

Resettlement Framework

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Prepared by the Tamil Nadu Slum Clearance Board for the Asian Development Bank.

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CURRENCY EQUIVALENTS

(as of 6 December 2020)

Currency Unit	–	Indian rupee (₹)
₹1.00	=	\$0.0135
\$1.00	=	₹73.77

ABBREVIATIONS

ADB	–	Asian Development Bank
CCDO	–	Chief Community Development Officer
CBO	–	community based organization
EMA	–	external monitoring agency
GRM	–	grievance redress mechanism
GOTN	–	Government of Tamil Nadu
IRSHUPSP	–	Inclusive, Resilient and Sustainable Housing for the Urban Poor Sector Project
NGO	–	nongovernmental organization
PID	–	project implementation division
PMU	–	project management unit
SHGs	–	self-help groups
SPS	–	Safeguard Policy Statement
TNSCB	–	Tamil Nadu Slum Clearance Board
TNPTEEA	–	Tamil Nadu Protection of Tanks and Eviction of Encroachment Act

NOTE

In this report, "\$" refers to United States dollars.

DEFINITIONS

Assistance refers to the support provided to the affected persons in the form of ex-gratia payments, loans, asset services, training and skills development, etc. in order to improve their standard of living and reduce the negative impacts of the investment program.

Below poverty line (BPL) refers to the state specific poverty line for urban Tamil Nadu for the year 2011-12, as per Dr. C. Rangarajan committee's (constituted by Planning Commission of India) revised methodology for measurement of poverty, is ₹1380.36 per capita per month. The same has been updated to August 2020 based on Consumer Price Index (Industrial Workers) and accordingly BPL families have been identified. The BPL cut-off income is ₹2191.93 per capita per month for August 2020.

Cut-off date. The date of marking of the structures by Tamil Nadu Slum Clearance Board will be considered as the cut-off date for entitlements under the project.

Displaced Families means a family whose primary place of residence or source of livelihood is adversely affected due to the project. This includes any tenant, lessee or owner of the property, who on account of project, has been involuntary displaced from such land or property.

Displaced Persons: are those who face physical (relocation, loss of residence, or loss of shelter) and/or economic displacement (loss of shops, income sources, or means of livelihoods) as a result of the project.

Replacement value of the lost assets and property is the amount required for the displaced person to replace/reconstruct the lost assets through purchase in the open market.

Squatters are non-titleholders who have illegally occupied lands for residential, business and/ or other purposes.

Tenants are those persons having bonafide written or unwritten tenancy agreements, with a private structure owner, to occupy a structure for, residence and/or business.

Vulnerable Families are those families with physical/mentally disabled members, women headed families, below the poverty line families, including elderly,¹ women and children,² the landless and those without legal title to land, Scheduled Caste, Indigenous People, Scheduled Tribe families and transgenders.

¹ The Maintenance and Welfare of Parents and Senior Citizens Act, 2007, GoI, defines elderly/ senior citizen as any person being a citizen of India, who has attained the age of sixty years or above.

² Destitute and orphans.

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I. INTRODUCTION

A. Overview of the Project

1. Recent weather events such as severe flooding in Tamil Nadu has highlighted the extreme vulnerability of low-income households and their livelihood. The state's high risk for climate-related disasters makes the slums extremely vulnerable to intense rainfall and recurrent flooding given their encroachment on natural drains, which are prone to overflow during heavy rainfall.

2. Tamil Nadu's population living in slums amounts to 5.8 million, representing 16.6 percent of the state's urban population. The state faces a housing shortage in urban areas of around 1.25 million units.³ Based on a recent demand survey, there are 1.39 million registered applications requesting affordable housing units in Tamil Nadu under Pradhan Mantri Awas Yojana-Urban, of which about 625,368 have been approved. The Government of Tamil Nadu (GoTN) is committed to addressing the state's urban housing deficit, especially for the economically weaker section population. The Tamil Nadu's "Vision 2023"⁴ sets out the provision of housing with infrastructure for all urban slum families in Tamil Nadu and the creation of a slum free state by 2023.

3. Given the flooding risks and the GOTNs vision 2023, the government has requested support from ADB for: (i) relocation and rehabilitation of households living in extremely vulnerable and high-risk areas in cities in Tamil Nadu; (ii) development and implementation of a housing model for industrial workforce; (iii) piloting new models of affordable housing; and (iv) regional planning.

4. The proposed sector project will promote access to inclusive, resilient and sustainable housing and urban development in Tamil Nadu by supporting the state in: (i) relocating vulnerable communities living in high-risk areas to safe shelter; (ii) providing affordable, proper housing for households and migrant workers from the economically weaker section (EWS) and lower-income group (LIG); and (iii) strengthening the state's capacity to design and implement integrated development plans for its regions. The proposed outputs are:

1. Output 1: Affordable Housing for Vulnerable Communities

5. The project will support the resettlement of slum households in vulnerable waterways to safe relocation sites. The project will work with government to introduce gradual changes in the delivery of affordable housing to the urban poor through: (i) incorporating beneficiary needs in design through increased consultation and participation; (ii) robust operation and maintenance (O&M) mechanisms; and (iii) a graduation approach to sustain vulnerable relocated households. The output will include protection of cleared waterways to restore ecological functions and prevent re-encroachment.⁵

³ Report of the Technical Group on Urban Housing Shortage, 2012–2017.

⁴ "Vision Tamil Nadu 2023: Strategic Plan for Infrastructure Development in Tamil Nadu." Government of Tamil Nadu.

⁵ Removing encroachments in waterways will have the benefit of restoring capacity to absorb water and reduce future flooding, recharge groundwater, and potentially be alternative sources of water in water-scarce areas. Regeneration of urban areas can also result from creating public spaces. Impacts of investing in the subsector can be further increased by improving TNSCB's design and implementation practices and policies, and further strengthening the institution.

2. Output 2: Affordable Housing for Low-Income and Migrant Workers

6. The project will support the government's shelter fund which through a public-private partnership structure, will provide industrial housing and working women's hostels for low-income and migrant workers.

3. Output 3: Regional Planning

7. The project can support regional planning for Tamil Nadu. ADB can initially assist through consulting services, particularly for the finalization of rules for developing regional plans by the Directorate of Town and Country Planning (DTCP).

B. Impact, Outcome, and Outputs

8. The impact of the proposed investment will be: (i) removal of non-titled households in slums located in vulnerable waterways/waterbodies which are susceptible to flooding and other disasters. Removing encroachments in waterways/waterbodies will restore capacity of the waterways/waterbodies to absorb water and reduce future flooding, recharge groundwater, and potentially be alternative sources of water in water-scarce areas; (ii) more inclusive and accessible urban services and infrastructures for vulnerable communities, especially those from economically weaker sections (EWS) and lower income groups (LIG); (iii) permanent shelter with appropriate housing infrastructures and services for every family;⁶ (iv) the project is also expected to result in regeneration of urban areas by creating public spaces from the cleared areas; and (v) to provide industrial housing and working women's hostels for low-income and migrant workers.

9. The project, especially component 1 is expected to have significant involuntary resettlement impacts, especially with regard to loss of livelihood and loss of access to amenities. To address the impacts of the relocation, this Resettlement Framework has been developed to cover the project as a whole and provide guidance to be followed for subprojects that are prepared under the loan.

C. Graduation Program

10. The Graduation approach is a holistic, time-bound, and carefully sequenced set of interventions to place households on an upward trajectory from poverty. This includes four key components: (i) social assistance in the form of grants for food support and other immediate needs such as health and education during transition in the relocation site; (ii) livelihood promotion through localized market assessment and household-level enterprise/employment matching; (iii) financial inclusion through financial literacy and improving access to savings and financial services to promote economic resilience; and (iv) social empowerment by improving social dynamics (including gender relations) in the families and communities. The implementation of this approach will build on existing programs and services of government, non-government, and private organizations in project sites and will adapt to local needs and settings. It will also include support to capacity-building of government staff and collaboration to execute relevant intervention.

11. The Graduation program will be integrated with the slum relocation program and bring in livelihood and social welfare interventions which will assist the people relocated to access economic opportunities and restore household overall household wellbeing (health, community

⁶ Government of India, Ministry of Housing and Urban Poverty Alleviation (MHUPA). 2016. *Pradhan Mantri Awas Yojana – Housing for All (Urban) Scheme Guidelines (PMAY-HFA)*. Delhi.

integration, social dynamics, etc.). Combined, this will have a powerful effect to reduce the negative impacts of the relocation. The detailed Graduation Restoration Plan is given in Appendix 1.

D. Implementation Arrangements

12. The GOTN through the Housing and Urban Development Department will be the executing agency responsible for overall project management. Tamil Nadu Slum Clearance Board (TNSCB), Tamil Nadu Infrastructure Fund Management Corporation (TNIFMC), and DTCP will be the implementing agencies for the loan. A dedicated project management unit (PMU) has been established in TNSCB for overall project management. The PMU is expected to have 29 staff and 20 are already in place. The staff will mostly be drawn from TNSCB, and if required, will also be seconded from the other government departments on deputation or hired as independent consultants. Project Implementation Divisions (PIDs) are being established in Madurai, Salem and Viluppuram. Consultants will be engaged as PMU or PID staff for required expertise not available within government. Qualified staff will be assigned to the respective PIDs to ensure compliance with ADB's requirements including, procurement, financial management, etc.

13. TNSCB has proposed the establishment of a project management unit (PMU) which will include the following teams: (i) Procurement; (ii) Project Planning; (iii) Environment; (iv) Social Impact Assessment; and (v) Finance. The PMU will be headed by the Joint Managing Director/Project Director.

E. Scope of Involuntary Resettlement Impacts and Selection Criteria

14. Component 1 of the project is expected to have significant involuntary resettlement impacts, and the likely involuntary resettlement categorization is Category A. Further assessment and due diligence will help confirm categorization. Resettlement plans and due diligence reports will be prepared for each subproject as required. ADB conducted field visits and looked at various potential subprojects identified by TNSCB. Based on this ADB has initially selected three subprojects to serve as models for project readiness and an additional two as backup.

15. The primary subproject selection criteria is the vulnerability to flooding or other hazards of targeted non-titled beneficiaries without tenure security. Based on this there are no anticipated land acquisition. Subprojects that are not technically, financially, or economically viable will be excluded.

16. **Selection criteria specific to proposed project component 1:** The primary subproject selection criteria will be the vulnerability to flooding or other hazards of targeted non-titled beneficiaries without tenure security.⁷ Criteria includes but is not limited to:

- (i) Subproject sites should be within one hour travel time on public transport from existing settlements so that relocated community members can opt to continue accessing their livelihoods;
- (ii) Subprojects should conform to land use classification and relevant development control regulations; planned areas to guide future growth and efficiently provide basic services;

⁷ Prioritization will be based on: vulnerability of targeted beneficiaries vis-à-vis other areas of the city, attributes of the selected relocation site versus other options, and suitability of beneficiary characteristics to the selected relocation site (including social preparation of beneficiary and host community).

- (iii) Subprojects should have sufficient land for the accommodation of all relocated community members in line with housing space and design ratio considerations;
- (iv) Subprojects should be within a 2.5 km radius of public amenities or be within prescribed social infrastructure access norms;⁸
- (v) Subprojects should have access to supporting services;⁹ and
- (vi) As the proposed subprojects are greenfield, the opportunity should be taken to ensure that these are connected to existing neighbourhoods, provide comprehensive infrastructure and services, generate new optimally sited open spaces of adequate size,¹⁰ and community spaces including space for training and community enterprises.

17. The project will ensure that once the settlements have been identified for relocation, no displacement of persons will take place in anticipation of the project. In the event any site is dropped after the census survey is conducted the project will have to follow the protocol given in Appendix 2.

18. All relocation sites identified are government sites without encumbrance as identified by the Revenue Department, GOTN. Table 1 provides the summary of the selected subprojects and the targeted population.

Table 1: Selected Subprojects

S. No.	Relocation site	District	Tentative units to be constructed under ADB funding
1.	Rediyarpatti	Thirunelveli	876
2.	Vallam	Thanjavur	969
3.	Kalanivasal	Sivaganga	900
4.	Odukkam	Dindigul	1224
5.	Pallipalayam	Namakkal	520

II. OBJECTIVES, POLICY FRAMEWORK, AND ENTITLEMENTS

19. The resettlement framework has been prepared for the project as a whole and to ensure that all subprojects comply with all relevant social safeguards requirements of the Government of India and ADB's SPS.

20. The resettlement framework outlines the objectives, policy principles, compensation and other assistance measures for displaced persons under IRSHUPSP. The framework includes guidance on screening and categorization, assessment, planning, institutional arrangements, and processes to be followed for all subprojects.

21. The involuntary resettlement safeguards objectives governing resettlement planning and implementation under the project are to: (i) avoid involuntary resettlement wherever possible; (ii)

⁸ Including but not limited to: hospital/primary health care centre, groceries, schools/kindergarten (creche), ration shops for subsidized food collection, transport with a dedicated bus stop, libraries/reading rooms. In addition to distance, access needs to be considered for the resettlement sites.

⁹ If there is no access to supporting services, then the subproject selection criteria will only consider subproject sites that are able to integrate supporting services in the detailed engineering design for construction of housing and for any other housing plans under consideration in the immediate vicinity. Relocation should only take place after all supporting services are available and operational.

¹⁰ Note that WHO recommends 9 square meters per person, open spaces should be within equitable walking distance from all units and not relegated to marginal plots such as beneath power lines, or irregularly shaped plots which cannot be used for units.

minimize involuntary resettlement by identifying non-displacing or least displacing subproject and design alternatives; (iii) improve, or at least restore, the livelihoods of all displaced persons; (iv) improve the standards of living of the displaced persons including vulnerable groups; and (v) ensure all compensation and assistance is paid prior to displacement.

22. The United Nations Fact sheet on Forced Evictions¹¹ states that: (i) all alternatives to eviction have to be considered first; (ii) all projects should incorporate an eviction impact assessment; (iii) If unavoidable, evictions must respect human rights and due processes; (iv) the rights to information and to meaningful consultation and participation should be respected at all stages of the process; (v) legal and other remedies should be available at all times; (vi) forced evictions should not result in homelessness; (vii) adequate compensation needs to be provided in advance; and (viii) all necessary measures should be taken to minimize the impact of evictions. It is stated¹² that not all evictions are prohibited under international human rights law. The prohibition of forced evictions does not apply to evictions carried out both in accordance with the law and in conformity with the provisions of international human rights treaties. For instance, it may be necessary to displace people from hazard-prone land to protect lives. Nevertheless, even under these circumstances, the evictions should be in line with national law and relevant international standards, including due process.

23. Given the above recommendations of the United Nations, this project clearly outlines the process that are to be in place before any relocation takes place. TNSCB through this resettlement framework ensures that all persons who are to be relocated are not evicted and will be informed and consulted and their participation will be ensured. Those identified for relocation are persons residing in hazard prone areas which incur flooding due to their close proximity to water courses, tanks etc. A consultation and participation plan will be framed for this. A resettlement plan will be prepared for each subproject ensuring that all compensation and assistance is extended before relocation. The housing tenements will have to be ready with all services operational such as electricity and water supply and will have access to services such as schools and medical facilities within the prescribed social infrastructure access norms. The graduation program which is integrated with this project will ensure that a sequenced set of interventions will help to place households on an upward trajectory from poverty.

A. Policy and Legal Framework

24. The policy framework and entitlements for IRSHUPSP are based on a combination of the Tamil Nadu Protection of Tanks and Eviction of Encroachment Act 2007, and ADB's SPS. The salient features of legal frameworks are summarized in the following sub-sections.¹³

4. Tamil Nadu Protection of Tanks and Eviction of Encroachment Act, 2007

25. The Government have enacted the 'Tamil Nadu Protection of Tanks and Eviction of Encroachment Act, 2007 with a view to provide measures for checking the encroachment, eviction

¹¹ United Nations, Human Rights, Office of the High commissioner, Forced Evictions, Fact Sheet No. 25/Rev.1, 2014

¹² United Nations, Human Rights, Office of the High commissioner, Forced Evictions, Fact Sheet No. 25/Rev.1, 20; page 4.

¹³ Review of the Tamil Nadu Slum Areas (Improvement and Clearance) Act, 1971, was also done. This Act will not be used for IRSHUPSP, as it is with reference to in situ development and this project deals with relocation. The Street Vendors (Protection of Livelihood and Regulation of Street Vending) Act, 2014 was also reviewed. The Act provides for protection of livelihoods rights, social security of street vendors, regulation of urban street vending in the country and for matters connected therewith or incidental thereto. The Act will hold good for those who have the Vending Certificate. However, IRSHUPSP will not impact street vendors.

of encroachments in tanks and protection of such tanks which are under the control and management of Public Works Department. The Government has also made the 'Tamil Nadu Protection of Tanks and Eviction of Encroachment Rules, 2007' to the said Act. The Act and Rules have been brought into force with effect from 1 October 2007. This Act provides the platform for removing of encroachments from water bodies, which are causing flooding and are a hazard to those living along the course. Due to climatic reasons such cyclones, droughts which affect the state of Tamil Nadu, the GOTN proposes to restore the water storage tanks, ponds and lakes, to its original status.

26. There have been various judgments of the High Court of Madras directing the State Government to protect all water bodies. The relevant sections of the High Court judgments are summarized below.

- (i) High Court of Madras in W.P.No.1294 of 2009 – TK Shanmugam vs GOTN – Judgement on 30 October 2015;
 - (a) To state the least, the Government Orders with particular reference to regularisation of encroachment in water bodies is a clear breach of the public trust reposed on the Government which is enjoined upon a duty to protect the same;
 - (b) But unfortunately, the State, by passing the above said Government Orders, actively encourages encroachers of water bodies, to indulge in illegal and unlawful activities and also bent upon regularizing their possession which has to be deprecated; and
 - (c) The tanks which do not fall within the purview of the Tamil Nadu Protection of Tanks and Eviction of Encroachment Act, 2007, also require protection from encroachment and any encroachment made in such tanks or water bodies have to be removed by following the provisions of the Tamil Nadu Land Encroachment Act, 1905.

- (ii) High Court of Madras in W.P.No.1295 of 2009 – TK Shanmugam vs GOTN – Judgement on 27 November 2015;
 - (a) Cases of encroachment on water bodies are really alarming. Water bodies are potential source for drinking water for human and cattle. Only with a view to protect the same and to help the environment and develop ecology, the Government has enacted the Tamil Nadu Protection of Tanks and Eviction of Encroachment Act, 2007 (Tamil Nadu Act 8 of 2007). The very object of the Act is to find the exact boundary of each Tank in Tamil Nadu and also to detect encroachments for eviction as per the procedure laid down in the said Act. However, there are instances where the public raised fingers against the Government also when it has forgotten the laws meant for preserving water bodies and attempted to fill up those natural streams under the guise of development. Occupation of the water bodies by way of encroachment will deprive water to the public in larger interest ignoring the Public Trust Doctrine.
 - (b) It has become inevitable for this Court to put on record that the authorities in power cannot destroy the water bodies or water courses formed naturally for the benefit of mankind forever and it is beyond the power of the State to alienate or re-classify the water bodies for some other purposes without compensating the effect of such water bodies.
 - (c) Having regard to the acute water scarcity recurring in the State of Tamil Nadu as a whole, we feel that a time has come where the State has to take

some definite measures to restore the already ear marked water storage tanks, ponds and lakes, to its original status as part of its rain water harvesting scheme, which has already been initiated.

- (iii) High Court of Madras in W.P.No.26364 to 26376 of 2017 - Judgment on 10 October 2017;
 - (a) Kuttai Poramboke, Pond Poramboke and other Poramboke lands belongs to government are to be preserved for protecting the Environment and for usage of land for public at large.
- (iv) High Court of Madras in W.P.No.33883 of 2013 Judgment on 11 September 2018
 - (a) District Collector, Kanchipuram is directed to issue suitable orders/ instructions/circulars to all concerned officials to initiate immediate action to all concerned officials to evict all such encroachment in government lands, water bodies, water resources within his jurisdiction by following the procedures contemplated under the provisions of Tamil Nadu Land Encroachment Act, 1905 and Tamil Nadu Protection of Tank and Eviction of Encroachment Act, 2017 whichever is applicable.

5. ADB's Safeguard Policy Statement, 2009

27. The ADB's SPS, recognizes and addresses involuntary resettlement impacts and requires the preparation of a resettlement plan in every instance where involuntary resettlement occurs. The ADB policy requirements are:

- (i) Avoid or minimize impacts where possible;
- (ii) Consultation with the displaced persons in project planning and implementation;
- (iii) Payments of compensation for acquired assets at the replacement cost;
- (iv) Ensure that no one is worse off as a result of resettlement and would maintain at least their original standard of living;
- (v) Resettlement assistance to displaced persons, including non-titled persons; and
- (vi) Special attention to vulnerable people/groups.

