehabilitation and Resettlement (Schedule 2) Refer Sec: 31(1), 38(1) and 105 (3)					
	Particulars	No. of Families (Above 18 Years)	Entitlement		Amount	
1.	<i>Provision of housing units lost (considering not opting for house under Indira Awas</i>		150,000		0	

Table 23 : Estimated Budget for implementation of the RAP/SMP

Table 23 : Estimated Budget for implementation of the RAP/SMP						
	<i>Yojan in rural or constructed house in urban area). This is to be provided to non-titleholders also residing in the area for more than 3 years. Amount for not opting for house.</i>					
2.	Annuity or job			500,000		
3.	Subsistence allowance for 1 year			36,000		
4.	Additional Subsistence allowance for SC & ST			50,000		
5.	Transportation cost			50000		
6.	Cattle shed compensation			25000		
7.	Petty shop			25000		
8.	One time grant to artisan, traders etc. (Commercial)			25000		
9.	One time resettlement allowance			50000		
Sub Total B – Rehabilitation Cost					0	
C	Offer for developed land 20% of the land acquired (equivalent amount to be deducted from total compensation)					
	Particulars	No. of AFs	Acquired Land	Offered Land	Total cost to be deducted	Amount
1.	20%	0	0	0	0	0
Sub-total C – Cost of developed land					0	

Table 23 : Estimated Budget for implementation of the RAP/SMP						
D	SC & ST Land for Land or 2.5 acres whichever is lower					
	Particulars	No. of AFs	Acquired Land	Given Land	Land cost	Amount
1.	Land for Land	0	0	0	0	0
Sub-total D – SC/ST Land for Land cost						0
E	Stamp Duty by IWAI on land (put stamp duty rate on land transfer from individual to IWAI)					0
F	Stamp Duty by IWAI on structure (put stamp duty rate on structure transfer from individual to IWAI)					
Sub-total E – Total Stamp duty						0
Total Compensation and Rehabilitation Cost – IWAI Outflow (A+B+C+D+E)						15277721
COMPENSATION STATUS			Amount			
			Total Cost	Status Paid	Status Paid	Balance
			15277721	0	0	15277721