RESETTLEMENT POLICY FRAMEWORK
FOR
KANPUR METRO RAIL PROJECT

UTTAR PRADESH METRO RAIL CORPORATION LTD.

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<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>BPL</td>
<td>Below Poverty Line</td>
</tr>
<tr>
<td>CPM</td>
<td>Chief Project Manager</td>
</tr>
<tr>
<td>DC</td>
<td>District Collector</td>
</tr>
<tr>
<td>DM</td>
<td>District Magistrate</td>
</tr>
<tr>
<td>DPR</td>
<td>Detailed Project Report</td>
</tr>
<tr>
<td>EIB</td>
<td>European Investment Bank</td>
</tr>
<tr>
<td>FGD</td>
<td>Focus Group Discussion</td>
</tr>
<tr>
<td>GOI</td>
<td>Government of India</td>
</tr>
<tr>
<td>GoUP</td>
<td>Government of Uttar Pradesh</td>
</tr>
<tr>
<td>GRC</td>
<td>Grievance Redressal Committee</td>
</tr>
<tr>
<td>IFI</td>
<td>International Financial Institution</td>
</tr>
<tr>
<td>LAA</td>
<td>Land Acquisition Act</td>
</tr>
<tr>
<td>LAC</td>
<td>Land Acquisition Collector</td>
</tr>
<tr>
<td>KDA</td>
<td>Kanpur Development Authority</td>
</tr>
<tr>
<td>UPMRC</td>
<td>Uttar Pradesh Metro Rail Corporation</td>
</tr>
<tr>
<td>KMRP</td>
<td>Kanpur Metro Rail Project</td>
</tr>
<tr>
<td>NRRP</td>
<td>National Rehabilitation and Resettlement Policy</td>
</tr>
<tr>
<td>PAF</td>
<td>Project Affected Family</td>
</tr>
<tr>
<td>PAP</td>
<td>Project Affected People</td>
</tr>
<tr>
<td>PIU</td>
<td>Project Implementation Unit</td>
</tr>
<tr>
<td>PP</td>
<td>Project Proponent</td>
</tr>
<tr>
<td>RAP</td>
<td>Resettlement Action Plan</td>
</tr>
<tr>
<td>RTFCLARRA</td>
<td>The Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act, 2013</td>
</tr>
<tr>
<td>SEMU</td>
<td>Social and Environmental Management Unit</td>
</tr>
<tr>
<td>SIA</td>
<td>Social Impact Assessment</td>
</tr>
<tr>
<td>UP</td>
<td>Uttar Pradesh</td>
</tr>
</tbody>
</table>
Definitions

The Resettlement Policy Framework (RPF) is an important document which will guide anticipated resettlement and rehabilitation that may be caused due to the project activity. Hence, it is imperative that various terms and terminologies as well as expressions are clearly understood. There are many terms used in this Resettlement Policy Framework (RPF) which may need explanation. Hence, the definitions of such terms have been given in this section. It is hoped that after this explanation, there shall be no ambiguity in the RPF.

a) **Acquired land** means the land acquired under the Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act, 2013 or any other applicable GOs for the Kanpur Metro Rail Project.

b) **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;

c) **Affected Area** means such area as may be notified by the Government of U.P under the relevant land acquisition acts for the purposes of land acquisition for the Project;

d) **Affected family** means:

i. A family whose land or other immovable property has been acquired for the Kanpur Metro Rail 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. A family without formal title of ownership or use but who have established usage of public or private land by investing in immovable objects, crops woods, trees, fruit bearing trees, vineyards, the age of crops and the time needed to reproduce them;

e) **Compensation** refers to the amount paid as compensation under various provisions of the RTFCTLARRA 2013, or the GOs of GoUP or as per policy of UPMRC for private property, structures and other assets acquired for the project, excluding rehabilitation and resettlement entitlements as per this policy.

f) **Cut off Date** is the date of first notification for land acquisition for the project under applicable Act or Government Order in the cases of land acquisition affecting legal titleholders. For the Non-Title holders cut-off date would be the date of Census Survey;

g) **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 labourer, landless person (not having home stead 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.
h) **Employee** means an individual engaged by a displaced commercial establishment in the Acquired Land, for compensation under a contract for employment whether express or implied on cut off date.

i) **Encroachers** are those persons who have extended their building, business premises or work places or agriculture activities into government lands.

j) **Family** means a person, his or her spouse, parents, children, brothers and sisters dependent on him:

   i. Provided that Widows/divorcees and women deserted by families shall be considered as separate families.
   
   ii. **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.

k) **Land acquisition** means acquisition of land under the Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act, 2013 or any other prevailing Government Orders.

l) **Market Value of Land as per act 2013/Circle Rate**
   The Market Value or Circle Rate of the proposed land to be acquired shall be set as the higher of:

   I. the minimum land value, if any, specified in the Indian Stamp Act, 1899 for the registration of sale deeds in the area, where the land is situated; or
   
   II. the average of the sale price for similar type of land being acquired, ascertained from the highest fifty per cent of the sale deeds registered during the preceding three years in the nearest village or nearest vicinity of the land being acquired.;

m) **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 U.P.

n) **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.

o) **Notification** means a notification published in the Gazette of India, or as the case maybe, the Gazette of the State;

p) **Perennial Crop**: means any plant species that live for years and yields its products after a certain age of maturity.

q) **Project** means the Kanpur Metro Rail Project (KMRP) covering 32.40 km consisting of two corridors with elevated sections (altogether 19.4 km with 18 stations) and underground sections (altogether 13 km with 12 stations)

r) **Rehabilitation and Resettlement** means carrying out rehabilitation and resettlement as per LMRC Policy on rehabilitation and resettlement.

s) **R & R Entitlements** means the benefits awarded as per the R & R Policy Framework given in the LMRC Policy on Rehabilitation & Resettlement.

r) **Severance of Land** means a land holding divided into two or more pieces due to acquisition of land mainly for laying new project alignment or a re-alignment.
u) **Squatter** means those persons who have illegally occupied government land for residential, business and or other purposes by making some investments on the land.

v) **State Government/ Government** refers to the Government of Uttar Pradesh;

w) **Tenants** are those persons having **bonafide** tenancy agreements on cut-off date with a property owner with clear property titles, to occupy a structure or land for residence, business or other purposes. Those who don’t have any written documents need to furnish documentary proof such as telephone bills, electricity bills, ration cards, any postal evidence, passport and any other legal documents to prove occupation of the premises.

x) **Vulnerable groups**: persons such as differently abled, widows, women headed households, persons above sixty years of age, Scheduled Caste and Scheduled Tribes, persons or families below the poverty line and other groups as may be specified by the State Government.
1.1 INTRODUCTION

This document represents the Resettlement Policy Framework (RPF) for the proposed Kanpur Metro Rail Project. It describes the policies, procedures and processes that will be followed throughout the project in the course of mitigation of adverse social impacts due to project activities among the project affected persons, with and without legal title, whose land/properties, businesses and other assets to be acquired for the execution of the project. Since the project is to be implemented with the support of the European Investment Bank (EIB), the Uttar Pradesh Metro Rail Corporation (UPMRC) has prepared this RPF to ensure full compliance with the requirements of safeguard policies of both the aforesaid institutions and all applicable national policies. This RPF also contains all the national and local policy provisions that are applicable for mitigation of adverse social impacts. This document also contains monitoring and evaluation mechanism of resettlement.

1.2 THE PROJECT

Kanpur is the industrial of Uttar Pradesh (UP), the most populous state of India. As per census of India 2011, the population of Lucknow is about 2.8 million. Being an important service and trading centre, Kanpur continues to grow and attract large number of people to the city. The rapid growth of the city and the associated urban sprawl has accentuated the demand-supply mismatch amidst constrained public transport infrastructure. To strengthen and augment the transport infrastructure of the city with a holistic multi-modal transport system, Government of U.P. has decided to implement Kanpur Metro Rail Project as an integrated mass public transport system that meets the mobility and accessibility needs of the people of Kanpur. The Project is aimed at bringing about a traffic revolution in Kanpur City. It is expected that this developmental measure will not only be helpful for the city but will also bring about betterment for the people of the region at large.

Based on the existing and predicted travel demand, demographic features etc the Detailed Project report (DPR) for Kanpur Metro Rail Project suggested two corridors for laying down the metro rails. The corridors have been identified as Corridor 1: IIT Kanpur to Naubasta of 23.8 Km and Corridor 2: Agricultural University to Barra 8 of 8.6Km.

The corridor details are tabulated below:

<table>
<thead>
<tr>
<th>Corridor</th>
<th>Name of the corridor</th>
<th>Length (In Km)</th>
<th>No of Stations</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>IIT Kanpur to Naubasta</td>
<td>15.2 8.6 23.8</td>
<td>14 8 22</td>
</tr>
<tr>
<td>2</td>
<td>Agricultural University to Barra-8</td>
<td>4.2 4.4 8.6</td>
<td>4 4 8</td>
</tr>
</tbody>
</table>

1.3 PURPOSE AND NEED OF RESETTLEMENT POLICY FRAMEWORK

This document has been prepared to address primarily the private land acquisition; and settlers on public land; as well as related impacts during the implementation stage of the project. All attempts will be made during the final execution of the project to further minimize the land acquisition, resettlement and adverse impacts on people in the project.
area through suitable engineering design. Minimal private land acquisition is anticipated for
the construction of elevated and underground rail tracks, construction of depots, construction of stations including exit/entry structures etc. In addition to private structures there are some common property resources such as Government offices and utilities that may be affected due to the proposed alignment.

The main purpose of this document is to provide guidance in identifying the potential adverse social impacts associated with land acquisition and propose appropriate mitigation measures. It is developed in consistency with the relevant Indian National laws and the IFI’s policies (EIB’s Environmental and Social Handbook version 9.0 of 02/12/2013) and is applicable for all subprojects implemented under the KMRP.

The specific objectives of this RPF are to:
- Clarify the principles, processes and organizational arrangements to identify and mitigate potential adverse impacts associated with land acquisition and related impacts associated with the KMRP.
- Ensure compliance with applicable Indian laws on land acquisition, resettlement and rehabilitation and policies of the international funding institutions viz European Investment Bank (EIB) and other IFIs as the case may be.
- Define appropriate institutional arrangements for the implementation and monitoring of the RPF, as well as consultations, disclosures and monitoring.

