

# **Social Manual for Urban Local Bodies**

**CONTENTS PAGE**

<b>Sl. No</b>	<b>Contents</b>	<b>Page Number</b>
<b>A</b>	Introduction and Purpose of the Manual	<b>3</b>
<b>B</b>	A Social Sub-project Cycle	<b>4</b>
<b>C</b>	Social Categorization of Sub-projects	<b>5</b>
<b>D</b>	Key Social Activities and Documents to be Used	<b>6-7</b>
<b>E</b>	Summary of Detailed Social Activities	<b>8</b>
<b>F</b>	Key Definitions	<b>9-10</b>
<b>G</b>	List of Documents	<b>11</b>
<b>DOCUMENTS 1 – 14</b>		<b>12-43</b>

## **A. INTRODUCTION & PURPOSE OF THE MANUAL**

Developmental interventions sometimes have adverse social impacts. While it is recognized that social issues triggered during developmental interventions cannot be fully avoided, it is important to address them by adopting best methods and practices through proper identification, management, monitoring and mitigation of social impacts. This social manual has been devised to assist and help the project implementing agencies at the ULBs to ensure that sub-project interventions are socially sound and sustainable.

### **Purpose and Objectives**

It is important for those who would be using the manual to know what the purpose behind preparing the manual is and how it can be useful to them. The manual can be used as a guide and as a reference to the ULB staff while implementing the sub-projects. The primary purpose of the manual is to ensure that the sub-projects are socially sound and also ensure that there is a positive flow of benefits through the project. The manual would help ULBs to:

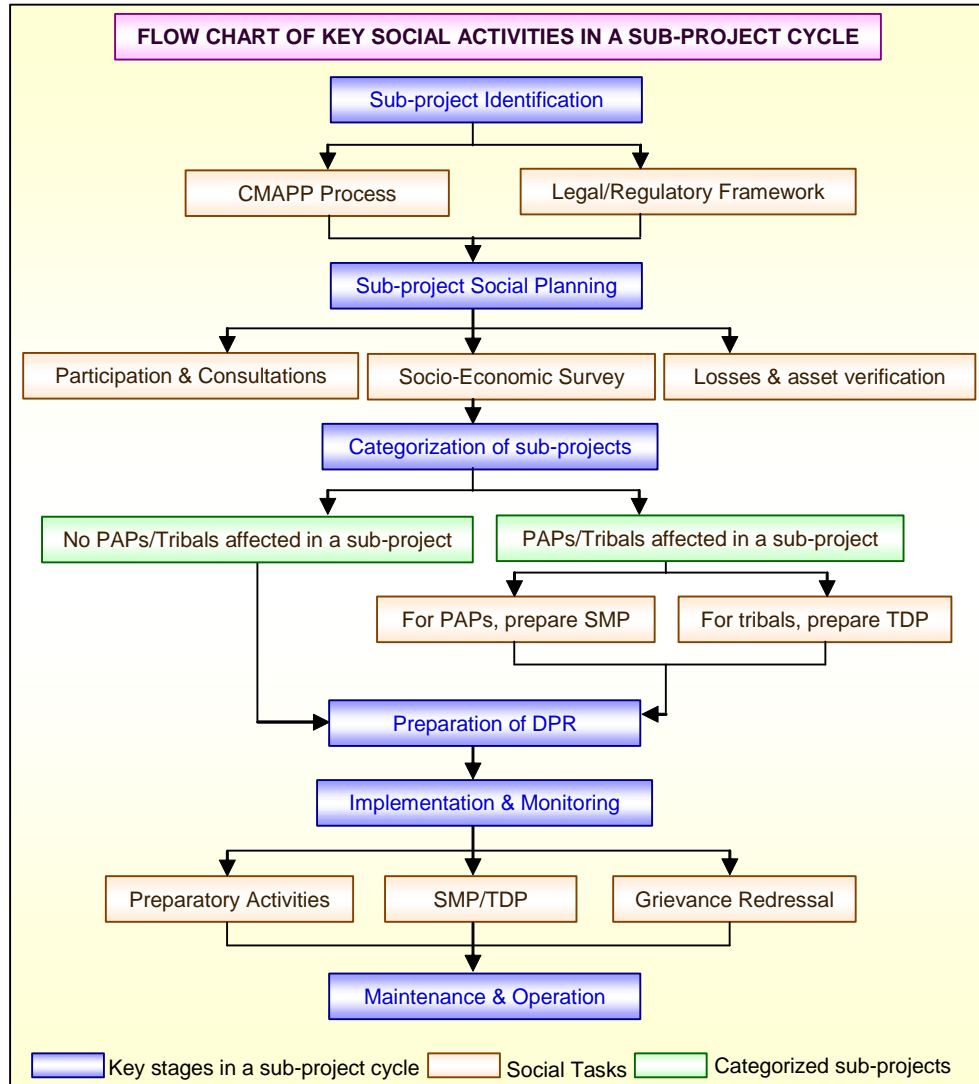
- Prepare socially sound sub-project investments
- Identify and mitigate potentially negative social impacts by undertaking appropriate ameliorative steps while planning the sub-projects
- Ensure equitable benefits to vulnerable groups, including potentially displaced persons, tribal people and women and protect them from further impoverishment
- Ensure participation of the community and the affected people in designing, implementing, managing and monitoring sub-projects

The manual contains the following:

- Section B: A social sub-project cycle
- Section C: Sub-project Categorization
- Section D: A description of key social activities at different stages in a sub-project cycle and documents to be used
- Section E: Summary of detailed social activities
- Section F: Key definitions
- Section G: List of Documents

## B. A SOCIAL SUB-PROJECT CYCLE

The social sub-project cycle begins with identification of a sub-project through CMAPP process and consultations with the community. Once identified, the sub-project planning would be undertaken through socio-economic household survey for social baseline of the sub-project area, losses and asset verification which involves identifying impacts and preparing compensations and valuations, Voluntary Land Donation (VLD), etc., and consultations to ensure participation of community, especially vulnerable groups and women. The sub-project would then be categorized (sub-project involving PAPs/tribals or sub-projects involving no PAPs/tribals) based on the information collected through the survey, verifications and consultations. If the Sub-project does not involve PAPs/tribals, it can be implemented immediately, but if it involves any PAPs/tribals, then the ULB would have to prepare a Social Management Plan (SMP)/Tribal Development Plan (TDP) or both as the case may be, detailed resettlement, rehabilitation, monitoring and management plans. SMP/TDP along with Land Acquisition, VLD, sub-project designs, alignments and plans would form the content of a Detailed Project Report (DPR). Sub-project implementation would start with preparatory activities for implementing SMP/TDP in consultation with the PAPs along with redressal of grievances, distribution of entitlements, with the help of well paced institutional arrangements. The monitoring and management could then be planned by the ULBs by fostering partnerships with the community and finally the sub-project can maintained and managed with the help of the community.



### C. SOCIAL CATEGORIZATION OF SUB-PROJECTS

Social categorization of sub-projects would be on the basis of whether it involves any PAPs and/or tribal people. In other words, sub-projects would be categorized on the basis of whether it has any adverse impacts on the people or tribal communities. The sub-projects may be considered as involving PAPs/tribals if they are affected by the following losses.

- Loss of land
- Loss of structures & immovable property
- Loss of livelihood
- Loss of public utility lines/community infrastructure
- Loss of crops and trees

Thus, based on the above losses which determine whether sub-projects involve PAPs/tribals, they can be categorized into two categories:

- **Sub-projects with adverse social impacts:** A sub-project is considered as having adverse social impacts when there are person/persons or families affected/displaced due to loss of land, structures and assets/livelihood/community infrastructure or if there are any tribal people who are affected by the intervention. In case where people are adversely affected, a Social Management Plan (SMP) would be required to be prepared. In case of indigenous groups being affected, a Tribal Development Plan (TDP) would be prepared. Steps for resettling and rehabilitating them would be undertaken or followed according to the provisions in the Urban Social Safeguard Framework (USSF).
- **Sub-project with minimal/no adverse social impacts:** A sub-project will be considered as having minimal/no adverse social impacts when there are no person/persons, families/tribal groups affected by it. However, it is important that such sub-projects are reviewed to ensure that they comply with equity, gender sensitivity, transparency and participation.