28. For any ADB operation requiring involuntary resettlement, resettlement planning is an integral part of project design, to be dealt with from the earliest stages of the project cycle. The main policy principles of the SPS are:

- (i) Screen the project early on to identify past, present, and future involuntary resettlement impacts and risks. Determine the scope of resettlement planning through a survey and/or census of displaced persons, including a gender analysis, specifically related to resettlement impacts and risks;
- (ii) Carry out meaningful consultations with displaced persons, host communities, and concerned NGOs. Inform all displaced persons of their entitlements and resettlement options. Ensure their participation in planning, implementation, and monitoring and evaluation of resettlement programs. Pay particular attention to the needs of vulnerable groups, especially those below the poverty line, the landless, the elderly, women and children, and Indigenous Peoples, and those without legal title to land, and ensure their participation in consultations. Establish a grievance redress mechanism to receive and facilitate resolution of the displaced persons' concerns. Support the social and cultural institutions of displaced persons and their host population. Where involuntary resettlement impacts and risks are highly

- complex and sensitive, compensation and resettlement decisions should be preceded by a social preparation phase;
- (iii) Improve, or at least restore, the livelihoods of all displaced persons through: (a) land-based resettlement strategies when affected livelihoods are land-based where possible or cash compensation at replacement value for land when the loss of land does not undermine livelihoods; (b) prompt replacement of assets with access to assets of equal or higher value; (c) prompt compensation at full replacement cost for assets that cannot be restored; and (d) additional revenues and services through benefit sharing schemes where possible;
 - (iv) Provide physically and economically displaced persons with needed assistance, including: (a) if there is relocation, secured tenure to relocation land, better housing at resettlement sites with comparable access to employment and production opportunities, integration of resettled persons economically and socially into their host communities and extension of project benefits to host communities; (b) transitional support and development assistance, such as land development, credit facilities, training, or employment opportunities; and (c) civic infrastructure and community services, as required;
 - (v) Improve the standards of living of the displaced poor and other vulnerable groups, including women, to at least national minimum standards. In rural areas provide them with legal and affordable access to land and resources and in urban areas provide them with appropriate income sources and legal and affordable access to adequate housing;
 - (vi) Develop procedures in a transparent, consistent, and equitable manner if land acquisition is through negotiated settlement to ensure that those people who enter into negotiated settlements will maintain the same or better income and livelihood status;
 - (vii) Ensure that displaced persons without titles to land or any recognizable legal rights to land are eligible for resettlement assistance and compensation for loss of non-land assets;
 - (viii) Prepare a resettlement plan elaborating on displaced persons' entitlements, the income and livelihood restoration strategy, institutional arrangements, monitoring and reporting framework, budget, and time-bound implementation schedule;
 - (ix) Disclose a draft resettlement plan, including documentation of the consultation process in a timely manner, before project appraisal, in an accessible place and a form and language(s) understandable to displaced persons and other stakeholders. Disclose the final resettlement plan and its updates to displaced persons and other stakeholders;
 - (x) Conceive and execute involuntary resettlement as part of a development project or program. Include the full costs of resettlement in the presentation of project's costs and benefits. For a project with significant involuntary resettlement impacts, consider implementing the involuntary resettlement component of the project as a stand-alone operation;
 - (xi) Pay compensation and provide other resettlement entitlements before physical or economic displacement. Implement the resettlement plan under close supervision throughout project implementation; and
 - (xii) Monitor and assess resettlement outcomes, their impacts on the standards of living of displaced persons, and whether the objectives of the resettlement plan have been achieved by taking into account the baseline conditions and the results of resettlement monitoring. Disclose monitoring reports.

B. Comparison of the ADB's SPS and the Tamil Nadu Protection of Tanks and Eviction of Encroachment Act, 2007(TNPTEEA)

29. A comparison of the provisions of ADB's SPS and the Tamil Nadu Protection of Tanks and Eviction of Encroachment Act, 2007, (TNPTEEA) and the issues which need to be addressed has been given in Table 2. ¹⁴ The TNPTEEA does not address any of the key ADB's SPS requirements. The Project will have to follow this Resettlement Framework and Entitlement Matrix to ensure that the gaps between the ADB's SPS requirements and the TNPTEEA are complied with. A comparison of the key requirements is made, and gap filling measures are indicated in the table below.

30. The Resettlement Framework addresses the following identified gaps:

- (i) screening past, present and future involuntary resettlement impacts and risks: The Project will undertake screening of all subprojects using the ADB involuntary resettlement checklist, to identify past, present and future involuntary resettlement impacts and risks;
- (ii) gap in carrying out meaningful consultations;
- (iii) gap in establishing a project-level GRM. The Project will establish project-level GRM;
- (iv) gaps in improvement /restoration of affected livelihoods;
- (v) providing assistance for relocation;
- (vi) define vulnerable group as per SPS, policy principle 2. The Entitlement Matrix outlines assistance for vulnerable groups, as defined by ADB policy;
- (vii) third party monitor of negotiated purchases. To ensure a fair and transparent process, a third party independent monitor will be hired to certify the process the negotiated purchase was undertaken in a transparent, consistent and equitable manner;
- (viii) disclosure of RP and Resettlement Framework to affected persons; and
- (ix) frequency of RP monitoring: frequency of monitoring will be specified and will be quarterly.

¹⁴ No land acquisition is envisaged in this project, hence the Right to Fair Compensation and Transparency in Land Acquisition and Resettlement and Rehabilitation Act, 2013 will not apply. The gap analysis in this resettlement framework focuses on applicable policies of Government of Tamil Nadu.

Table 2: Comparative Analysis of SPS, 2009 and applicable State Government Policies

S. No.	Policy Principles	ADB SPS, 2009	TNPTEEA,2007 and GO (Ms) No 281 of Revenue and Disaster Management Department on negotiated settlement	Measures to bridge the gaps in compliance with SPS requirements
1	Project screening and categorization	Screen the project early on to identify past, present, and future involuntary resettlement impacts and risks. Determine the scope of resettlement planning through a survey and/or census of displaced persons, including a gender analysis, specifically related to resettlement impacts and risks.	No specific requirement for screening mentioned.	Screening will be conducted for each subproject, in accordance with the involuntary resettlement safeguards principles adopted in this Resettlement Framework.
2	Meaningful consultation and grievance redress	Carry out meaningful consultations with affected persons, host communities, and concerned non-government organizations. Inform all displaced persons of their entitlements and resettlement options. Ensure their participation in planning, implementation, and monitoring and evaluation of resettlement programs. Pay particular attention to the needs of vulnerable groups, especially those below the poverty line, the landless, the elderly, women and children, and Indigenous Peoples, and those without legal title to land, and ensure their participation in consultations. Establish a grievance redress mechanism to receive and facilitate resolution of the affected persons' concerns. Support the social and cultural institutions of displaced persons and their host population. Where involuntary resettlement impacts and risks are highly complex and sensitive, compensation and resettlement decisions should be preceded by a social preparation phase.	No requirement for consultation and grievance redress.	The identified gap related to the need for meaningful consultations will be addressed in accordance with the consultation, participation and disclosure requirements specified in this Resettlement Framework. In addition, the Consultation and Participation Plan developed for the project includes a social preparation phase and community engagement through the period of design and implementation. Project level GRM will be established.
3	Measures to restore or improve livelihood	Improve, or at least restore, the livelihoods of all displaced persons through (i) land-based resettlement strategies when	No specific requirement related to restoration or improvement of	Will be addressed according to provisions of this Resettlement Framework and the

S. No.	Policy Principles	ADB SPS, 2009	TNPTEEA,2007 and GO (Ms) No 281 of Revenue and Disaster Management Department on negotiated settlement	Measures to bridge the gaps in compliance with SPS requirements
		affected livelihoods are land based where possible or cash compensation at replacement value for land when the loss of land does not undermine livelihoods, (ii) prompt replacement of assets with access to assets of equal or higher value, (iii) prompt compensation at full replacement cost for assets that cannot be restored, and (iv) additional revenues and services through benefit sharing schemes where possible.	livelihoods mentioned.	agreed Entitlement Matrix for this project. Livelihood restoration measures will be developed to improve or restore livelihood of affected persons at least to the pre-project level.
4	Relocation assistance	Provide physically and economically displaced persons with needed assistance, including the following: (i) if there is relocation, secured tenure to relocation land, better housing at resettlement sites with comparable access to employment and production opportunities, integration of resettled persons economically and socially into their host communities, and extension of project benefits to host communities; (ii) transitional support and development assistance, such as land development, credit facilities, training, or employment opportunities; and(iii) civic infrastructure and community services, as required.	None specified.	This gap will be addressed and relocation assistance provided according to provisions in this Resettlement Framework and the agreed Entitlement Matrix.
5	Measures for vulnerable groups	Improve the standards of living of the displaced poor and other vulnerable groups, including women, to at least national minimum standards. In rural areas provide them with legal and affordable access to land and resources, and in urban areas provide them with appropriate income sources and	No specific measures for vulnerable groups mentioned.	Will be addressed according to this Resettlement Framework and Entitlement Matrix. Definition of vulnerable groups takes into account ADB SPS policy principle 2 (in addition to

S. No.	Policy Principles	ADB SPS, 2009	TNPTEEA,2007 and GO (Ms) No 281 of Revenue and Disaster Management Department on negotiated settlement	Measures to bridge the gaps in compliance with SPS requirements
		legal and affordable access to adequate housing.		the government recognized categories). Standard of living of affected vulnerable persons will be improved at least to the national minimal level.
6	Negotiated settlement	Develop procedures in a transparent, consistent, and equitable manner if land acquisition is through negotiated settlement to ensure that those people who enter into negotiated settlements will maintain the same or better income and livelihood status.	The GOTN GO (Ms) No 281 of Revenue and Disaster Management Department dated 07.09.2017 which is applicable, does not specify the need for third party certification.	Will be addressed according to this Resettlement Framework. Third party certification of any negotiated settlement will be undertaken to meet the requirement of ADB SPS.
7	Compensation for informal settlers	Ensure that displaced persons without titles to land or any recognizable legal rights to land are eligible for resettlement assistance and compensation for loss of non -land assets.	No specific provisions.	Will be addressed according to this Resettlement Framework and Entitlement Matrix.
8	Resettlement plan	Prepare a resettlement plan elaborating on displaced persons' entitlements, the income and livelihood restoration strategy, institutional arrangements, monitoring and reporting framework, budget, and time-bound implementation schedule.	No specific rules mentioned.	Will be addressed according to provisions of this Resettlement Framework.
9	Information disclosure	Disclose a draft resettlement plan, including documentation of the consultation process in a timely manner, before project appraisal, in an accessible place and a form and language(s) understandable to affected persons and other stakeholders. Disclose the final resettlement plan and its updates to affected persons and other stakeholders.	No specific rules mentioned.	Will be addressed according to disclosure procedures defined in this Resettlement Framework.

S. No.	Policy Principles	ADB SPS, 2009	TNPTEEA,2007 and GO (Ms) No 281 of Revenue and Disaster Management Department on negotiated settlement	Measures to bridge the gaps in compliance with SPS requirements
10	Cost of involuntary resettlement	Conceive and execute involuntary resettlement as part of a development project or program. Include the full costs of resettlement in the presentation of project's costs and benefits. For a project with significant involuntary resettlement impacts, consider implementing the involuntary resettlement component of the project as a stand-alone operation.	No specific rules mentioned.	Will be addressed according to this Resettlement Framework and Entitlement Matrix.
11	Timing of compensation	Pay compensation and provide other resettlement entitlements before physical or economic displacement. Implement the resettlement plan under close supervision throughout project implementation.	No specific rules mentioned.	Will be addressed according to this Resettlement Framework.
12	Loss of common property resources	Replacement or restoration of the affected community facilities.	No specific rules mentioned.	Will be addressed according to this Resettlement Framework and Entitlement Matrix
13	Monitoring and Reporting	Monitor and assess resettlement outcomes, their impacts on the standards of living of displaced persons, and whether the objectives of the resettlement plan have been achieved by taking into account the baseline conditions and the results of resettlement monitoring. Disclose monitoring reports.	No specific rules mentioned.	Will be addressed according to this Resettlement Framework.

ADB SPS= Asian Development Bank Safeguard Policy Statement; GOTN= Government of Tamil Nadu; TNPTEEA= Tamil Nadu Protection of Tanks and Eviction of Encroachment Act.

C. Criteria for Screening and Selecting Subprojects

31. ADB's Involuntary Resettlement Impact Screening Checklist (Appendix 3) will be adopted for the subprojects. Screening will be conducted immediately after identification of project sites. If the screening is carried out simultaneously with project site identification then the magnitude of impacts can be estimated and, if required, alternative options can be examined. Based on the

Operational Manual Section F1/Operational Procedures¹⁵ the following criteria for screening and categorization of subprojects will be followed:

- (i) **Category A.** A proposed project is classified as category A if it is likely to have significant involuntary resettlement impacts.
- (ii) **Category B.** A proposed project is classified as category B if it includes involuntary resettlement impacts that are not deemed significant.
- (iii) **Category C.** A proposed project is classified as category C if it has no involuntary resettlement impacts.
- (iv) **Category FI.** A proposed project is classified as category FI if it involves the investment of ADB funds to, or through, a financial intermediary.

32. The subproject's involuntary resettlement category is determined by the magnitude of the involuntary resettlement impacts. The involuntary resettlement impacts of ADB supported projects are considered significant if 200 or more persons will experience major impacts, which are defined as: (i) being physically displaced from housing; or (ii) losing 10% or more of their productive assets (income generating). The level of detail and comprehensiveness of the resettlement plan will be commensurate with the significance of the potential impacts and risks. For category A and B subprojects, a resettlement plan, including a SIA is required, although the level of detail required for category B subprojects is less than for category A. For category C projects a due diligence report is required. For category FI the project should have Environmental and Social Management Systems in place.

33. This project is category A for Involuntary Resettlement and category C for Indigenous People.

D. Minimizing Impacts

34. Adequate measures will be taken to avoid and minimize involuntary resettlement impacts including, exploring all viable alternative for subproject designs and alternative sites or locations for subproject components to ensure that involuntary resettlement impacts are avoided or minimized. There will be continuous consultations and one to one dialogue set up with the community from the design stage to post relocation to minimize impacts.

E. Cut-off Date

35. For this project the cut-off date will be the date of marking of structures (in the sending sites) of families to be relocated, by the TNSCB.

F. Involuntary Resettlement Safeguard Principles for the Project

36. Based on the ADB's SPS and the TNPTTEEA, the following resettlement principles have been adopted for IRSHUPSP:

- (i) Screening to identify involuntary resettlement impacts and risks. Minimizing and avoiding resettlement impacts of each subproject by exploring all viable alternative designs;
- (ii) Carrying out consultations with displaced persons, host communities and NGOs, informing all displaced persons of their entitlements, ensuring their participation in

¹⁵ Issued on 1st October 2013.

- planning, implementation, and monitoring and evaluation of resettlement programs;
- (iii) Where the resettlement impacts are unavoidable, the displaced persons will be assisted in improving or at least regaining their standard of living;
 - (iv) Vulnerable person/ groups, including households headed by women, the elderly, the disabled, and indigenous groups and those living below poverty line will be given special livelihood support to improve their socioeconomic status;
 - (v) Compensation for all assets affected will be based on the principle of replacement cost;
 - (vi) Restoration of livelihoods of the displaced persons will be facilitated with adequate resources according to the resettlement plan;
 - (vii) Where physical displacement takes place, displaced persons are to be assisted in integrating economically and socially into host communities in such a way that any adverse impacts on the host communities are minimized and social harmony is promoted;
 - (viii) All payments, will be made prior to physical or economic displacement; and
 - (ix) Disclosure of the draft resettlement plan, including documentation of the consultation process will be done in a timely manner to displaced persons and other stakeholders. Disclosure of the final resettlement plan and other documents such as the monitoring reports to displaced persons and other stakeholders will be undertaken.

37. IRSHUPSP is likely to have the following types of impacts that will require mitigation measures: (i) physical displacement/relocation from housing; (ii) loss of assets and structures (residential/commercial); (iii) permanent loss of livelihood; (iv) collective impacts on groups, such as loss of common property resources; and (v) temporary income loss; and (vi) loss of trees. Every effort will be made during the preparation of detailed designs to minimize and to reduce any involuntary resettlement impacts.

38. In accordance with the involuntary resettlement principles of this resettlement framework, all displaced persons will be entitled to compensation/resettlement assistance.

G. Negotiated Settlement

39. In line with ADB's SPS, this framework does not apply to negotiated settlements. The policy encourages acquisition of land and other assets through a negotiated settlement if there is requirement wherever possible based on consultation¹⁶ with displaced persons including those without title to assets. A negotiated settlement will offer an adequate and fair price for land and other assets. Also, in the case of a negotiated settlement, an independent external party/person will be identified and engaged by the implementing agency to document the negotiation and settlement processes. The principles of this resettlement framework with regard to meaningful consultation processes, mechanisms for calculating the replacement cost of land and other assets affected and record-keeping requirements will be followed during the negotiated settlement. Negotiated settlement will be followed in case there is an urgent need for a small parcel of land to complete the project.¹⁷

¹⁶ A process that: (i) begins early in the project preparation stage and is carried out throughout the project cycle; (ii) provides timely disclosure of information that is understandable and accessible to DPs; (iii) is undertaken in an atmosphere free of intimidation or coercion; (iv) is gender inclusive and responsive to the needs of vulnerable groups; and (v) enables the incorporation of all relevant views of DPs and other stakeholders into decision making, such as project design and mitigation measures.

¹⁷ GO (Ms) No 281 of Revenue and Disaster Management Department dated 07 September 2017.

40. The process of negotiation will involve the following steps: (i) negotiation will take place when there is a willing buyer/willing seller; (ii) verification of the voluntary status of the process will have to be carried out by a third party; (iii) consultation with the displaced person has to be carried out and documented; (iv) the minimum negotiated price to start negotiations will not be below the valuation of land based on the market value of land; (v) all the safeguards as mentioned in the resettlement framework have to be followed; (vi) all negotiations have to be carried out in a transparent manner and validated by a third party, NGO, or in the absence of a NGO any other party as decided by the PMU; (vii) in case of failure of negotiations, design options will need to be relooked as this project does not envisage any land acquisition through the regular central/state level acquisition process; and (viii) the entire process has to be documented. The format for third party hiring and certification is given in Appendix 4.

H. Voluntary Land¹⁸ Donation

41. In the case of land donation, the community or displaced person agrees to donate a part of their land for the project. An independent external party, identified by the PMU will have to be engaged to ensure and validate that: (i) the donation will not cause significant impacts on the livelihood of the donor(s) and the donor fully understands the value of the land that has been donated; (ii) the donation does not come from a land owner categorized as poor or vulnerable family; (iii) the donation will not cause any economic or physical displacement (legal or illegal); (iv) the land donor(s) will get direct benefits from the proposed project activities; (v) meaningful consultations are conducted with the land owner(s); and (vi) the land donation(s) does not come from coercion or an asymmetrical power relation between the land owner(s) and the Government. The above information has to be included in a due diligence report to be prepared by the external party for ADB review and approval.

I. Eligibility Status of Displaced Persons

42. The project will extend compensation, assistance, and benefits to all families identified by TNSCB in the sending sites. These will include all persons occupying land over which they neither have legal title, nor have claims recognized or recognizable under national law.

J. Entitlements, Assistance and Benefits

43. The project Entitlement Policy addresses the direct and indirect impacts of the project on displaced persons, households and communities. The most direct and immediate impacts are those associated with loss of livelihood and loss of residences. Other losses include loss of other assets such as cattle sheds, water sources etc. and common property resources. Mitigation is provided through compensation and assistance to the displaced persons, households on the basis of this policy framework adopted by the IRSHUPSP. The policy provides mitigation for:

- (i) Loss of assets, including house or work place;
- (ii) Loss of livelihood or income opportunities;
- (iii) Collective impacts on groups, such as loss of community assets, common property resources, and others; and
- (iv) Temporary disruptions due to the loss of access or limited access to social amenities such as medical institutions, educational institutions etc.

¹⁸ This includes other assets attached to the land.

44. Compensation eligibility is limited by a cut-off date. The cut-off date for each of the sub project is the date of marking of structures by TNSCB. The project Entitlement Matrix (see Table 3) identifies and lists the various types of losses resulting out of the project and specific compensation and resettlement packages for each category.