A complete assessment of land acquisition and resettlement cannot be prepared at this stage since the KMRP is intending implementation in different stages. This document serves to define procedures, principles and applicable legal regulations for the KMRP covering 32.40 km consisting of two corridors. It is estimated that approximately 458 families will be affected by the implementation of the Corridor-1 and Corridor-2. The exact number of project affected families can only be presented once the census is completed.
SECTION-2

LEGAL FRAMEWORK

2.1 THE ACTS AND POLICY RELEVANT TO THE PROJECT

2.2 EIBs POLICIES AND DEVIATIONS FROM THE INDIAN LAW AND PROPOSED MEASURES FOR BRIDGING THE GAPS

EIB standard No.6 on involuntary Resettlement as its objective has the following:

- Avoid or, at least minimize, project induced resettlement whenever feasible by exploring alternative project designs;

- Avoid and/or prevent forced evictions and provide effective remedy to minimize their negative impacts should prevention fail;

- Ensure that any eviction which may be exceptionally required is carried out lawfully, respects the rights to life, dignity, liberty and security of those affected who must have access to an effective remedy against arbitrary evictions;

- Respect individuals’, groups’ and communities’ right to adequate housing and to an adequate standard of living, as well as other rights that may be impacted by resettlement;

- Respect right to property of all affected people and communities and mitigate any adverse impacts arising from their loss of assets or access to assets and/or restrictions of land use, whether temporary or permanent, direct or indirect, partial or in their totality.

- Assist all displaced persons to improve, or at least restore, their former livelihoods and living standards and adequately compensate for incurred losses, regardless of the character of existing land tenure arrangements (including title holders and those without the title) or income earning and subsistence strategies;

- Uphold the right to adequate housing, promoting security of tenure at resettlement sites;

- Ensure that resettlement measures are designed and implemented through the informed and meaningful consultation and participation of the project affected people throughout the resettlement process;

- Give particular attention to vulnerable groups, including women and minorities, who may require special assistance and whose participation should be vigilantly promoted.

2.2.1 GAP BETWEEN INDIAN LAWS AND EIB REQUIREMENTS

There are certain gaps between the prevailing Indian laws and EIB/ AFD requirements for resettlement and rehabilitation of project affected persons (PAPs). A comparative chart of EIB/ AFD and Indian laws is given in the following table:
<table>
<thead>
<tr>
<th>S.No</th>
<th>Objectives</th>
<th>EIB/ AFD</th>
<th>RTFCTLARR A 2013</th>
</tr>
</thead>
<tbody>
<tr>
<td>i</td>
<td>Avoid involuntary resettlement</td>
<td>Involuntary resettlement should be avoided wherever possible</td>
<td>Yes</td>
</tr>
<tr>
<td>ii</td>
<td>Minimize involuntary resettlement</td>
<td>Minimize involuntary resettlement by exploring all viable alternative project design</td>
<td>Yes</td>
</tr>
<tr>
<td>iii</td>
<td>Mitigate adverse social impacts</td>
<td>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.</td>
<td>Yes</td>
</tr>
<tr>
<td>iv</td>
<td>Identify, assess and address the potential social and economic impacts</td>
<td>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.</td>
<td>Yes</td>
</tr>
<tr>
<td>v</td>
<td>Prepare mitigation plans for affected persons</td>
<td>To address the project impacts, prepare resettlement plan or resettlement policy framework prior to project appraisal, estimating to the extent possible the total population to be affected and the overall resettlement costs.</td>
<td>Yes</td>
</tr>
<tr>
<td>vi</td>
<td>Consider alternative project design to avoid, where feasible, or minimize involuntary resettlement</td>
<td>Assess all viable alternative project designs to avoid, where feasible, or minimize involuntary resettlement.</td>
<td>Yes</td>
</tr>
<tr>
<td>vii</td>
<td>Involve and consult with stakeholders</td>
<td>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 process 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.</td>
<td>Yes, However, Definition of vulnerable group is slightly different from EIB’s requirement. This has been addressed in the Entitlement Matrix.</td>
</tr>
<tr>
<td>viii</td>
<td>Disclose and</td>
<td>Disclose draft resettlement plans, including</td>
<td>Yes</td>
</tr>
<tr>
<td></td>
<td>Resettlement Policy Framework - Kanpur Metro Rail Project</td>
<td></td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>---------------------------------------------------------</td>
<td></td>
<td></td>
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<tr>
<td>ix</td>
<td>Support existing social and cultural institutions of the affected persons</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>To the extent possible, the existing social and cultural institutions of resettlers and any host communities are preserved and re-settlers preferences with respect to relocating in pre-existing communities and groups are honoured.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>x</td>
<td>Build capacity of the borrower(s) in IR implementation</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>Financing of technical assistance to strengthen the capacities of agencies responsible for resettlement, or of affected people to participate more effectively in resettlement operations</td>
<td></td>
<td></td>
</tr>
<tr>
<td>xi</td>
<td>Categorization</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Categorization of the affected families is defined as titleholders, non-titleholders including encroachers, Squatters, tenants, etc.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Yes The Indian National R&amp;R law (RFCTLARR 2013) identifies the Non-Titleholders only if they are residing on the land for the previous 3 years.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>xii</td>
<td>Resettlement Plan</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>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.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>xiii</td>
<td>Supervision</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>The Bank regularly supervises resettlement implementation to determine compliance with the instrument</td>
<td></td>
<td></td>
</tr>
<tr>
<td>xiv</td>
<td>Monitoring Evaluation</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>The borrower is responsible for adequate monitoring &amp; evaluation of the activities set forth in the resettlement instrument. Assess whether the objectivities of the resettlement instrument have been achieved, upon completion of the project, taking account of the baseline conditions and the results of resettlement monitoring.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>xv</td>
<td>Timeline for every process</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Bank does give time schedule for activities’</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

UTTAR PRADESH METRO RAIL CORPORATION
The institutional framework for resettlement and rehabilitation in India is largely attuned with the EIB policies except in some areas where the Indian law does not explicitly state the requirements. In order to comply with EIB’s polices, the steps that will be taken by the project authority are described below.

### 2.2.2 GRIEVANCE REDRESSAL MECHANISM

Efficient grievance Redressal mechanism will be developed to assist the PAPs to resolve their queries and complaints. A mechanism for lodging complaints/grievance will be implemented during implementation of project. Grievances of PAPs will be first brought to the attention of field level officer. If Grievances are not redressed at Field Level it will be brought to the Grievance Redressal Committee (GRC). GRC will review grievances involving all resettlement benefits. However, other disputes relating to ownership rights shall be considered by the court of law. When any grievance is brought to the field level, it should be resolved within 45 days from the date of complaint. The GRC will meet every month (if grievances are brought to the Committee), determine the merit of each grievance, and resolve grievances within three months of receiving the complaint failing which the grievance can be referred to appropriate court of Law for Redressal by the PAP. UPMRC will maintain a log of grievances documenting the nature of grievance, date of submission, responsible party and date of resolution.

The GRC will address only rehabilitation assistance issues both for title holders and non title holders. Grievances related to ownership rights and land compensation as also R&R can be dealt in court as per The Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act, 2013. The details of GRC are given in subsequent section.
A flow chart of grievances redressal is indicated in the Figure 2.1

![Flow Chart]

**2.2.3 ESTABLISHMENT OF RAP IMPLEMENTATION TEAM**

As per the Act, the implementation of rehabilitation and resettlement is the responsibility of project proponent and District Magistrate. However, the Act does not clearly mention about the implementation of rehabilitation and resettlement process at the project level. In order to implement and monitor RAP effectively, a Social and Environmental Management Unit (SEMU) will be constituted in UPMRC. The roles, responsibilities and other details pertaining to RAP implementation team is explained in subsequent chapter.

**2.2.4 Monitoring and Evaluation**

A Monitoring and Evaluation (M&E) program will be developed to provide feedback to project management which will help keep the programs on schedule and make them successful. RAP implementation will be monitored both internally and externally. Project Authority will be responsible for internal monitoring through their site offices and will prepare quarterly reports on the progress of RAP implementation. Management Information System would be developed to monitor the resettlement and rehabilitation process. If required an Independent Evaluation Consultant will be hired by Project Authority for periodic / mid and end term evaluation of RAP implementation.

**2.2.5 OTHER MEASURES**

The Act does not provide special benefits to all categories of vulnerable groups as defined in this policy; it has now been proposed to provide additional rehabilitation and resettlement benefits to vulnerable groups to bridge the gap with EIB’s requirements.
SECTION-3

RESETTLEMENT & REHABILITATION OF PROJECT AFFECTED PERSONS FOR KMRP

3.1 GUIDING PRINCIPLES
Resettlement & Rehabilitation activities of KMRP will be governed by the following general principles, which are based on The Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act, 2013; the G.O 24/2015/387/8-1-15-50-LDA/204 dated 04.02.2015 of UP Government. The GoUP Government Order is also in line with provisions of the new LA&RR Act, 2013.

- in general, land acquisition will be undertaken in such a way that no project affected families, with or without formal title, will be worse off after land acquisition;
- all activities and procedures will be formally documented;
- the property and inheritance rights of project affected persons will be respected;
- if the livelihood of the project affected persons without formal title depends on the public land that they are using, they will be assisted in their effort to improve their livelihoods and standard of living to restore them to pre-displacement levels;
- if project affected person, without legal title, is not satisfied with the above decisions, they can approach the grievance Redressal committee;
- in cases where there are persons working on the affected land or businesses, as determined by the social impact assessment, where the project affected person does not have formal title to the land (e.g. wage earners, workers, squatters, encroachers, etc.), then compensation/assistance should be provided to these project affected persons to ensure no loss, to the extent as determined appropriate by the social impact assessment;
- in cases where land is needed on a temporary basis, project affected persons who have formal title will be compensated to the assessed fair rental price for the period during which the land is used and the land will be returned in the same condition or better as before it was rented;
- if resettlement is unavoidable in addition to the payment of fair market value for all land and immovable property, project affected persons will be provided assistance in relocation and other related expenses (i.e. cost of moving, transportation, administrative costs etc.);
- these rights do not extend to individuals who commence any activities after cut off date of the project;
- the compensation and eligible resettlement and rehabilitation assistance will be paid prior to taking over of land and other assets for construction purposes;
- all project affected persons (private and public, individual and businesses) entitled to be compensated for land acquired; losses, structures or damages will be offered compensation in accordance with the provisions of this RPF. Those who accept the compensation amount will be paid prior to taking possession of their land or assets. Those who do not accept it will have their grievance registered or referred to the Grievance Redressal Committee (GRC) / courts as appropriate.