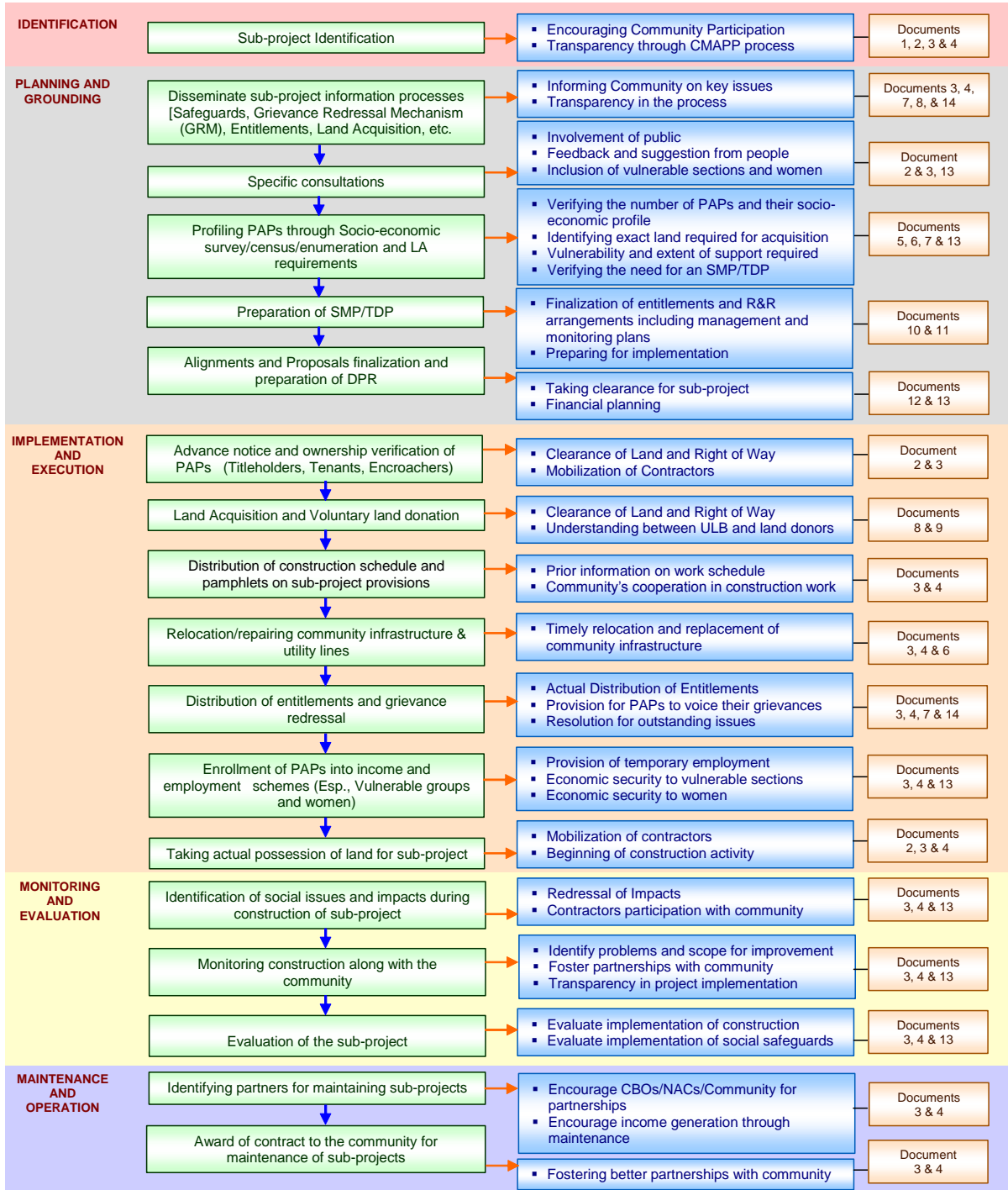
## D. KEY SOCIAL ACTIVITIES AND DOCUMENTS TO BE USED

<b>Sub-Project Identification stage</b>	
<b>CMAPP Process</b>	Sub-projects in the ULBs would be identified through the CMAPP process. Community participation to identify sub-projects is the core principle of this process. The CMAPP process is detailed out in <b>Document-1</b> .
<b>Examine legal &amp; regulatory framework</b>	It is important to study the key laws and policies that may be applicable to the sub-project. Useful information on important policies and laws is provided to the manual as <b>Document-2</b> for reference.
<b>Sub-project Social Planning</b>	
<b>Participation &amp; consultations</b>	For socially strengthening and maintaining transparency in a sub-project consultations occupy an important role. Sub-project level consultations should be undertaken to assess possible social impacts, to enable public participation in the planning of sub-project activities and, in the case of sub-projects that may affect tribal people, to obtain broad-based community support to the sub-project on the basis of free, prior and informed consultations. See <b>Document-3</b> for a list of consultations to be undertaken from sub-project identification to sub-project completion stage. <b>Document-4</b> is a format for recording consultations.
<b>Socio-economic /census survey</b>	While consultations on the sub-project are in progress, information has to be collected to identify and enumerate the number of PAPs affected by the sub-project and the vulnerable PAPs, profile the socio-economic baseline situation of the people affected by the sub-project. Suitable safeguard mechanisms can be planned based on this information. <b>Document-5</b> is a schedule/format that can be used by the ULB to undertake a socio-economic/census survey.
<b>Losses &amp; asset verification</b>	<p>Along with the socio-economic household survey, ULBs need to make an assessment of the extent of loss incurred to the PAPs in terms of land acquisition, structures and assets, livelihood and community infrastructure and costs involved in the form of compensations, allowances, relocation and resettlement. <b>Document-6</b> provides a verification format for collecting information in this regard. It also provides guidelines for valuation of land, assets, and community infrastructure. <b>Document-7</b> contains entitlement guidelines to help ULBs determine the compensation, allowances, etc., for PAPs.</p> <p>There may be a number of instances where the titleholders, landowners, private trusts, industrial areas etc., would come forward to voluntarily donate the land for the development activities undertaken in the municipality. To undertake voluntary land donation a set of guidelines have been prepared which are provided in <b>Document-8</b>. Consent to voluntary donation of land could be agreed upon with the help of a MoU/Gift Deed/Affidavit to the ULBs. A format for MoU/Gift Deed/Affidavit is given in the <b>Document-9</b>.</p>

<b>Categorization of Sub-Projects</b>	
<b>Preparation of SMP/TDP</b>	<p>From the information gathered from the socio-economic survey and the verification exercises ULBs would categorize sub-projects on the basis of whether a sub-project is affecting PAPs/Tribals or not. A sub-project can be implemented immediately if it does not involve any PAPs/tribals. In case the sub-project adversely affects people, a Social Management Plan (SMP) needs to be prepared and included in the DPR. The SMP would consist of various plans and activities for social compliance of the sub-project. In case there are any tribal populations that are affected in the sub-project area; the ULBs would then have to prepare a Tribal Development Plan (TDP). The guidelines for the preparation of SMP are given in the <b>Document-10</b>. The guidelines for the preparation of TDP are given in the <b>Document-11</b>.</p> <p>If external help or technical assistance is required, the ULBs may approach the CDMA. The CDMA would identify and select suitable consultants/agencies through a tendering process.</p>
<b>Preparation of Detailed Project Report (DPR)</b>	
<b>Information on all components of the sub-project</b>	<p>The DPR should contain all details of the sub-project like construction designs, plans and maps, location, feasibility, time taken for completion, costs and budgets, monitoring and management measures involved in the completion of the sub-project etc. The DPR should contain details of Land Acquisition, voluntary land donation and also include SMP/TDP or both as the case may be in case the sub-project is adversely affecting people/tribals.</p> <p>For clearance and financial assistance, the information on the sub-project has to be reported to the APUFIDC along with the DPR. The concise format for reporting social details for the sub-project is given in the <b>Document-12</b>.</p>
<b>Implementation and Monitoring</b>	
<b>Preparatory Activities</b>	<p>The beginning of the implementation activity is marked by consultation and discussions with the community in the sub-project area informing them about the sub-project activities, implementation schedules, areas requiring community participation etc. This information dissemination can be undertaken through distribution of pamphlets on the sub-projects. Sending notifications for land evacuation and acquiring land, relocation of community infrastructure, taking possession of voluntary land donated, redressal of grievances, relocation, actual disbursement of entitlements etc., are all the various activities at this stage. ULBs should ensure the participation of the community, especially, the vulnerable sections and women.</p>
<b>Implementation of SMP/TDP</b>	<p>During implementation all the activities are to be monitored and managed by ULB officers to ensure timely implementation of R&amp;R activities and social safeguards. The social monitoring and management activities in a sub-project are given in the <b>Document-13</b>.</p>
<b>Grievance Redressal</b>	<p>During the implementation stage the redressal of grievances occupies an important role. It is important for the ULBs to ensure that proper grievance redressal mechanisms are in place at the local level to address any social issues that may arise at various stages of the sub-project cycle. Various issues pertaining to redressal of grievances are mentioned in <b>Document-14</b>.</p>
<b>Operation and Maintenance Stage</b>	
<b>Operation and Maintenance</b>	<p>Sub-projects become sustainable for a longer period if they are maintained along with the help of the community. Hence, after completion of the sub-project is completed, the ULBs should ensure and initiate partnerships with the community in operating and maintaining the infrastructure facilities.</p>

## E. SUMMARY OF DETAILED SOCIAL ACTIVITIES

Given below is the summary of detailed social activities and tasks at various stages of the sub-project along with the possible outputs and documents required for undertaking each activity.



## F. KEY DEFINITIONS

There are various key words used in various documents of the Manual. Some of the important definitions of the key words are given below.

SI.No	Term	Definition
1	<b><i>Below Poverty Level Families</i></b>	A family whose family annual income from all sources is less than a designated sum as fixed by the Government of Andhra Pradesh. (as per the latest enumeration and which may be amended from time to time)
2	<b><i>Cut Off Date</i></b>	a) The cut off date in the case of land acquisition affecting legal title holders, would be the date of issuing the notice u/s 4 (1) of the LA Act. b) In cases where people lack title, the cut off date will be the date of census survey under taken by the project authority.
3	<b><i>Encroachers</i></b>	Encroachers are those who have trespassed into government land adjacent to their own land or occupied government land having private land elsewhere at least one year prior to the cut off date and using that encroached land for housing and/or livelihood purposes.
4	<b><i>Income of a PAP</i></b>	It shall mean the amount of income as shown in his / her income tax return prior to the cut-off-date. In the absence of such a return, his / her income shall be calculated by an objective assessment applying the same method as adopted by the Government Agencies for identifying below poverty level families.
5	<b><i>Loss of access to urban civic services</i></b>	Deterioration in the livelihood is also caused due to the loss of access to public services. The community owned public services that may be lost include schools, health centers, public offices, electricity, drinking water sources, recreation sources etc.
6	<b><i>Loss of cultural property and common property resources</i></b>	A cultural property is an animate or in animate object(s) including properties valued for their cultural, religious or social significance by the local community or any relevant stakeholders or any agency established by law to conserve cultural heritage. The common property resources include any area which is being commonly used by the community, like grazing lands, burial grounds etc.
7	<b><i>Loss of land</i></b>	Land acquisition leads to loss of land and may lead to displacement of people who are affected by the sub-project under implementation. Loss of commercial, agricultural, industrial land, etc., falls within this definition.
8	<b><i>Loss of livelihood</i></b>	Loss of livelihood would refer to, a person who stands to lose his/ her source of income as a direct outcome of loss of land and/or structures due to the sub-project.
9	<b><i>Loss of public utility lines</i></b>	Loss of public utility lines would refer to relocation or realignment of utility lines like water supply lines, sewerage network, and telephone and power supply cables before the start of the sub-project or during sub-project execution phase that may affect the people who are using the services.
10	<b><i>Loss of structure</i></b>	Loss of structure would broadly refer to loss of any kind of built-up property, partly or fully. These could include structures used for living, commercial activity, educational or any other commercial purpose, etc.
11	<b><i>Loss to vulnerable groups and indigenous people</i></b>	Impoverishment is a process of decline in the economic position of the oustees due to loss of basic sources of livelihood. Landlessness, joblessness and homelessness are all indications of this process of marginalization. Deprived communities like the scheduled castes, Scheduled Tribes, Economically weaker sections (BPL), women-headed households, etc. are considered vulnerable to development

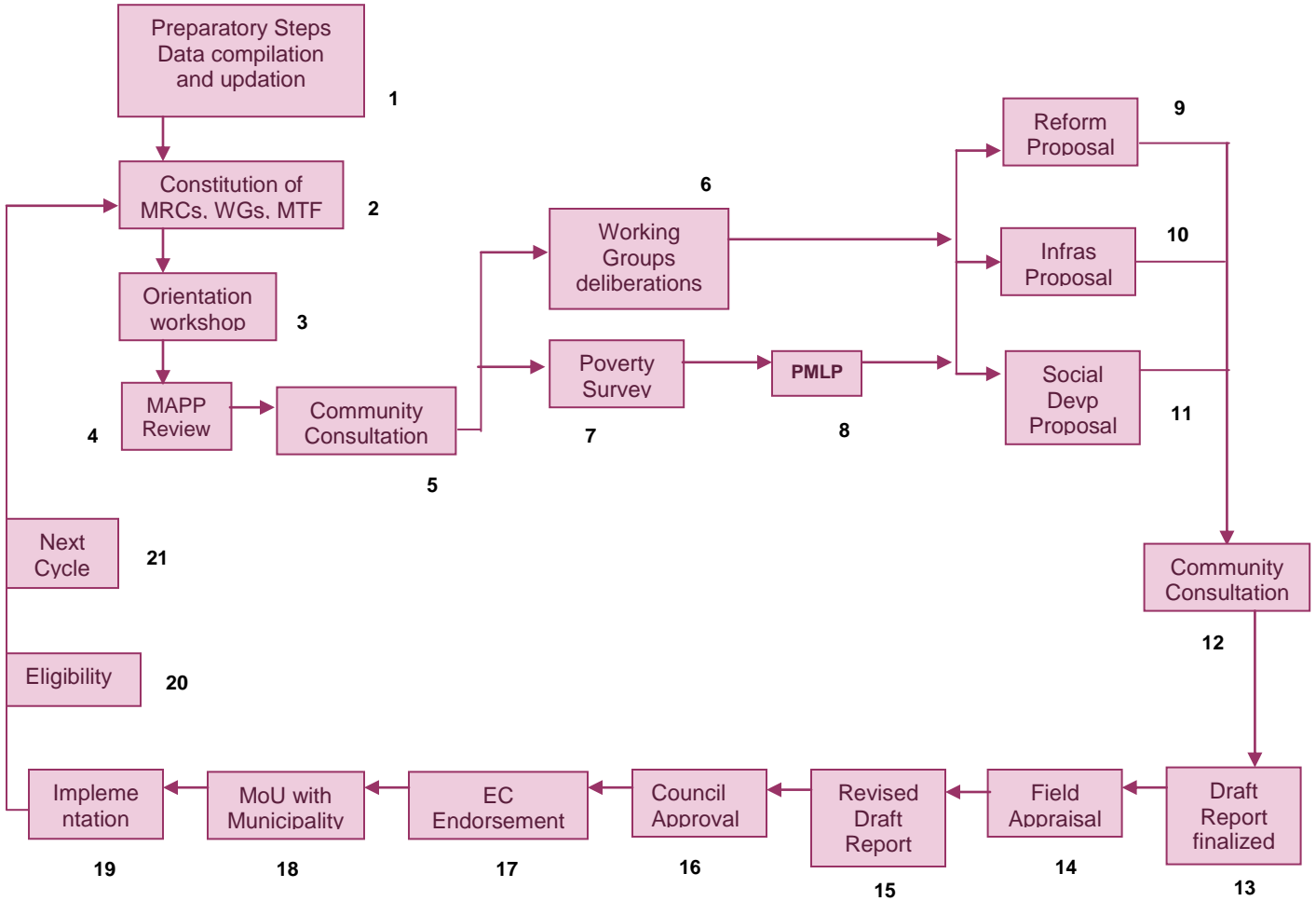
SI.No	Term	Definition
		interventions that cause dislocation or displacement. The most vulnerable to impacts are the indigenous and tribal groups and special measures have to be taken to address impacts on them.
12	<b>Market Value</b>	Market value of an asset lost is equivalent to the value of the asset as per the prices prevailing in the open market. The valuation methodology for determination of market value must take this into account.
13	<b>Project Affected Family (PAF)</b>	Project Affected Families are those families that are adversely affected by the sub-project and face direct loss due to severance of land and/or loss of immovable properties and/or face loss of livelihood earning as a result of loss of land assets or structures. a. A "Family" shall mean husband and wife, and all dependents, including minor children and elderly persons. b. In a household every son or unmarried daughter who has attained the age of 18 years on or before the cut-off-date will be treated as separate family. c. Every divorced, widowed, or separated daughter living separately or with the family on or before the cut-off-date will be treated as separate family.
14	<b>Project Affected Person (PAP)</b>	PAP is a person who a sub-project affects (a) by severing land; (b) by affecting his / her immovable properties in any manner; and or (c) by adversely affecting his / her livelihood / earnings in the sub-project area due to loss of land and/or structures.
15	<b>Sharecropper</b>	Those who have formally or informally come to an agreement with private property owner to cultivate the land.
16	<b>Squatters</b>	Squatters are those who have squatted on government or other private land for residential and/or livelihood purposes at least one year prior to the cut off date and have no other private land ownership.
17	<b>Titleholder</b>	A person who possess legal documents towards the claim for the property.
18	<b>Vulnerable Persons</b>	These refer to such sections of society like below poverty line population, scheduled castes, scheduled tribes, women and children, old and disabled.