Table 3: Entitlement Matrix¹⁹

Type of Loss	Identification of Displaced Persons	Details
A.	Assets Lost by Non-titleholders	
A.1 Loss of structure)	Residential - Occupier of the Structure (Owner or Tenant (with or without written tenancy/lease documents) ²⁰	<ol style="list-style-type: none"> 1. Alternate housing to be provided by TNSCB. Alternate housing shall be provided only for the occupant of the structure. 2. Shifting assistance of ₹10,000 as one time shifting cost to be provided by TNSCB 3. Subsistence allowance of ₹2500 per month will be provided for 12 months 4. Right to salvage material²¹ from demolished structure, erected by occupants. 5. Will be given 7 days' notice to shift any assets from the sending site to the relocation site. 6. Notice period of 30 days to shift.
	Commercial - Occupier of the structure (Owner or Tenant (with or without written tenancy/lease documents) ²²	<ol style="list-style-type: none"> 1. Shifting assistance of ₹10,000, as one time shifting cost to be provided by TNSCB 2. Rs.2500/- as subsistence allowance for minimum 3 months for tenants and 6 months for owner occupier. 3. Replacement cost of structure to the owner of the structure on submission of evidence of ownership²³ 4. Training would be provided for income generating vocational training and skill improvement options based on the choice of the displaced person up to ₹15,000 per household. This cost would be directly paid by the project to the training institute and purchase of income generating assets up to ₹50,000. There will be an age restriction on training based on the option of training selected. 5. Right to salvage material²⁴ 6. Will be given 7 days' time to remove any assets after shifting. 7. Notice period of 30 days will be given for shifting.

¹⁹ All rates will be updated as applicable.

²⁰ In case owners and tenants (non-titleholders) are residing in the same structure, both will be eligible for an alternative house at the relocation site. In case the structure is occupied only by a tenant, the owner of the structure will be compensated for the structure at replacement cost.

²¹ Asbestos cannot be salvaged.

²² The business operator (owner or tenant) will be eligible for livelihood restoration assistance. The owner of the structure will be eligible for structure compensation at replacement cost and rental assistance.

²³ Evidence of ownership will include any government document including electricity bill or the report of the officials of the Revenue Department on the ownership of the structure. The project will facilitate the absentee owners to get the report from the Revenue Department officials.

²⁴ Asbestos cannot be salvaged.

Type of Loss	Identification of Displaced Persons	Details
	Absentee Owner of the structure ²⁵	<ol style="list-style-type: none"> 1. Replacement cost of the structure on submission of evidence of ownership.²⁶ 2. Assistance for loss of rental income will be provided at ₹3000 per month for 3 months. A lumpsum amount of ₹9000 will be paid.
A.2 Loss of crops	Non-titleholders	<ol style="list-style-type: none"> 1. Displaced persons will be notified and given 60 days' advance notice to remove crops. 2. Compensation for one years' net harvest for seasonal crops at prevalent market rates, in consultation with the Department of Agriculture; Compensation will be provided only if the crops are planted by the displaced person.
A.3 Loss of trees		<ol style="list-style-type: none"> 1. Compensation at market value of timber in case of timber-bearing trees, in consultation with Department of Forests; Compensation will be provided only if the timber bearing trees are planted by the displaced person. 2. For fruit bearing trees compensation to be calculated at market value of annual net product multiplied by the number of productive years remaining in consultation with Department of Horticulture. Compensation will be provided only if the fruit bearing trees are planted by the displaced person.
B.	Loss of Livelihood	
B.1. Loss of primary source of income	Occupier	<ol style="list-style-type: none"> 1. Training would be provided for income generating vocational training and skill improvement options based on the choice of the displaced person at ₹15,000 per household. This cost would be directly paid by the project to the training institute and purchase of income generating assets up to ₹50,000. There will be an age restriction on training based on the option of training selected.) 2. Preference for employment opportunity for affected persons in the project construction work, if so desired by them.
	Wage-earning employees indirectly affected - those working in businesses such as petty shops, eateries	<ol style="list-style-type: none"> 1. One time subsistence grant equivalent to 90 days of minimum wage as per notified GoTN rates. 2. Preference for employment opportunity for displaced persons in the project construction work, if so desired by them.
C.	Loss of Common Property Resources	

²⁵ This pertains to absentee owners of both occupied and unoccupied structures.

²⁶ Evidence of ownership will include any government document including electricity bill or the report of the officials of the Revenue Department on the ownership of the structure. The project will facilitate the absentee owners to get the report from the Revenue Department officials.

Type of Loss	Identification of Displaced Persons	Details
C.1. Loss of common property resources		<ol style="list-style-type: none"> 1. TNSCB will provide for public spaces, parks, playgrounds and community halls, rations shops (public distribution systems) at the relocation site. 2. Replacement or restoration of the affected host community facilities, in the relocation site, or which needs to be shifted due to design requirements in the vicinity of the relocation site, will be done in consultation with the community using the community facility, these will include religious structures, shrines etc.
D.	Additional support to Vulnerable ²⁷ Families/Persons	<ol style="list-style-type: none"> 1. Vulnerable families will be given priority for potential employment in the project construction activities. 2. Persons with disabilities will be given preference for housing units on the ground floor. 3. All vulnerable households identified for the Graduation program²⁸ will be eligible for support as indicated under the program, including the benefits mentioned under this category. (As given in Annexure) with preference given to woman member of the household. 4. Additional one-time assistance of ₹5000 per family will be paid to families with multiple vulnerabilities.²⁹
E.	Temporary Impacts	
E.1. Temporary impacts during construction		<ol style="list-style-type: none"> 1. The contractor is liable to pay damages to assets/trees/crops in private/public land, caused due to civil works, in line with the provisions of this Entitlement Matrix. 2. The contractor should obtain prior written consent from the landowner and pay mutually agreed rental for use of private land for storage of material or movement of vehicles and machinery or diversion of traffic during civil works 3. Time bound restoration of land to its previous or better quality; and 4. The project will maintain access to all properties and businesses at all times.
E.2. Temporary disruption to residences and shops during		Residential <ol style="list-style-type: none"> 1. Temporary access to residences with adequate safety measures 2. 30 days advance notice regarding construction activities, including duration of and type of disruption

²⁷ Vulnerable families are those families with physical/mentally disabled members, women headed families, below the poverty line families, including elderly (above 60 years), women and children (destitute and orphans, the Indigenous Peoples, the landless and those without legal title to land, scheduled caste and scheduled tribe families and transgender.

²⁸ The Graduation Program will assess all vulnerable persons/ families and cover persons/ families with multiple vulnerabilities and those losing their primary source of income.

²⁹ Families with multiple vulnerabilities are families with physical/mentally disabled members, women headed families, below the poverty line families, including elderly, women and children, Scheduled Caste, Indigenous People, Scheduled Tribe families and transgenders.

Type of Loss	Identification of Displaced Persons	Details
laying of water/sewer mains		Commercial shops/vendors/kiosks <ol style="list-style-type: none"> 1. 30 days advance notice regarding construction activities, including duration of and type of disruption 2. All temporarily disrupted commercial activities will be provided with temporary access for continuance of business or cash assistance for loss of income calculated for actual number of days of livelihood disruption or if income loss cannot be assessed, cash assistance based on minimum wages for the duration of actual number of days of livelihood disruption³⁰.
E.3. Impact to encroached structures such as ramps, steps and projection of buildings.		<ol style="list-style-type: none"> 1. 30 days advance notice regarding construction activities, including duration of and type of damage to structure 2. Compensation at replacement cost for the encroached structure without depreciation, or restoration of the affected structure during civil works
F.	Other Unanticipated Impacts	
F.1. Any unanticipated impacts due to project intervention		<ol style="list-style-type: none"> 1. Any unanticipated impacts of the project will be documented and mitigated based on the spirit of the principles agreed upon in this RF.

₹= Indian Rupee; TNSCB= Tamil Nadu Slum Clearance Board.

³⁰ The project will provide alternate space for kiosks and vendors who can relocate to an adjacent place for continuance of business.

III. RESETTLEMENT PLAN PREPARATION

A. Social Impact Assessment Survey

45. A social impact assessment (SIA) survey of the displaced persons will be undertaken in each subproject to determine the magnitude of displacement and prospective losses, better identification of vulnerable groups, ascertain costs of resettlement, and prepare a rehabilitation program for implementation. The SIA surveys will be based on the preliminary technical designs of the subprojects identified. The socio-economic survey will help in assessing the investment program's socio-economic impacts on the affected community and people. The methodology for conducting socioeconomic surveys and database management (to be used for resettlement plan preparation) is indicated in Appendix 5. The SIA surveys will comprise of:

- (i) **Baseline socio-economic sample survey.** The purpose of the baseline socio-economic sample survey of displaced persons is to establish monitoring and evaluation parameters. It will be used as a benchmark for monitoring the socio-economic status of displaced persons. The survey will cover 20% of the displaced persons. The survey will also collect gender-disaggregated data to address gender issues in resettlement. The survey will carry out the following: (a) preparation of accurate maps of the subproject area; and (b) analysis of social structures and income resources of the population.
- (ii) **Census survey.** The purpose of the census is to: (a) register who the displaced persons are; (b) assess their income and livelihoods; (c) make an inventory of assets affected by the project; and (d) collect gender-disaggregated information pertaining to the economic and sociocultural conditions of displaced persons. The census will cover 100% of displaced persons.

B. Resettlement Plans

46. Resettlement plans will be prepared based on the results of the census, and from information drawn from the baseline socio-economic sample survey. The database on displaced persons will be prepared. It will include the results and findings of the census of displaced persons and their entitlements to restore losses, institutional mechanisms and schedules, budgets, assessment of feasible income restoration mechanisms, grievance redress mechanisms, and results monitoring mechanisms. The outline of a resettlement plan is given in Appendix 6.

47. Resettlement plans will comply with the principles outlined in this resettlement framework and will have to be approved by the executing agency and ADB prior to contract award. Disbursement of compensation payments and entitlements must be made prior to displacement. Demolition of the existing settlements will only take place once the resettlement sites are ready with all amenities and are allocated to the displaced persons and are ready to move in, otherwise the project will need to provide for the 'transitional period'.

48. Resettlement plans comprising the entitlement matrix, compensation and rehabilitation options among others shall be brought to the notice of displaced persons and host communities. The specific resettlement-related activities to be performed, such as SIA, census and socio-economic survey, resettlement planning, public consultation, development of mitigation and income restoration measures, implementation of resettlement plans, and monitoring and evaluation, and their subproject implementation schedule, will all be detailed in the resettlement planning document. The resettlement plans will be prepared and notified to the public, through

information disclosure workshops and other means such as posters and/or resettlement booklets, notices in the local government offices etc.

C. Gender Impacts and Mitigation Measures

49. Female-headed households are considered a vulnerable group as per the resettlement framework. Any negative impacts of a subproject on female-headed households will be given priority. Resettlement plans will formulate measures to ensure that socioeconomic conditions, needs, and priorities of women are identified, and that the process of involuntary resettlement does not disadvantage women. It will ensure that gender impacts are adequately addressed and mitigated. Women's focus groups discussions will be conducted to address specific women's issues. Women's focus group discussion are proposed in consultation and participation plan (CAPP), implementation of which will commence by first quarter of 2021. Gender sensitive design inputs such as ensuring social cohesion, providing adequate lighting, provision of anganwadi/crèche / sanitation / well-lit kitchens with natural light etc. have been discussed and feedback incorporated in project design. Further consultations with women and men are proposed under the CAPP. During disbursement of compensation and provision of assistance, priority will be given to female-headed households. Joint ownership in the name of husband and wife will be provided in cases of non-female-headed households.

IV. COMPENSATION, INCOME RESTORATION AND RELOCATION

A. Income Restoration and Graduation Program

50. The project will have in place a detailed income restoration and Graduation Program with adequate budget and clear responsibilities for the delivery of the same within a specified timeline. The Graduation approach is a holistic, time-bound, and carefully sequenced set of interventions including social protection, livelihood protection, financial inclusion and social empowerment, to place households on an upward trajectory from poverty. The interventions under these four pillars are sequenced to provide a comprehensive support, keeping the needs of participant households at the center. The typical Graduation program timeline is between 18 and 24 months.³¹ Income restoration strategy will include a comprehensive work plan. An income restoration work plan provides each activity to be carried out and the timeline and integration of each activity.

51. Each displaced person whose income or livelihood is affected by a subproject will be assisted to improve or at least restore this income to its pre-project level. Income restoration is a process of identification and imbibing additional skills, which is done over a period of time. It also involves the actual use of the skill set and requires monitoring. Income restoration schemes will be designed in consultation with displaced persons, and considering their resource base and existing skills. The PID, will identify the number of eligible displaced persons based on the 100% census of the displaced persons and will conduct a training needs assessment in consultation with the displaced persons so as to develop an appropriate income restoration program. The PID, with support from the graduation program, will examine local employment opportunities and identify possible income restoration options. Suitable trainers or local resources will be identified by the PID. Additionally, the PID partner will provide core interventions in social protection to ensure all basic needs are addressed; financial inclusion to increase income maximization and response to future shocks; and social empowerment to integrate households in their new communities and repair intra-household social dynamics. These activities will be led by animators

³¹ Details of the Graduation Program are available in Appendix 1.

assigned to each household. Households with multiple vulnerabilities will be identified to be incorporated in the graduation program.

52. Detailed assessment of livelihood impacts is proposed under the Graduation Program, based on which household and market specific livelihood interventions will be designed. The localized market assessment to be conducted during the planning phase (in mid to late 2021) will provide a list of viable livelihoods activities, asset packages, risk assessments and household characteristics, skills and readiness criteria to match with specific livelihoods. The household skills and readiness assessment will be conducted post-relocation by TNSCB staff to guide households towards selecting a livelihood option. Animators will monitor livelihood development through regular household visits during the course of the Graduation program. The action plan will be included in the Operations Manual.

53. The resettlement plan budget will reflect the cost of providing training up to ₹15,000 and costs for training will be paid directly to the training institution. The PID will also facilitate displaced persons access to government schemes that could help them restore income and livelihood. The Directorate of Employment and Training, Department of Labour and Employment, Government of Tamil Nadu, Industrial Training Institutes (ITIs) imparts skill training under Craftsmen Training Scheme and to produce technician level work force in the State in different trades. Various skill training programs are being implemented through a vast network of Government ITIs and Private ITIs in the State. As part of the graduation program, assessments will be conducted to identify viable market opportunities, which may include industries in the vicinity, and skills and resources of households including income generating assets to enable suitable livelihood planning for them. The cost of buying an income generating asset is estimated maximum at ₹50,000 per person.

54. All affected persons whose primary livelihood is affected will have an option to get trained in a profession suitable to their skills and interests and to buy a livelihood generating asset. Those opting for training will be screened based on age and relevance of training. The social and cultural context in which the affected person carries out his livelihood activity is important.

55. In addition, the entitlement matrix provides for short-term income restoration measures by providing allowances such as subsistence allowance and shifting assistance.

B. Relocation

56. The main impact in this project involves relocation. The project will lead to physical displacement/relocation of displaced persons. The project will ensure that: (i) shifting assistance, and subsistence allowance, as required, will be provided to all relocated/physically displaced persons; (ii) relocation sites will be disclosed to the displaced persons for endorsement, along with their facilities, from the start of the project, so that the affected persons can get prepared for the shift; and (iii) alternate houses have to be provided to the displaced persons before demolition. In the event that houses are not ready, rental assistance will have to be provided until the alternate house is ready.

57. Relocation can only happen once the housing units and all associated infrastructure facilities are completed in the relocation site. Shifting should preferably be done in a phased manner. The PID will arrange a meeting with the displaced persons and inform them the date on which they should shift to the new location and precautions to be taken in shifting etc. The PID will monitor the relocation process. Adequate budgetary allocation has to be provided for timely relocation implementation and included in the final resettlement plans. A Relocation Plan will have

to be prepared by the PID identifying all actions and activities to be taken before, during and after relocation.

58. After shifting the displaced persons to their new location, PID shall monitor them on a regular basis. If any conflict arises between the relocated displaced persons and the host community, the PID shall sort-out the differences immediately.

C. Host Population

59. In the event that resettlement sites are planned near existing communities or within another existing settlement, a host community consultation is to be undertaken during the project preparation period. The consultations will:

- (i) assess the likely impact on and needs of hosts;
- (ii) help design appropriate income restoration programs for Displaced Households;
- (iii) assist in identifying areas where they may be problems of integration between two communities; and
- (iv) assess the carrying capacity of existing resources and the potential for additional capacity in the receiving settlement.

60. The host community consultation will provide insights on any potential resentment of displaced persons by members of the host community who may themselves live below the poverty level. Mitigation measures may then be considered to overcome potential disparities and promote local acceptance of resettled households.

61. In locating displaced persons close to an existing settlement, there is a risk that the increase in the population may increase demands on the environment above the carrying capacity of the land and resources available to the hosts and newcomers. This makes host community consultations all the more important.

V. CONSULTATION, PARTICIPATION AND DISCLOSURE

A. Consultation and Participation Process

62. Consultations with various stakeholders will be carried out throughout the project cycle. The consultations will be conducted by the PID. Stakeholders will include primary stakeholders who are project displaced persons and the PID/PMU. Additionally, the concerned District Collector of the district, commissioner of the corporation/municipalities and revenue department officials are also considered to be the primary stakeholders. Other stakeholders in the project include ward level members, local councilors, resident welfare associations (RWAs), local community groups, women's groups and people of the project area.

63. The resettlement consultation program will continuous and conducted at several levels that includes: (i) heads of households/members likely to be impacted; (ii) ward level members; (iii) community-based organizations (CBOs) and RWAs; and (iv) TNSCB and line departments. Several rounds of consultations will be conducted during resettlement plan implementation. As a follow-up of the local-level consultations held during project preparation, ongoing consultations will be conducted by the PID during implementation. Consultation will involve: (i) dissemination of information on resettlement plan including entitlement policies and options; this will involve explaining the entitlement matrix and resettlement process to the displaced persons and soliciting their support and co-operation; (ii) dissemination of information on the relocation site and the

facilities to be provided including a visit to the relocation site including feedback on the designs;(iii) dissemination of information on livelihood restoration program/ graduation program and how to participate in the program; and (iv) dissemination of information on the relocation process, including likely date of shifting, ensuring that children's academic calendar is not disturbed, no important holidays are during the relocation time etc.

64. The methodology followed for public consultations will include: (i) informing all the likely displaced persons, ward committee members, local NGOs, RWAs and CBOs of upcoming meetings; (ii) conducting the meetings; and (iii) seeking feedback, recording genuine concerns, suggestions and recommendation, documenting the minutes of the meetings, noting the list of participants as recorded by signature and filing photographs taken of the consultations.

65. Particular attention will be paid to the needs of the vulnerable groups, especially those groups that are BPL, elderly, female-headed households, women, indigenous people/scheduled tribes and scheduled caste. The PID will ensure that any views of the displaced persons, particularly vulnerable people, related to the relocation process are looked into and addressed. The implementing organization will ensure that groups and individuals consulted are informed about the outcome of the decision-making process and confirm how their views were incorporated.

66. Each subproject resettlement plan will be prepared and implemented in close consultation with key stakeholders. Women's participation will be ensured by involving them in public consultation at various stages of project preparation. The venue and the time of meetings must be convenient for women.

B. Information Disclosure and Resettlement Plan Disclosure

67. Each subproject resettlement plan will be disclosed to the affected community, detailing information including entitlements and special provisions, grievance procedures, timing of payments, and relocation schedule by the PID. The draft RPs will be updated based on census survey and final detailed design, ADB's No Objection sought and the updated RPs disclosed on TNSCB's website, prior to contract award. This will be done through public consultation and brochures and leaflets in Tamil. Copies of the summary and full resettlement plan in Tamil will also be made available at: (i) office of the PID; (ii) Commissioner of Corporation/Municipality; and (iii) local level offices. A report of disclosure, giving details of the date and location will be shared with the ADB. The template for project information and disclosure of the resettlement plan and grievance procedures is given in Appendix 7.

68. The resettlement framework and the resettlement plans will be placed on the official website of TNSCB and the official website of ADB after approval and endorsement of the resettlement framework and resettlement plan by the TNSCB and ADB. Table 4 provides a summary of the consultation and disclosure activities to be undertaken.

C. Consultation and Participation Plan

69. A Consultation and Participation Plan (CAPP) has been prepared for the project. The primary purpose of the consultation and participation plan is to disseminate information and to open up the lines of communication between the TNSCB and all stakeholders to facilitate the implementation of the IRSHUPSP and the early resolution of any conflict issues that may arise. The consultation and participation plan will include the communication processes and activities which will take place throughout the course of the project.