3.2 RESETTLEMENT AND REHABILITATION PROCESS
All attempts will be made during the final execution of the project to minimize the land acquisition, resettlement and adverse impacts on people in the project area through suitable engineering design. The assessments however reveal that the project involves minimal land acquisition.

- Social Impact Assessment (SIA) study will be conducted after finalizing the RPF for the both corridor of KMRP through census survey to collect baseline data for socio-
economic information and to identify the project affected population by residence, business base and their locality. The study will be primarily based on field data generated by census survey and secondary data collected from the census handbooks/ gazetteers/ other relevant texts. A format of questionnaire for field survey is given in Annexure-2 and format for public consultation is presented in Annexure-3.

- Based on above, a Resettlement Action Plan (RAP) will be prepared for implementation of resettlement and rehabilitation for the project. The outline of RAP is annexed as Annexure-4. Upon the approval of RAP by the Board of Directors of UPMRC, the information will be disclosed to affected people. All the arrangements for fixing the compensation and the disbursement will be done which includes payment of all eligible assistance; relocation of PAPs; initiation of economic rehabilitation measures; site preparation for delivering the site to contractors for construction and finally commencement of the civil work. The resettlement and rehabilitation will be monitored as part of the RAP implementation at this stage. Internal monitoring will be the responsibility of UPMRC which will start in early stage of the project when implementation of RAP starts and will continue till the completion of the implementation of RAP.

- The implementation schedule for resettlement plan will be scheduled as per the overall project implementation. All activities related to the land acquisition and resettlement will be planned to ensure that compensation is paid prior to displacement and commencement of civil works. Public consultation, internal monitoring and grievance redressal will be undertaken intermittently throughout the project duration. However, the schedule is subject to modification depending on the progress of the project activities.

3.3 ELIGIBILITY AND ENTITLEMENTS
The R&R entitlement framework has been formulated based on the guiding principles outlined in the National Acts and EIB Policies. This R&R framework will be adopted to formulate the Resettlement Action Plan.

The compensation package is provided as per the relevant laws of the land and the basic principles governing present compensation structure for the Project is given in Table 3.1. This R&R entitlement matrix includes various components of R&R benefits and tabulated in Table 3.2. This matrix address all categories of people being affected and all categories of impacts accrued to the affected families due to the Project. Table 3.2 indicates the entitlements of all categories of impact as per the RTFCLARRA 2013 and the EIB/AFD guidelines that are applicable for the project. The same can be classified under three major categories of impact, viz, loss of land, loss of structures, (residential & commercials), and loss of livelihood, which covers the entire gamut of the affected population.
### Table 3.1: Entitlement Matrix (Compensation for land acquisition)

<table>
<thead>
<tr>
<th>S.No</th>
<th>Category of Impact</th>
<th>Eligibility for Entitlement</th>
<th>UPMRC Adopted Policy/Entitlement</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Loss of Private Land</td>
<td>Title holder</td>
<td>Market value/ Circle rate as per stamp Act.</td>
</tr>
<tr>
<td>2.</td>
<td>Loss of other immovable assets (value of assets attached to land or building)</td>
<td>Titleholder</td>
<td>Will be determined on the basis of valuation by authorized expert based on a replacement value.</td>
</tr>
<tr>
<td>3.</td>
<td>Solatium for loss of Land, Structure and other immovable assets</td>
<td>Titleholder</td>
<td>100% of arrived value of land and building. 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, including any transaction costs and fees.</td>
</tr>
<tr>
<td>4.</td>
<td>Loss of other immovable assets (value of assets attached to land or building)</td>
<td>Squatters</td>
<td>One time financial assistance based on valuation of the property subject to a minimum of Rs.25,000.</td>
</tr>
</tbody>
</table>

*Replacement cost = Market value + Transaction Cost + solatium*
<table>
<thead>
<tr>
<th>S.No</th>
<th>Category of Impact</th>
<th>Eligibility for Entitlement</th>
<th>UPMRC Adopted Policy/Entitlement</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Construction allowance</td>
<td>Displaced family whose residential structure is lost due to acquisition</td>
<td>Rs. 1,50,000 will be given to displaced family whose dwelling units are lost completely or become unviable due to displacement. The amount has been worked out on the basis of construction of house as per Indira Awas Yojana of GOI.</td>
</tr>
<tr>
<td>2.</td>
<td>Subsistence grant for displaced family</td>
<td>Displaced family (including tenants/leaseholders)</td>
<td>One time payment of Rs. 36,000 shall be paid to each Displaced Family. Displaced Family belonging to the Scheduled Castes or the Scheduled Tribes or vulnerable group (including households headed by Females/Physically Challenged persons/Senior Citizens without having adult members) shall receive an amount equivalent to fifty thousand rupees. (Rs.50,000). This amount is additional to subsistence grant. Additionally, Vulnerable groups who are impacted will be extended facility of Skill Improvement Training.</td>
</tr>
<tr>
<td>3.</td>
<td>Transportation cost</td>
<td>Displaced family (including tenants/leaseholders)</td>
<td>One time financial assistance of Rs.50,000 for shifting family, building material, belongings and cattles shall be given to each displaced family.</td>
</tr>
<tr>
<td>4.</td>
<td>Cattle shed / petty shops cost</td>
<td>Affected Family (including tenants/leaseholders)</td>
<td>Each Affected Family having cattle shed or having a petty shop in the acquired land shall get one-time financial assistance based on valuation of the structure subject to a minimum of Rs. 25,000 for reconstruction of cattle shed or petty shop as the case may be.</td>
</tr>
<tr>
<td>5.</td>
<td>One time grant to artisan, small traders and certain</td>
<td>Affected Family (including tenants/leaseholders)</td>
<td>Each Affected Family of an artisan, small trader or self-employed person (including</td>
</tr>
</tbody>
</table>
workers/wage earners working in non-titleholder commercial establishments like mobile vendors/kiosks) or a Displaced Family which owned non-agricultural land or commercial, industrial or institutional structure in the affected area, shall get one-time financial assistance based on valuation subject to minimum of **Rs. 25,000**. In case of temporary displacement of affected persons, allowance for their wage loss for a fixed number of days may be given at applicable state government rates for unskilled labour.

<table>
<thead>
<tr>
<th></th>
<th>6. One time resettlement allowance</th>
<th>Affected Family (including tenants/leaseholders)</th>
<th>Each Affected Family will be given a one time resettlement allowance of <strong>Rs. 50,000</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>7. Loss of community structures</td>
<td>Community</td>
<td>100% replacement cost of equal type</td>
</tr>
</tbody>
</table>
SECTION-4

INSTITUTIONAL ARRANGEMENT

4.1 INTRODUCTION

The Executing Agency (EA) for the project will be Uttar Pradesh Metro Rail Corporation Limited (UPMRCL) (Formerly known as M/s. Lucknow Metro Rail Corporation- LMRC), a 50:50 jointly owned Company of Government of Uttar Pradesh and Government of India. UPMRCL has been equipped with adequate capacity to implement the project. Government land will be acquired by UPMRC from different departments of Central Government or State Government or local bodies on long term lease basis and also on permanent transfer on ownership basis. For acquisition of private land for the projects, UPMRC places requisition of land to Office of District Collector, who in turn forward the requisition to Land & Building Department and concerned Land Acquisition Collector. The price that is to be paid for acquisition of land will be determined on the basis of applicable GoUP order/s. Concerned LAC shall prepare the list of persons eligible for rehabilitation in case of residential, commercial/shops, industrial units and same will be approved by Land & Building Department. If the residual of the asset being taken is not economically viable, compensation and other resettlement assistance are provided as if the entire asset had been taken.

In order to implement and monitor RAP effectively, a Social and Environmental Management Unit (SEMU) of four officers will be constituted. This team may be supported by a consultant. The roles and responsibilities of SEMU are given below;

- Preparation of RAP
- Implementation of R&R activities of KMRP;
- Land acquisition and R&R activities in the field;
- Ensure availability of budget for R&R activities;
- Liaison with district administration for support for land acquisition and implementation of R&R;
- Monitor land acquisition and progress of R&R implementation;
- Develop and implement a public consultation program and communication strategy for disclosure of RAP;
- Liaison with district administration for government’s income generation and development programmes for the PAPs;
- Monitor physical and financial progress on land acquisition and R&R activities;
- Organize meetings with NGO, R&R officer and other support staffs to review the progress on R&R implementation; and
- Provide support for the affected persons on problems arising out of LA/ property acquisition

HQ Level: The overall project will be managed by UPMRCL situated in Administrative Office, Lucknow and headed by Managing Director. There will be a designated Environmental and Social (E&S) Officer at HQ level to coordinate with EIB, PIU and State level land acquisition and resettlement agencies. The HQ level E&S Officer will supervise the overall RAP implementation work with the help of expert from GC.

PIU Level: The PIU will be headed by the Project Director appointed for the Kanpur Metro Project. A PIU level E&S Officer will be appointed to manage the Project level resettlement activities and coordinate with Land Acquisition Officer and GC.
Resettlement Management: The EA will do the overall coordination, planning, implementation, and ensure that adequate finances for costs related to land acquisition and resettlement for the project is allocated. EA will be supported by the GC to ensure timely and effective implementation of RAPs. EA shall ensure that adequate resources are allocated for effective implementation of R&R activities.

The table below provides details on the key agencies involved and their main responsibilities regarding social safeguard implementation.