## **G. LIST OF DOCUMENTS**

- Document – 1** CMAPP Process
- Document – 2** Useful Information on Important Policies and Laws
- Document – 3** List of Consultations in a Sub-project Cycle
- Document – 4** Format for Recording Consultations
- Document – 5** Socio-economic Household Schedule
- Document – 6** Household Questionnaire for Verification of Losses and Valuation Methods
- Document – 7** Entitlement Guidelines
- Document – 8** Guidelines for Voluntary Land Donation
- Document – 9** MoU-Gift Deed-Affidavit for Voluntary Land Donation
- Document – 10** Guidelines for Preparation of Social Management Plan
- Document – 11** Guidelines for Preparation of Tribal Development Plan
- Document – 12** Format for Reporting Social Details of a Sub-project
- Document – 13** Monitoring and Management Activities in a Sub-project
- Document – 14** Grievance Redressal Mechanism

**DOCUMENT – 1**

**FLOW CHART OF CMAPP PROCESS**



The preparation of the CMAPP under the APUSP project is a commendable step towards incorporating the participatory principles into municipal governance. The CMAPP process constitutes formation of groups namely, the Municipal Reforms Committee (MRC) which is in-charge of reform initiatives, the Municipal Task Force (MTF), which would be monitoring the investment initiatives in the town and Working Groups (WG) which would form a part of the deliberative process for identification of sub-projects and reform and social development initiatives. The committees and working groups constitute representatives of various concerned departments, members and chairman of municipal council, municipal executive staff, community representatives like the Neighbourhood Action Committee (NAC) conveners, CBOs etc.

**KEY**

1	Preparatory steps involve three distinct activities viz., data updation, constitution of committees and orientation workshops on CMAPP process. The ULB shall update the data relating to different aspects of municipal performance as well as implementation of proposals that would be funded under AP Municipal Development Project (APMDP).
2	Three committees will be constituted in the ULB, namely the Municipal Reforms Committee (MRC), Municipal Task Force (MTF) and the Working Groups (WG). These committees constitute municipal officials, council members and representatives from community and civil society organizations working in the ULB. The MRC is in charge of identifying municipal reform initiatives, the WGs are in charge of identifying infrastructural and social development initiatives in the town and the MTF works as an implementing and appraisal body.
3	To facilitate better understanding of the CMAPP processes, funding pattern and other details an orientation workshop should be organized in the ULB. This workshop shall be supported by the APMD Project and ensure the participation of Councilors, committee members, CBOs & SHGs and civil society organizations.
4	The review of the MAPP is undertaken by the WGs formed under the CMAPP process. In case there is no MAPP prepared for the ULB, then the ULBS have to prepare a list of proposals before the formation of the WGs for review. This exercise involves review of municipal performance in general as well as performance in the three components namely, reforms, infrastructure investments and social development. The WGs would review each proposal, analyze the progress and see whether it meets the minimum performance criteria.
5	Based on review, the WGs shall identify broad areas for reforms, infrastructure and social development and present their findings to the community in the form of meetings and consultations to facilitate discussion and also get feedback from them. This ensures community participation in identifying and appraising sub-projects.
6	Once the problem areas are discussed with the community the WGs have to rework on the proposals identified. This is critical for proper identification of proposals for CMAPP. The WGs shall also indicate the prioritized settlements to be taken up during the first cycle of CMAPP.
7	To develop authentic database on poverty and infrastructure deficiency, the ULBs shall undertake a poverty survey to collect data from the households in the sub-project locations.
8	Poverty survey shall be followed by Participatory Micro Level Planning (PMLP) for identifying the proposals to be included into the CMAPP document.
9	The WGs shall meet at least five times to articulate the proposals for incorporation in the CMAPP. The WG 1 based on review of MAPP implementation and vision of the town shall identify the reform proposals. The WG2 shall identify the on-site and off-site infrastructure proposals based on PMLP in the prioritized poor settlements. Similarly, the WG 3 shall identify the social development proposals based on PMLP. The WG 3, however, identifies the specific proposals where PMLP was conducted as well as proposals for the entire town for social development. The MTF shall support the WGs in articulating the proposals.
10	
11	
12	Second phase of community consultations would be embarked upon at this stage consisting broadly of the same members who attended the earlier orientation and review workshops. These consultations are aimed at sharing the proposals identified with the community by the WGs. Each WG presents the proposals followed by discussion and consensus building on the proposals. The participants are encouraged to make suggestions so as to incorporate them into the sub-project designs.
13	Based on the feedback and suggestions, the WGs shall finalize the proposals for reforms, infrastructure provision and social development. The MTF shall prepare a draft final report as per the guidelines and shall be discussed with the WGs and MRC. After their approval it shall be submitted to the project management unit at the APUFIDC as draft CMAPP document for appraisal.
14	After receipt of the draft CMAPP document from the project town, the APUFIDC shall undertake a pre-check to know whether the document has been formulated as per the guidelines. On satisfaction that the CMAPP draft documented has been prepared as per the processes recommended by the Project and is in accordance of the basic tenets, it shall constitute an Appraisal Team to visit the town and appraise the CMAPP proposals for funding by the APUSP.
15	If there any shortcomings identified in the field appraisal or cases where more information has to be added to the proposals, changes will be made accordingly and a revised draft final report will be prepared.
16	After the field appraisal, the town shall prepare the final document. Prior to the submission of final document it shall be placed before the Municipal Council for approval.
17	Along with the appraisal report, the final CMAPP document shall be placed before the EC for endorsement of the proposals.
18	After endorsement of the CMAPP document by the EC, the project town shall enter into a memorandum of understanding (MoU) incorporating its commitment to implement the reforms and other proposals as per the guidelines as well as adhere to time schedules with the Project.
19	Once the MoU is signed, the municipality can initiate steps to implement the proposals identified and approved in the CMAPP. The CMAPP preparation process takes about six weeks. Necessary orientation and training shall be provided by the non-official and official functionaries as well as members of poor settlements and civil society to prepare them for implementation of the sub-projects.
20	The project managers at the APUFIDC would assess the implementation of sub-projects funded and also determine the eligibility of the town/ULB for further funding.
21	The next cycle represents the identification of proposals for the preparation of a new CMAPP document for the ULB.

## DOCUMENT – 2

### USEFUL INFORMATION ON IMPORTANT POLICIES AND LAWS

The ULBs needs to be familiar with the various legislations and policies that would guide them to address issues while implementing sub-projects. It may also be noted that the Urban Social Safeguard and Rehabilitation Framework (USSF) outlines the principles and approaches to be followed in minimizing and mitigating the negative social and economic impacts due to the sub-projects under the APMD Project. The principles adopted in the USSF including land acquisition to address the social and economic issues in the project have been guided by the existing legislations and policies of the government at the Center and State level and World Bank operational guidelines. The policies, legal provisions and the administrative framework regarding social issues that are applicable for the implementation of APMD Project are detailed below.

<b><u>Municipal Legislation</u></b>		
<b>a.</b>	<b><i>Andhra Pradesh Municipalities Act, 1965</i></b>	Various rules and provisions for the functioning of the municipal administration and also issues pertaining to Land Acquisition (LA) and compensation
<b>b.</b>	<b><i>Andhra Pradesh Town Planning Act, 1920</i></b>	Guides and regulates the planned development of towns and cities and also Land Acquisition and compensations
<b>c.</b>	<b><i>The Hyderabad Municipal Corporations Act, 1955</i></b>	The Act discusses issues pertaining to authorities for local self-government, provision of various services, construction and development along with other regulations and guidelines. This act is also an important act as it lays down the rules and regulations and provides legal standing to enact other Acts for municipal administration and municipal governance. It also discusses issues regarding LA and compensation
<b>d.</b>	<b><i>Visakhapatnam Municipal Corporation Act, 1979</i></b>	This Act was drafted from the Hyderabad Municipal Corporations Act, 1955 for Visakhapatnam Municipal corporation
<b>e.</b>	<b><i>The Vijayawada Municipal Corporation Act, 1981</i></b>	This Act was drafted from the Hyderabad Municipal Corporations Act, 1955 for Vijayawada Municipal Corporation
<b>f.</b>	<b><i>The Andhra Pradesh Municipal Corporations Act, 1994</i></b>	The Act was basically enacted to provide for the establishment of municipal corporations in the State of Andhra Pradesh and for matters connected with the formation of corporations. This Act details various specifications that need to demark a larges urban area and municipal authorities.
<b>g.</b>	<b><i>The Andhra Pradesh Urban Areas (Development) Act, 1975</i></b>	The Act is applicable to all municipalities of Andhra Pradesh. The Act provides major functions to Urban Development Agencies to perform, to aid, control and regulate the development.
<b>h.</b>	<b><i>The Andhra Pradesh Infrastructure Enabling Act, 2001</i></b>	This act was enacted to enable and provide for the rapid development of physical and social infrastructure in the state and to attract private sector participation in the designing, financing, construction, operation and maintenance of infrastructure projects in the state. It also provides a comprehensive legislation for reducing administrative and procedural delays, identifying generic project risks, detailing various incentives etc.
<b><u>Land Legislation</u></b>		
<b>a.</b>	<b><i>Urban Land (Ceiling and Regulation) Act, 1976</i></b>	The Act discusses issues on land use management like imposition of a ceiling, acquisition and disposal of excess vacant land, Granting exemptions on land, Regulating the transfer of vacant land etc.
<b>b.</b>	<b><i>The Land Acquisition Act, 1894 as amended in 1984</i></b>	The Act discuses issues pertaining to Land Acquisition and compensations and various procedures to address related issues

## Institutional Legislation

- a. **Constitution (74<sup>th</sup> Amendment) Act, 1992** The Act prescribes a legal-institutional framework for effective local self-government. It also envisages that the Municipalities undertake functions like urban planning including town planning, planning for economic and social development, urban forestry, protection of the environment and promotion of ecological aspects, safeguarding the interests of weaker sections of society, including the handicapped and mentally retarded, slum improvement and upgradation, urban poverty alleviation. It also lists capacity building measures for ULBs.
- b. **The Twelfth Schedule of the Constitution (Article 243 w)** This Schedule provides an illustrative list of municipal functions like urban planning including town planning, regulation of land use and construction of buildings, planning for economic and social development and various other functions.

## Resettlement and Rehabilitation Policies

- a. **National Resettlement and Rehabilitation Policy 2007** Provides guidance for social impact assessment, R&R, expected benefits, amenities, infrastructure and grants to be provided, steps for sustainable implementation and grievance redressal mechanisms.
- c. **R&R Policy of Andhra Pradesh (Irrigation Department), 2005** Useful reference for R&R in general. Identifies R&R benefits, including those for Scheduled Tribes; benefits include land, house sites, allowances and grants, economic rehabilitation, and amenities; describes grievance redressal mechanisms
- b. **R&R Policy of Andhra Pradesh 2005 as amended for the roads sector, 2008** Useful specifically for R&R components of road construction projects. Amendments extend provisions to non-title holders who are occupying land for livelihoods, and provides house sites, construction grants and shop sites for the poor
- d. **Social Safeguard Policy of AP TRANSCO** Covers R&R component in construction of electricity sub-projects.