Table 4: Summary of Consultation and Disclosure Activities

Subproject Phase	Activities	Details	Responsible Agency
Initiation	Mapping of the subproject area	Subproject area to be mapped, clearly showing survey numbers of affected persons to be shifted.	PID in coordination with district collector's office/ULB
	Stakeholder identification	Cross-section of stakeholders to be identified in order to facilitate their participation in the subproject.	PID to identify all stakeholders.
	Subproject information dissemination; disclosure of subproject details	Leaflets containing information on a subproject to be prepared. The public notice will mention the names of locations to be cleared and name of relocation site and other subproject details.	Information dissemination will be done by the PID. Notice will be issued by the PID.
	Stakeholder meetings	Meetings at community/household level with displaced persons and other stakeholders, such as RWAs, ward committees etc.	PID
Resettlement plan preparation	Socio-economic impact assessment and census surveys	Surveys and individual consultations to be conducted. Summary RP to be disclosed in Tamil in accessible locations to displaced persons, particularly vulnerable stakeholders.	PID will conduct consultations and surveys.
	Formulating compensation Measures and rehabilitation measures	Based on census surveys, the entitlements will be shared through discussions and sharing the resettlement plans with displaced persons.	PID who will conduct all discussions, meetings and workshops and will invite all secondary stakeholders.
	Disclosure of final entitlements and rehabilitation packages	Web disclosure of the resettlement plan. Dissemination of translated summary resettlement plans to all stakeholders before final disclosure.	The PID will undertake all activities related to dissemination of the resettlement plan. All the comments and suggestions made by displaced persons will be documented.
Resettlement Plan implementation and monitoring	Relocation and rehabilitation, livelihood restoration	Addressing any issues which arise during shifting, or relocation or deciding on the choices of training programs or availing eligible assistance	PID
	Monitoring of resettlement plan implementation	Monitoring and guidance to PIDs on resettlement plan implementation; Helping PIDs to set up systems for monitoring and reporting on resettlement plan implementation	PMU/External Monitor

PID= project implementation division; PMU= project management unit; ULB= urban local body.

VI. GRIEVANCE REDRESS MECHANISM

70. A project specific grievance redress mechanism (GRM) will be established to receive, evaluate, and facilitate the resolution of affected persons' concerns, complaints, and grievances about the social and environmental performance at the level of the project. The GRM will aim to provide a time-bound and transparent mechanism to voice and resolve social and environmental concerns associated with the project.

71. A common GRM will be in place for social, environmental, or any other grievances related to the project. The resettlement and initial environmental examinations will follow the GRM described below. The GRM will provide an accessible and trusted platform for receiving and facilitating the resolution of affected persons' grievances related to the investment program. The multi-tier GRM for the investment program is outlined below, each tier having time-bound schedules and with responsible persons identified to address grievances and seek appropriate persons' advice at each stage, as required.

72. The project area-wide public awareness campaigns will ensure that knowledge of the grievance redress procedures is generated. The PID will conduct awareness campaigns to ensure that all affected persons and vulnerable households are made aware of grievance redress procedures and entitlements.

73. Affected persons will have the flexibility of conveying grievances/suggestions by dropping grievance redress/suggestion forms in complaints/suggestion boxes to be installed by IRSHUPSP or by e-mail, or by registering complaints on the TNSCB website or by post, or by writing in a complaints register in the PID office. Careful documentation of the name of the complainant, date of receipt of the complaint, address/contact details of the person, location of the problem area, and how the problem was resolved will be undertaken. The PID social and environmental officers will have the overall responsibility for timely grievance redress on environmental and social safeguards issues and for registration of grievances, related disclosure, and communication with the aggrieved party. A copy of a proposed outline of a grievance registration form is given in (Appendix 8). All the documents made available to the public will include information on the contact number, address and contact person for registering grievances, and will be disseminated throughout the program area by the PID.

A. Existing TNSCB Grievance Mechanism

74. TNSCB has various methods for grievance redress for slum encroachers or the general public affected by TNSCB activities; these are structured to facilitate ease in submitting a grievance by any affected person/aggrieved petitioner and redress the grievances in an expeditious, fair and sympathetic manner.

- (i) Submission of grievance petitions in Division Office: The residents of the TNSCB tenements submit the grievance petitions related to maintenance of tenements, allotment of tenements, etc. to the Executive Engineers³². The Executive Engineers through the Assistant Executive Engineers and the Assistant/Junior Engineers redress the grievances submitted by the residents of the tenements;
- (ii) Public Grievance Redressal Centre in Board Office, Chennai: The public submits the grievance petitions in the Public Redressal Centre located in the Board Office. The petitions are forwarded to the concerned Superintending Engineer, Executive Engineer or the Estate Officer for redressal. The reply to the petitioner is sent after the redressal of grievance;
- (iii) Submission of grievance petitions to the Managing Director, TNSCB: The Managing Director, TNSCB meets the public daily to receive the grievance petitions. The petitions are forwarded to the concerned Superintending Engineer,

³² There are 21 Divisions in TNSCB each headed by an Executive Engineer; the Executive Engineer maintains the tenements of TNSCB within the jurisdiction of the Division.

- Executive Engineer or the Estate Officer for redressal. The reply to the petitioner is sent after the redressal of grievance;
- (iv) Online Grievance Redressal System of TNSCB in Chennai City: This is functioning in Chennai City only as of now. The grievance petitions received in the Board office are forwarded online to the concerned Divisions and redressal of grievances are monitored; and
 - (v) Chief Minister's Special Cell³³: The grievance petitions are filed online through Chief Minister's Special Cell portal by the affected person/aggrieved petitioner. The filed grievances related to TNSCB are forwarded to the Public Relations Officer, TNSCB. For the Divisions within Chennai, the copy of the petition is sent to the concerned Division Executive Engineer. For the divisions outside Chennai, the scanned copy of the grievance petition is forwarded through Division Office's email and a copy is dispatched through post for immediate redressal of the grievance to the Division Executive Engineer. After resolving the grievances, the Executive Engineer/Estate Officer sends the reply to the affected person/aggrieved petitioner and the copy of the same is communicated to the Public Relations Officer at TNSCB. On the receipt of the same, the Public Relations Officer closes the grievances through the online portal of the Chief Minister's Special Cell.

75. Any IRSHUPSP specific grievance which comes in through TNSCBs existing systems will be routed back to the project specific GRM to level 1.

B. Proposed IRSHUPSP Grievance Mechanism

76. Given the above options, the aggrieved person can choose any of the above mentioned processes or opt to go through the project specific grievance redress mechanism which will be established for IRSHUPSP. In case of grievances that are immediate and urgent in the perception of the complainant, the Animator/Community Officer/Assistant or Junior Engineer/ from PID will provide the most easily accessible or first level of contact for the quick resolution of grievances. Contact phone numbers and names of the concerned staff and contractors, will be posted at all construction sites in visible locations. A representative of affected persons from each settlement will be a special invitee when grievances of a particular settlement are being discussed by the GRC.³⁴

- (i) **1st level grievance:** The on-site contractor/Animator/Community Officer/ Assistant or Junior Engineer of the PID (Environment / Social Cell) will receive and record the complaint at the subproject site. Alternatively, the complaint can be registered by phone call, message, email, or on the TNSCB website and this will be reverted to the onsite personnel for 1st level resolution. The complaint will be reviewed and the on-site contractor/Animator/Community Officer/Assistant or Junior Engineer of the PID (Environment/ Social Cell) will try to resolve the issue on-site in consultation with the aggrieved party. This will be done within 7 days of receipt of a complaint/ grievance;

³³ Chief Minister's Special Cell functions as the Hon'ble Chief Minister's Grievance Redressal forum open to public from all walks of life. The petitions are sent to the respective Departments and replies are fed into the online monitoring system. The Departments have been sensitized on the necessity for prompt and effective disposal of the petitions. Review meetings are routinely convened with the nodal officers of each Department/ District so that offices that delay are made accountable. Web-link: <http://cmcell.tn.gov.in/>.

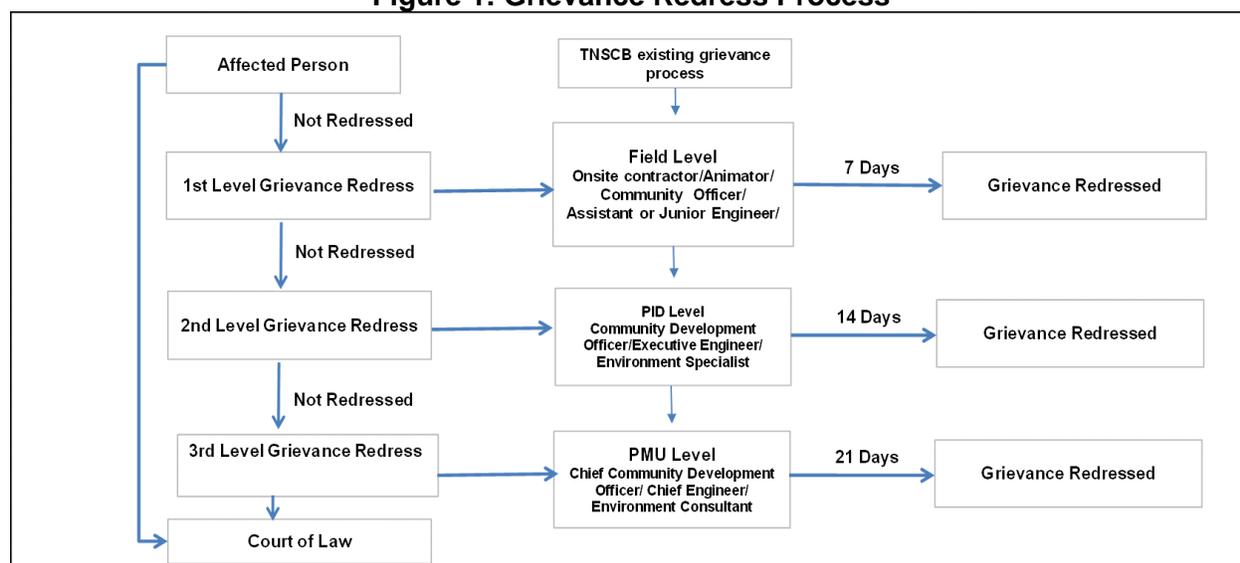
³⁴ Any travel expenses incurred by affected persons and their representatives (special invitees) to attend the GRC meetings shall be covered under the budgetary provision made for GRC.

- (ii) **2nd level grievance:** All grievances that cannot be redressed within 7 days at the field level will be brought to the notice of the Community Development Officer of the PID/ Environment Specialist of the Environment Cell and the Executive Engineer in the PID. The PID Community Development Officer/Environmental Specialist of the Environmental Cell and the PID Executive Engineer (PID Head) will resolve the grievance within 14 days of receipt of a complaint/ grievance; and
- (iii) **3rd level grievance:** If the grievance is not resolved at PID Community Development Officer/Environmental Specialist/Executive Engineer (PID Head), the grievance will be referred internally to Chief Community Development Officer/ Environmental Consultant of PMU/the Chief Engineer of IRSHUPSP. The grievance at this level will be resolved within 21 days of its receipt.

77. The project GRM notwithstanding, an aggrieved person shall have access to the country's legal system at any stage. This can run parallel to accessing the GRM and is not dependent on the negative outcome of the GRM.

78. In the event that the established GRM is not in a position to resolve the issue, the affected persons can also use the ADB Accountability Mechanism by directly contacting (in writing) the complaint receiving officer at ADB headquarters or the ADB India Resident Mission. The complaint can be submitted in any of the official languages of ADB's Developing Member Countries. The ADB Accountability Mechanism information will be included in the project information document to be distributed to the affected communities, as part of the project GRM.

Figure 1: Grievance Redress Process



PID= project implementation division; PMU= project management unit; TNSCB= Tamil Nadu Slum Clearance Board.

79. **Record-keeping.** The PID will keep records of grievances received, including contact details of the complainant, the date the complaint was received, the nature of the grievance, agreed corrective actions and the date these were affected and the final outcome. The number of grievances recorded and resolved and the outcomes will be displayed/disclosed in the PID office, as well as reported in monitoring reports submitted to ADB on a quarterly basis. All resolutions shall be communicated to the aggrieved party/complainant(s).

80. **Periodic review and documentation of lessons learned.** The PMU will periodically review the functioning of the GRM and record information on the effectiveness of the mechanism, especially on the program's ability to prevent and address grievances.

81. **Costs.** All costs involved in resolving the complaints (meetings, consultations, communication and reporting/ information dissemination) will be borne by the PID.

VII. INSTITUTIONAL ARRANGEMENTS AND RESPONSIBILITIES

A. Implementation Arrangement

82. TNSCB is the implementation agency and will be responsible for the management, coordination and execution of all the activities funded under IRSHUPSP. The GOTN has approved the formation of the PMU and Project Implementing Divisions for the project vide G.O.(2D) No.27, Housing and Urban Development (SC2(2)) Department dated:12.02.2019 and G.O.(2D) No.95, Housing and Urban Development (SC2(2)) Department dated:20.05.2020. The IRSHUPSP implementation arrangements are summarized in Figure 2.

83. The Joint Managing Director/Project Director will head the PMU of IRSHUPSP and be supported by technical, financial, safeguards and administrative staff. The PMU/PID staff will mostly be drawn from TNSCB, and if required, will also be seconded from the other government departments on deputation or hired as independent Consultants. Details on agencies responsible for resettlement plan activities are in Table 5.

B. Project Management Unit

84. The PMU will be headed by Joint Managing Director/Project Director and will be assisted by the Chief Engineer, the Superintending Engineer and the Executive Engineer. The PMU will design the infrastructure, manage the tendering of contracts, supervise the construction process, assure the technical quality of design and construction, and provide advice/assistance on institutional capacity development. The PMU will appoint the contractors to build the infrastructure elements and will manage the construction and commissioning activities. PMU will have 5 teams:

- (i) Procurement Team will include Procurement Consultant (1); Assistant Executive Engineer (1); Assistant Engineer (3) and Draughtsman Grade – III (1);
- (ii) Project Planning Team will include Project Planning Officer/ Urban Management Specialist (1); Assistant Executive Engineer (1); Assistant Engineer (3); MIS Specialist (1) ; Town Planning Specialist (1) and Planning Assistant (2);
- (iii) Environment Team: will have an Environmental Consultant (1); Assistant Executive Engineer (1); Assistant Engineer (2);
- (iv) Social Impact Assessment Team: headed by the Chief Community Development Officer. Other members include Community Development Officer (1); Social Development Specialist (Gender) (1); and
- (v) Finance Cell: headed by Financial Advisor and CAO/Joint Director. Other members include Accounts Officer (1); Assistant (1).

85. The Chief Community Development Officer in the PMU, heading the Social team will be responsible for the following social safeguard activities:

- (i) Implementation of the Resettlement Plans; the Graduation Program, GESI and CAPP;

- (ii) Ensuring CAPP is implemented in the design, implementation and post relocation phase; the social team will be trained on the different topics identified for consultation and dissemination before the start of the different phases of the project;
- (iii) Ensure compliance of documentation according to National, State laws and ADB policies;
- (iv) Ensuring the preparation of resettlement plans for new subproject according to the resettlement framework;
- (v) Ensuring adequate awareness campaigns are held within the community to minimize resistance and ensure hassle free transition for the displaced families to the new location;
- (vi) Ensuring availability of budget for resettlement and rehabilitation activities;
- (vii) Ensuring timely disbursement assistance to the displaced persons in close coordination with the concerned line department;
- (viii) Liaison with district administration for implementation of resettlement plans,
- (ix) Addressing grievances; and
- (x) Ensuring disclosure of resettlement framework, resettlement plan, and monitoring documents.

86. The PMU will be assisted by three consultants who will be from the Technical Assistance. One an External Monitor, Social Development Expert and a Survey Specialist. The Consultants will primarily support the PMU and PID in ensuring social safeguard documentation, surveys and data management, and disclosure compliance with ADB requirements. The terms of reference for both the consultants is given in Appendix 11.

87. The PMU Chief Community Development Officer will be supported by a Community Development Officer and a Social Development Specialist (Gender). The Social Development Specialist (Gender) will be responsible for the implementation, monitoring and reporting of the Gender Equality and Social Inclusion Plan for the project and the consultation and participation plan at the PMU and at the PID and field level.

88. The Community Development Officer will assist in: (i) preparing resettlement plans for new subprojects, where required to comply with national law and/or ADB procedures; (ii) update resettlement plans as required and conduct surveys; (iii) ensure all subprojects meet safeguard requirements as agreed in the loan covenant and in line with this resettlement framework; (iv) provide support to the PID for consultations; and (v) provide advice on policy changes. In addition, the Community Development Officer will assist the PID in all activities related to the implementation of social safeguards; play a central role in ensuring capacity building on resettlement management of the PIDs and line departments through capacity development support and training. The Community Development Officer will be supported by project specific Community Officer who will be further supported by the animators at the community level.

89. As primary coordinator of the graduation program PMU will be responsible for the following activities: (i) ensuring all resettlement activities occur; (ii) finalizing households for Graduation sites; (iii) providing access to resettled households; (iv) ensuring all graduation program activities take place by the PIDs in project sites; and, ensuring (v) data-driven decision-making during project.

C. Project Implementation Unit Circle and Project Implementation Division

90. The PMU will be supported by the Project Implementation Unit (PIU) Circle and PID. The PIU Circle and PIDs will be responsible for the implementation, management and monitoring of the project. TNSCB has set up 3 Project Implementation Divisions (Madurai, Salem and Viluppuram) for implementation of IRSHUPSP Project. The Superintending Engineer of PIU Circle will be in-charge of all PIDs in the Circle. Each of the PIDs will be headed by an Executive Engineer. Each of the PIDs will have the following Cells:

- (i) Project Cell: This cell will have a (i) Construction Management Specialist (1); Assistant Executive Engineer (3); Assistant Engineer/ Junior Engineer (11); Draughtsman Grade III (1) and Surveyor (1);
- (ii) Social Development and Resettlement Cell: will have Community Development Officer- (1); Community Officer (3) and Animators (3);
- (iii) Environment Cell: will have an Environment Specialist (1) and Assistant Engineer/ Junior Engineer (1); and
- (iv) Finance Cell: will have (i) Divisional Accountant (1); Superintendent (1) and Assistant (1).

91. Each PID will have the following support staff: (i) Assistant/ Junior Assistant (1); (ii) Data Entry Operator (1) and (iii) Office Assistant (2).

92. The Community Development Officer will undertake internal monitoring and supervision and record observations throughout the project period to ensure that the safeguards and mitigation measures are provided as intended. He /she will have the following responsibilities: (i) preparing resettlement plans for new subprojects, where required to comply with national law and/or ADB procedures; (ii) update resettlement plans as required and conduct surveys; addressing social safeguards issues; (iii) implementing the resettlement framework; (iv) ensuring adequate consultations are held with the affected persons and the host population and other identified stakeholders in accordance with the stakeholder implementation strategy and CAPP; (v) implementing and monitoring safeguards compliance activities, public relations activities; (vi) implementing Graduation Restoration Plan and undertake all field activities in project sites under the supervision of the PMU; and (vi) submitting periodic monitoring reports³⁵ to the PMU, who will then submit these to the ADB.

93. The PMU will seek government clearance for submission and disclosure of the social and resettlement monitoring reports to ADB. The social and gender institutional setup is given in Figure 3.

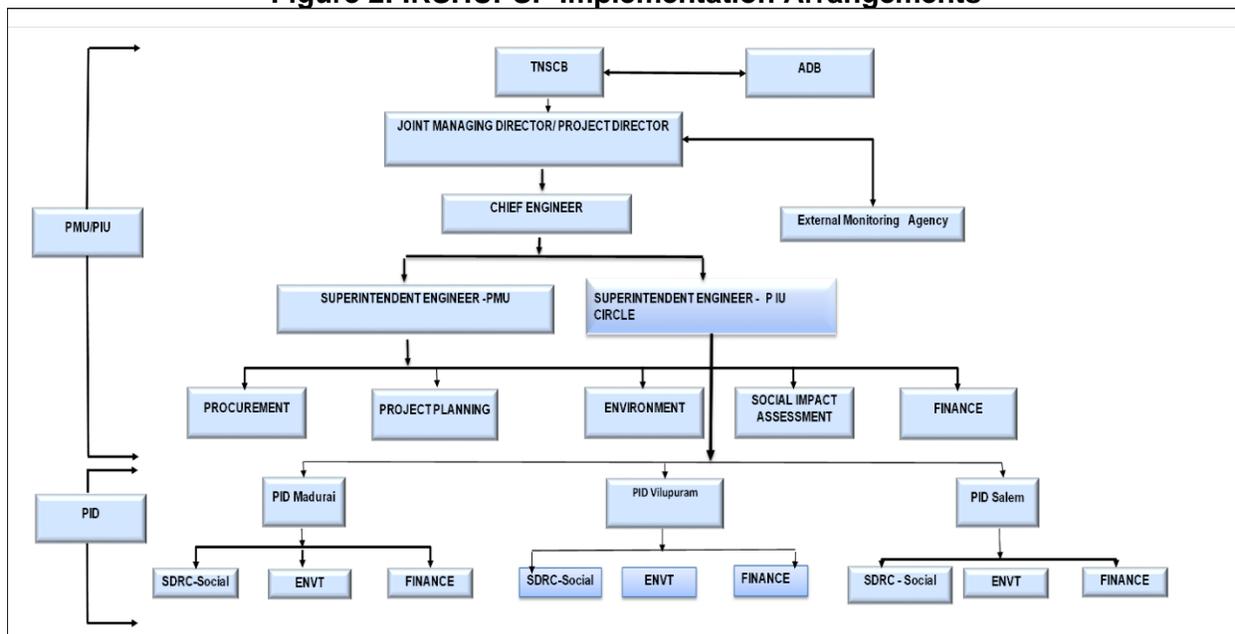
D. Graduation Restoration Plan: Institutional Management Structure

94. For the Graduation Program, an NGO implementing partner will need to be selected based on criteria including expertise in case management, livelihoods, and health and social issues facing the extreme poor, as well as experience with resettled populations. The NGO will serve as a local technical support partner for the preparation phase of the Graduation Program and help

³⁵ The quarterly monitoring report will focus on the progress of implementation of the safeguard, issues encountered and measures adopted, follow-up actions required, if any, as well as the status of compliance with subprojects selection criteria and relevant loan covenants.