Table 4.1: Implementation Agencies and Key Responsibilities:

<table>
<thead>
<tr>
<th>Key Agency</th>
<th>Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>Uttar Pradesh Metro Rail Corporation Limited (EA)</td>
<td>• Make final decision on lines to be included under the project</td>
</tr>
<tr>
<td></td>
<td>• Overall responsibility for project design, feasibility, construction and operation and guide PIUs</td>
</tr>
<tr>
<td></td>
<td>• Ensure that sufficient funds are available to properly implement all agreed social safeguards measures</td>
</tr>
<tr>
<td></td>
<td>• Ensure that all subprojects comply with the provisions of EIB and GoI’s policies and regulations</td>
</tr>
<tr>
<td></td>
<td>• Submit semi-annual safeguards monitoring reports to EIB</td>
</tr>
<tr>
<td>Project Implementation Unit (PIU)</td>
<td>• Disseminate project information to the project affected community</td>
</tr>
<tr>
<td></td>
<td>• Ensure establishment of Grievance Redressal Committee at the Project level for grievance redress</td>
</tr>
<tr>
<td></td>
<td>• Disclosure of project information in public spaces and through relevant media.</td>
</tr>
<tr>
<td></td>
<td>• Disseminate project information to the community</td>
</tr>
<tr>
<td></td>
<td>• Facilitate the socioeconomic survey and census</td>
</tr>
<tr>
<td></td>
<td>• Facilitate consultation by the civil works contractor with community throughout implementation</td>
</tr>
<tr>
<td></td>
<td>• Oversee land acquisition and coordinate with State Government officials</td>
</tr>
<tr>
<td></td>
<td>• Supervise the mitigation measures during implementation and its progress</td>
</tr>
<tr>
<td></td>
<td>• Conduct internal monitoring and prepare reports</td>
</tr>
<tr>
<td>General Consultant (GC)</td>
<td>• Provide technical support and advise for addressing complaints and grievances and participate in resolving issues as a member of the GRC</td>
</tr>
<tr>
<td></td>
<td>• Provide technical advice and on the job training to the contractors as necessary</td>
</tr>
<tr>
<td></td>
<td>• Preparation of semi-annual monitoring reports based on the monitoring checklists and submission to EIB</td>
</tr>
<tr>
<td></td>
<td>• Act as External Monitor for project with significant impact</td>
</tr>
<tr>
<td>Contractor</td>
<td>• Consult community and PIU regarding location of construction camps</td>
</tr>
<tr>
<td></td>
<td>• Sign agreement with titleholder for temporary use</td>
</tr>
<tr>
<td>and restore land to equal or better condition upon completion</td>
<td></td>
</tr>
<tr>
<td>-------------------------------------------------------------</td>
<td></td>
</tr>
<tr>
<td>• Commence construction only when worksite is free of encumbrance</td>
<td></td>
</tr>
<tr>
<td>• Respond in a timely fashion to recommendations from GRCs</td>
<td></td>
</tr>
</tbody>
</table>

The implementation schedule will be scheduled as per the overall project implementation and included in individual RAP-s for each section. All activities related to the land acquisition and resettlement will be planned to ensure that compensation is paid prior to displacement and commencement of civil works. Public consultation, internal monitoring and grievance redressal will be undertaken intermittently throughout the project duration.

### 4.2 GRIEVANCE REDRESSAL COMMITTEE

Grievance Redressal Committee (GRC) will have representative of UPMRC as well as State Government. Chief Project Manager from UPMRC and designated officers from Revenue Department, PWD and Social Welfare Department of Government of U.P. will be member of the Grievance Redressal Committee. The GRC will address only rehabilitation assistance issues both for title holders and non title holders. Grievances related to ownership rights and land compensation as also R&R can be dealt in court as per The Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act, 2013. The main responsibilities of the GRC are to:

- provide support to PAPs on problems arising from land/property acquisition;
- record PAPs grievances, categorize, and prioritize grievances and resolve them;
- Inform to PAPs on developments regarding their grievances and decisions of the GRC.

GRC will review grievances involving all resettlement benefits. However, other disputes relating to ownership rights shall be considered by the court of law. When any grievance is brought to the field level, it should be resolved within 45 days from the date of complaint. The GRC will meet every month (if grievances are brought to the Committee), determine the merit of each grievance, and resolve grievances within three months of receiving the complaint failing which the grievance can be referred to appropriate court of Law for redressal by the PAP. UPMRC will maintain a log of grievances documenting the nature of grievance, date of submission, responsible party and date of resolution.

### 4.3 COMMUNITY PARTICIPATION DURING PROJECT IMPLEMENTATION

The effectiveness of the Resettlement Action Plan (RAP) is directly related to the degree of continuing involvement of those affected by the project. Several additional rounds of consultations with PAPs will form part of the project implementation. Consultations during resettlement plan implementation will involve agreements on compensation and assistance options and entitlement package. Another round of consultation will occur when compensation and assistance are provided. During public consultations, issues related to land acquisition, compensation, income restoration, employment generation, information flow, grievance redressal, safety, role of administration etc. will be discussed. The RAP addresses all issues raised during public consultation and recommends institutional strengthening measures as well.

The following set of activities will be undertaken for effective implementation of the plan:

- Project Implementation Unit (PIU – the first level of institutional arrangement for project implementation at field level; based in Kanpur), will conduct information
dissemination sessions in the project area and solicit the help of the local community/ leaders and encourage the participation of the PAP’s in RAP implementation.

- Consultation and focus group discussions will be conducted with the vulnerable groups like women, families of BPL, Scheduled Castes to ensure that the vulnerable groups understand the process and their needs are specifically taken into consideration.

- Project Authority will organize public meetings, and will appraise the communities about the progress in the implementation of project works and payment and assistance paid to the community. Regular update of the program of resettlement component of the project will be placed for public display at the project offices.

- Taking into consideration the risks of HIV/ AIDs during the project construction period and road safety issues.

- Lastly, participation of PAPs will also be ensured through their involvement in GRC and various local committees. PIU and field offices will maintain an ongoing interaction with PAPs to identify problems and undertake remedial measures.

- The process documentation of community participation is necessary as part of the guiding principle.
4.4 MONITORING AND EVALUATION

Monitoring & Evaluation are critical activities in involuntary resettlement. Monitoring involves periodic checking to ascertain whether activities are progressing as per schedule while evaluation must include a process which ensures that income of the PAP is restored at least at pre project level.

A Monitoring and Evaluation (M&E) program will be developed to provide feedback to project management which will help keep the programs on schedule and make them successful. This provides both a working system for effective implementation of the PAP by the project managers, and an information channel for the PAPs to assess how their needs are being met. Particular attention shall be given to the project affected vulnerable groups such as scheduled castes, BPL families, women headed households, widows, old aged and the disabled.

Three Stage Monitoring process shall be adopted as under:
(i) Administrative monitoring: This shall include daily planning, implementation, feedback and troubleshooting, affected persons’ file maintenance, progress reporting;
(ii) Socio-economic monitoring: This shall include case studies, using baseline information for comparing affected persons’ socio-economic conditions, evacuation, demolition, salvaging materials, morbidity and mortality, communal harmony, dates for consultations, number of grievances and resolutions; and
(iii) Impact evaluation monitoring- including income standards restored or improved.

RAP implementation will be monitored both internally and externally.

Internal Monitoring: Project Authority will be responsible for internal monitoring through their site offices and will prepare quarterly reports on the progress of RAP implementation. Management Information System would be developed to monitor the resettlement and rehabilitation process.

The main objectives of internal monitoring are to:
- Measure and report progress against the RAP schedule;
- Verify that agreed entitlements are delivered in full to affected people;
- Identify any problems, issues or cases of hardship resulting from the resettlement process, and to develop appropriate corrective actions, or where problems are systemic refer them to the management team;
- Monitor the effectiveness of the grievance system
- Periodically measure the satisfaction of project affected people.

Internal monitoring would focus on measuring progress against the schedule of actions defined in the RAP. Activities to be undertaken by the UPMRCL will include:

- Liaison with the Land Acquisition team, construction contractor and project affected communities to review and report progress against the RAP;
- Verification of land acquisition and compensation entitlements are being delivered in accordance with the RAP;
- Verification of agreed measures to restore or enhance living standards are being implemented;
- Verification of agreed measures to restore or enhance livelihood are being implemented;
• Identification of any problems, issues, or cases of hardship resulting from resettlement process;
• Through household interviews, assess project affected peoples’ satisfaction with resettlement outcomes;
• Collection of records of grievances, follow up that appropriate corrective actions have been undertaken and that outcomes are satisfactory;

External Monitoring: If required an Independent Evaluation Consultant will be hired by Project Authority for periodic / mid and end term evaluation of RAP implementation. A sample ToR for the external monitoring is appended as Annexure 5.

4.5 REPORTING REQUIREMENTS
Project Authority will be responsible for supervision and implementation of the RAP. Project authority will prepare half yearly progress reports on resettlement activities. The Independent Evaluation Consultant will submit mid and end term evaluation report to Project Authority and determine whether resettlement goals have been achieved, more importantly whether livelihoods and living standards have been restored/ enhanced and suggest suitable recommendations for improvement.

4.6 INFORMATION DISCLOSURE
The affected families/persons will be well informed about the project and their entitlements. UPMRC will prepare an information brochure in local language, i.e., Hindi, explaining the RAP, the entitlements and the implementation schedule. The draft of the RPF will be formally published in English and Hindi languages on the official website of the UPMRC and hard copies will be made available in the offices of local authorities for two weeks inviting comments and suggestions from stakeholders. Subsequently, RPF will be discussed in a workshop with relevant stakeholders including representations from revenue officials of RAP implementation team, representative of District Magistrate and other officials involved in GRC, as well as representatives of local communities. Suitable changes will be made to RPF to incorporate suggestions by the stakeholders. The final RPF after the approval by EIB and will be published in English and Hindi languages on the official website of UPMRC and hard copies will be made available in the offices of local authorities.
प्रेमक,
मुरेश चंद्रा,
प्रमुख सचिव,
उत्तर प्रदेश शासन।

सेवा में,
1- समस्त प्रमुख सचिव/सचिव,
   उत्तर प्रदेश शासन।
2- समस्त मंडलायुक्त/समस्त
   जिला अधिकारी, उत्तर प्रदेश।
3- आयुक्त एवं निदेशक,
   भूमि अध्याय निदेशालय,
   राजस्व परिषद, 30000।
4- समस्त विभागाध्यक्ष,
   उत्तर प्रदेश।

राजस्व अनुभाग-13
लखनऊ दिनांक 19 मार्च, 2015
विषय- भू-स्थानिकिय से आपसी समझौते के आधार पर भूमि क्रय करने के संबंध में
प्रक्रिया का निर्धारण।

महोदय,
राजस्व अनुभाग-13 के शासनाधीन संख्या-632/एक-13-11-20(29)/2004,
दिनांक 02 जुलाई, 2011 द्वारा निर्माण नीति के अनुसार सभी प्रयोजनों के लिए भूमि
प्राप्त करने की प्रदेश की सामान्य नीति यह है कि भू-स्थानिकिय एवं अजेय निकायों
के मध्य आपसी समझौते के आधार पर क्रय से संबंधित नियमों/आदेशों के
अनुसार भूमि सीमाएं, भू-स्थानिकिय से क्रय की जाय। भारत सरकार द्वारा भू-अर्जन
अधिनियम, 1894 को निरस्त करते हुए "भूमि अर्जन, पुनर्वास और पुनर्विस्थापन
में उचित प्रतिकर और पारदर्शिता का अधिकार अधिनियम, 2013 (अधिनियम
संख्या 30 सन् 2013)" प्रकाशित किया गया है जो 01-01-2014 से प्रभावी है।
इस अधिनियम के अंदर 46, में निर्देश व्यक्तियों से इस्तेमाल व्यक्तियों की दशा में
सीमा भूमि क्रय करने पर उक्त अधिनियम की दृश्य अनुसूची में उल्लिखित
पुनर्वास और पुनर्विस्थापन संबंधी लाभ दिये जाने एवं क्रय की कार्यवाही कलेक्टर
के माध्यम से करने की व्यवस्था है।