## Safeguard Policies of World Bank

- a. **Operational Policy 4.12 (Involuntary Resettlement)** Addresses various issues concerning involuntary resettlement and can guide the R&R issues that arise under the project
- b. **Operational Policy 4.10 (Indigenous People)** It ensures that development process fosters full respect for indigenous people's dignity, human rights & cultural uniqueness, and calls for free, prior and informed consultations and broad-based community support to development projects.
- c. **Operation Policy 4.11 (Cultural Property)** It details provisions for identifying risk/damage to cultural properties and for relocating them.

## Urban Policies

- a. **National Policy for Street Vendors and Hawkers, 2003** Advocates planning and provision of spaces, markets, licenses and credit to ensure adequate economic returns for informal sector vendors and hawkers, including those who are displaced/relocated
- b. **National Water Supply Policy** Focused on providing drinking water of adequate quantity and quality to urban poor and slums, including household connections and links to trunk lines
- c. **National Sanitation Policy, 2009** Calls for state and city-wide sanitation strategies to be prepared to build open-defecation-free cities, including access to toilets in slums, solid waste management and waste water disposal, and information to foster good knowledge and practice of hygiene
- d. **National Slum Policy (yet to be notified)** Advocates slum upgrading in situ (i.e., no relocation); focuses on land tenure and housing. Includes social aspects to consider when designing projects and programmes for slum dwellers who constitute the most vulnerable sections in urban areas. Also provides guidance on R&R, land acquisition and compensation.
- e. **National Urban Poverty Reduction Strategy (under development)** Will focus on livelihoods, microfinance and economic opportunities.

## DOCUMENT – 3

### LIST OF CONSULTATIONS PROPOSED AT VARIOUS AT STAGES OF A SUB-PROJECT

Detailed list of consultations showing the consultation activity, agency responsible, stakeholders involved, and tools & techniques to be used at different stages of the sub-project are given below.

Stages/Activities	Agency	Stakeholders	Tools & Techniques
<b>Identification stage</b>			
Sub-project identification through the participatory process and need assessment	MRC, MTF, working Groups	Community	CMAPP Process and individual consultations
<b>Planning and Grounding stage</b>			
Disseminate sub-project information processes [Safeguards, Grievance Redressal Mechanism (GRM), Entitlements, Land Acquisition, etc.] and specific consultations with women, tribal people ("free, prior and informed"), and other vulnerable sections of the society.	ULB, Councilors	Community	Consultation with local community public meetings and distribution of brochures and Public announcements
Assessment of socio-economic profile of the PAPs, extent of impacts, vulnerability and extent of support to the community and Land Acquisition.	ULB, Councilors, NGO, CBOs, SHGs, etc.	PAPs	Socio-economic household questionnaire, Verification format and valuation methods and individual consultations with PAPs
Verification of alignment, identification of voluntary donation sites, PAPs, grievances and incorporation of suggestions by community	ULB, Councilors	-	Transect walk and consultation with local communities and joint on-site inventory with the community
Social categorization of sub-projects and preparation of SMP/TDP and finalization of entitlements	ULB	-	Baseline data, desk review and Guidelines for preparation of SMP/TDP
Finalization of alignments and preparation of the Detailed Project Report	ULB, Councilors, Revenue Dept, PHED, DTCP	-	Desk review, SMP/TDP, Qualitative information from the consultations.
<b>Implementation and Execution stage</b>			
Advance notice and ownership verification of PAPs (Titleholders, Tenants, Encroachers) and also collection of MoU/Gift Deed/Affidavit for voluntary Land Donation clearance of RoW and land before mobilization of contractor	ULB, Councilors	PAPs	Individual consultations with the PAPs, Public meetings and notices on important locations.
Information on construction schedule and disclosure of information about the sub-project activities and arrangements	ULB, Councilors	Community, PAPs	Distribution of pamphlets, notices at ULB and also information availability on web-sites
Relocation/repairing community infrastructure & utility lines for the clearance of RoW and land prior to mobilization of contractor	ULB, Councilors, CBOs, SHGs, etc.	Community, PAPs	Public meetings, Focus Group Discussions (FGDs), and prior intimation to community
Disbursement of entitlements, Redressal of grievances by providing an opportunity for the PAPs to voice their grievances and taking actual possession of land	ULB, Councilors	Community, PAPs	FGDs and individual consultations with PAPs
Enrollment of local community and PAPs (especially vulnerable groups and women) into income generation schemes	ULB, Councilors, CBOs, SHGs, etc.	PAPs	Individual consultations and meetings with PAPs
Identification of temporary impacts during construction to provide enhanced awareness on grievance redressal	ULB, Councilors and Contractors	Community	FGDs and Individual consultations with PAPs
<b>Monitoring and Management stage</b>			
Monitoring and Management of the sub-project with the help of the community's participation and sub-project evaluation	ULB, Councilors, CBOs, SHGs, External consultants etc.	Community, PAPs	Public consultations, FGDs and evaluation survey
<b>Maintenance and Operation stage</b>			
Identification of partners for maintenance of sub-	ULB, Councilors,	Community,	Public consultations and

<b>Stages/Activities</b>	<b>Agency</b>	<b>Stakeholders</b>	<b>Tools &amp; Techniques</b>
projects and award of contract	SC arrangement	PAPs	FGDs and survey

**DOCUMENT – 4**

**\* FORMAT FOR RECORDING CONSULTATIONS**

<b>District:</b>	<input type="text"/>	<b>Date:</b>	<input type="text"/>
<b>Locality:</b>	<input type="text"/>	<b>Time:</b>	<input type="text"/>
<b>Municipality:</b>	<input type="text"/>	<b>Venue:</b>	<input type="text"/>
<b>Sub-project:</b>	<input type="text"/>	<b>Duration:</b>	<input type="text"/>

**1. Sub-project Description**

--

**2. Social Issues raised by the community and responses provided**

Sl.No.	Key Social Issues Identified	Response by the Urban Local Body
1		
2		
3		
4		
5		

**4. Follow up action Required**

<b><i>Key Issue 1</i></b>	
Key Issue 2	
Key Issue 3	
Key Issue 4	
Key Issue 5	

**4. Follow up action Taken**

<b><i>Key Issue 1</i></b>	
Key Issue 2	
Key Issue 3	
Key Issue 4	
Key Issue 5	

\* This document will be used by the ULBs when conducting consultations and discussions with communities and PAPs at all stages of the sub-project, to record the discussions. The format given below will be useful in reviewing, planning and strengthening sub-projects by incorporating the views of the community on sub-project designs, alignments, social components such as R&R and TDPs. It would also be used with tribal people, and record the number and type of tribes and tribal people involved and other salient information about them (per the four identification criteria). It would act as a reference for the ULB implementers to actions to be taken on various social issues discussed with each community.

**DOCUMENT – 5**

**SOCIO-ECONOMIC HOUSEHOLD SCHEDULE**

Schedule Code	-		Date of Survey	-	
Interviewer	-		Time	-	

**1. INTERVIEW DETAILS:**

1.1	Town	-		1.5	Door Number	-	
1.2	Locality	-		1.6	Type of Loss/Effect *	-	
1.3	Ward	-		1.7	Name of the respondent	-	
1.4	Street	-		1.8	Name of the Head of PAF	-	

**2. SOCIAL GROUP PARTICULARS**

2.1 Family Pattern - Joint  Nuclear  Individual

2.2 Religion - Hindu  Muslim  Christian  Others (Specify) \_\_\_\_\_

2.3 Social Group - ST  SC  BC  OC

2.4 Vulnerability - ST  SC  Women  BPL

**3. FAMILY PARTICULARS 1**

3.1	3.2	3.3	3.4	3.5	3.6	3.7	3.8	3.9	3.10	3.11	3.12
Sl.No	Name of the Family member	Sex: M-1/ F-2	Age	Marital Status +	Educational Qualification =	Occupation \$	Place of work	Other Skills and Trades	No. of Years living in the area	Migration	Reason for Migration
1											
2											
3											
4											
5											
6											

**4. ENLISTMENT PARTICULARS**

4.1 Whether name included in the voter list Yes  No   
If Yes give the identity number

4.2 Does the family have a ration card Yes  No   
If yes Specify the type White  Pink

4.3 Since when do you hold this ration card? Please specify? Yes  No

5. HOUSEHOLD ANNUAL INCOME

Sl. No.	Source	Income (Rs) – Per Annum
5.1	5.2	5.3
	<b>Agriculture</b>	
1	Cultivation	
2	Rental value of land	
3	Hiring charges of farm implements	
4	Activities allied to agriculture	
	<b>Wages</b>	
5	<b>Farm</b>	
6	<b>Non Farm</b>	
	<b>Self Employment</b>	
7	<b>HH Industries</b>	
8	<b>Artisan Activity</b>	
9	<b>Shop keeping</b>	
10	<b>Trade / Business</b>	
11	<b>Professional activities</b>	
	<b>Others</b>	
12	<b>Govt. / Pvt. Service</b>	
13	<b>Remittance / rent etc</b>	
14	Others (specify) _____	
<b>Total Annual Household Income</b>		

Please indicate your level of income derived from all sources in the last year

### 6. HOUSEHOLD MONTHLY EXPENDITURE

Sl. No.	Particulars	Expenditure (Rs) – Per Month
6.1	6.2	6.3
1	Food	
2	Clothing	
3	Fuel	
4	Education	
5	Health	
6	Entertainment	
7	Others (Specify) _____	
<b>Total Monthly Household Expenditure</b>		

### 7. ASSET OWNERSHIP

SI No	Asset Owned	Number	SI No	Asset Owned	Number
7.1	7.2	7.3	7.1	7.2	7.3
1	Kerosene stove		10	Television	
2	Cooking gas stove		11	Refrigerator	
3	Car		12	Computer	
4	Scooter/motor bike		13	Washing Machine	
5	Bicycle		14	Air Cooler	
6	Fridge		15	A/C	
7	Telephone		16	Land in acres	
8	Cell Phone		17	Houses/apts/plots	
9	Electric fan		18	Others _____	

#### Definition of a Family

- A "Family" shall mean husband and wife, and all dependents, including minor children and elderly persons.
- In a household every son or unmarried daughter who has attained the age of 18 years on or before the cut-off-date will be treated as separate family.
- Every divorced, widowed, or separated daughter living separately or with the family on or before the cut-off-date will be treated as separate family.