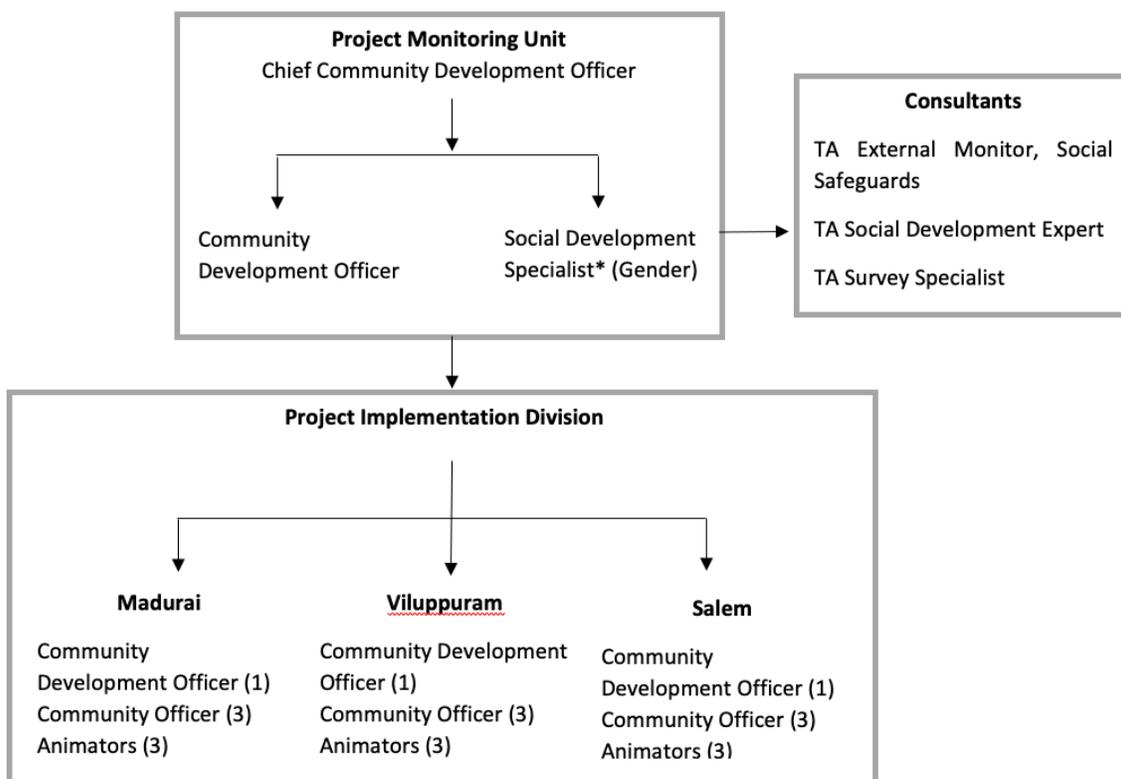
build TNSCB's capacity. Thereafter, the Graduation Restoration Plan will be implemented by the Social Team of PID, with discrete technical support where needed.

Figure 2: IRSHUPSP Implementation Arrangements



ADB= Asian Development Bank; PID= project implementation division; PIU= project implementation unit; PMU= project management unit; SDRC= social development and resettlement cell; TNSCB= Tamil Nadu Slum Clearance Board.

Figure 3: IRSHUPSP Implementation Arrangements for Social Safeguards and Gender



* Social Safeguard Specialist (Gender) will be responsible for all gender related activities in the PMU, PID and field level

Table 5: Institutional Roles and Responsibilities

Activity	Responsible Agency
Subproject Initiation Stage	
Finalization of sites for sub-projects	PID/ PMU
Meetings at community/household level with affected persons	PID
Resettlement Plan Preparation and Updating Stage	
Conducting Census of all affected persons	PID
Conducting FGDs/meetings/workshops	PID
Categorization of affected persons for finalizing entitlements	PID
Formulating rehabilitation measures	PID
Conducting discussions/meetings/workshops with affected persons and other stakeholders	PID
Finalizing entitlements and rehabilitation packages	PID
Disclosure of resettlement plan	PID/ PMU
Approval of resettlement plan	TNSCB/ ADB
Resettlement Plan Implementation Stage	
Implementation of proposed rehabilitation measures	PID
Sale deed execution and payment of all assistances and compensation	PID
Consultations with affected persons during rehabilitation activities	PID
Implementation of the graduation program	PID/BRAC
Grievances redressal	PID/PMU
Preparation for relocation/awareness meeting/ issuing notices	PID
Internal monitoring	PMU/PID

ADB= Asian Development Bank; BRAC= Bangladesh Rural Advancement Committee; PID= project implementation division; PMU= project management unit

E. Institutional Capacity Development Program

95. As stated above, the safeguard officers will be drawn from TNSCBs staff. It is necessary that all the social safeguards officers are provided with the necessary training to deal with social safeguard tasks following ADB SPS 2009. The safeguard officers will be trained through a series of programs periodically conducted by ADB for executing agencies and implementing agencies on safeguards. The Social Development Expert (consultant appointed under the TRTA) will be responsible for training the PMU's social safeguards officers, PID's engineers and social safeguards team.

96. The Chief Community Development Officer of the PMU will conduct a training and capacity building program on resettlement management for the PID staff on issues concerning: (i) public consultation and participation; implementation of the CAPP (ii) entitlements disbursement mechanisms; (iii) grievance redress; (iv) monitoring of resettlement operation; and (v) disclosure methods. Specific modules customized for the available skill set shall be devised after assessing the capabilities of the target participants and the requirements of the investment program. Institutional capacity building programs will involve training on environmental and social safeguards for the PID staff. Table 6 provides the indicative training needs assessment.

Table 6: Indicative Training Needs Assessment

	Description	Target group / Venue
1.	Introduction and Sensitization to Social/Involuntary Resettlement <ul style="list-style-type: none"> - ADB Safeguards Policy Statement - Government of India and Tamil Nadu applicable social safeguard policies/Acts - Incorporation of social/resettlement components into the project design and contracts - Monitoring, reporting and corrective action planning - Details of the Graduation Program - Details of the CAPP and the need of continued consultations throughout the project cycle. 	All staff and consultants involved in the project. Will be done at PMU office- all the PIDs need to attend
2.	Resettlement plan implementation (every 6 month) during implementation. <ul style="list-style-type: none"> - Roles and responsibilities - resettlement plan components and stages in implementation - ensuring livelihood restoration - specific requirement of relocation to resettlement site - Construction schedules and timelines - Consultations - social preparedness and interaction with host communities - Grievance redress - Monitoring and corrective action planning - Reporting and disclosure - Timely documentation 	All staff and consultants involved in the subproject. Will be done at each PID.
3.	Learnings and best practices sharing <ul style="list-style-type: none"> - Experiences on resettlement plan implementation - Issues and challenges - Best practices followed 	All staff/consultants/Officers. At PMU.

ADB= Asian Development Bank; PID= project implementation division; PMU= project management unit.

F. Implementation Schedule

97. The project will be implemented, from June 2021 to July 2027. The resettlement plan implementation schedule will vary from subproject to subproject. In general, the project implementation will consist of the three major phases, namely relocation site preparation, relocation, and monitoring and evaluation. In line with the principles laid down in this resettlement framework, the implementing agency will ensure that project activities are synchronized between the resettlement plan implementation activities and the subproject civil works. The implementing agency will ensure that no physical or economic displacement of affected persons takes place until: (i) the tenements are complete in all respects which includes availability of water, electricity, access to livelihood etc.; (ii) compensation and assistance has been paid to each displaced; and (iii) a comprehensive income and livelihood rehabilitation program, supported by an adequate budget, is in place to help displaced persons improve, or at least restore, their incomes and livelihoods (Either through the graduation program or the general provisions of the entitlement matrix.) It is estimated that construction activities will take 18 months. Table 7 provides the overall implementation schedule.

Table 7: Social Safeguards Implementation Schedule

R&R Activities	2020				2021				2022				2023			
	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
A. Project preparation phase																
Preparation of RF																
Census and Socioeconomic Survey of the subproject																
Preparation of resettlement plan/ due diligence reports																
Establishment of PID																
Final detailed design of subprojects																
Updating of displaced person list based on final detailed design																
Submission of resettlement plan based on final detailed design																
Review and Approval of resettlement plan																
RP disclosure																
Information campaign and community consultation																
Localized market assessment																
B. RP implementation																
Grievance redress																
Final list of DPs and distribution of ID cards																
Payment of all other eligible assistance																
Shifting of Affected Persons																
Household skills and readiness assessment																
Training for Livelihood restoration/ graduation Program																
C. Monitoring and evaluation																
Monitoring and report preparation																

VIII. BUDGET AND FINANCING

98. Detailed budget estimates for each resettlement plan will be prepared by the PID, which will be included in the overall project budget. The budget shall include: (i) livelihood and income restoration and improvement; (ii) details of all assistance and compensation; (iii) administrative and staff training; (iv) cost for GRM and consultation/disclosure; and (iv) monitoring costs. All resettlement costs will be borne by the GOTN and to be provided in a timely manner to ensure payment of all entitlements prior to displacement. Estimated cost of the Graduation Program costs is provided in each resettlement plan and is provided for, under the project management budget head in the Project Administration Manual.

99. All entitlements will be paid directly into the individual accounts of displaced persons. The PID will be involved in facilitating the disbursement process and rehabilitation program, and will facilitate opening bank accounts for the displaced persons who do not have them.

100. All entitlements and costs presented in the entitlement matrix will be increased annually on the 1st of April in accordance with appropriate price indices.

IX. MONITORING AND REPORTING

A. Internal Monitoring

101. Internal monitoring will be undertaken by the PID with assistance from PMU. Internal monitoring will ensure all resettlement activities are implemented according to the approved resettlement plans in accordance with this resettlement framework.

102. The PID will prepare monthly progress reports and submit to the PMU. The PMU will consolidate the reports and submit quarterly social safeguards monitoring reports to ADB. The PID will inform the PMU of the resettlement plan implementation activities. These reports will describe the progress of the implementation of resettlement activities and any compliance issues and corrective actions. These reports will closely follow the involuntary resettlement monitoring indicators agreed at the time of resettlement plan approval. Sample monitoring indicators are presented in Appendix 9. Outline of the quarterly safeguard monitoring report is provided in Appendix 10.

B. External Monitoring

103. This being a category A project, an independent External Monitor, with prior experience in resettlement and rehabilitation of development induced displacement will be engaged to carry out external monitoring and reporting of the implementation of the resettlement plan. The External Monitor will prepare semi-annual, annual monitoring reports and mid-term and final evaluation reports. They will flag and recommend necessary corrective actions to be taken if any to ensure time-bound resettlement plan implementation. The External Monitor will also conduct due diligence and monitoring of the graduation program. The scope of work of the external monitoring will cover compliance monitoring and social impact evaluation of resettlement plan implementation. The terms of reference for the external monitor has been given in Appendix 11.

C. Approach and Methodology

104. The monitoring and evaluation (M&E) approach will be to identify and select a set of appropriate indicators and gathering information on them. The M&E process will ensure the participation of stakeholders, especially the affected persons, women, and vulnerable groups. The process will also use different formal and informal surveys for impact analysis. M&E processes will assess the resettlement efficiency, effectiveness, impact, and sustainability. The external monitor will identify lessons learned from the project for developing future policies. Monitoring tools would include both quantitative and qualitative methods as follows:

- (i) **Sample household survey:** a baseline household survey of a representative sample (20% of affected households requiring relocation), disaggregated by sex and vulnerability to obtain information on the key indicators of entitlement delivery, efficiency, effectiveness, impact, and sustainability.
- (ii) **Focus Group Discussions (FGDs):** Consult with a range of stakeholder groups (local government, resettlement field staff, NGOs, community leaders and affected households including women and vulnerable groups).
- (iii) **Key Informant Interviews:** Consult individuals like local leaders, persons with special knowledge or experience about resettlement activities and implementation.
- (iv) **Community Public Meetings:** Open public meetings at resettlement sites to elicit information about the performance of various resettlement activities.

- (v) **Structured Direct Observations:** Field observations on the status of resettlement implementation, plus individual or group interviews for cross-checking purposes.
- (vi) **Informal surveys/interviews:** Informal surveys of affected households, host community, workers, resettlement staff.
- (vii) **In the case of special issues:** In-depth case studies of affected households and host populations from various social classes will be undertaken to assess the impact of resettlement.

105. Indicative monitoring activities in the preparatory and the implementation stages have been identified. Table 8 lists some of the key activities.

Table 8: Indicative Monitoring Activities

Stage	Activities
Preparatory Stage	<ul style="list-style-type: none"> - Conduct additional baseline survey, if required; - Consultations with different stakeholders; - Identify affected households and their numbers; - Identification of different categories of affected households and entitlements of individuals; - Collection of sex-disaggregated data and preferences of women; - Establish inventory of losses; - Ascertain entitlements; - Assistance delivery; - Information dissemination among the affected persons; - Institutional capacity assessment;
Rehabilitation Stage	<ul style="list-style-type: none"> - Economic indicators: Program related and - Independent means but assisted by the Program, such as what skill improvements have taken place , what are the changes in occupation, changes in income levels to monitor whether livelihood is restored to pre project levels or higher ; new assets acquired - Housing: Changes in quality of life, such as less illness, better available infrastructure: potable water, living space, sanitation, proper road and drainage facilities, etc. - Representation in community groups, - Assistance to enhance the quality of life; such as better attendance at school
Post Implementation	<ul style="list-style-type: none"> - Changes in income levels to monitor whether livelihood is restored to pre project levels or higher - Quality of life , whether it is sustained, such as regular maintenance of the housing complex

Graduation Restoration Plan

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I. EXECUTIVE SUMMARY

1. Due to displacement, in resettlement contexts among urban slum populations, households often are bereft of access to economic activities to support their household welfare, and frequently experience weakened and severed social ties that threaten their ability to rebuild. The Graduation Approach is a holistic and integrated package of interventions designed to restore such ruptures for vulnerable households by providing assistance through social protection, livelihoods promotion, financial inclusion, and social empowerment activities, including critical coaching and mentorship. As part of the Resettlement Framework for the Tamil Nadu Inclusive, Resilient, and Sustainable Housing for Urban Poor Sector Project (IRSHUPSP) project, the Graduation Restoration Plan (GRP) herein will supplement existing resettlement activities for eligible urban poor households to restore livelihoods and rehabilitate social welfare post resettlement.

2. In sample subproject sites of Reddiarpatti and Kalanivasal 31.1% of the households were found to be below poverty line. At the same time, given great heterogeneity in poverty between households, segmentation will identify different Graduation pathways and packages of interventions for most, moderate, and least economically ready households. Key findings include services widely available through abundant government schemes with gaps in access primarily linked to awareness and need for optimization based on individual household circumstances. This includes strong preference for quality schooling for children, seen as avenues to upward mobility for their families. Livelihoods, while plentiful, are heavily reliant upon easy access to daily wage labor within city limits, exclude most petty trade and micro-enterprise due to nearby competition and lack of starter capital, and for most working age adults are mostly unskilled or lowly skilled labor activities. Despite availability of Self-Help Groups (SHGs), households exhibit exceptionally high levels of indebtedness ebbing away meager potential for savings and worsened by wage diversion to alcohol among male members.

3. Post-resettlement, re-encroachment into slum sites is driven by a strong desire for proximity to previous employment, quality education for children, and reliable transportation. Owing to these characteristics and drivers, a baseline survey will be conducted for precise segmentation among household economic readiness profiles, and a rigorous market assessment will pinpoint appropriate and accessible post-relocation livelihoods. From this, households will be placed on Graduation pathways aligned to their needs. Overall, Graduation interventions will:

- Leverage and enhance key features of the Resettlement Framework entitlement matrix, including relocation allowance, livelihoods package with training opportunities and linkages to local resources where provided; and
- Augment interventions with coaching and mentorship through animators alongside introducing a localized market assessment, savings facilitation and financial services, and robust training in financial literacy, business management, and life skills training, among others.

4. Combined, these interventions stand to provide the critical holistic 'big push' required to spur households on an upward trajectory into self-reliance and out of poverty after resettlement, for the greatest sustained impact on households long-term.

II. PROJECT DESCRIPTION

A. The Graduation Approach

5. In line with the first operational priority area of the Asian Development Bank Strategy 2030 of “addressing remaining poverty and reducing inequalities,” the Tamil Nadu Inclusive, Resilient and Sustainable Housing for Urban Poor Sector (IRSHUPSP) project will adopt the Graduation approach pioneered by BRAC for project-affected families.

6. The Graduation approach is a holistic, time-bound, and carefully sequenced set of interventions to place households on an upward trajectory from poverty. This includes four core pillars: (1) social protection to support basic income security and immediate needs, such as food consumption support, crisis relief, and access to health, and education; (2) livelihoods promotion consisting of an asset transfer, cash transfer, or loan, with which to procure a market-viable asset along with technical skills training to manage the asset or access employment opportunities; (3) financial inclusion to ensure direct access to convenient, formal or informal financial services, accompanied with financial literacy training; and (4) social empowerment through regular check-ins with Graduation coaches and life- skills support that build confidence and resilience. The approach has been proven across contexts and populations to uplift some of the poorest and most marginalized households globally. The interventions under these four pillars are sequenced to provide a comprehensive support, keeping the needs and growth of participant households at the center. The typical Graduation program timeline is between 18 and 24 months.

7. In this way, Graduation will serve to augment the existing resettlement action plans executed by ADB and partners to ensure sustainable restoration of economic activities and recovery of social capital by some of the most vulnerable resettled populations from Tamil Nadu’s urban slums. Graduation Program is also integrated in the GESI Action Plan of the project.³⁶

B. Graduation in Resettlement Contexts

8. Based upon interdependent interventions in social protection, livelihoods promotion, financial inclusion, and social empowerment, the Graduation approach is best suited to vulnerable populations facing myriad barriers to economic and social development. Graduation works to restore access to viable livelihood opportunities as well as to strengthen and enable households to recover from circumstances caused by weak or ruptured social and economic ties. In doing so, Graduation places households on a sustainable upward trajectory from poverty and destitution.

9. Due to displacement, in resettlement contexts among urban slum populations, households often are especially bereft of economic activities to support their household welfare, and frequently experience weakened and severed social ties that threaten their ability to rebuild. Economic activities are typically difficult to re-engage in as they are tied to local employment pathways and labor market potential and are therefore less transplantable. Further, social capital is often eroded as it takes time and trust to build in order to rely on the local community for even basic resources, support, and guidance. In these situations, Graduation presents the potential to act as a powerful vehicle for re-engaging households in the local economic and social fabric of their new communities with tremendous benefit to households and communities alike.

³⁶ The GESI Approach of Graduation Program¹ reflecting GESI Action Plan targets is included as Appendix 1.1 to this document

10. Households stand to benefit from direct support and guidance from a community facilitator who acts as a mentor, resource, trainer, and monitor for their development. They additionally benefit from a significant upfront investment in their economic future through injection of capital for a livelihood accompanied by well-tailored training in technical skills, financial literacy, and business management or employment facilitation/ job preparation. Recognizing that holistic welfare and long-term results cannot be produced by economic interventions alone, Graduation additionally equips households with invaluable life skills and new linkages to community resources that will outlast the period of interventions. Through this, households become visible as meaningful contributors to local society rather than outsiders encroaching on a new terrain.