1- यह शासनाधीन इंतजामिनोंकी जगी किया गया है, अत: यह पर हस्ताक्षर की आवश्यकता नहीं है।
2- इस शासनाधीन के प्रमुख विभाग के दो वेब साइट http://hasanadhet.ups.raj.in से सन्यापित की जा सकती है।
2- वर्ष 2013 के नये अधिनियम के अंतर्गत भूमि अधिवेशन की प्रक्रिया समय एवं श्रम संचय होने एवं सीधे भूमि क्रय करने की व्यवस्था को प्रोत्साहित किये के उद्देश्य से प्रदेश के राजकीय विभागों, स्वायत्तशासी निकायों, विभिन्न विभागों के प्रशासनिक नियंत्रण में गठित परिषदों एवं प्रदेश में कार्यान्वित होने वाले परियोजना आयोग के अंतर्गत इन “क्रय निकायों” के लिए भू-स्वामित्व एवं सीधे भूमि क्रय किये जाने हेतु प्रक्रिया निर्धारित की जा रही है।

3- इस समन्वय में मुख्य यह कहने का निर्देश हुआ है कि शासन द्वारा उपर प्रस्ताव-2 में उल्लिखित क्रय निकायों हेतु भू-स्वामित्व / कृषि के आपसी सहभागति के आधार पर भूमि क्रय करने हेतु निम्नलिखित प्रक्रिया निर्धारित की जाती है।

(क) लघु परियोजनाओं हेतु

(1) उपरोक्त क्रय निकायों हेतु “लघु परियोजनाओं” अर्थात ऐसी परियोजनाएं जिनमें परियोजना के लिए क्रय की समय वाली भूमि की कुल कीमत ₹ 10,00 करोड तक है, के लिए भूमि की दरी की स्वीकृति एवं कुल भूमि मूल्य के अनुमोदन हेतु संबंधित अपर जिलाधिकारी (वित्त एवं राजस्व) की अधिकारता में निर्माणाधीन "जिला (लघु परियोजना) क्रय की दर तथा कुल भूमि मूल्य अनुमोदन समिटि" का गठन किया जाता है:-

<table>
<thead>
<tr>
<th>संख्या</th>
<th>अपर जिलाधिकारी (वित्त/राो)</th>
<th>अधिकारी (भूसौत)</th>
<th>विशेष भूमि अधियासी अधिकारी</th>
<th>उप भूमि अधियासी अधिकारी</th>
<th>संबंधित उप जिलाधिकारी (परियोजना प्रशासक)</th>
<th>संबंधित सब रजिस्ट्रेशन/उप महानिर्माण स्टेमप एवं निवास/ सहायक महानिर्माण स्टेमप एवं निवासन</th>
<th>क्रय निकाय/विभाग द्वारा प्राधिकृत अधिकारी</th>
<th>सदस्य सचिव</th>
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<td>1-</td>
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<td>सदस्य</td>
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<tr>
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<td>संबंधित उप जिलाधिकारी(परियोजना प्रशासक)</td>
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<td>संबंधित सब रजिस्ट्रेशन/उप महानिर्माण स्टेमप एवं निवास/ सहायक महानिर्माण स्टेमप एवं निवासन</td>
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<td>5-</td>
<td>क्रय निकाय/विभाग द्वारा प्राधिकृत अधिकारी</td>
<td>सदस्य सचिव</td>
<td></td>
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</tr>
</tbody>
</table>

(2) सदस्य सचिव द्वारा समिट की बैठकें एवं कार्यवाहियों का संचालन किया जायेगा। समिट क्रय निकाय द्वारा अपर जिलाधिकारी (वित्त एवं राजस्व) के समक्ष भूमि क्रय करने का प्रस्ताव/संदर्भ/आवेदन पत्र प्रस्तुत करने के एक मह अंतर्द क्रय की जाने वाली भूमि की दर एवं कुल भूमि मूल्य का विश्लेषण करते
हुए प्रस्ताव अनुमोदन हेतु संबंधित जिलाधिकारी के समक्ष प्रस्तुत करेंगी। यदि निर्धारित अवधि में समिति द्वारा आपेक्षित कार्यवाही पूर्ण नहीं की जाती है तो अपर जिलाधिकारी(वित्त एवं राजस्व)/अध्यक्ष समिति द्वारा विलक्षण का स्पष्टीकरण संबंधित जिलाधिकारी के समक्ष प्रस्तुत किया जायेगा।

(3) अपर जिलाधिकारी द्वारा अनुमोदित दर एवं कुल भूमि मूल्य पर संबंधित जिलाधिकारी द्वारा 15 दिन के अन्तर अनुमोदन प्रदान करने पर निर्णय ले लिया जायेगा और तदनुसार अपर जिलाधिकारी को सूचित किया जायेगा। यदि निर्धारित अवधि में जिलाधिकारी द्वारा यथोचित निर्णय नहीं लिया जाता है तो विलंब का स्पष्टीकरण मण्डलायुक्त के समक्ष प्रस्तुत किया जायेगा।

(4) जिलाधिकारी के अनुमोदन के उपरांत क्रय निकाय द्वारा सीधे क्रय की कार्यवाही की जाएगी और पृथक से और किसी स्तर का अनुमोदन अपेक्षित नहीं होगा।

(ख) मध्यम एवं वृद्ध परियोजनाओं हेतु

(1) उपरोक्त क्रय निकायों हेतु “मध्यम एवं वृद्ध परियोजनाएं” अर्थात ऐसी परियोजनाएं जिनमें परियोजना के लिए क्रय की जाने वाली भूमि की कुल कीमत रु 10.00 करोड से अधिक है, की भूमि की दर की स्थिरता एवं कुल भूमि मूल्य के अनुमोदन हेतु संबंधित जिलाधिकारी की अध्यक्षता में निम्नानुसार "जिला (मध्यम एवं वृद्ध परियोजना) क्रय की दर तथा कुल भूमि मूल्य अनुमोदन समिति" का गठन किया जाता है:

<table>
<thead>
<tr>
<th>संख्या</th>
<th>क्रय निकाय एवं विभाग द्वारा प्रारंभिक अधिकारी</th>
<th>अध्यक्ष</th>
<th>सदस्य</th>
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<td>संबंधित अपर जिलाधिकारी(भूमि)/बिंदुओं/विशेष भूमि अध्यक्ष</td>
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<td>सदस्य</td>
</tr>
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<td>2</td>
<td>संबंधित अपर जिलाधिकारी(भूमि)/बिंदुओं/विशेष भूमि अध्यक्ष</td>
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<td>सदस्य</td>
</tr>
<tr>
<td>3</td>
<td>संबंधित अपर जिलाधिकारी(परियोजना प्रशासक)</td>
<td>सदस्य</td>
<td>सदस्य</td>
</tr>
<tr>
<td>4</td>
<td>संबंधित अपर राजस्व/अपर महानिरीक्षक स्टेंडर्ड एवं निबंधन/ प्रशासन विभाग महानिरीक्षक स्टेंडर्ड एवं निबंधन</td>
<td>सदस्य</td>
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</tr>
<tr>
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</table>

(2) सदस्य सचिव द्वारा समिति की वैटकों एवं कार्यवाहियों का संचालन किया जायेगा। समिति क्रय निकाय द्वारा जिलाधिकारी के समक्ष भूमि क्रय करने का
प्रस्ताव / सन्दर्भ / आवेदन पत्र प्रस्तुत करने के एक माह के अन्तर क्रय की जाने वाली भूमि की दर एवं कुल भूमि मूल्य का विनियमन करते हुए प्रस्ताव अनुमोदन हेतु संबंधित मण्डलायुक्त के समक्ष प्रस्तुत करेंगी। यदि निर्धारित अवधि में समिति द्वारा अपेक्षित कार्यवाही पूर्ण नहीं की जाती है तो जिलाधिकारी / अध्यक्ष समिति द्वारा विलय का स्पष्टीकरण संबंधित मण्डलायुक्त के समक्ष प्रस्तुत किया जाएगा।

(3) जिलाधिकारी द्वारा अनुमोदित दर एवं कुल भूमि मूल्य पर संबंधित मण्डलायुक्त द्वारा 15 दिन के अन्तर अनुमोदन प्रदान करने पर निर्णय ले सिया जाएगा और तदनुसार जिलाधिकारी को सूचित किया जाएगा। यदि निर्धारित अवधि में मण्डलायुक्त द्वारा यथोचित निर्णय नहीं लिया जाता है तो विलय का स्पष्टीकरण अश्लील, राजनीतिक परिषद के समक्ष प्रस्तुत किया जाएगा।

4- उपरोक्त दोनों समितियों क्रय की जाने वाली भूमि विवाद रहित एवं भार रहित है, का परीक्षण भी करेंगी और यथायथवायक किसी भी विभाग/ अधिकारी से सहयोग प्राप्त कर सकेंगी और यथायथवायक दर निर्धारण करने हेतु प्रस्तुत तथ्यों की प्रति परीक्षण कर सकेंगी।

5-उपरोक्त दोनों समितियों निर्धारित मार्गदर्श मित्रों के आधार पर क्रय की जाने वाली भूमि की दर एवं कुल भूमि मूल्य (जिसमें भूमि पर स्थित परिसम्पत्तियों का मूल्य, खड़ी फसलें, वृक्ष एवं संबंधित अनुप्रायक व्यय (यदि हो, भी सम्मिलित है) का अनुमोदन करेंगी।

1) इस क्षेत्र में जहां भूमि स्थित है, क्रय किये जाने हेतु प्रस्तावित भूमि के आधार-आधार पर तब और चाहिए तब से दिनांक से 06 माह पूर्व के लिए स्थिति क्रय के लिए स्थानीय नियम में अंकि भूमि के दर तथा भारतीय चिकित्सक अधिनियम, 1899 के अंतर्गत निर्धारित सकिया दर।