### CODE SHEET

Circle as appropriate

Type of Loss/Effect (Multiple response possible)		
*	1	Entire Homestead land
	2	Part of homestead land
	3	Entire agricultural land
	4	Part of agricultural land
	5	Entire residential structure / house
	6	Part of residential structure / house
	7	Entire commercial structure
	8	Part of commercial structure
	9	Livelihood/income
	10	Standing crops and/or trees
	11	Access to community infrastructure
	Any other loss (specify) _____	

<b>+</b>	<b>Marital Status</b>	
	1	Unmarried
	2	Married
	3	Divorced
	4	Separated
	5	Widowed

<b>=</b>	<b>Educational Qualification</b>	
	1	Illiterate
	2	Literate but no formal education
	3	Primary
	4	Middle School Education
	5	High School Education
	6	Matriculate
	7	Intermediate
	8	Graduate
	9	Post Graduate
	10	Technical Education
11	Others (Specify)	

<b>\$</b>	<b>Occupation</b>	
	1	Cultivation
	2	Farm Agricultural Labour
	3	Non-Agricultural Labour
	4	Allied Activities to agriculture (Specify)
	5	Household Industry
	6	Artisan Activity (Specify)
	7	Government Service
	8	Private Service
	9	Shop Keeping
	10	Professional
	11	Trade and Commerce
12	Others (Specify)	

**DOCUMENT – 6**

**HOUSEHOLD QUESTIONNAIRE FOR VERIFICATION OF LOSSES AND VALUATION METHODS**

**HOUSEHOLD QUESTIONNAIRE FOR VERIFICATION OF LOSSES**

Sub-Project Name

Household identification Number

Plot No/ Patta No/ Survey No

Head of Household (Name)

Vulnerability (Whether belong to)   
 Tick here ▶ 

SC	ST	Women HH	BPL
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Household Size (No. of persons)

No. of earning adult members (Nos)

Total income of the Family (Amount)

No. of dependents (Nos) 

Children	<input type="text"/>
Adult	<input type="text"/>

**TYPE OF LOSS**

Tick here ▶ 

Land	Structure	Livelihood	Crops/Trees	Community infrastructure
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

***LAND***

Type of Land   
 Tick here ▶ 

Homestead	Agriculture	Commercial	Industrial	Others
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Ownership of Land   
 Tick here ▶ 

Titleholder	Tenant	Leased	Others Specify
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Agriculture Land**

Size/Area of the land impacted (in ha)

Extent of Impact (Area lost from the total land)   
 Specify the area lost in ha ▶

Is the residual land holding viable (Yes/No)

Size of the residual land holding (in Ha)

**Homestead/Commercial/Industrial Land**

Size/Area of the land impacted (in Sq. Mt)

Extent of Impact (Area lost from the total land)   
 Specify the area lost in Sq. Mt ▶

Is the residual land viable for activity (Yes/No)

Area of the residual land (in Sq. Mts)

**STRUCTURES**

Usage of the Structure (s) (Sq. Mts)   
 Tick here ▶ 

Residential	Commercial	Industrial	Others (Specify)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Ownership of the Structure	Tick here ▶	Titleholder	Tenant	Leased	Others (Specify)
		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Type of structure (Specify whether the structure is Pucca, semi-pucca, or kutchra with details) ▶	<input type="text"/>				
Total area of the structure(s) (Sq. Mts)	<input type="text"/>				
Extent of impact (Area lost from the total area of the structure)					
Specify the area lost in Sq. Mt ▶	<input type="text"/>				
Is the residual plot viable (Yes/No)	<input type="text"/>				
Area of the residual plot (in Sq. Mts)	<input type="text"/>				

**LIVELIHOOD**

Is there loss of livelihood due to loss of land or loss of structure?	Tick here ▶	Yes	No
		<input type="text"/>	<input type="text"/>
Extent of loss of Livelihood / Income?	Tick all that apply ▶		
		Full	Partial
		<input type="text"/>	<input type="text"/>
Amount of loss of income of the household	Specify Here in Rs ▶		
		<input type="text"/>	

**CROPS AND TREES**

Type of Loss	Tick here ▶	Crops	Trees			
		<input type="text"/>	<input type="text"/>			
<b>Crops</b>						
Specify the category of crop lost	Tick all that apply ▶					
		Subsistence	Commercial			
		<input type="text"/>	<input type="text"/>			
Specify the crop variety (Eg. Rice, Wheat, Fodder etc)	Specify Here ▶					
		1	2	3	4	5
		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Specify the quantity of crop lost	Specify Here (in Tons) ▶					
		1	2	3	4	5
		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<b>Trees</b>						
Specify the category of trees lost	Tick Here ▶					
		Fruit bearing	Timber	Others (Specify)		
		<input type="text"/>	<input type="text"/>	<input type="text"/>		
Specify the tree variety (Eg. Mango, Teak, Sal, etc)	Specify Here ▶					
		1	2	3	4	5
		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Specify the number of trees lost	Specify Here (in numbers) ▶					
		1	2	3	4	5
		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

**ACCESS TO COMMUNITY INFRASTRUCTURE AND COMMUNITY UTILITY LINES**

Type of loss	Tick Here ▶	Community Infrastructure (CI)	Community Utility Lines (CUL)						
		<input type="text"/>	<input type="text"/>						
Type of CI for which access was lost	Tick Here ▶								
		Community Halls	Schools	Play Grounds	Health facility	Bus stands /Depots	Work Areas	Others (Specify)	Total CIs
		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Type of CUL for which access was lost	Tick Here ▶								
		Drainage lines	Water supply lines	Electricity lines	Telephone lines	Others (Specify)		Total CULs	
		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>	

## VALUATION METHODS

### Homestead Land

The loss of privately held agriculture land/residential/commercial sites will be compensated at a market value as per the provisions specified in the Land Acquisition Act, 1894. The following valuation methods may be adopted while determining the market value for the land to be acquired.

- (i) Taking into account such prescribed rates or the average of the actual transaction rates of similar lands for last three years for which sale deeds are registered.
- (ii) Fixing up market value of land equal to the minimum land value if so prescribed by the State Government under Indian Stamp Act for the purpose of registration of sale deeds under Indian Registration Act of 1908.

The total compensation to the PAP, in such a case, would be:

- a. The market value so determined
- b. 30% of base compensation as solatium
- c. 12% per year from the date of notification to the final placement under Section 9
- d. For delayed payments, after placement under Section 9, an additional 9 percent per annum is paid for the first year and 15 percent for subsequent years

The compensation for land can also be decided based on the Consent Award system (negotiated settlement). Under this system, the PAP negotiates with the Negotiation Committee and once the amount is agreed upon, the PAP cannot move the court for enhancement of the compensation.

### Agriculture Land

The method of determination of market value for agricultural land will be similar to the one followed for homestead land. In addition, for agricultural land the following may be considered

- (i) Taking into consideration 20 times of the annual value of gross production of the concerned land, averaged over preceding five years. For this purpose, authentic secondary data from the district statistical handbook and the data from the agricultural department should be used.

In cases where agricultural land has not been alienated but is being physically used for residential/commercial purposes, and where plotting has been done for residential/commercial purposes, and, transactions have taken place on square meter basis, then the compensations will be calculated on the basis of the minimum land value prescribed by the State Government under Indian Stamp Act for residential/commercial category or the registration rate, whichever is higher. However, this provision will be applicable in cases where the plotting has been done in clusters, and not in isolated cases.

### Structures

The valuation of structures will be done as per the requirements pertaining to the LA Act. This involves the following:

- The identification of structures and their measurements by the ULB
- The list of structures along with details of measurements may be sent to the R&B Department
- R&B Department to verify the measurements and assess the value of the assets
  - Value of assets would be determined as per the Standard Schedule Rates (SSR).

- SSR is a compendium of unit rates for structures based on:
  - Type of structure
  - Quality of materials used

### **Crops and Trees**

Compensation for loss of standing crops and trees (seasonal or perennial) would be done on the principle of market value. The valuation of loss of crops and trees will be as per the requirements of the LA Act and in the following manner:

- (i) Crops: Advance notice of a minimum of 60 days would be given for harvest of crops. In case of loss of standing crops, compensation equivalent to market value determined by taking into account (a) the average yield and (b) the market price. The ULB should take the advice of the Agriculture Department for arriving at estimates of average yield and market prices.
- (ii) Fruit-bearing trees: With the help of the Horticulture Department, the ULB should estimate the market value of annual produce (based on prevailing market prices). Total compensation for loss would then be equivalent to annual market value so determined multiplied by number of remaining productive years of the tree.
- (iii) Timber Trees: The valuation for timber trees should be done with the help of the Forests Department. The valuation of such trees is equivalent to the value of timber from the tree and should be based on (a) type of tree (b) girth and (c) height.

**DOCUMENT – 7**

**ENTITLEMENT GUIDELINES**

Catg. No.	Category	Type of Loss	Unit of Entitlement	Entitlements	Details
<b>LOSS OF PRIVATE LAND AND PROPERTIES ON PRIVATE LAND</b>					
1A	Private property	Loss of Residential premises and require relocation	Titleholder /Family	<ol style="list-style-type: none"> <li>1. Compensation for land – according to the provisions of the LA Act (1894 and as amended)</li> <li>2. Compensation for structures and immovable assets – as per the Government norms specified under LA Act</li> <li>3. Right to salvage materials from the demolished structure</li> <li>4. In addition, for those PAFs rendered vulnerable due to physical dislocation                             <ol style="list-style-type: none"> <li>a) Transitional allowance would be provided</li> <li>b) Provision of free transport facility for shifting materials and possessions or, if suitable arrangements cannot be made, a shifting allowance would be provided</li> </ol> </li> </ol>	<ul style="list-style-type: none"> <li>▪ In addition to the market value of the land so determined, the LA Act provides for 12% per annum of base compensation as escalation from date of notification to placement under Section 9 and additional 30% of the value of the land as solatium.</li> <li>▪ The LA Act also provides for negotiated settlement through the consent award system</li> <li>▪ If the remaining structure is unviable or unsafe, the EP will be given an option to dispose the whole property or retain it. If the EP opts to give the entire land and structure, compensation would be provided for the entire assets taken.</li> <li>▪ Absentee landlords will receive only the compensation for land and structure as per provisions in the LA Act.</li> <li>▪ PAFs who may be rendered vulnerable due to physical dislocation would be identified during the socio-economic baseline survey.</li> <li>▪ Transitional allowance should meet the costs of a transit accommodation for a period of time fixed after due consultations with the PAFs.</li> <li>▪ Adequate notice period (minimum of 60 days and maximum of 90 days) will be provided to PAFs including residential tenants.</li> </ul>
1B	Private property	Loss of commercial premises and require relocation	Titleholder	<ol style="list-style-type: none"> <li>1. Compensation for land – according to the provisions of the LA Act (1894 and as amended)</li> <li>2. Compensation for structures and immovable assets under LA Act</li> <li>3. PAFs belonging to vulnerable groups shall be brought under economic assistance schemes like SJSRY, SC/BC Corporation loaning schemes, etc.</li> <li>4. Provision of free transport facility for shifting materials and possessions or, if suitable arrangements cannot be made, a</li> </ol>	<ul style="list-style-type: none"> <li>▪ In addition to the market value of the land so determined, the LA Act provides for 12% per annum of base compensation as escalation from date of notification to placement under Section 9 and additional 30% of the value of the land as solatium.</li> <li>▪ The LA Act also provides for negotiated settlement through the consent award</li> </ul>

Catg. No.	Category	Type of Loss	Unit of Entitlement	Entitlements	Details
				<p>shifting allowance shall be provided</p> <p>5. Right to salvage materials from the demolished structure</p>	<p>system</p> <ul style="list-style-type: none"> <li>▪ If the remaining structure is unviable or unsafe, the EP will be given an option to dispose the whole property or retain it. If the EP opts to give the entire land and structure, compensation would be provided for the entire assets taken.</li> <li>▪ Vulnerable PAFs would be identified during the socio-economic baseline survey.</li> <li>▪ Adequate notice period (minimum of 60 days and maximum of 90 days) will be provided to PAFs including commercial tenants.</li> </ul>
1C	Private property	Loss of residential/commercial premises and do not require relocation	Titleholder /Family	<p>1. Compensation for land – according to the provisions of the LA act (1894 and as amended) Or In lieu of compensation for land, ULBs may extend the provision to construct Extra Floor Space as prescribed by GoAP with or without Transferable Development Rights (TDRs) and other relaxations.</p> <p>2. Compensation for structures and immovable assets – as per the LA Act</p> <p>3. Right to salvage materials from the demolished structure</p>	<ul style="list-style-type: none"> <li>▪ In addition to the market value of the land so determined, the LA Act provides for 12% per annum of base compensation as escalation from date of notification to placement under Section 9 and additional 30% of the value of the land as solatium.</li> <li>▪ The LA Act also provides for negotiated settlement through the consent award system</li> </ul>
1D	Private property	Agricultural Land	Titleholder/ Family	<p>1. Compensation for land – according to the provisions of the LA act (1894 and as amended)</p> <p>2. Compensation for structures and immovable assets – as per the LA Act</p> <p>3. In addition, PAFs rendered vulnerable due to loss of agricultural land shall be provided</p> <p style="margin-left: 20px;">a) Economic assistance schemes like SJSRY, SC/BC Corporation loaning schemes, etc.</p> <p style="margin-left: 20px;">b) Vocational training to upgrade skills</p>	<ul style="list-style-type: none"> <li>▪ In addition to the market value of the land so determined, the LA Act provides for 12% per annum of base compensation as escalation from date of notification to placement under Section 9 and additional 30% of the value of the land as solatium.</li> <li>▪ The LA Act also provides for negotiated settlement through the consent award system</li> <li>▪ PAFs who become landless or whose land holdings become less than 2 hectares for dryland or 1 hectare for wetland after land acquisition would be considered as vulnerable. These PAFs can be during the socio-economic baseline survey.</li> </ul>