11. In ADB Resettlement Action Plans, Graduation is best integrated into the Resettlement Framework component for Income Restoration and Rehabilitation with additional entitlements, assistance, and benefits to ensure the welfare of the household achieves maximum potential and is sustained.

III. SOCIO ECONOMIC INFORMATION AND PROFILE

12. To best tailor and adapt Graduation interventions to the needs of the local population of relocated households, the socio-economic information and profile of the target resettlement population was gleaned from a range of holistic assessments conducted.

A. Assessments and Analysis

13. Qualitative assessments inform the design of Graduation programs by building an understanding of the overarching environment, identifying the causes of vulnerability, and highlighting opportunities for support to participants. The findings of assessments conducted in Tamil Nadu have revealed the following socio-economic profile of households which will be further supplemented with a detailed baseline survey before relocation. Based on the typology of urban poverty and conditions observed in Tamil Nadu during an initial site visit to Perumbakkam in Chennai, four assessments were conducted for the urban resettled populations of Reddiarpatti and Kalanivasal. These included a **(1) Context and Poverty Data Analysis**, which examined the political, social, economic, environmental contexts; **(2) Vulnerability and Barrier Assessment** that identified the specific challenges the urban poor face; **(3) Gender Equality and Social Inclusion (GESI) Analysis** to examine the barriers to equitable and inclusive access to resources and opportunities within a household; and **(4) Capacity Assessment** to determine capacities and gaps of potential implementing partners.

14. From the above assessments, it was determined that provision of social assistance and services is very strong for the target population with health services and access to education quite high. Use of proper sanitation and hygiene facilities are underutilized, however, seemingly due to preference and need for habitual behavior change rather than facilities per se. Livelihoods are predominantly of the common day laboring (male) and domestic service (female) variety with limited engagement in micro-enterprise. Youth, many with at least secondary education, seek higher paths to professional employment and are seen as a beacon of hope for future prosperity for the household. Broadly speaking, many households struggle with high rates of indebtedness and lack formal or informal savings mechanisms that are actually utilized due to performance issues with self-help groups that dissolve into conflict and distrust due to poor repayment rates. High rates of alcoholism among men contributes to a host of negative impacts including domestic violence, diversion of income, and poor family dynamics.

Summary highlights of field assessments may be seen in the table below:

<p><u>SOCIAL PROTECTION</u></p> <ul style="list-style-type: none"> Households well-supported by free government services including free health services, electricity, and bus. Health-seeking behavior is very high due to easy access and quality of healthcare. Schools are nearby, however, quality varies greatly from origin schools. Little to no issues with food security, possible need for greater diet diversity. Children provided meals in schools. Little to no documentation gaps reported - most households had ration and Aadhaar cards. 	<p><u>LIVELIHOODS PROMOTION</u></p> <ul style="list-style-type: none"> Common livelihoods (men) include daily wage labor (masonry, construction, etc.), carpentry, iron welding, and auto-rickshaw driving. Common livelihoods (women) include domestic house maid, flower garland through consignment, beedi making, some tailoring skills but no machinery. Youth livelihoods opt for professional tracks where tertiary education is obtained, daily wage labor for out of school youth. Low inclination for micro-enterprise Lack of secure place for livestock at tenement; communal pen requested
<p><u>FINANCIAL INCLUSION</u></p> <ul style="list-style-type: none"> Some households locked into cycle of indebtedness with high interest loans from moneylenders, microfinance institutions, exacerbated by alcoholism No reported formal savings activity Quality and effectiveness of SHGs varied, with some facing challenges around group conflict, erratic payments, and low deposits 	<p><u>SOCIAL EMPOWERMENT</u></p> <ul style="list-style-type: none"> Alcoholism among men and use of daily wages away from family needs; major contributor to household stress, and gender based violence. Open defecation is still prevalent among some households, particularly for men, despite government schemes on building latrines. Rare concerns around safety for women and strong sense of community in slums; safety and harassment issues arise after resettlement.

15. In addition to these assessments, a **localized market assessment** will take place before relocation to collect key information about existing and potential livelihoods, markets, risks for the urban poor, and factors such as demand, competition, market saturation, services, regulations, and policies governing the market. A skills assessment during the baseline survey will determine alignment of existing skills within relocated households with viable livelihoods. Regular monitoring of livelihood activities and coaching around asset management and growth is also included as part of the Graduation program and will allow the project to capture key trends, challenges and successes of various livelihood pathways in the receiving sites.

B. Graduation Sample Sub-Project Site Selection

16. Two Graduation sites have been selected for IRSHUPSP - Reddiarpatti and Kalanivasal. Relocation sites for Graduation interventions have been selected based on the following characteristics for TNSCB resettled households:

- High concentration of urban poor potential relocatees
- Proximity to markets and livelihood opportunities in self-employment and jobs
- Connectivity to transportation and basic services such as health and education
- Availability of home services such as electricity and running water
- Availability of safety and security mechanisms such as police or community patrols
- Availability of financial services and savings mechanisms
- Location of community development programs led by TNSCB and partners
- Active Civil Society Organizations (CSOs) engagement with TNSCB, particularly in livelihoods, training, etc.
- Coverage of government schemes targeting resettled households
- Low likelihood of need for further forced relocation (e.g. due to natural hazard)

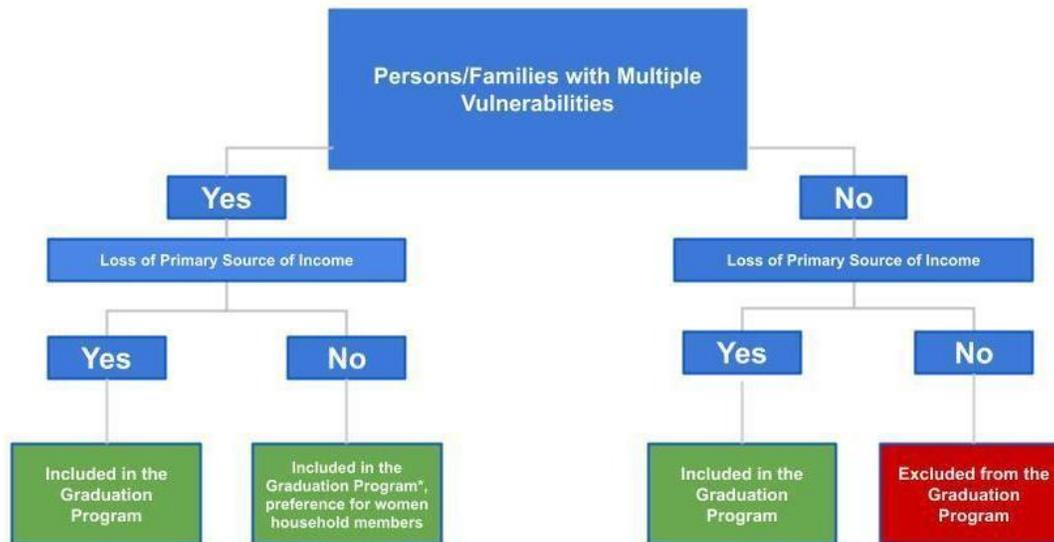
C. Targeting and Household Segmentation

17. The Graduation Program will assess all vulnerable persons/families³⁷ and cover all persons/families with multiple vulnerabilities and those that have lost their primary source of income.³⁸ For persons/families with multiple vulnerabilities that have not lost their primary source of income, preference will be given to women members of the household.

The graphic below details the additional layers of targeting verification applied to participants.

³⁷ Vulnerable families are those families with physical/mentally disabled members, women headed families, below the poverty line families, including elderly (above 60 years), women and children (destitute and orphans, the Indigenous Peoples, the landless and those without legal title to land, scheduled caste and scheduled tribe families and transgender.

³⁸ A detailed livelihood impact survey or assessment will need to be conducted post-resettlement and will seek to determine impact on all groups identified, where applicable. Note, this is not a part of the GP but is recommended to assess the suggested livelihood impact.



18. All households included in the GP will subsequently be evaluated on key segmentation criteria to determine the intensity of support they will receive from TNSCB Animators in addition to the livelihood support.

- Preliminary key segmentation criteria will include food insecurity, indebtedness, monthly income, type of occupation, productive assets, dependency ratio and toilet source.³⁹
- The more vulnerable a household is, the more intensive one-on-one and group coaching will be provided by Animators on the following topics: livelihoods, business management, financial literacy and life skills, in addition to engagement in savings groups.
 - **Households meeting 4 or more segmentation criteria** will receive a higher intensity of support. This could include a higher frequency of household visits, coaching and monitoring by Animators, support around savings and loans through Self-Help Groups in addition to guidance around selecting livelihood options and livelihood trainings using the livelihood - assistance (up to ₹50,000) and training (up to ₹15,000). Operational design of interventions will be determined after verification by local support partner, World Vision.
 - **Households meeting less than 4 segmentation criteria** will receive a lower intensity of coaching and savings support but would still receive the guidance around selecting livelihood options and livelihood trainings using the livelihood assistance (up to ₹50,000) and training (up to ₹15,000).

19. Based on this analysis, intensity of support is closely linked to economic readiness for engaging in the market or employment. These and the criteria above are preliminary assessments

³⁹ As determined by their responses to the baseline survey and the livelihood impact survey.

of the baseline survey, refinements will need to be made to pinpoint the specific combinations of indicators and the specific thresholds contributing to the following profiles.

20. Once eligible households are screened and segmented, community sensitization of the surrounding community will take place through assemblies on an overview of interventions, segmentation criteria, and rationale; providing an opportunity to solicit feedback on vulnerability criteria. Social preparation for selected resettlement households entering Graduation interventions will also be provided as outlined in the next section.

IV. INFORMATION DISCLOSURE, CONSULTATION, AND PARTICIPATION

21. Households selected for resettlement as well as the community in the resettlement sites will be consulted and included in the validation of the Graduation program design, particularly on targeting and segmentation of households based upon assessment of vulnerabilities, access to services, and livelihood options. Consultation will take place through the following mechanisms in both Graduation sites:

- Focus Group Discussions with relocatee households and community members, disaggregated by gender, age, and possibly socio-economic background/class
- Household interviews and home observation with a subset of relocatees
- Key Informant Interviews with enforcement authorities, local CSOs, and others
- Market observations to determine potential market linkages, value chains, and a range of potentially viable livelihood options for further market assessment
- Key Stakeholder Consultations with district and local government staff, particularly from TNSCB Community Development field staff in selected sites

22. It is recommended that the project includes additional community sensitization and social preparation activities, especially given the household segmentation design. These will take place after the staff has been trained, but before resettlement.

V. GRIEVANCE REDRESS MECHANISMS

23. Graduation households will leverage existing information and complaints systems available to all resettlement sites selected by ADB. Animators will help households access this mechanism, where required, and will be trained in the use of appropriate local GRM. PID will conduct community meetings for community consultation soon after participant selection and segmentation to explain the rationale of the selection and segmentation process, as necessary.

VI. GRADUATION SOCIAL AND ECONOMIC RESTORATION ACTIVITIES

24. This section focuses on the full package of interventions for resettlement households, including assistance directly provided through the Resettlement Framework and Graduation activities as well as linkages to existing government resources. As TNSCB delivers a range of different programs for different resettled sites, these Graduation interventions are designed to converge existing TNSCB community development activities available in each site. This refers to available local animators, job placements and training, health clinics, and education services, while introducing new or enhanced interventions with regularity and intensity required for newly resettled households to be best prepared for success.

Intervention Pillar	Existing Interventions (Resettlement Framework)	Graduation Package Enhancements or Additions
Social Protection	<ul style="list-style-type: none"> Shifting allowance Monthly subsistence allowance Government schemes 	<ul style="list-style-type: none"> Linkages to existing services by Animators
Livelihoods Promotion	<ul style="list-style-type: none"> Livelihoods assistance to include technical trainings (and transport stipend for trainees of skill training programs) where applicable 	<ul style="list-style-type: none"> Market and skills assessment Household level livelihoods matching to skills and resources Tailored specialized trainings Professional/vocational employment linkages for youth
Financial Inclusion	<ul style="list-style-type: none"> SHGs to access savings and low-interest loans 	<ul style="list-style-type: none"> Regular savings and loan facilitation by coaches through existing or new SHGs Collaboration with financial inclusion partner Financial literacy training
Social Empowerment	<ul style="list-style-type: none"> Resident Welfare Associations 	<ul style="list-style-type: none"> Life skills training on health and social issues (e.g. open defecation, alcoholism) Community group mobilization or strengthening, where present
Coaching and Mentoring	<ul style="list-style-type: none"> Broad oversight of resettlement activities by animators 	<ul style="list-style-type: none"> Household visits and group coaching with smaller caseloads Reinforcement of specialized livelihoods training Progress monitoring towards graduation Resource linkages in community

1. Interventions for Social Protection

25. Social protection interventions ensure that the most basic needs of households are met by smoothing consumption and providing safety nets, and are finalized after an assessment to identify the key vulnerabilities of resettled households and a mapping of stakeholders to identify potential linkages. The landscaping exercise will aim to map the availability, accessibility and quality of services around the receiving sites and enable better linkages to them once households are relocated. This will include national or state government schemes (for example disability pension, elderly pension) that participants may be eligible for but, for a variety of reasons, are not enrolled in or able to avail of regularly. This will also include basic government-sponsored services around the receiving sites, such as health centers, schools, colleges, PDS, vocational training institutes, etc. With relocation, people's prior access to services around the sending sites would be affected. aim to map the availability, accessibility and quality of these services around the receiving sites and enable better linkages to them once households are relocated.

26. As the field assessment demonstrated that households primarily have ready access to government-sponsored services in health and education nearby, resettled households will receive the **monthly subsistence allowance** (₹2500 per month for 12 months) and **financial assistance for transport costs** for shifting as allocated in the Resettlement Framework where applicable.

Households will be able to supplement this with their government pensions as well as income from livelihoods supplied through the Graduation interventions. Animators will serve as vital linkages to elevate issues to TNSCB in the event that households encounter any difficulties in accessing their relocation assistance in a timely fashion.

27. No additional financial support will be provided through Graduation interventions.

2. Interventions for Livelihoods Promotion

28. Resettled households either continue their previous livelihood generation activity or are forced to start new ones due to reasons including distance from markets and previous employment or enterprise, lack of local customers or market demand, and lack of translatable skills. Even those households that are able to continue their previous livelihood often need additional support to maintain it and to diversify their livelihoods.

29. The targeting and segmentation process in the Graduation sites will differentiate between different household livelihoods needs, and a household level enterprise selection process will help identify the type of livelihood promotion activities required, including enterprise and employment facilitation. Enterprise or employment selection at the household level must be a deliberate process to ensure that factors such as participant skillset, experience, interest, care burden, access to markets, and local competition are taken into account. With the guidance of Animators, participants will select the most suitable livelihood from the menu of options recommended by the market assessment as viable with strong earning potential.

30. As the field assessment yielded rich data on common livelihoods among affected households and key characteristics such as a notable absence of strong gender barriers to employment for women and preponderance of youth seeking professional employment, households in Graduation sites will receive the **standard livelihoods assistance** (up to ₹ 50,000 for purchase of asset and up to ₹15,000 for training) as stipulated in the Resettlement Framework. This is to cover costs of assets or employment facilitation and all associated livelihoods training. Livelihoods packages may include transport stipend for trainees of the skill training programs to further bridge gaps in transport brought on by relocation. All relevant livelihoods options will be ascertained through the following steps to be conducted shortly prior to relocation:

- (i) **Localized Market Assessment:** segmenting livelihood based on household profile (to be conducted prior to relocation): This is aimed to collect key information about existing and potential livelihoods, markets, risks for the urban poor, and factors such as demand, competition, market saturation, services, regulations and policies governing the market. The final assessment will provide a list of viable livelihoods activities, asset packages and household characteristics, skills and readiness criteria to match with specific livelihoods.
- (ii) **Livelihoods Impact Assessment:** This will be conducted post-relocation to understand impact of relocation of livelihoods of participants, whether they lose their primary or secondary sources of income, and what kind of support they would need.
- (iii) **Household Skills and Readiness Assessment:** This determines the alignment of existing skills and resources, where applicable, within relocated households with viable livelihoods based on assessment.
- (iv) **Enterprise Matching and Selection:** Animators support participants in selecting an appropriate livelihood pathway based on the assessments above.

- (v) **Core Training in Technical, Business Management, Vocational Training:** As TNSCB has expressed a clear preference for the Tamil Nadu Skills Development Corporation (TNSDC) as the primary technical training provider, we suggest leveraging their existing institutional structures and mechanisms to measure the efficacy and utility of their programs and curricula given their long-standing history and track record in providing technical and vocational training in this context.
- (vi) **Livelihoods Monitoring:** Regular monitoring of livelihood activities and coaching around asset management and growth is also included as part of the Graduation program and will allow the project to capture key trends, challenges and successes of various livelihood pathways in the receiving sites.

No additional financial support will be provided through Graduation interventions.

3. Interventions for Financial Inclusion

31. Financial inclusion interventions build a participant's financial awareness and management skills and their ability to manage shocks and access a range of available financial services. This can have wide-ranging effects on extreme poor households by stabilizing their consumption spending, providing ways to save regularly and securely, and means to access finance for small investments and household expenditures.

32. In spite of the presence of government SHGs, the assessment mission illuminated clear challenges in implementation due to intra-member conflicts, erratic repayments, and low rate of deposits with high rate of withdrawals. Additionally, households were found to possess significant debts often at exorbitant interest rates collected by moneylenders without financial acumen or planning foresight. Households in Graduation sites will receive financial inclusion support through savings facilitation and access to reliable lending instruments through existing, strengthened SHGs or new groups, modeled after Village Savings and Loan Associations (VSLAs) as required, as well as a financial inclusion partnership. All households will be given financial literacy training for household and business financial planning and budgeting.

4. Interventions for Social Empowerment

33. Social empowerment mechanisms are used to elevate the needs and concerns of marginalized vulnerable groups through community mobilization, community leadership, improvement in intra-household dynamics, and investment in social issues awareness and positive behavior change.

34. Assessment findings indicate a strong need for reinforcing positive behavior change pathways among households through addressing socio-cultural dynamics such as alcoholism and domestic violence, caste challenges in integrated resettlement sites, and open defecation leading to health and wellness deficits, among others. Surprisingly, gendered implications on employment do not demonstrate significant barriers to entry for women to work, at home or externally, and slum sites do not pose serious safety concerns though relocation sites do. Therefore, Graduation interventions will include the addition of customized **life skills training** and **community group mobilization** to supplement Resident Welfare Associations developed by TNSCB in all relocation sites. ADB will conduct Community Consultation and Participation Plan (CAPP) activities before relocation to sensitize participants and the local community about IRSHUPP and Graduation interventions post relocation, Animators will support the development of or linkage to Resident Welfare Associations to refer participants to community resources, where applicable.

35. Life skills training involves developing skills and knowledge to address key social and health challenges most commonly faced by households that would inhibit growth and resilience. Topics are selected based on specific vulnerabilities of households, to be taught on a rotating schedule with routine monitoring of positive behavior change to gauge how skills are integrated. Life skills most pertinent for urban slum populations in the project sites include joint household decision-making, water, sanitation and hygiene, maternal and child health, waterborne diseases, debt management, alcohol and drug abuse, and crime and safety. Subjects that may be taboo such as family planning or domestic violence will be discussed in a sensitive manner and with clear messaging to the community through the Animators. Additionally, effective social mobilization, through linkages with local power structures, government agencies, and local committees, will be used to empower the extreme poor within their communities.

5. Interventions for Coaching and Mentorship

36. Coaching and mentorship deepens a participant's learning, helping them resolve challenges, manage livelihoods effectively, and adopt positive behavior changes that lead to long-term results. This is critical for resettled households navigating new terrain physically, economically, and socially in their relocation sites. Given the importance of the personalized guidance that extreme poor households require, frontline staff should have frequent interactions with participants at the household level on a bi-weekly or monthly basis. The frequency of visits and caseloads for animators will depend on a number of factors including level of vulnerability, size of the program area, number of target households, distance between households, and resources available over the 18-24 month period. Therefore, Animators will not be providing the same intensity of support to all households.

37. One of the most critically additive elements of the Graduation Restoration Plan is the introduction of **Animators** tasked with acting as mentors, monitors, trainers, and resources for households. Animators will conduct group **coaching sessions** on a regular basis with **household visits** as needed; reinforce all livelihoods specialized training topics routinely; monitor individual household progress toward graduation; and form resource linkages in the community and with government services. In this way, animators ensure that all elements of disparate Graduation interventions are sequenced, layered, and integrated effectively for greatest impact.