2)भूमि पर स्थित परिसम्पत्तियों का मूल्य। समिति द्वारा यथायथवायक परिसम्पत्तियों का अंकन एवं मूल्य का निर्धारण सक्षम शासकीय विभाग से कराया जा सकेगा।

3) क्रय की जाने वाली भूमि का तत्कालीन कब्जा प्राप्त किये जाने की स्थिति में संबंधित भूस्वामी की खड़ी फसलें, वृक्ष और परिसम्पत्तियों का मूल्य।

1- यह शासकीय इक्लेफ़ालिकों जहां किया गया है, अतः इस पर हस्तक्षेप की आवश्यकता नहीं है।
2- इस प्राधिकार की प्रमाणित वेब साइट http://phsarsadnya.up.nic.in से स्वीकृत की जा सकती है।
(4) क्रय की जाने वाली भूमि की भविष्यक/अंशोंक क्षमता, आबादी से दूरी को ध्यान में रखा जाएगा।
(5) उस दशा में जब भू-स्वामिक्रेशक की भूमि क्रय किये जाने के परिणाम स्वरूप अपना निवास या कारोबार/त्यक्तिकार का स्थान बदलने के लिए विवश हो जाता है, तो ऐसी तस्वीरी से संबंधित अनुशासिक व्यव (यदि कोई हो) पर भी विवार किया जाएगा।
(6) यह स्वाप्तिक जाना है क्रय की जाने वाली भूमि की दर शहरी क्षेत्र में बाजार मूल्य अथवा सक्षमता दर, जो भी अधिक हो, के दो गुने और बारामित्री क्षेत्र में स्थित होने पर बाजार मूल्य अथवा सक्षमता दर, जो भी अधिक हो, के चार गुने से अधिक नहीं होगी।
(7) संबंधित भू-स्वामियों के संलग्न प्राप्त संबंध 1 पर भूमि क्रय किये जाने हेतु दर एवं कुल भूमि मूल्य पर सहमति प्राप्त की जायेगी और सहमति पत्र पर हस्ताक्षर करने के दिनिक को लागू सक्षम दर/प्राधिक बाजार मूल्य को सभी प्रयोजनों हेतु स्थीर किया जाएगा।

6- संबंधित क्रय निकाय/विभाग, जिलाधिकारी द्वारा नामित राजस्व अधिकारियों के सहयोग से भू-स्वामियों से वातांक कर आपसी सहमति के आधार पर क्रय की जाने वाली भूमि के भू-अभिवेदन के अनुसार स्वामित्व आदि के सम्पत्ति परीक्षण एवं जांचिोरों विवादशंक एवं धर्मांकों होने की दशा में भूमि के बाजार मूल्य एवं पुनर्‌रेडिस्पार्टमें बंधित अन्य लाभों का संग्रह लेते हुए संबंधित भू-स्वामियों की लिखित सहमति सहित क्रय की जाने भूमि की दर एवं कुल भूमि मूल्य का युक्तिसंगठ कंपैनियर/अधिक्षक समिति के सम्मान प्रस्तुत होते हैं।

7- क्रय की जाने वाली भूमि की दर एवं कुल भूमि मूल्य पर अनुमोदन के उपरांत एवं विविध निदेशन के पूर्व संबंधित क्रय निकाय/विभाग द्वारा लिखित अनुमोदन सम्मान अधिकारी का अनुमोदन प्राप्त किया जायेगा:-

<table>
<thead>
<tr>
<th>सीधे भूमि क्रय किये जाने वाली भूमि का प्रस्तावित कुल मूल्य</th>
<th>अनुमोदन हेतु सक्षम स्तर</th>
</tr>
</thead>
</table>

1. यह शासकन्वेंस इनकारकत्र जारी किया गया है, अतः इस पर हस्ताक्षर की आवश्यकता नहीं है।
2. इस शासकन्वेंस की प्रमाणित वेब साइट http://shasanadesh.up.nic.in से साध्यतित की जा सकती है।
8- उप्रीक्षक प्रस्तर-7 में उल्लिखित सक्षम स्तर के अनुमोदनोपरांत क्रय निकाय द्वारा राज्यव अधिकारियों के सहयोग से भू-स्थापण से विक्रय विलेख/बेचना निष्पक्षित कराकर भूमि पर कवोज प्राप्त किया जायेगा। यहू प्रो सुनिश्चित कर सिया जाय कि क्रय के गयी भूमि पर स्थित जित परिसमयतियों के सापेक्ष भूमि का भूगोल भू-स्थापण/क्षेत्र को किया गया है, उन्हें सम्बन्धित रूप से अभिलिखित करके उसके निर्णय परिवर्तन की कार्यवाही नियमानुसार की जाय तथा समय से भूमि का नामांकन क्रय निकाय द्वारा अपने पक्ष में करा दिया जाय।

9- क्रय की जाने वाली भूमि की दर एवं कुल भूमि मूल्य के अनुमोदन होने के पश्चात और अनुमोदित दर बेचना निष्पक्षित कराये जाने से पूर्व यदि क्लेक्टर द्वारा सरक्षित दरो में कोई परिवर्तन किया जाता है अथवा संयोजन द्वारा अनुमोदित दर के दिनांक 01 वर्ष का समय व्यतीत हो जाता है तो ऐसी स्थिति में दरो का पुनान्तरण संयोजन द्वारा नये सरक्षित रेट को आधार मानकर पुन: किया जायेगा।

10- संयोजन द्वारा विलिशच ती करणे दरो एवं कुल भूमि मूल्य के संबंध में सम्बन्धित क्रय करने वाले निकाय की सहमति न देने की दशा में अथवा दरो पर भू-स्थापणियों और क्रय करने वाले निकाय के मध्य किसी विवाद अथवा समझौते के अनुपालन को लेकर कोई विद्यु उत्पन्न होता है तो संबन्धित "संयोजन" के समक्ष क्रय निकाय द्वारा तर्कसंगत एवं अधिकारियों प्रस्ताव प्रस्तुत किया जायेगा, जिस पर संयोजन द्वारा निर्णय लेकर समाधान किया जायेगा और उपर वर्णित प्रक्रिया के अनुसार अनुमोदन प्राप्त किया जायेगा।

11- भू-स्थापनियों से आपसी सहमति के आधार पर सीधे भूमि क्रय करने के प्रयास
विफल रहने की दशा में संबंधित विभाग/निकाय/उपक्रम द्वारा अधिनियम 2013, सुसंगत मैत्री उत्सव के राजस्वाधीनों और यह संबंध में समय-समय पर निर्णय शासनादेशों एवं परिषददेशों के अन्तर्गत भू-आर्जन की कार्यवाही सुनिश्चित की जायेगी।

12- चूंकि क्रय की जाने भूमि की दर एवं कुल भूमि मूल्य का निर्धारण सभी सुसंगत शासनादेशों एवं नियमों/अधिनियमों का संचालन लेते हुए निर्धारित की गयी है।

अतः; भू-राजस्वाधीनों को राजस्व के शासनादेश दिनांक 17-8-2010, 03-09-2010 एवं 02-06-2011 तथा 2013 के भू-आर्जन अधिनियम में अनुमति पुनर्वासन और पुनर्वस्थापन लाभ पूर्वक से अनुमति नहीं होगी।

13- कृपया उपर्युक्त आदेशों का कडाई से अनुपालन सुनिश्चित करने का कदम करें।

भवदीय,

सुरेश चन्द्रा
प्रमुख सचिव।

संख्या: 2/2015/215(1)/एक-13-2015, तददिनांक
प्रतिलिपि निम्नलिखित को सुचारू व आवश्यक कार्यवाही हेतु प्रेषित:-।
(1) आयुक्त एवं सचिव, राजस्व परिषद, 0040 लखनऊ।
(2) मुख्य कार्यालय, अधिकारी, नौवना/वेटर नौवना/उपसा एवं उघोड़, 0040।
(3) स्टाफ आफिसर, मुख्य सचिव, उत्तर प्रदेश शासन।
(4) अनुभागीय आदेश पुस्तिका।

आजा से,

बीरबल सिंह
अनु सचिव।

1- यह शासनादेश इमेल्ड्यूचरैलेट जरी फिछा गया है, अतः इस पर हस्ताक्षर की आवश्यकता नहीं है।
2- इस शासनादेश की प्रस्तावित वेब साइट http://shasanadesh.up.nic.in से सत्यवाचित की जा सकती है।
प्रारूप संख्या-1
भूस्थाण्य/भूस्थाण्यां और क्रय निकाय के बीच लोक प्रयासों के लिए समझौते द्वारा भूमि क्रय किये जाने हेतु निष्पादित किया जाने वाला समझौता प्रमाण पत्र।

यह समझौता पत्र आज दिनांक से पूर्व हस्ताक्षरित/निष्पादित किया गया है और निम्नलिखित अंशों में एतदुरा वर्णित किया गया है, अर्थात्
(1) -----------------पुत्र श्री-----------------अंश-------------------
(2) -----------------पुत्र श्री-----------------अंश-------------------
(3) -----------------पुत्र श्री-----------------अंश-------------------

प्रथम पक्ष (जिसे एतदुरा वर्णित "भूस्थाण्य" कहा गया है) और;
उत्तर प्रदेश के श्री राज्यपाल/राज्य सरकार के माध्यम से कार्य कर रहे-------------------
---
(क्रय निकाय का नाम)

द्वितीय पक्ष (जिसे एतदुरा वर्णित "क्रय निकाय" कहा गया है) के माध्यम एतदुरा हस्ताक्षरित/निष्पादित किया गया है:-

चूंकि उल्लिखित पक्ष का भूमि के सापेक्ष देय दर तथा कुल भूमि मूल्य पर सहमत है/हैं जिसका विवरण अनुसूची में दिया गया है.-

उर्मि भूस्थाण्य अनुसूची सहमत नहीं है/हैं कि अनुसूची में वर्णित भूमि कोई वात या भूमि किसी चीज से स्थायी रूप से सम्बन्धित नहीं है वात क्रय निकाय के पूर्व अनुमोदन से वापस ला जा सकेगी।

अतएव अब भूस्थाण्य और क्रय निकाय से एतदुरा द्वारा निम्न प्रकार सहमत होता / होते है:-
(1) यह कि क्रय निकाय इस समझौता पत्र के निष्पादन की तिथि से अधिकतम 12 माह के भीतर अनिवार्य अर्जन के बिना, कार्यवाही करने में सक्षम होगा।
(2) यह कि यदि क्रय निकाय भूमि का तुरंत कब्जा लेना आवश्यक समझौता है तो यह/ वे ऐसा करने का हकदार होगा/ होंगे, भले ही इस पर फसल खड़ी हो, परन्तु यह कि अनुसूची में वर्णित "दर और कुल भूमि मूल्य" का भुगतान कर दिया हो।