Catg. No.	Category	Type of Loss	Unit of Entitlement	Entitlements	Details
<b>LOSS OF PROPERTIES ON GOVERNMENT LAND</b>					
2A	Properties on government land	Squatters (loss of shelter requiring relocation)	Family	<ol style="list-style-type: none"> <li>1. A house shall be provided under a suitable government scheme like EWS/VAMBAY housing schemes or an equivalent amount of subsidy for construction of house in alternative site on a priority</li> <li>2. Provision of free transport facility for shifting materials and possessions or, if suitable arrangements cannot be made, a shifting allowance would be provided</li> <li>3. Right to salvage materials from the demolished structure</li> </ol>	<ul style="list-style-type: none"> <li>▪ Housing facilities with basic minimum infrastructural facilities to be ready before the relocation of PAPs is undertaken</li> </ul>
2B		Squatters (loss of commercial structure requiring relocation)	Family	<ol style="list-style-type: none"> <li>1. PAFs shall be brought under economic assistance schemes like SJSRY, SC/BC Corporation loaning schemes, etc.</li> <li>2. Vocational training to upgrade skills</li> <li>3. Provision of free transport facility for shifting materials and possessions or, if suitable arrangements cannot be made, a shifting allowance shall be provided</li> <li>4. Right to salvage materials from the demolished structure</li> </ol>	
2C		Partial Encroachment	Family	<ol style="list-style-type: none"> <li>1. Compensation for structures and immovable assets – as per the L.A. Act</li> <li>2. Right to salvage materials from the demolished structure</li> </ol>	
<b>OTHERS</b>					
3A	Livelihood	Formal and informal share croppers / agricultural tenants	Family	<ol style="list-style-type: none"> <li>1. Compensation for loss of standing crop, trees etc. as per L.A. Act</li> <li>2. Vocational training to upgrade skills</li> </ol>	
3B	Crops/trees	Seasonal Crops/ Fruit Bearing & Timber Trees	Owner	<ol style="list-style-type: none"> <li>1. Compensation as per LA Act</li> </ol>	
3C	Community infrastructure	Loss of community infrastructure and public utility lines	Family	<ol style="list-style-type: none"> <li>1. Restore them at the earliest with provision of temporary/permanent alternative arrangements</li> </ol>	<ul style="list-style-type: none"> <li>▪ In the case of relocation sites, basic minimum public utilities and community infrastructure and services will be in position before resettlement</li> <li>▪ Loss of trees will be replaced by compensatory afforestation.</li> </ul>
3D	Any other impact not yet identified,				<ul style="list-style-type: none"> <li>▪ Unforeseen impacts will be documented and mitigated based on the key principle of “replacement of loss” and others agreed upon in this framework.</li> </ul>

## **DOCUMENT – 8**

### **GUIDELINES FOR VOLUNTARY LAND DONATION**

For undertaking voluntary land donation activity for a sub-project, following set of guidelines are suggested.

1. Components pertaining to voluntary land donation have to be disseminated by the ULBs in the initial consultations conducted during the sub-project planning and grounding stage. This responsibility of disseminating the information on voluntary land donation can be undertaken with the help of a professional NGO recruited by the ULB.
2. ULBs should also ensure that the pamphlets and other information brochures contain information regarding the voluntary land donation so as to reach as many people as possible.
3. Along with the Socio-economic survey/Enumeration and the Land Acquisition Assessment, the ULB should assess and identify individual owners/trusts/institutions whose areas/lands may be suitable land donation.
4. Once the land for voluntary donation is identified the ULB should conduct individual consultations and discussions with the land owners to inform them about the voluntary land donation and negotiate for land donation.
5. Once a consensual agreement is established between the ULB and the land owner/trust/institution, the ULB should crosscheck and establish the ownership of land through verification of ownership documents and also through the information available in revenue records.
6. The ULB would start the implementation activity by sending advance notices to all the owners donating land specifying the date on which the land will be taken over by the ULB for the sub-project construction.
7. Once the date and time for voluntary land donation are finalized the ULB and the land donating party can enter a memorandum of understanding to transfer the ownership on to the ULB. In any other case the ownership of the land donated can be transferred to ULB through Gift Deed or the Affidavit provide in the manual.

**DOCUMENT – 9**

**MEMORANDUM OF UNDERSTANDING**

This memorandum of understanding is made on \_\_\_\_\_ day of \_\_\_\_\_ 2004 between Sri \_\_\_\_\_ son of \_\_\_\_\_ resident of \_\_\_\_\_ (hereinafter referred to as "the first party") and the Governor of Andhra Pradesh through Municipal commissioner of \_\_\_\_\_ (hereinafter referred to as "second party").

THESE PRESENTS WITNESS AS FOLLOW:

1. That the first party is landowner with transferable right \_\_\_\_\_ acre of land bearing the survey No. \_\_\_\_\_ in Municipality \_\_\_\_\_ mandal \_\_\_\_\_ district \_\_\_\_\_.
2. That the first party hereby grants to the second party above said land for the construction and development of \_\_\_\_\_ sub-project under APMDP in the Municipality \_\_\_\_\_ - \_\_\_\_\_ for the benefit of the public at large.
3. That the first party would not claim any compensation against the above said grant of land.
4. That the second party agrees to accept the above grant of land for the purposes mentioned in clause 2.
5. That the second party shall construct and develop the \_\_\_\_\_ sub-project under APMDP and take all possible precautions to avoid damage to land adjacent to \_\_\_\_\_ sub-project under APMDP.
6. That the first party also assures the second party that all possible measures would be taken to maintain the \_\_\_\_\_ sub-project under APMDP so constructed/developed till the Government of Andhra Pradesh formulates the broader policy to maintain the - \_\_\_\_\_ sub-project under APMDP so constructed/developed and will not indulge in any willful act of damaging the \_\_\_\_\_ sub-project constructed under APMDP.
7. That both the parties hereto agree that the \_\_\_\_\_ sub-project under APMDP so constructed/developed shall be public premises.
8. That the provisions of the MEMORANDUM OF UNDERSTANDING will come into force from the date of signing of this deed.

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

\_\_\_\_\_  
Signature of the first party  
Witness: -

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

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

\_\_\_\_\_  
Signature for and on behalf of the second party  
Witnesses: -

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

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

## GIFT DEED

THIS GIFT DEED IS EXECUTED ON THIS \_\_\_\_\_ DAY OF \_\_\_\_\_ 20\_\_\_\_ at \_\_\_\_\_  
by Mr/Mrs. \_\_\_\_\_ S/o/W/o \_\_\_\_\_ residing \_\_\_\_\_  
at \_\_\_\_\_ (herein after  
referred to as the DONOR which expression shall wherever the context so requires or admits, mean and  
include his/her successors, executors, administrators and assigns or anyone claiming through or under  
her)

IN FAVOUR OF:

Municipality of \_\_\_\_\_ under the Municipal Administration and Urban Development  
Department, Government of Andhra Pradesh (hereinafter referred to as the DONEE which expression shall  
wherever the context so requires).

WHEREAS the Donor herein, is the absolute owner of \_\_\_\_\_ acre of land bearing survey  
No. \_\_\_\_\_ in Municipality \_\_\_\_\_ Mandal \_\_\_\_\_ district \_\_\_\_\_  
which is more fully described in the Schedule hereunder and hereinafter referred to as the Schedule  
Property:

WHEREAS the Donor, is desirous of gifting a portion the schedule property, a strip of land \_\_\_\_\_  
meters wide for a length of \_\_\_\_\_ meters required for \_\_\_\_\_ sub-project under  
APMDP (as delineated in the sketch appended to this deed by the letters ABCDEF absolutely and forever)  
to the Donee for the construction and development of \_\_\_\_\_ sub-project under APMDP  
in the Municipality of \_\_\_\_\_ for the benefit of the villagers and the public at large.

NOW THIS DEED WITNESS AS UNDER:

1. In consideration of the benefit of the public at large, the Donor hereby gifts in favour of the Donee the specified width of the above piece of land fully described in Schedule hereunder and delineated in the sketch appended to this deed by the letters ABCDEF absolutely and forever.
2. The Donor has this day put the Donee in actual physical possession of the said portion of the schedule property and the Donee has accepted the said Gift and has taken possession of the said portion of the Schedule Property, and has in token thereof signed this deed.
3. The Donee hereby commits that the extent of the proposed \_\_\_\_\_ sub-project under APMDP shall be strictly within the boundaries of the land gifted and shall not spillover into the residual holding of the Donor. In the event of any violation of the same or any damages to structure/assets outside the said portion, either by the Donee or the Contractor, the Donee shall be liable to compensate the Donor.

### SCHEDULE

(Describe the property)

All that piece and parcel of the property bearing survey No. \_\_\_\_\_ in Municipality of \_\_\_\_\_  
mandal \_\_\_\_\_ district \_\_\_\_\_ delineated in the annexed sketch by  
the letters ABCDEF.

IN WITNESS WHEREOF, parties above named have executed theses present s in the presence of the  
witnesses attesting hereunder on the day, month and year first above written.

### WITNESSES:

1. DONOR

2. DONEE

NOTE: 1) Documents to be stamped with appropriate non-Judicial stamp.  
2) To be registered as contemplated by the Indian Registration Act.

## AFFIDAVIT FOR LAND DONATION

I, \_\_\_\_\_ wife/son/daughter of Shri. \_\_\_\_\_, resident of \_\_\_\_\_ do hereby solemnly affirm and declare as under: -

1. I am the landowner with transferable right of \_\_\_\_\_ acre of land bearing survey No. \_\_\_\_\_ in Municipality of \_\_\_\_\_ Mandal \_\_\_\_\_ District \_\_\_\_\_.
2. As per the requirement of the \_\_\_\_\_ sub-project under APMDP, I hereby agree to donate a portion of land, \_\_\_\_\_ meters long for a width of \_\_\_\_\_ meters (as delineated in the sketch appended to this affidavit by the letters ABCDEF absolutely and forever).
3. I hereby grant the above said portion of the land for the construction and development of \_\_\_\_\_ sub-project under APMDP in the Municipality \_\_\_\_\_ for the benefit of the public at large to Government of Andhra Pradesh.
4. I/my successors would not claim any compensation against the above said portion of land.
5. I hereto agree that the \_\_\_\_\_ sub project under APMDP so constructed/developed shall be public premises.
6. I hereby commit that this affidavit shall be valid strictly only to the extent of land specified in the affidavit and shall not spillover into the residual holding. In the event of any violation of the same or any damages to structure/assets outside the said portion during the project implementation, the liability towards payment for damages shall be of the Department of Municipal Administration and Urban Development (MAUD), Government of Andhra Pradesh.

**PLACE:**

**DEPONENT**

**DATED:**

Endorsement:

I certify that the contents of the above affidavits are true and correct to the best of my knowledge and belief and nothing has been concealed therein.