38. The TNSCB field staff will be trained in case management, livelihoods development, and monitoring and data collection. Technical support will be provided to train and build capacity of TNSCB animators, community officers, and other pertinent staff.

VII. BUDGET AND FINANCING PLAN

39. The tables below provide a budget framework and include the major program and staff line items for Graduation activities, which will require further refinement based on local costing. The tables also show anticipated sourcing for line items.

40. Staffing and personnel for the Graduation program planning and design are already financed through the Asian Development Bank's NGOC Technical Assistance facility. For Implementation, those costs will be covered by TNSCB. Additional Graduation Program costs are outlined in the budget provided for the Graduation Program under the Project Management costs but will be made a separate line item after TNSCB concurrence.

Staff Training		
Staff Training <ul style="list-style-type: none"> • Pre-Relocation • Post-Relocation 	Pre: Upfront 3-day training for staff before project activities begin. (Estimated ₹700/day). Post: During project trainings (separate days during the year) for staff. (Estimated ₹700/day).	Other ADB Source
Participant Direct Costs		
Subsistence Allowance	Resettlement one-year monthly assistance. (₹2500/month)	Resettlement Plan household
Livelihoods Assistance	Livelihood amount for each household. (up to ₹50,000 per household for purchase of asset and up to ₹15,000 for training)	Resettlement Plan household
Consultancies		
Market Assessment	Expert consultant(s) to conduct localized market assessment. Ideally local university academics with practitioner experience or local private sector. (Cost TBD)	Other ADB Source
Technical Livelihoods Training for Households	Expert trainer or institute brought into train households on the selected livelihoods. Likely to be existing institutes in project sites. (Cost TBD)	Resettlement Plan household
Information & Education	For the development of training visual aids and activities. (Cost TBD)	Other ADB Source
Technical Assistance	Technical assistance consultancy to finalize work plans, operational manual, staff training, and ongoing monitoring of project to advise PID and TNSCB. (Cost TBD)	Other ADB Source

VIII. INSTITUTIONAL ARRANGEMENTS

A. Implementation Management Structure

41. Graduation is a hands-on program that requires competent and dedicated staff who are expected to have a range of relevant competencies and a deep understanding of how to work with the urban poor. Due to the complex nature of the program, having different levels of field staff for implementation as well as different backgrounds and skill-sets is highly recommended. The complexity of the program additionally requires clear lines of reporting, feedback, and management both from the central to the field level, and vice versa. This ensures that operational changes can be made in real time to impact graduation outcomes.

42. The recommended structure in terms of manpower and resources to execute stronger economic and social restoration activities for households is depicted below.

Recommended Staffing Structure	
Animators Status: TNSCB staff Location: Project sites Ideal Caseload: One animator per 150 -200 households for Graduation sites Number: TBD per PID	Act as facilitators to engage directly with participants on a regular basis to mentor and boost their confidence, link with existing services, train and reinforce training on life skills and livelihood management, and monitor participant progress.
Community Officers Status: TNSCB Staff Location: Project sites Number: 3 per PID	Manage and mentor animators and oversee daily implementation of Graduation interventions. Specific qualifications and experience in case management and/or livelihoods required.
Community Development Officer Status: TNSCB Staff Location: PID Number: 1 per PID	S/he oversees the execution of the program and serves as the link between technical experts, field staff, and service providers. Liaise regularly with field level staff and senior management on project progress. Specific qualifications in case management, livelihoods, and project management.
M&E Data Analytics Officer / MIS Specialist Status: TNSCB staff Location: PMU Number: 1	S/he is based at the head office in Chennai and cleans and analyzes all program and household level data coming from the field sites.
PMU Chief Community Development Officer (Chennai)	Already existing - manages all staff and oversees Graduation interventions as well as other aspects of the Project.

B. Staff and Partner Training

43. The PID Social Development and Resettlement Cell staff require intensive and timely trainings on Graduation interventions and refresher trainings during the program cycle. Animators will be trained through a Training of Trainers workshop facilitated by BRAC and WVI on basic curriculum (through an Operations Guide and detailed facilitation guide that serves as a key resource for frontline staff) for each of these life skills topics, which aim to provide general awareness, incremental behavior change and link households to existing community resources. They will also receive a refresher training mid-way through the program. Animators are not expected to provide advanced technical training and solutions around these complex topics. Animators also conduct a mapping of local resources available around the community at the outset of implementation and may be able to connect households with other NGOs or resources that have a specialized focus on these social issues.

Staff and Partner Training	
Initial Staff Training <ul style="list-style-type: none"> ● Graduation Orientation ● Communication & Soft Skills 	Upfront 3-day training for staff before project activities begin with households.

Staff and Partner Training	
<ul style="list-style-type: none"> Community Mobilization 	
<p>Initial Participant Training</p> <ul style="list-style-type: none"> Graduation Orientation Social Preparedness 	Upfront 1-day training for participants to prepare for project activities. Transport costs might need to be included.
<p>Staff Implementation Training</p> <ul style="list-style-type: none"> Life Skills (3) Business Management Financial Literacy *Should attend livelihoods trainings. 	Trainings during the project (separate days) for staff as implementation rolls out. Used to prepare for supporting or training households on activities. Refresher training recommended in second year.
<p>Participant Implementation Training</p> <ul style="list-style-type: none"> Technical Skills Business Management Financial Literacy *Life skills conducted in coaching. 	Trainings during the project (separate days) for participants as key interventions in project activities. Refresher training recommended in second year.

IX. MONITORING AND REPORTING

44. Monitoring is integral to the Graduation approach and typically takes place at two levels – the program and household. At the programmatic level, monitoring involves tracking the quality and progress of activities outlined in the program plan. These activities include indicators like completion of participant trainings, quality of assets and other inputs that are provided to participants. In contrast, household level monitoring follows the progress of each household towards building economic and social resilience and meeting the graduation criteria and is woven into Animator’s regular interactions with participants and is a key element of how they determine the needs of households and the appropriate response. Household indicators should focus primarily on key areas such as food security, livelihoods, savings, child education, among other factors that relate to intended outcomes.

45. Collectively, the monitoring information allows staff to make critical iterations to adapt to challenges on the ground and ensure effective implementation of the program. Graduation criteria will be set after the baseline survey is completed. Technical support will be provided to the required TNSCB staff for building their capacity in the new monitoring tools. Community Officers will be primarily responsible for monthly and quarterly reporting which will be informed by weekly meetings with Animators to better understand successes and challenges households are experiencing and the capture of regular data points on the status of their livelihoods, savings and retention of key life skills curriculum. Note that any formal endline survey for the program will be conducted by external enumerators, similar to the baseline survey process.

<u>PROGRAM MONITORING</u>	<u>SAMPLE GRADUATION CRITERIA</u>
<ul style="list-style-type: none"> Weekly reports compiled and shared by Community Officers with the Community Development Officer 	<p>Social Protection</p> <ul style="list-style-type: none"> Number of nutritious meals eaten per day Regular school attendance of school-age children Receipt of subsistence allowance

<ul style="list-style-type: none"> ● Monthly reports compiled and shared by Community Development Officer with TNSCB Chief Community Development Officer ● Quarterly reports compiled and shared by PMU's Chief Community Development Officer with Project Director, and Managing Director, TNSCB 	<p>Livelihoods Promotion</p> <ul style="list-style-type: none"> ● Total value of productive assets ● Number of income sources (diversification) ● Conversion to dual-income earner status ● Youth engagement in vocational training or professional/apprentice employment <p>Financial Inclusion</p> <ul style="list-style-type: none"> ● Value and regularity of household savings ● Reduction in possession of high interest loans ● Loan-taking for productive purposes exclusively <p>Social Empowerment</p> <ul style="list-style-type: none"> ● Participation of women in local committees ● Women reporting on household decision-making ● Reduced or no household expenditure on alcohol
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X. ANNEX: CONCEPTUAL DESIGN AND OPERATIONAL PLANNING PROCESS

	Conceptual Design	Operational Planning
Social Protection	<ul style="list-style-type: none"> ● Map gaps and available social services and basic infrastructure services provided by TNSCB and other government departments; assess CSO or private sector services available. ● Determine recourse mechanisms and GRM for missing services; identify supplementary basic services to be provided 	<ul style="list-style-type: none"> ● Activate GRM for missing government services ● Provide supplementary basic services required for Graduation interventions ● Determine modality for predictable relocation assistance provision by TNSCB
Livelihood Promotion	<ul style="list-style-type: none"> ● Map gaps and available services provided by TNSCB and other government departments including vocational trainings, enterprise grants, job preparation, etc. ● Determine job placement rate of households after TNSCB training, success factors ● Identify recommended technical training curriculum tailored to major livelihood groups (e.g., petty trade, livestock etc.) ● Finalize asset value per household compared to current schemes/ assistance 	<ul style="list-style-type: none"> ● Provide technical skills and business management trainings; create schedule for initial and refresher training ● Determine household resource needs per livelihood option or employment track; identify need for bussing service to be provided by TNSCB or project ● Build a procurement plan or cash distribution plan for assets and enterprise options based on findings from the localized market assessment
Financial Inclusion	<ul style="list-style-type: none"> ● Map gaps and available services for resettled households to save (formal and informal options apply) ● Identify recommended financial literacy topics suited to household comprehension 	<ul style="list-style-type: none"> ● Determine supplements needed for existing TNSCB SHG support ● Partnership with formal financial services providers (e.g. microcredit)

	Conceptual Design	Operational Planning
	<ul style="list-style-type: none"> Determine savings monthly threshold based on amount needed for shock resilience 	
Social Empowerment	<ul style="list-style-type: none"> Map gaps and available services for existing community integration mechanisms (e.g. resident welfare associations, etc.) Identify recommended topics for life skills most pertinent to conditions faced by urban poor in resettlement sites 	<ul style="list-style-type: none"> Provide community integration and social empowerment activities relevant for newly integrated households and communities, local preference Incentivize community engagement with TNSCB partners in relocation sites
Coaching & Mentorship	<ul style="list-style-type: none"> Identify capacity and availability of community development staff at TNSCB, especially the role of the animators, Community officers and Community Development Officers Determine specific training needs for new and existing animators (e.g. community mobilization, soft skills, resource linkages) in addition to relevant Graduation trainings 	<ul style="list-style-type: none"> Set up Social Development and Resettlement Cell of PID with required staff Finalize reporting structures, coaching caseloads, and household/group visit schedules
Monitoring & Reporting	<ul style="list-style-type: none"> Create Graduation criteria and monitoring frameworks and tools utilizable by TNSCB and attuned to the baseline conditions of households with propensity for change Determine how monitoring will be conducted and by who/how often reviewed; i.e. MIS Specialist placed at TNSCB Outline financial plan for costing of Graduation interventions 	<ul style="list-style-type: none"> Operationalize monitoring structures (e.g. program tablets) and provide staff training on data collection and analysis processes Financial planning with TNSCB and ADB for preparatory and implementation activities Staff training for all implementation staff on the conceptual design and operations plan, and soliciting feedback on recommended changes

Attachment 1.1

GESI Approach of the Graduation Program

Graduation focuses on adopting a gender lens in four stages of work in the graduation program:

Assessment

Assessment activities are a crucial first step in adapting the Graduation Approach, and are used to verify, expand, and clarify perceived challenges and referenced causes facing vulnerable groups. A rigorous gender assessment⁴⁰ allows us to determine differences between men, women, girls, and boys, based on the relative distribution of vulnerabilities, barriers, resources, skills and power in a particular social and cultural context. Our gender analysis builds off the framework developed by the Swedish International Development Cooperation Agency (SIDA) and includes the components mentioned below.

1. Socially mandated roles and responsibilities of men and women in the household, school, community, workplace, and local government
2. The **productive work**, which is usually income generating and performed inside or outside the household, and **reproductive work** which is non-monetary but crucial to the functioning of the household and society, that is performed by men and women
3. Access to and control over **resources** - economic, productive, and political
4. Gender **needs** that are practical like access to water, childcare and transport, as well as strategic like access to credit, protection from gender-based violence, and equality in inheritance etc.
5. **Intersectionality** which focuses on the unique challenges of being a woman in addition to being poor, or belonging to a certain ethnicity, tribe, religion or caste group.

Design and Planning

Assessment findings inform the design and planning of Graduation interventions to ensure adaptation to gender norms in the local context. Interventions are designed to address barriers in accessing social protection and financial services as well as ensuring women receive livelihoods, they can control that are appropriate for their specific needs and vulnerabilities.⁴¹ Frontline staff who deliver these interventions are trained and sensitized on gender-specific barriers, roles, and norms. Key elements of interventions designed with a gender lens in mind are mentioned below. These interventions have been used in different Graduation programs and provide a menu of options for the IRSHUPP program.

⁴⁰ Gender assessment at all sites is included in the GESI Action Plan.

⁴¹ Graduation interventions specifically addressing barriers faced by women and excluded groups in accessing social protection, financial services, livelihoods and social empowerment is mirrored in the GESI Action Plan.

*Design for targeting participants:*⁴²

- BRAC UPGI develops targeting methodologies that account for specific vulnerabilities faced by women and prioritize female-headed households in most contexts due to the unique challenges they face.
- Some programs explicitly target women who are physically able to work while others reach those who also belong to other marginalized groups (such as religious or ethnic minorities, persons with disabilities, sexual orientation).

Design of social protection interventions:

- Cash transfer refers to consumption support, which may be either of a short-term or long-term nature, conditional or unconditional. Note that in many countries, Graduation Programs align with existing national cash transfer programs.
- This directly aims to address the lack of resources and opportunities for women, which is a barrier to engaging productively with other facets of anti-poverty programs such as asset transfers and financial literacy.
- Coaches also focus on linking participants, often women, to existing basic services such as healthcare, sanitation, education, government pensions etc. which they may have been unaware of, found difficult to access or confirm eligibility for.

Design of livelihoods promotion interventions:

- The idea is to give poor women access to a productive resource that, with proper management, can lead to sustainable income growth. There is always a concern that once the asset is transferred to the household, it gets controlled by the husband of the intended beneficiary, in part due to traditional gender roles and women's high burden of care of young children. BRAC, for example, addresses this by allowing for a wide range of different livelihood options that are compatible with women's care responsibilities and that challenge existing gender norms. Animators⁴³ are also trained to monitor control over assets, and involve local community organizations to mediate any conflicts.
- A rigorous localized market assessment⁴⁴ that incorporates a gender analysis and ensure that the list of recommended livelihoods are suitable for women from different social and economic backgrounds.
- Female participants, with support from Animators, choose from a list of tailored livelihood options that are compatible with their skills, resources, care responsibilities and challenge existing gender norms.
- Through active engagement in income generating activities, female participants are supported to increase their decision making power and control over productive resources.
- The technical training around livelihoods is designed to ensure that it can be understood by low literacy participants, which may often be women.

⁴² The Graduation Program aims to register 60% of relocated vulnerable households (including 50% women beneficiaries and all transgenders). This is included in the GESI Action Plan as target 8.

⁴³ According to the GESI Action Plan (target 9), women will constitute 50% of those recruited as paid animators in newly constituted Project Implementation Divisions,

⁴⁴ Training needs assessment and market assessment incorporating a gender analysis and sensitive to the needs and constraints of women is mirrored in the GESI Action Plan.

Design of financial inclusion interventions

- Due to imperfections in credit and insurance markets, women's poor access to finance is a known barrier to entrepreneurship and a detriment to their ability to weather out income shocks.
- Graduation programs ensure women are connected to savings and loans schemes to smooth consumption over time and to accumulate funds for productive investments in their livelihoods.
- Graduation programs link women to existing groups like Self-Help Groups, or create Village Savings and Loans Associations to enable savings and lending for small loans.
- Financial literacy trainings are provided to train women to manage household budgets, track the costs and profits from their livelihoods, and plan for the future.

Design for social empowerment interventions:

- Coaching targets "softer skills", aiming to change mindsets, challenge gender norms within the household, and empower participants to set goals.
- Coaching is most often conducted in person by a mentor or coach who meets the beneficiaries on some regular basis. Through these meetings, the mentor or coach engages with participants to help them make a life plan, build confidence and decision-making skills, and strengthen women's voice and agency.
- Specific life-skills sessions⁴⁵ are also conducted with the households on a range of gender issues such as sexual and reproductive health, domestic violence, family planning, etc.
- Recognizing the need to tackle gender norms, some organizations extend this coaching to all household members to engage with men and boys within the household so that they can appreciate the household-level benefits of empowering female beneficiaries.

Implementation

- Staff training: An important starting point for encouraging gender transformative change among program beneficiaries is ensuring that local staff is appropriately gender sensitized⁴⁶ and that programs implement gender practices within their organizations and local partners.
- Relationship with community: Protocols set to strengthen the relationship with the community more broadly to minimize potential backlash and ensure that female participants are embedded in local community organizations either through membership in a local committee or through vocal participation in meetings.

⁴⁵ Life skills trainings by animators conducted twice with each household in course of the project is included in the GESI Action Plan.

⁴⁶ GESI Action Plan (target 10) will ensure at least 80% of PMU and PID social cell staff is gender sensitized and trained in implementation of graduation program for poverty reduction (target: 80% participation of women staff).

Learning and Measurement

- The large majority of measures used to evaluate the impact⁴⁷ of Graduation programs on women's outcomes cover both economic and non-economic measures, including those below:
 - Agency: goal-setting, perceived control and ability, acting on goals
 - Wellbeing: measure of physical and psychological well being
 - Autonomy and Decision-making: Ability to make and act on own decisions
 - Economic Resources: Includes the economic outcomes, as well as physical and human capital accumulation
 - Gender norms and attitudes: The extent that social norms and culture influence what is acceptable behavior
 - Social capital: Along with human and physical capital, an essential resource for women's empowerment

⁴⁷ Monitoring and evaluation framework (that includes GESI indicators and data disaggregated by gender identity) for progress of graduation interventions will be adopted. Assessment of number of women beneficiaries reporting increase in (i) income (ii) access to financial services and (iii) decision making will be included in impact assessment of Graduation Program and reported in the GESI Action Plan.

CONSULTATION PROTOCOLS FOR SURVEY SITES⁴⁸

A. Selection of Settlements/Affected Persons for Surveys

List of settlements for surveys and consultations to be finalized by TNSCB in discussion with Urban Local Body (ULB), PWD and District Collector's office, following the agreed site selection criteria for IRSHUPSP.

Socioeconomic surveys will commence only after permission to survey all households required to be relocated, is obtained.

Number of households to be surveyed will be the same as the proposed number of residential units under IRSHUPSP. Commercial / business owners and absentee property owners in the affected area will also be surveyed. No other surveys will be undertaken.

B. Dropping of Settlement after conduct of surveys

Alternate 1: Avoidance of Displacement

If a settlement needs to be dropped after surveys/consultations have been conducted, the following protocol needs to be followed:

1. TNSCB/ULB/PWD/District Administration need to collectively ensure there will be no displacement.
2. Each household previously surveyed will be informed that they are no longer in the list of project affected persons and that they will not be displaced for IRSHUPSP.
3. Additional surveys can be undertaken to meet any shortfall in the number of households.

Alternate 2: Displacement Unavoidable

In the event that displacement of affected persons cannot be avoided, TNSCB and ULB in consultation with district administration will ensure alternate accommodation under another project / government program, so that the affected persons are not rendered homeless.

In either case (Alternate 1 or 2), consultations with affected persons will be conducted, documented with photographs and minutes of meetings prepared, and will be available for review by ADB.

⁴⁸ The consultation protocols are incorporated in the Consultation and Participation Plan.

INVOLUNTARY RESETTLEMENT IMPACT CATEGORIZATION CHECKLIST

A. Introduction

Each subsection/section needs to be screened for any involuntary resettlement impacts which will occur or have already occurred. This screening determines the necessary action to be taken by the project team.

B. Information on SUBSECTION/SECTION:

- a. District/administrative name: _____
 b. Location (km): _____
 c. Civil work dates (proposed): _____
 d. Technical description: _____

C. Screening questions for involuntary resettlement impact

2. Below is the initial screening for involuntary resettlement impacts and due diligence exercise. Both permanent and temporary impacts must be considered and reported in the screening process.

Probable Involuntary Resettlement Impacts	Yes	No	Not Known	Remarks
Involuntary restrictions on land use or on access to legally designated parks and protected areas				
1. Will people lose access to natural resources, communal facilities and services?				
2. If land use is changed, will it have an adverse impact on social and economic activities?				
3. Will access to land and resources owned communally or by the state be restricted?				
Information on displaced persons:				
Any estimate of the likely number of persons that will be displaced by the project? <input type="checkbox"/> No <input type="checkbox"/> Yes If yes, Approximately how many?				
Are any of the poor, female heads of households vulnerable to poverty risks? <input type="checkbox"/> No <input type="checkbox"/> Yes				
Are any displaced persons from indigenous or ethnic minority groups? <input type="checkbox"/> No <input type="checkbox"/> Yes				

TERMS OF REFERENCE FOR INDEPENDENT THIRD PARTY FOR NEGOTIATED PURCHASE

For any negotiated settlement of land, an external independent entity will be identified by PMU to supervise and document the consultation process and validate the negotiated purchase process as per legal requirement.