1- यह शासनद्वार स्टाफस्टाफकॉम की फाइल में दिया गया, अर्थात् इस पर हस्ताक्षर की आवश्यकता नहीं है ।
2- इस शासनद्वार की प्रामाणिकता वेब साइट http://kansardesh.up.nic.in से संपादित की जा सकती है।
(3) यह कि यदि कुल भूमि में भूगतान के पश्चात यह प्रक्रिया होता है कि भूगतानियों इस समझौता पत्र में निष्पादित विक्रय विलेख के अनुसार प्रतिक्रिया की सम्पूर्ण धनराशि का / के अन्यत्र रूप से हकदार नहीं है / है और क्रय निकाय की आरें से किसी अन्य व्यक्ति को किसी प्रतिक्रिया का भूगतान करने की अपेक्षा की जाती है तो भूस्वामी द्वारा ऐसी धनराशि, जो क्रय निकाय द्वारा अवश्यकता की जाय बांट किये जाने पर वापस कर देगा। और किसी अन्य व्यक्ति / व्यक्तियों द्वारा किसी दाता या प्रतिक्रिया या उसके भाग के विरुद्ध व्यक्त निकाय / राज्य संसंग को ( समेत: और पृथकता: ) कश्तिपूर्व विरोध और उठायी गयी किसी हजार या नृयात्मक दभाव की सभी कार्यवाहियों और दायित्वों के विरुद्ध उसे / उनके भूगतान के कारण क्रय निकाय द्वारा उपगत किसी लागत प्रभाव या क्रय की गयी धनराशि पर विरुद्ध उसे / उनके भूगतान के कारण क्रय निकाय द्वारा उपगत किसी लागत प्रभाव या व्यय की गयी धनराशि पर प्रथम वर्ष 9 प्रतिशत की दर पर और पश्चातवर्ती वर्षों के लिए 15 प्रतिशत की दर पर व्याज भूगतान करेगा/ करेंगे।

(4) यदि भूस्वामी पूर्व वर्ती पैराम उल्लिखित धनराशि क्रय निकाय को वापस करने में असफल रहता है/ रहते है। तो क्रय निकाय को कलेक्टर के माध्यम से उसे भू-राजस्व के वकाये के रूप में वसूल करने या ऐसी धनराशि को वसूल के लिए प्रयुक्त किसी विधि के अनुपात कार्यवाही करने का / देने का पूरा अधिकार होगा।

(5) यदि अनुसूची में वर्णित भूमि पर कोई सरकारी देय / अंश / प्रायद्ध भूस्वामी द्वारा देय है या किसी वित्तीय संस्था का क्रय उक्त भूमि के विरुद्ध वकाया है तो उस धनराशि को कुल भूमि मूल्य की धनराशि से कटाती करके शेष धनराशि का भूगतान भू-स्वामी को किया जाएगा।

(6) क्रय निकाय और भू-स्वामी के ग्राहक हस्ताक्षरित इस समझौता पत्र के अंतर्गत के उपराम्त आवश्यक विक्रय विलेख का निष्पादन किया जाएगा, जिसके पंजीकरण/ निविड्ध सम्बन्धी समस्त_शुलक, जिसमें स्टाम्प_शुलक भी समर्पित होता है, को क्रय निकाय द्वारा व्यवस्थित किया जाएगा।

(7) विविध विलेख के निष्पादन के दिनांक पर ही समाप्तिः भू-स्वामी से अनुसूची-1 में वर्णित भूमि का क्रय निकाय द्वारा प्राप्त किया जाता है।

(8) क्रय निकाय के द्वारा निम्नलिखित आधारों पर इस समझौता पत्र पर को भू-
स्वामी को 15 दिन का नोटिस देकर निरस्त किया जा सकेगा:\n(1) यदि भूस्वामी ने समझौता पत्र को कपटपूर्ण व्यवहार करके सम्पादित कराया है,
(2) यदि भूस्वामी के द्वारा समझौता पत्र के किसी शर्त का उल्लंघन किया जाता है,
(3) यदि इस समझौता पत्र के लिपिपदन के उपरांत यह प्रकट होता है कि अनुसूची -1 में वर्णित भूमि का स्वामित्व भू-स्वामी में नहीं है।

अनुसूची

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<th>परगाना</th>
<th>तहसील</th>
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<td>झसरा सौ</td>
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भूस्वामी अन्य सम्पत्ति का विवरण

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भूस्वामी/भूस्वामियों के हस्ताक्षर

क्रम नियम की ओर से अधिकृत अधिकारी

1- यह शास्त्रपदेश इस्तेमालिकों जस्ती किया गया है, अतः इस पर हस्ताक्षर की आवश्यकता नहीं है।
2- इस शास्त्रपदेश की प्रामाणिकता यह साइट लिंक: https://bhaskarpachadi.up.nic.in से सत्यिकार की जा सकती है।
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<td>3.</td>
<td>पद नाम</td>
</tr>
<tr>
<td></td>
<td>ग्राम/ अभिसाक्षी</td>
</tr>
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</table>

1. यह शासनदेर्दी हस्ताक्षरित नहीं किया गया है, अतः इस पर हस्ताक्षर की अवश्यकता नहीं है।
2. इस शासनदेर्दी की प्रमाणपत्र के लिए वेब साइट [http://shasanadesh.up.nic.in](http://shasanadesh.up.nic.in) से साक्षात्कार की जा सकती है।
ANNEXURE-2: SIA Questionnaire

UTTAR PRADESH METRO RAIL CORPORATION

Sl. No.: ........................................
Date of collection of data: ........................................

Social Impact Assessment Study

(Questionnaire for collection of primary data concerning social economic conditions)

IDENTIFICATION:

1. Metro Corridor Name: ........................................
2. Location: ........................................
3. RHS/LHS: ........................................

I. CATEGORY - NON RESIDENTIAL AREA / RESIDENTIAL AREA

A. CATEGORY: NON RESIDENTIAL AREA

Number of squatters / slums within area: ........................................
Any River / Nallah / HT Lines/ Electric supply lines/ Temple/ Mosque/Gurudwara etc. crossing / passing the corridor
.................................................................

a. Shop  
b. Hotel  
c. Small Eatery  
d. Petrol Pump  
e. Clinic

If other (specify) .................................................................

Name of owner.................................................................S/o.................................................................

a. Age ........................................ 
b. Sex (M/F) ........................................ 
c. Education ........................................

1. Total Number of Manpower in the affected commercial establishment (?): (Not clear)

a. Male ........................................ 
b. Female ........................................

2. Number of affected persons, due to Metro construction:

a. Male ........................................ 
b. Female ........................................

3. Did you receive any notice from UPMRC/Government, regarding the loss of property, I yes, please describe

.................................................................

B. CATEGORY: RESIDENTIAL AREA

1. Name of the person / Head of the family contacted: ........................................

1. Age ........................................ 
2. Sex (M/F) ........................................ 
3. Married / Unmarried / Widowed

2. Address:

House No. ....... Location ........................................
Landmark ........................................
Mobile No./Contact No. ...........

3. Family Pattern

4. Family size (Details of family members):

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<th>Level of Education</th>
<th>Relation</th>
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</table>

Total number of members

5. Details about Education:
   1. Illiterates / Literate –
      5. Higher Degree holder
      6. Professional Education: Law/Medical/Engineering/Management/CA/CS etc.

6. Social Group:

7. Religious Group

8. Do you feel that coming of Metro corridors will be affecting your religious belief and practices. if yes, how?

(Whether holders of BPL card? Information on disability and other forms of vulnerability…………………………………………………………………………………………………………………

……...

9. Nature of employment:
   1. Unemployed 2. Employed
      Regular employment / Irregular employment or daily wage earner
      Number of earning members in the family: .............Nos.

10. Annual income of the family: Rs. ................. per month

11. Name of occupation (daily wage earner/regular employment)

12. Information about Family Assets (List of Assets to be mentioned)
   (Have the assets of your family been affected by the metro project, yes/no, If yes, how, details please)
   Please inform about the affected property in detail.
   ……………………………………………………………………………………………………………………………

13. Is your family project affected?
   (If yes how, ________________
   (if no why) ________________
14. Are you aware of the Metro project which is being commissioned in your area.? How do you feel about the same, describe in detail

15. How many people are affected in family, due to Metro construction, with name (If affected, how, mode of effect)

16. Whether the house is your own / rented.
   a. own  b. rented  c. lease hold  d. kutch  e. pucca  f. semi-pucca

   Utility connection  a. Electricity  b. Water  c. phone

**RESETTLEMENT AND REHABILITATION**

17. Number of members earning in the project affected family:
18. Number of dependents in project affected family:
19. What is the resources base of your projected affected family?
20. What is the base of your livelihood?
21. Is there any change in your livelihood / way of life due to Metro project implementation?
   (yes/no)
   If yes way of life / health / culture/community life / personal safety
22. How do you feel about project location?
23. Are you project affected person?
   a. (If yes how)
   b. (if no why)
24. Land, where Metro corridors are being layed belongs to you
   (a) any other person  (b) community  (c) Government.
25. Are you aware about HIV/AIDS (Yes/No)
   Can Metro commissioning affect the HIV/AIDs spread
26. Do you think that water supply and sanitation situation will be affected with the oncoming of Metro projects?
   (Yes / No)
27. Do you feel that you need re-settlement on account of being affected by commissioning of Metro corridors?
   (Yes / No)

**Feedback about UPMRC during construction and operation:**

If positive (specify)

If negative (specify)
Annexure-3: Format for Public Consultation

FORMAT FOR PUBLIC CONSULTATION

<table>
<thead>
<tr>
<th>Location</th>
<th>Date &amp; Time</th>
<th>Stakeholders</th>
<th>Issue Discussed</th>
<th>Suggestions by Stakeholders</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Signature of investigator                  Signature of stakeholders
OUTLINE OF RESETTLEMENT ACTION PLAN (RAP)

This outline is part of the EIB’s Involuntary Resettlement Principles. A resettlement plan is required for all projects with involuntary resettlement impacts. Its level of detail and comprehensiveness is commensurate with the significance of potential involuntary resettlement impacts and risks. The substantive aspects of the outline will guide the preparation of the resettlement plans, although not necessarily in the order shown.

A. Executive Summary

This section provides a concise statement of project scope, key survey findings, entitlements and recommended actions.