**PLACE:**

**DEPONENT**

**DATED:**

## **DOCUMENT – 10**

### **GUIDELINES FOR PREPARATION OF A SOCIAL MANAGEMENT PLAN (SMP)**

#### **A. Introduction**

1. Give a brief introduction to the sub-project and its components
2. Describe the components causing land acquisition/alienation and resettlement
3. Provide an overall picture on the estimates of land acquisition and Resettlement & Rehabilitation (R&R)

#### **B. Measures to Minimize Resettlement**

1. Describe the efforts made, results achieved and mechanisms in place to minimize displacement/loss of livelihood/income

#### **C. Census and Socio-Economic Surveys/Enumeration**

1. Describe the process of conducting the census/socio-economic survey/enumeration
2. Discuss and analyze the results of the census/socio-economic survey/enumeration
3. Identify all categories of impacts and the extent of impact on each affected

#### **D. Consultation and involvement of PAPs**

1. Describe various stakeholders involved in the sub-project
2. Dovetail qualitative inputs from consultations, on quantitative survey information
3. Describe how consultations would be continued across all stages of the sub-project
4. Describe how the information on the sub-project will be disseminated to PAPs

#### **E. Entitlement Framework**

1. Provide clear definitions to the key terms like PAF, PAP etc., as specified in the USSF
2. Describe R&R entitlements for each category of impact and methods of valuation used for land, structures and other assets under the sub-project
3. Provide the full matrix of the Entitlement Guidelines as in the USSF

#### **F. Relocation**

1. Assess the need for a relocation site along with the details of facilities to be provided like free housing, water, electricity, roads, sewerage and sanitation etc.
2. In case, the PAPs are to construct houses, provide details of compensation/provision for coverage under government housing scheme etc., to help them construct houses.
3. Specify the involvement and role of the PAPs in selecting the resettlement site and also list the proposed sites selected along with number of affected families to be relocated.
4. Describe respective mechanisms for (i) procuring/acquiring/alienating (ii) developing and (iii) allotting resettlement sites

#### **G. Income Restoration**

1. List income restoration measures for rehabilitating PAPs as per the provisions in USSF.
2. Briefly spell out the restoration strategies for each category of PAPs, and describe institutional, financial and technical arrangements/aspects involved
3. Describe the consultation process in finalizing strategies for income restoration
4. If income restoration involves change in economic activities of PAPs, specify what capacity building measures would be undertaken, access institutional funds/ credits/markets and preparation and implementation strategy.
5. Describe steps to be taken to reduce any impoverishment risks the PAPs may face.
6. Describe the process to monitor effective implementation of income restoration

#### **H. Institutional Arrangements**

1. Describe institutions & officers responsible for coordinating and implementing: (a) Delivery of entitlements (b) R&R program coordination and (c) SMP implementation

2. Describe the external (non-Project) institutions/departments involved in the process of resettlement and restoration of income such as land development, land allocation, credit, training for capacity building mechanisms etc., as the case may be.
3. Discuss institutional capacity, understanding on R&R & areas for improvement

**I. Monitoring and Evaluation**

1. Describe overall internal monitoring process for the sub-project
2. Define key monitoring indicators for R&R and participation and provide a list of these indicators to be used for internal monitoring
3. Describe frequency of reporting and contents of reports
4. Describe the process for integrating feedback from internal monitoring into implementation
5. Describe financial arrangements for external monitoring including process for awarding and maintenance of contracts for the entire duration of R&R
6. Describe the methodology for external monitoring
7. Describe frequency of external reporting and its contents

**J. Redressal of Grievances**

1. Describe the structure and process of Grievances Redressal Mechanisms (GRM) at sub-project level including a step-by-step process for registering and addressing grievances, consultations, response time etc.,
2. Describe the mechanism for appeal for PAPs to approach courts if GRMs fail.

**K. Implementation Schedule**

1. List the chronological steps in implementation of SMP including identification of agencies responsible for each activity along with a brief explanation of each activity
2. A month-wise implementation schedule of activities to be taken as part of SMP
3. Description of the linkage between R&R implementation and initiation of civil works for each of the sub-project component

**L. Costs and Budgets**

1. Clear statement of financial responsibility and authority
2. Indicate that costs of R&R are included in the overall sub-project costs
3. Provide a cost-wise, item-wise budget estimate for entire R&R costs including administrative, monitoring and evaluation expenses incurred for R&R implementation

## **DOCUMENT – 11**

### **GUIDELINES FOR PREPARATION OF A TRIBAL DEVELOPMENT PLAN (TDP)**

The identities, cultures, lands and resources of tribal groups are uniquely intertwined and vulnerable to changes caused by development programmes. Because of this uniqueness and cohesiveness, sub-projects that include tribal regions, should ensure that the tribal groups are not disadvantaged by these development interventions and the proposed mitigation measures/benefits are culturally compatible. This annexure provide a set of guidelines for addressing impacts on tribal population through the preparation of a TDP.

#### **The Socio-Economic Survey/Enumeration**

The socio-economic survey/enumeration forms the basis for preparation of a TDP, which attempts to identify and also assess possible adverse impacts (positive or negative) on distinctive cultural/social/economic ways of life of tribal communities. The TDP document should present the number of tribal groups, their baseline socio economic and cultural data, the status of, tribes whether they are the sole group or a small minority and the presence or absence of land tenure issues etc. It would also attempt to, establish the following distinctive characteristics of the tribes depending on the relevance and need:

- A close attachment to ancestral territories and to the natural resources
- Self-identification and identification by others as members of a distinct cultural group
- An indigenous language, often different from the national language
- Presence of customary social and political institutions

#### **Consultation and Participation**

While observing all the cardinal principles of consultation and participation, specific measures will be followed to ensure free, prior and informed consultations and the use of culturally appropriate consultation methods that allow tribal groups to express their views and preferences. The consultations aim to:

- Inform the tribal groups of their rights
- Inform about potential impacts of sub-project on their livelihoods/environment/resources and get their broad-based support prior to any action on the sub-project
- Consult and involve them in decision making and planning from sub-project inception
- Provided income/livelihood opportunities during and after the completion of the sub-project

#### **Preparation of a TDP**

A TDP will be prepared to ensure that there are no significant or adverse negative impacts on the distinctive cultural or economic ways of life of tribal people. It presents strategies for addressing issues pertaining to tribal groups and will be based on informed participation of the tribal people affected. Wherever adverse impacts on the tribal people are anticipated, the socio-economic survey/enumeration would help in determining impacts and also help in inclusion of measures to avoid and mitigate harm to them. The TDP primarily intends to achieve the following objectives:

- To ensure that tribal groups are afforded respect for their dignity and cultural uniqueness in the development process
- To ensure that they do not suffer from adverse effects
- To ensure that they receive culturally compatible social and economic benefits
- To ensure benefits from prior consultation and informed participation

### Suggested guidelines of preparation of a TDP

#### **A. Legal Framework**

1. Establish the legal status of the tribal people/groups identified under the sub-project
2. Assess the ability of such groups to access and to effectively use the legal system to defend their rights with particular attention to their rights, develop lands that they occupy, protection against illegal intruders, and to have access to natural resources

#### **B. Baseline Data**

1. Include accurate, up-to-date maps and photographs of the sub-project area showing the areas inhabited by tribal people
2. Analyze the social structure and income sources of the population
3. Provide Inventories of the resources that tribal people use and technical data on their production systems
4. Capture the full range of production and marketing activities in which tribal people are engaged.

#### **C. Land Tenure**

1. Establish legal recognition of the customary or traditional land tenure systems of tribal people.
2. Where the traditional lands of indigenous peoples have been brought by law into the domain of the state and where it is inappropriate to convert traditional rights into those of legal ownership, alternative arrangements should be implemented to grant long-term, renewable rights of custodianship and use to indigenous peoples.

#### **D. Strategy for Local Participation**

1. Devise mechanisms for participation by tribal people in decision making throughout sub-project planning, implementation, and evaluation.
2. Provide effective channels for communicating local preferences, representation, foolproof methods to guarantee full local-level participation.

#### **E. Mitigation Activities**

1. Prepare detailed descriptions for appraisal of proposed services as education, training, health, credit, and legal assistance.
2. Technical descriptions should be included for the planned investments in productive infrastructure. Ensure that plans that draw upon indigenous knowledge are used as they succeed better than those that are entirely new principles and institutions.

#### **F. Institutional Capacity**

1. Assess the capacity of the institutions in place for implementation based on (i) availability of funds for investments and field operations; (ii) adequacy of experienced professional staff; (iii) ability of indigenous peoples' own organizations, local administration authorities, and local NGOs to interact with specialized government institutions; (iv) ability of the executing agency to mobilize other agencies involved in the plan's implementation; and (v) adequacy of field presence

#### **G. Implementation Schedule**

1. Include an implementation schedule with benchmarks by which progress can be measured at appropriate intervals.

#### **H. Monitoring and Evaluation**

1. Suggest Independent monitoring institutions/officials. Explore the possibility of finding tribal peoples' own organizations for sub-project management
2. Prepare monitoring reporting formats for assessing sub-project implementation

#### **I. Cost Estimates and Financing**

1. Prepare a plan which detailed cost estimates for planned activities and investments
2. The estimates should be broken down into unit costs linked to the financing plan

**DOCUMENT – 12**

**FORMAT FOR REPORTING SOCIAL DETAILS FOR SUB-PROJECTS**

**1. DETAILS OF THE SUB-PROJECT**

1.1 Name of the sub-project ▶

1.2 Type of investment (Tick in the box)

Housing	Roads	Street Lighting	Water supply	Sanitation/ Sewerage	Storm Water Drains	Solid Waste Management	Health/ Education	Parks/Other amenities
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

1.3 Type of Sub-project **1** ▶

1.4 Location of Sub-project **2**

Boundaries of the Sub-project			
North	South	East	West
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

1.5 Duration of sub-Project **3**

Approximate duration in Months
<input type="text"/>

1.6 Area/Population Benefited

No of Wards	No of Localities	Population in Numbers				
		SC	ST	BC	OC	Total
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

**2. ASSESSMENT OF IMPACTS**

**2.1 SOCIO ECONOMIC ASSESSMENT DETAILS **4****

a. Population Details

Number of persons affected in the Sub-project Area		
Male	Female	Total
<input type="text"/>	<input type="text"/>	<input type="text"/>

b. Average family size of PAFs **5**

Number of PAFs falling in various groups of family size				
<=3	4-5	6-7	>7	Total PAFs
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

c. Occupation Details of the PAFs **6**

Number of PAFs pursuing various occupations							
Agri. labourers	Non-Agri. labourers	Farmers	Business	Private Services	Government Services	Others (Specify)	Total
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

d. Average income of the PAFs

Number of PAFs falling under the categories of income mentioned (Income per annum)					
<=20,000	>20,000-40,000	>40,000-60,000	>60,000-80,000	>80,000	Total PAFs

e. Social Group of the PAFs

Number of PAFs in various groups				
OC	BC	SC	ST	Total PAFs

f. Vulnerability Details of the PAFs

Number of Vulnerable PAFs				
SC	ST	Women	BPL	Total

g. Literacy levels of the PAFs

Number of Literates in each PAF				
No literates	1 Literate	2 Literates	3 Literates	> 3 literates

## 2.2 R&R DETAILS OF LAND ASSESSMENT

a. Ownership of land

Give the proportion of land required for the sub-project under each ownership category in acres/Sq.Mts							
Government Land	Municipal Land	Wakf Land	Endowments Land	Other semi-govt. agencies land	Private Land	Others (Specify)	Total

b. Is there a loss of land resulting in PAFs

Yes	No

c. If Yes, give details of land/PAFs

Land acquired in acres/Sq.Mts and the number of PAFs					
Commercial	Residential	Agricultural	Others (Specify)	Total Land	Total PAFs

d. Livelihood & Vulnerability

Number of vulnerable PAFs and PAFs Loosing livelihood due to loss of land		
Livelihood	Vulnerable	Total

e. Ownership status of PAFs 7

Give details of the ownership				
Titleholder	Tenant	Encroacher	Others (Specify)	Total

f. R&R Measures & Cost

Give details of the R&R measure undertaken and the cost that would be incurred								
Compensation	Land	Subsistence allowance	Additional Floor area	Grant	Training	Employment	Others (Specify)	Total Cost

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### 2.3 R&R DETAILS OF STRUCTURAL ASSESSMENT

a. Is there a loss of Structure resulting in PAFs \*

Yes	No

b. If yes, give details of Type/ PAFs

Specify the type of structure and the number of PAFs				
Pucca	Semi-Pucca	Kutchra	Total Structures	Total PAFs

c. Ownership and Details of Structures +

Give the Number of Structures (NS)/Total Area (TA)/Area Lost (AL) under the sub-project under each ownership category in Sq.Mts										
Commercial		Residential		Institutional		Industrial		Others (Specify)		Total
NS		NS		NS		NS		NS		NS
TA		TA		TA		TA		TA		TA
AL		AL		AL		AL		AL		AL

d. Livelihood & Vulnerability

Number of vulnerable PAFs and PAFs Loosing livelihood due to loss of structure		
Livelihood	Vulnerable	Total

e. Ownership status of PAFs

Give details of the ownership					
Titleholder	Tenant	Encroacher	Squatter	Others (Specify)	Total

f. R&R Measures & Cost

Give details of the R&R measure undertaken and the cost that would be incurred							
Compensation	House	Rental Allowance	Subsistence Allowance	Coverage under Schemes	Grant	Others (Specify)	Total Cost