B. Introduction and Project Description

This section:

(i) provides a general description of the project, discusses project components that result in land acquisition, involuntary resettlement, or both and identify the project area.

(ii) describes the objectives of the RP; and

(iii) describes the alternatives considered to avoid or minimize resettlement. Include a table with quantified data and provide a rationale for the final decision.

C. Scope of Land Acquisition and Resettlement

This section:

(i) discusses the project’s potential impacts, and includes maps of the areas or zone of impact of project components or activities;

(ii) describes the scope of land acquisition (provide maps) and explains why it is necessary for the main investment project;

(iii) summarizes the key effects in terms of assets acquired and displaced persons; and

(iv) provides details of any common property resources that will be acquired.

D. Socioeconomic Information and Profile

This section outlines the results of the social impact assessment, the census survey, and other studies, with information and/or data disaggregated by gender, vulnerability, and other social groupings, including:

(i) define, identify, and enumerate the people and communities to be displaced;

(ii) describe the likely impacts of land and asset acquisition on the people and communities displaced taking social, cultural, and economic parameters into account;

(iii) discuss the project’s impacts on the poor, indigenous and/or ethnic minorities, and other vulnerable groups; and

(iv) identify gender and resettlement impacts, and the socioeconomic situation, impacts, needs, and priorities of women.

E. Information Disclosure, Consultation, and Participation

This section:

(i) identifies project stakeholders, especially primary stakeholders;

(ii) describes the consultation and participation mechanisms to be used during the different stages of the project cycle;

(iii) describes the activities undertaken to disseminate project and resettlement information during project design and preparation for engaging stakeholders;

(iv) summarizes the results of consultations with displaced persons (including host communities), and discusses how concerns raised and recommendations made were addressed in the resettlement plan;
(v) confirms disclosure of the draft resettlement plan to displaced persons and includes arrangements to disclose any subsequent plans; and (vi) describes the planned information disclosure measures (including the type of information to be disseminated and the method of dissemination) and the process for consultation with displaced persons during project implementation.

F. Grievance Redress Mechanisms
This section describes mechanisms to receive and facilitate the resolution of displaced persons’ concerns and grievances. It explains how the procedures are accessible to displaced persons and gender sensitive.

G. Legal Framework
This section:
(i) describes national and local laws and regulations that apply to the project and identify gaps between local laws and EIB’s policy requirements; and discuss how any gaps will be addressed.
(ii) describes the legal and policy commitments from the EA for all types of displaced persons;
(iii) outlines the principles and methodologies used for determining valuations and compensation rates at replacement cost for assets, incomes, and livelihoods; and set out the compensation and assistance eligibility criteria and how and when compensation and assistance will be provided.
(iv) describes the land acquisition process and prepare a schedule for meeting key procedural requirements.

H. Entitlements, Assistance and Benefits
This section:
(i) defines entitlements and eligibility of displaced persons, and describes all resettlement assistance measures (includes an entitlement matrix);
(ii) specifies all assistance to vulnerable groups, including women, and other special groups; and.
(iii) outlines opportunities for displaced persons to derive appropriate development benefits from the project.

I. Relocation of Housing and Settlements
This section:
(i) describes options for relocating housing and other structures, including replacement housing, replacement cash compensation, and/or self-selection (ensure that gender concerns and support to vulnerable groups are identified);
(ii) describes alternative relocation sites considered; community consultations conducted; and justification for selected sites, including details about location, environmental assessment of sites, and development needs;
(iii) provides timetables for site preparation and transfer;
(iv) describes the legal arrangements to regularize tenure and transfer titles to resettled persons;
(v) outlines measures to assist displaced persons with their transfer and establishment at new sites;
(vi) describes plans to provide civic infrastructure; and
(vii) explains how integration with host populations will be carried out.
J. Income Restoration and Rehabilitation
This section:
(i) identifies livelihood risks and prepare disaggregated tables based on demographic data and livelihood sources;
(ii) describes income restoration programs, including multiple options for restoring all types of livelihoods (e.g. project benefit sharing, revenue sharing arrangements, joint stock for equity contributions such as land, discuss sustainability and safety nets);
(iii) outlines measures to provide social safety net through social insurance and/or project special funds;
(iv) describes special measures to support vulnerable groups; (v) explains gender considerations; and
(v) describes training programs

J. Resettlement Budget and Financing Plan
This section:
(i) provides an itemized budget for all resettlement activities, including for the resettlement unit, staff training, monitoring and evaluation, and preparation of resettlement plans during loan implementation.
(ii) describes the flow of funds (the annual resettlement budget should show the budgetscheduled expenditure for key items)
(iii) includes a justification for all assumptions made in calculating compensation rates and other cost estimates (taking into account both physical and cost contingencies), plus replacement costs.
(iv) includes information about the source of funding for the resettlement plan budget.

L. Institutional Arrangements
This section:
(i) describes institutional arrangement responsibilities and mechanisms for carrying out the measures of the resettlement plan;
(ii) includes institutional capacity building program, including technical assistance, if required;
(iii) describes role of RISAs, if involved, and organizations of displaced persons in resettlement planning and management; and
(iv) describes how women’s groups will be involved in resettlement planning and management.

M. Implementation Schedule
This section includes a detailed, time bound, implementation schedule for all key resettlement and rehabilitation activities. The implementation schedule should cover all aspects of resettlement activities synchronized with the project schedule of civil works construction, and provide land acquisition process and timeline

N. Monitoring and Reporting
This section describes the mechanisms and benchmarks appropriate to the project for monitoring and evaluating the implementation of the resettlement plan. It specifies arrangements for participation of displaced persons in the monitoring process. This section will also describe reporting procedures.
Sample TOR for the External Monitoring Agency

A. Introduction

1. Monitoring and evaluation will include, but will not be limited to, (i) the progress and effectiveness of the implementation of the RAP; and (ii) the evaluation of income restoration and postresettlement conditions of the displaced persons (DPs) and affected communities, including host communities.

B. Objectives and Requirements of Monitoring and Evaluation

2. The objectives of monitoring and evaluation are to assess whether the LARAP is implemented on schedule and within budget and whether the goals and principles of the LARAP are achieved. Specifically, monitoring and evaluation will focus on the following aspects of the DPs’ situation and the resettlement process:

- Social and economic situation prior to and after land acquisition and/or resettlement;
- Timely disbursement of funds;
- Functioning of the grievance redress mechanism;
- Environmental conditions;
- Social adaptability after resettlement;
- Rehabilitation of vulnerable groups;
- Special items related to the vulnerable groups;
- Condition and quality of land temporarily acquired when it is returned to the original land users;
- Measures taken to restore affected livelihoods; and,
- Living conditions and economic status of DPs following resettlement in comparison to the “without project” scenario.

3. Monitoring and evaluation will include (i) the verification or establishment of a socio-economic baseline of the DPs prior to actual {land acquisition, physical displacement/relocation, loss of assets or disruption of businesses (as relevant)}; (ii) verification of internal monitoring data and reports; (iii) the regular monitoring of their {resettlement or displacement/relocation (as relevant)} and adjustment during Project implementation; and (iv) evaluation of their situation for a period of {one or two years} after {land acquisition or displacement or relocation (as relevant)}. In addition, qualitative and quantitative evaluation will be made on the sustainability of living conditions of DPs. Investigation will include consultations and observations with DPs, IAs, local officials, village leaders, as well as a quantitative sample survey of at least 20% of displaced households. Focus group discussion will be conducted with male and female DPs, and vulnerable groups.

4. If the findings of the EM indicate significant compliance gaps, the EM will work with the EA and PIU to prepare a separate corrective action plan (CAP) in cooperation with the relevant stakeholders, to address pending or new LAR impacts. The EM will monitor and report on the implementation of the CAP.
C. Monitoring Indicators

5. Monitoring will include process, output and outcome indicators. The monitoring framework and formats stipulated in the RPF and RAP will be adopted. The following general indicators will be covered.

- Disbursement of entitlements to DPs and enterprises/businesses: compensation, relocation, housing, cultivated farmland, and employment as specified in the LARAP.
- Provision of relocation options: the affected persons must move into chosen resettlement/housing option at least one month before physical displacement/relocation; for those opting for self-construction, payment of compensation and provision of housing sites should be completed at least three months before physical displacement/relocation; the compensation for construction of houses should be equivalent to the replacement cost; the DPs must receive their entitlements and allowances on time.
- Development of economic productivity: re-allocation of cultivated land, land restoration, job opportunities available to DPs, number of DPs employed or unemployed.
- Standard of living: Throughout the implementation process, the trends in standards of living will be observed and the potential problems in the way of restoration of standards of living will be identified and reported. The Monitor will carry out a comprehensive socio-economic survey after the completion of resettlement implementation to document the standards of living and the conditions of the DPs after resettlement. The survey will be updated annually.
- Restoration of civic infrastructure: all necessary infrastructure should be restored at the resettlement sites at least up to a standard equal to the standard at the original location; the compensation for all infrastructure should be sufficient to reconstruct it to the same quality.
- Effectiveness of resettlement planning. Adequacy of assets measurement, entitlements, sufficiency of budget, and timeliness of mitigation measures.
- Level of satisfaction of DPs: level of satisfaction of DPs with various aspects of the resettlement program; the operation of the mechanisms for grievance redress will be reviewed and the speed and results of grievance redress measures will be monitored.
- Social adaptability and cohesion: impacts on children, indigenous peoples/ethnic minorities and other vulnerable groups, public participation, DPs’ attitudes and reaction to post resettlement situation, number of complaints and appeal procedures, implementation of preferential policies, income restoration measures, and improvements in women’s status in villages.
- Other Impacts. The monitor will verify if there are unintended environmental impacts and impacts on employment and incomes.
D. Special Considerations

6. Special attention will be paid to women, indigenous peoples/ethnic minorities/groups, as well as the poor and vulnerable groups during monitoring; these include:

- The status and roles of women: Closely monitor any change in women’s status, function and situations. At least 40% of DPs surveyed will be women.
- Differential impacts on indigenous peoples/ethnic minority groups. Closely monitor the socioeconomic status of indigenous peoples to ensure that they have not been further marginalized. Monitoring indicators should to the extent possible be disaggregated by gender and ethnicity.
- Care and attention to vulnerable groups: Closely monitor living conditions of the poor, the elderly, the handicapped, female headed households and other vulnerable groups after resettlement, to ensure that their livelihood is improved.
- Monitoring and evaluation will provide information on the utilization and adequacy of resettlement funds.