### 2.4 R&R DETAILS OF COMMUNITY INFRASTRUCTURE (CI) AND COMMUNITY UTILITY LINES (CUL) ASSESSMENT

a. Is there any loss to CI or CUL

Yes	No

b. If yes, Specify the CI

Community Halls	Schools	Play grounds	Health facility	Bus stands /Depots	Work Areas	Others (Specify)	Total CPRs

c. If yes, specify the CUL

Drainage lines	Water supply lines	Electricity lines	Telephone lines	Others (Specify)	Total CULs

d. Households loosing Access to CI/CULs

Give the number of households	
Households (CI)	Households (CUL)

e. R&R measure and Cost

Give details of the R&R measure undertaken and the cost that would be incurred			
Reconstruction of CUL	Reconstruction of CI	Others (Specify)	Total Cost

## 2.5 ASSESSMENT OF TREES & CROPS

a. Is there any loss to Trees and Crops

Yes	No

b. Number of PAFs Affected

PAFs loosing trees	PAFs loosing crops

c. R&R Measure and Cost

Compensation for trees	Compensation for crops

### KEY FOR THE FORMAT

1. Type of sub-project implies the initiative to be undertaken within the type of investment. For example, under water supply (Type of investment) there may be various sub-projects like water distribution lines, Water mains, water pumping units, water treatment plants etc., which are all sub-project initiatives.
2. The proposed sub-project location should be clearly specified on a map with clear boundaries. The map should also be accompanied with specific technical details of the sub-project along with its line estimates and alignments. The map should constitute the existing infrastructure like the roads; buildings etc., that already exist at the time of the proposal preparation. The guidelines for preparation of maps that is specified in the CMAPP document may be followed.
3. Mention approximate duration/time taken in months to complete the sub-project.
4. A household survey needs to be undertaken to get socio-economic information. The socio-economic household schedule is given as **Document 5**. A list of PAFs affected by the sub-project has to be provided along with this data sheet. This list will also contain information of the loss incurred by him and the entitlement to be given against the loss.
5. Firstly this information will give ULB the total number of families affected. Since the entitlements will be paid based on the number of families affected it would also help to know the size of the families as there is an additional burden of impacts on large families. The ULBs can plan for better safeguards with the help of this information.
6. This information column will give an overall idea about the occupations pursued by the PAPs affected. Encroachers and squatters can also be put into one of the occupation categories. Categorizing a PAP as squatter or encroacher pertains to their ownership of land and the occupation pursued by them should under one of columns of occupation category and not separately.
7. The ownership status of the PAF may be checked during land assessment. Information pertaining to the legal status of land, present land use patterns, estimated number of households, tenural status of present users, presence of squatters and encroachers etc., need to be checked. Ownership may be checked through: (a) *Pattas* (b) Registration documents (c) Possession certificates (d) Any legal ownership documents etc. The documents of ownership provided by the PAFs may be crosschecked through project records, land records maintained by the revenue department, electoral records.

**DOCUMENT – 13**

**MONITORING AND MANAGEMENT ACTIVITIES IN A SUB-PROJECT CYCLE**

Detailed step-by-step monitoring and Management activities at different stages of the sub-project are listed below.

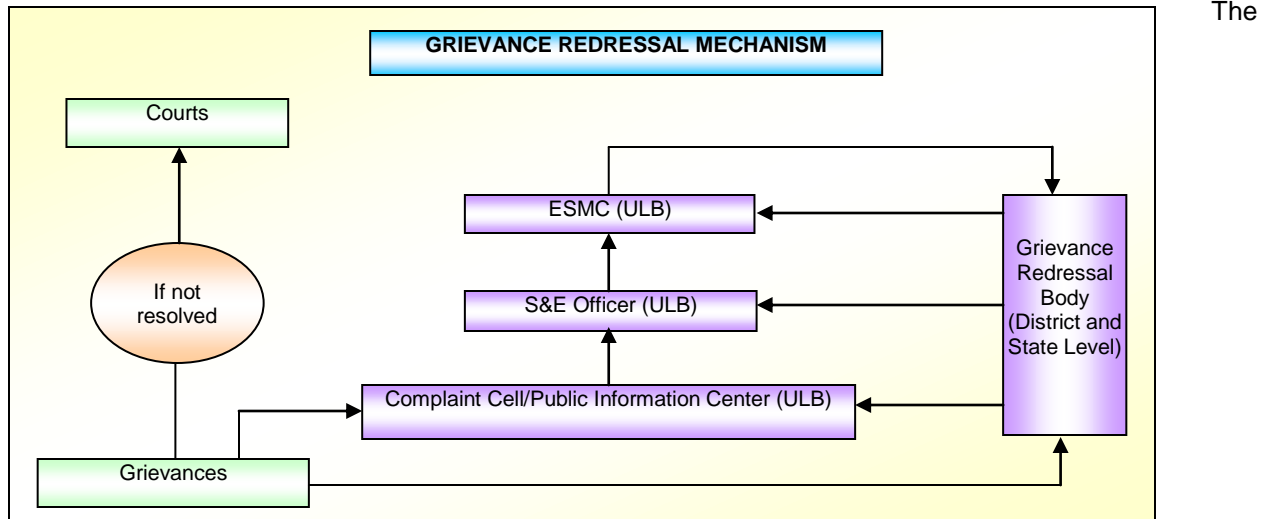
<b>MONITORING AND MANAGEMENT ACTIVITIES</b>			
<b>Stages/Activities</b>	<b>Indicators for Verification</b>	<b>Means of Verification</b>	<b>Responsible Agency</b>
<b>Identification stage</b>			
Dissemination of project information	Localities covered under sub-project area (No. of localities and % of community made contact with)	Individual consultations and public meeting with community	ULB, Councilors
<b>Planning and Grounding stage</b>			
Incorporation of Suggestions from Community	Documentation of Proceedings of consultation sessions (Number of Consultations)	Review of DPR documentation by PIA and consultations with the community	ULB, Councilors
	Number of suggestions by the community		
	Locations where community concerns are integrated into design		
	Number and Reasons for residual issues		
Profiling of the Affected Persons (Census survey)	Scheduled time and date of consultations and meetings	% sample verification of affected population and 100% verification of all the PAPs	ULB, Councilors, Revenue Department, NGO
	Displaying the list of PAPs at the Municipal Office		
	Verification of PAPs, Number and Name, Vulnerability		
	Listing the actual extent of Impact		
Identification of entitled PAPs including vulnerable PAPs	Verification of Existing Land Ownership and usage with special reference to tribal areas		
	Scheduled time and date of survey		
Field visit and transect walk	Verification of fulfillment of eligibility criteria for PAPs and vulnerable PAPs	Review of DPR and consultations with the community	ULB, Councilors, PHED, DTCP, Revenue Department
	Representation of community especially participation of PAPs (No. of total populations and % of vulnerable groups)		
	Finalization of alignments and preparation of the Detailed Project Report (DPR) (% of sub-project area covered)		
	Documentation of filed verification and transect through preparation of maps and list of issues		
	Dissemination of transect outputs at public meetings in the sub-project area		
	Scheduled time and actual date of field verification and transect walk		
<b>Implementing and Execution</b>			
Advance notice and ownership verification of PAPs (Titleholders, Tenants, Encroachers)	Serving advance notices	Review of documents and consultations with affected persons	ULB
	Time schedule and actual serving of notices giving adequate time for vacating		
	Number of notices served and number of non-titleholders along the corridor		
Collection of MoU/Gift Deed/Affidavit for voluntary Land Donation clearance of RoW and land before mobilization of contractor	Identifying the number of persons donating the land voluntarily.	Review of documents and consultations with affected persons	ULB
	Confirming the eligibility of the PAP to donate land and establishing the ownership through document verification		
	Collection of MoU/Gift Deed/Affidavit for clearance of RoW.		
Information on construction schedule and disclosure of information about the sub-project activities and arrangements	Distribution of pamphlets on construction schedule	Consultations with the community, inspection of the sites and information provided	ULB, NGO, CBOs
	Date of distribution of brochure and erecting notice boards on the locations		
	Disclosure of the sub-project information and work schedule on the ULB's web-site		

<b>MONITORING AND MANAGEMENT ACTIVITIES</b>			
<b>Stages/Activities</b>	<b>Indicators for Verification</b>	<b>Means of Verification</b>	<b>Responsible Agency</b>
Relocation/repairing community infrastructure & utility lines for the clearance of RoW and land prior to mobilization of contractor	Intimation to the community with regard to the impacts on the community infrastructure and community utility lines	Consultation with community	ULB, Councilors, Revenue Department
	Consultations with the community for relocation		
Redressal of grievances	Number of community infrastructure and community utility lines affected and relocated/repared	Review of Documents at ULB and consultations with the community	ULB, Councilors, NGO, CBOs
	Whether Grievance Redressal Mechanism (GRM) existed during the Gift Deed collection		
	Knowledge of the community on the GRM		
	Number of Grievances		
	Number of unresolved grievances and reasons		
	Process of registering grievances		
	Process of Redressal of Grievance		
Disbursement of entitlements and taking the possession land	Communication of the decisions of the GRM	Review of Documents at PIA and consultations with the community	ULB, NGO
	Time required and time taken for the redressal of grievance (as per procedure)		
Enrollment of local community and PAPs (especially vulnerable groups and women) into income generation schemes	Scheduled date and actual disbursement	% sample verification of total beneficiaries the verification of all the PAPs and review of documentation	ULB, Councilors, NGO, CBOs
	Number and reasons for delay in disbursements		
	Number of PAPs enrolled into various income generation schemes		
	Number of PAPs enrolled into various income generation schemes of their choice		
	Number of women EPs entitled persons enrolled in income generation schemes		
Physical possession of land by the PIA	Number of vulnerable EPs entitled persons enrolled in income generation schemes	Consultations with PAPs and site verification	ULB, Contractor
	Number of PAPs not benefited and reasons		
Identification of temporary impacts during construction	Marking the alignments on the ground	Consultations with the PAPs	ULB, Contractor
Damages to structures	Redressal of any grievances that may come during this activity		
	Redressal of any grievances that may come during this activity	Consultations with community and site visits	ULB, Contractor
<b>Monitoring and Evaluation</b>			
Involvement of community in monitoring by participation	Consultations conducted and the number of social capital institutions participated	Consultations with the community and field visits	ULB, Councilors, Ngo, CBOs
	Number of social capital institutions identified (Name and number)		
Evaluation of the sub-project	Identification of personnel for the evaluation of the project	Advertisements, contracting and review of Expression of Interests, Technical estimates and financial estimates for award of contract	ULB, Consultants
	If contracting then identification of the consultants and award of contract		
<b>Operation and Maintenance</b>			
Contract for maintenance of sub-project infrastructure	Listing of possible partners for operation and maintenance of activities	Consultations with the community	ULB, Councilors, CBOs
	Number of social capital institutions identified (Name and number)		
	Issues of tenders and contracts		
	Awarding the contracts (Name and number of groups/people awarded the contract)		

**DOCUMENT – 14**

**GRIEVANCE REDRESSAL MECHANISM**

It is expected that through a participatory process, acceptance of the sub-projects and grievances can be minimized. However, it is necessary to establish an effective grievance redressal mechanism to address complaints/grievances related to social & environmental issues that may arise. The figure given alongside indicates the grievance redressal mechanism for this purpose.



affected persons can register their grievances at the complaint cell established at the ULB. The Complaint Cell would forward the grievance to the S&E officer for redressal. The Complaint Cell will also act as a Public Information Centre, where the grievances of the community will be registered and other information with regard to the project, the sub-projects, social and environmental safeguards will be provided. The grievances can pertain to any social and/or environmental issues triggered by sub-projects under the AP Municipal Development Project. A 'District Urban Grievance Redressal Organization' will be established for giving independent advice to the concerned Municipal Commissioner for redressing the grievances. This body will consist of 4 to5 eminent citizens in the District and are from diverse backgrounds such as, education, Health and Sanitation, Urban Infrastructure, civic affairs, etc. In an advisory capacity, it will facilitate and suggest suitable action to redress the grievances of the community/people. At the state level a 'State Urban Grievance Redressal Organization' will be established along similar lines. The Complaint Cell would forward the grievance to the S&E officer for redressal. If the S&E officer cannot redress the grievance within a specified time period, the grievance would be forwarded to the ESMC and further to the District Urban Grievance Redressal Body constituted at the district level. The grievances which cannot be redressed at the district level would be referred to the State Urban Grievance Redressal Body. Each of these authorities can be approached directly for grievance redressal by the aggrieved person/party.