Terms of reference for Independent Third-Party Witness

An independent third party is sought to be appointed to oversee and certify the process of negotiated purchase. The third party shall be briefed about his/her expected role and deliverables by the PMU.

Eligibility: The third party shall be a representative of the community (for example, a senior government officer, a leader of the community, a representative of a local NGO/CBO, principal of a local college/university professor), without any direct interest in the negotiation process, who is acceptable to each of the concerned parties (ULB and concerned landowner/donor).

Scope of work: The role of the third party shall be to ensure a fair and transparent process of negotiation. The envisaged scope of work shall entail the following:

- i. witness and keep a record of meetings held with the concerned parties,
- ii. ensure there is no coercion involved in the process of negotiated purchase,
- iii. ensure that the preferences and concerns of the landowner / donor related to access,
- iv. selection of site within lands held, etc. are recorded and any stipulated conditions met,
- v. ensure that the negotiated purchase agreement is drafted in a fair and transparent manner,
- vi. identify and recommend mitigation measures to landowner if required,
- vii. ensure that taxes, stamp duties and registration fees for purchased land are borne by government, and
- viii. submit a certificate as witness to the purchase and transfer process.

Deliverables: The details of the meetings, and a certificate as witness to the purchase process and mitigation measures to owner, if any, shall be submitted by the third party to PMU, PIU and owner in the local language.

Sample Certification Format of Negotiated Settlement

This is to certify that Mr./Ms. xxxxxx, (profession, designation, address) is appointed as independent third party to certify the process of negotiated purchase of plot no.....area.....owned by xxxxxx (names of owner), who is a signatory to this certificate. It is also placed on record that none of the signatories to this certificate have any objection to appointment of xxxx as third party witness.

Date:

Officers of concerned PID and land owner (Names and Signatures):

I, _____ of _____ (address) certify that I was witness to the process of negotiated purchase (details of plot _____ from xxxxxx land owners names).

I certify that:

1. The process of purchase of the said land was transparent; the landowner(s) was/were happy to sell the land for the welfare of the community.
2. No coercion was used in the purchase process.
3. Land transfer costs (registration fee and stamp duty) were borne by the Tamil Nadu Slum Clearance Board and not by the owner.
4. All concerns expressed by the owner as agreed, were addressed and no pending issues remain.
5. The following mitigation measures were identified and implemented / provided to the land owner
6. Attached are the minutes of meetings held between project proponents and the land owner, which I was witness to.

Signed/

Name:

Date: _____ Place: _____

Encl: Minutes of meetings held between land owner and project proponent

CENSUS AND BASELINE SOCIO-ECONOMIC SURVEY GUIDELINES

A. Census Requirement and Contents

1. The date of census is the cut-off date for those who do not have legal standing for eligibility of assistance under the project. People moving into the project area after this cut-off date will not be entitled to support. Persons, who were not enumerated during the census but can show documentation or evidence that the person is rightfully a displaced person, will be included. TNSCB is responsible for such verification. Only those displaced persons identified by TNSCB will be considered eligible for support under the sub-project.

B. Census Requirement and Contents

2. A census of households and individuals located within the project area has to be undertaken to register and document the status of the displaced persons. It will provide a demographic overview of the population served by the resettlement plans and profiles of household assets and main sources of livelihood. It will cover 100% of the potential displaced persons within the project impact area.

- (i) **Resource Base.** The resource base including land, water and forest etc., with an assessment of its development and ecological potential in the pre-project conditions. During the conduct of the census, legal boundaries of affected properties and the rights of way are to be verified. Structures trees and other assets are to be recorded.
- (ii) **Economy Base.** The economy base of the displaced persons including the type and quantum of production, consumption pattern, related economic institutions and allocation of various productive resources.
- (iii) **Household Census.** Household census covers immovable property owned by the displaced persons and other resources in their possession/use. These surveys will be carried out in association with local and host communities as well as with the local representatives.
- (iv) **Social Structures.** This includes social structure, norms, customs, cultural centers, and traditions, patterns of leadership and institutions of social network.
- (v) **Displaced Persons.** The census will identify tenants and encroachers. During the census the displaced persons shall also be identified and listed along with their income. Furthermore, the census will also identify displaced persons who are Scheduled Caste populations in accordance with lists of the Government, and the vulnerable displaced persons such as those above 60 years of age, physically handicapped and those BPL.

a. Census Procedures

3. The following procedures are to be adopted in carrying out the census:
 - (i) Preliminary screening to provide the minimum information on social impacts;
 - (ii) Verification of boundaries of the project area, to document existing structures, land plots and others physical assets. This involves:
 - (a) Identification of suitable resettlement sites, in close proximity to the affected area if required;
 - (b) All encroachments and other assets in the project area are to be documented;

- (c) Assets, structures, etc. to be recorded; and
- (d) All information is to be computerized; photography/video recordings to be used to document existing structures.
- (iii) The baseline socioeconomic survey shall cover information on the various categories of losses and other adverse impacts likely under the project;
- (iv) The census shall identify potential displaced persons with special attention to vulnerable groups; and
- (v) Assessment on the value of various assets to be made.

b. Database Management

- (i) **Data Sources.** As a pre-requisite for conducting the primary household surveys, relevant information is to be collected from secondary sources. These include:
 - (a) Census records for demographic information;
 - (b) Planning Commission Department, to get information on various developmental programs for specific sections of population like those living BPL, Scheduled Castes, etc.; and
 - (c) Local organizations including NGOs in order to involve them and integrate their activities in the economic development programs of the displaced population.
- (ii) **Data Collection.** Household level contacts and interviews with each displaced household for completing the household socio-economic profile. Each of the households surveyed and the structure/ land likely to be affected by the project has to be numbered, documented and photographed. Public consultation exercises in different project areas to be conducted with the involvement of displaced persons. In these exercises, women are to be involved to elicit their views and opinions on the overall planning of resettlement activities. Discussions with a cross-section of the displaced persons will help towards understanding the problems and preferences of the displaced persons.
- (iii) **Data Analysis.** The analysis will cover population, population density, age, sex ratio, literacy rates/ education, gender issues, religious groups, income, occupation and poverty line.
- (iv) **Data Update.** The PID responsible for implementation of the resettlement plans, should conduct a rapid appraisal to continuously update information.

OUTLINE OF A RESETTLEMENT PLAN

3. This outline is part of the ADB SPS Safeguard Requirements. The sections may be modified based on project requirements.

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

A. Executive Summary

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

B. Project Description

6. This section provides a general description of the project, discusses project components that result in involuntary resettlement, and identify the project area. It also describes the alternatives considered to avoid or minimize resettlement. It includes a table with quantified data and provides a rationale for the final decision.

C. Scope of Resettlement

7. This section:
- (i) Discusses the project's potential impacts, and includes maps of the areas or zone of impact of project components or activities;
 - (ii) Summarizes the key effects on the Displaced Persons; and
 - (iii) Provides details of any common property resources that will be impacted.

D. Socio-economic Information and Profile

8. This section outlines the results of the SIA, the census survey, and other studies, with information and data disaggregated by gender, vulnerability, and other social groupings, including:
- (i) Defining, identifying, and enumerating the people and communities to be affected;
 - (ii) Discussing the project's impacts on the poor, indigenous, and/or ethnic minorities, and other vulnerable groups; and
 - (iii) Identifying gender and resettlement impacts and the socioeconomic situation, impacts, needs, and priorities of women.

E. Information Disclosure, Consultation, and Participation

9. This section:
- (i) Identifies project stakeholders, especially primary stakeholders;
 - (ii) Describes the consultation and participation mechanisms to be used during the different stages of the project cycle;
 - (iii) Describes the activities undertaken to disseminate project and resettlement information during project design and preparation for engaging stakeholders;
 - (iv) Summarizes the results of consultations with Displaced Persons (including host communities), and discusses how concerns raised and recommendations made

- were addressed in the resettlement plan;
 - (v) Confirms disclosure of the draft resettlement plan to Displaced Persons, and includes arrangements to disclose any subsequent plans; and
 - (vi) Describes the planned information disclosure measures (including the type of information to be disseminated and the method of dissemination) and the process for consultation with Displaced Persons during project implementation.

F. Grievance Redress Mechanisms

10. This section describes mechanisms to receive and facilitate the resolution of Displaced Persons' concerns and grievances. It explains how the procedures are accessible to displaced persons and are gender sensitive.

G. Legal Framework

11. This section:
- (i) Describes national and local laws and regulations that apply to the project, identifies gaps between local laws and ADB's policy requirements, and discusses how any gaps will be addressed;
 - (ii) Describes the legal and policy commitments of the executing agency for all types of displaced persons;
 - (iii) Outlines the principles and methodologies used for determining valuations and compensation rates at replacement cost for assets, incomes, and livelihoods, and sets out the compensation and assistance eligibility criteria and how and when compensation and assistance will be provided; and

H. Entitlements, Assistance and Benefits

12. This section:
- (i) Defines entitlements and eligibility of Displaced Persons, and describes all resettlement assistance measures (includes an entitlement matrix);
 - (ii) Specifies all assistance to vulnerable groups, including women and other special groups; and
 - (iii) Outlines opportunities for Displaced Persons to derive appropriate development benefits from the project.

I. Relocation of Housing and Settlements

13. This section:
- (i) Describes options for relocating housing and other structures, including replacement housing, replacement cash compensation and/or self-selection (ensuring that gender concerns and support to vulnerable groups are identified);
 - (ii) Describes alternative relocation sites considered, community consultations conducted and justification for selected sites, including details about location, environmental assessment to sites and development needs;
 - (iii) Provides time tables for site preparation and transfer;
 - (iv) Describes the legal arrangements to regularize tenure and transfer titles to resettled persons;
 - (v) Outlines measures to assist Displaced Persons with their transfer and establishment at new sites;
 - (vi) Describes plans to provide civic infrastructure; and

- (vii) Explains how integration with host populations will be carried out.

J. Income Restoration and Rehabilitation

14. This section:
- (i) Identifies livelihood risks and prepares disaggregated tables based on demographic data and livelihood sources;
 - (ii) Describes income restoration programs, including multiple options for restoring all types of livelihoods (e.g. project benefit sharing, revenue sharing arrangements;
 - (iii) Outlines measures to provide a social safety net through social insurance and/or project special funds;
 - (iv) Describes special measures to support vulnerable groups;
 - (v) Explains gender considerations; and
 - (vi) Describes training programs.

K. Resettlement Budget and Financing Plan

15. This section:
- (i) Provides an itemized budget for all resettlement activities, including for the resettlement unit, staff training, monitoring and evaluation, and preparation of Resettlement Plans during loan implementation;
 - (ii) Describes the flow of funds (the annual resettlement budget should show the budget-scheduled expenditure for key items);
 - (iii) Includes a justification for all assumptions made in calculating compensation rates and other cost estimates taking into account both physical and cost contingencies, plus replacement costs; and
 - (iv) Includes information on the source of funding for the resettlement plan budget.

L. Institutional Arrangements

16. This section:
- (i) Describes institutional arrangement responsibilities and mechanisms for carrying out the measures of the resettlement plan;
 - (ii) Includes institutional capacity building programs, including technical assistance, if required;
 - (iii) Describes the role of NGOs, if involved, and organizations of Displaced Persons in resettlement planning and management; and
 - (iv) Describes how women's groups will be involved in resettlement planning and management.

M. Implementation Schedule

17. This section includes a detailed, time-bound implementation schedule for all key resettlement and rehabilitation activities. The implementation schedule should cover all aspects of resettlement activities synchronized with the project schedule of civil works construction.

N. Monitoring and Reporting

18. This section describes the mechanisms and benchmarks appropriate to the project for monitoring and evaluating the implementation of the resettlement plan. It specifies arrangements

for participation of Displaced Persons in the monitoring process. This section will also describe reporting procedures.

DRAFT PROJECT INFORMATION DISCLOSURE LEAFLET

(To be available in Tamil and English)

Project Background

This brochure provides information on the Proposed Inclusive, Resilient and Sustainable Housing for the Urban Poor Sector Project in Tamil Nadu (IRSHUPSP). The IRSHUPSP will involve (i) removal of non-titled households in slums located in vulnerable waterways/waterbodies which are susceptible to flooding and other disasters. Removing encroachments in waterways/waterbodies will restore capacity of the waterways/waterbodies to absorb water and reduce future flooding, recharge groundwater, and potentially be alternative sources of water in water-scarce areas, (ii) provide more inclusive and accessible urban services and infrastructures for vulnerable communities, especially those from economically weaker sections (EWS) and lower income groups (LIG); and (iii) permanent shelter with appropriate housing infrastructures and services for every family.

The project has various documents to safeguard the affected persons and the impact on environment. This brochure has summary information on the following documents.

- (i) Site detailed design: This provide the unit layout and plan of the relocation site
- (ii) Resettlement Framework: This is a document which provides for mitigation measures for all losses incurred such as loss of house, loss of assets and loss of livelihood.
- (iii) Environment Assessment and Review Framework: This addresses all the mitigation measures for all likely environment impacts of the project.
- (iv) Graduation Program: This is a specific intervention to improve loss of livelihood.

Resettlement Framework

The Resettlement Framework for the project has an Entitlement Matrix which addresses the direct and indirect impacts of the project on displaced persons, households and communities. The policy provides mitigation for:

- (i) Loss of assets, including house or work place;
- (ii) Loss of livelihood or income opportunities;
- (iii) Collective impacts on groups, such as loss of community assets, common property resources, and others; and
- (iv) Temporary disruptions due to the loss of access or limited access to social amenities such as medical institutions, educational institutions etc.

Compensation eligibility is limited by a cut-off date, which is the date of marking of the structures. The detailed Entitlement Matrix in Tamil will be distributed to all affected persons.

Environment Assessment and Review Framework

The environmental assessment and review framework (EARF) is a safeguard document that sets guidance based on ADB safeguard policy statement (SPS) on environmental safeguard screening and categorization, environmental assessment, institutional arrangements, consultations, information disclosure, reporting and other processes to be followed for components of a project, where final detailed design takes place after ADB Board approval. The environmental assessment assesses the anticipated adverse environmental impacts on physical, environmental and ecological resources and human environment as well as corresponding management, monitoring and reporting requirements which are included in specific Environmental Management Plans. The EARF sets out the selection criteria for these future project components to ensure that such

components are in accordance with the purpose of the overall project. The EARF also provides guidance on compliance of these future project components with relevant government environmental laws, rules, and regulations. Overall, the EARF ensures that all subprojects, in the entirety of their project cycle, will not deteriorate or interfere with the environmental sensitivity of a project area, and wherever possible improve environmental outcomes.

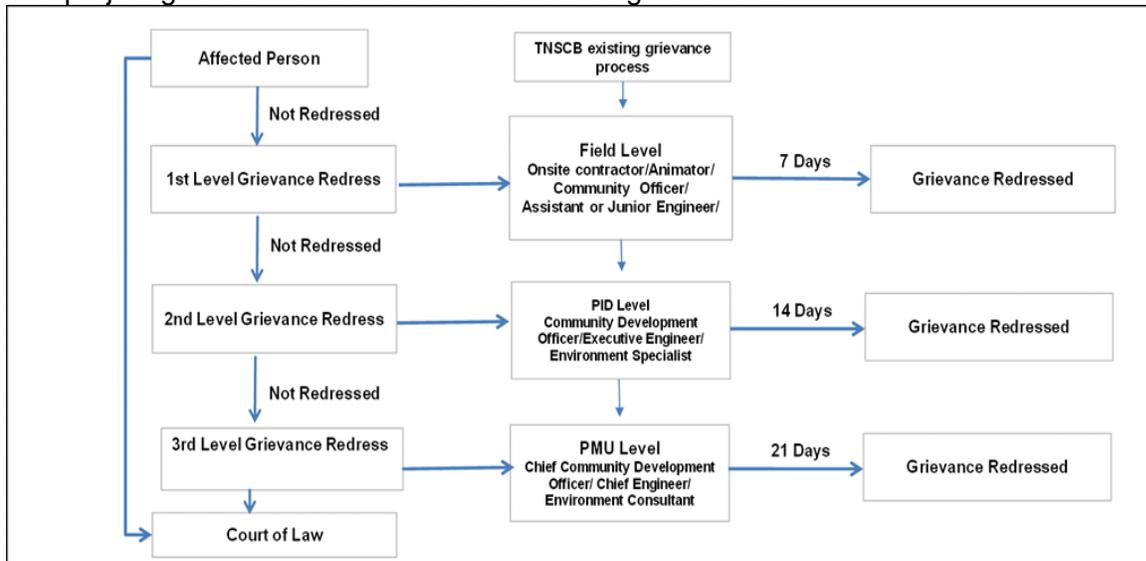
Project Grievance Redress Mechanism

The project has a grievance redress mechanism to receive, evaluate, and facilitate the resolution of affected persons’ concerns, complaints, and grievances about the social and environmental performance or any other grievances related to the project.

Affected persons can convey grievances/suggestions by dropping grievance redress/suggestion forms in complaints/suggestion boxes to be installed by IRSHUPSP or by e-mail, or by registering complaints on the TNSCB website or by post, or by writing in the complaints register in the PID office.

The affected persons can contact the onsite contractor/animator/community officer/ Assistant Engineer or Junior Engineer at the field level to register their grievances.

The project grievance redress mechanism is as given below:



Summary of Resettlement Plan

Subproject Information	Description
Name of the subproject, executing agency/implementing agency and town	
Proposed subproject technical details and project benefits	
Summary of subproject resettlement impacts	
Entitlements	
Resettlement plan budget	

Resettlement plan implementation schedule	
Implementation structure (social safeguards)	

Summary of Initial Environmental Examination

Subproject Information	Description
Project background	
Executing and Implementing agencies	
Subproject scope	
Project Categorization	
Description of the Environment	
Potential Environmental Impacts and mitigation measures	
Environmental Management Plan	
Consultation, Disclosure and Grievance Redress	
Monitoring and Reporting	
Conclusions and Recommendations	
IEE budget	
Implementation structure (environmental safeguards)	

For any information or grievances, please contact:

The Contact details of the Project Implementation Division is given below:

PID Salem: No.3/2, Narayana Swami Street, Peramanoor, Salem – 600007. Contact no.:(To be included)

PID Madurai: No. 169, K.K Nagar Main Road, Madurai – 625020. Contact no.:(To be included)

PID Villipuram: Plot No. 7, 1st Main Road, TNHB – NGGO Colony, Salamedu, Villupuram – 605602. Contact no.:(To be included)

SAMPLE GRIEVANCE REGISTRATION FORM

(To be available in Tamil)

The Proposed Inclusive, Resilient and Sustainable Housing for the Urban Poor Sector Project welcomes complaints, suggestions, queries, and comments regarding program implementation. We encourage persons with a grievance to provide their name and contact information to enable us to get in touch with you for clarification and feedback.

In case you want to include your personal details but want information to remain confidential, please type CONFIDENTIAL above your name.

Date	Place of Registration		
Contact Information/Personal Details			
Name:	Gender: Male Female	Age:	
Home Address			
Village/Town			
District			
Phone no.			
E-mail			
Complaint/Suggestion/Comment/Question Please provide the details (who, what, where and how) of your Grievance below: If included as an attachment/note/letter, please mention here:			
How do you want us to reach you for feedback on your comment/grievance?			

FOR OFFICIAL USE ONLY

Registered by: (Name of Official registering grievance)			
Verified through:	Note/Letter	E-mail	Verbal/Telephonic
Reviewed by: (Names/Position of Official(s) reviewing grievance)			
Action Taken:			
Whether Action Taken Disclosed:		Yes	No
Means of Disclosure:			

MONITORING INDICATORS

Ref.	Resettlement and Rehabilitation Activities	Progress	Remarks
Preconstruction activities and R&R activities			
1	Assessment of resettlement impacts due to changes in project design (if required)		
2	Preparation/updating of resettlement plan based on changes in project design		
3	Approval of updated resettlement plan from ADB		
4	Disclosure of updated resettlement plan		
5	Establishment of Grievance Redress Mechanism		
6	Capacity building of PID		
7	Verification of displaced persons census list; finalization of compensation and assistance		
Resettlement plan implementation			
1	Disbursement of assistance to displaced persons		
2	Disbursement of special assistance to vulnerable groups		
3	Relocation of displaced persons		
4	Records of grievance redressed		
6	Income restoration measures through training		
7	Temporary relocation of hawkers and vendors'		
Income Restoration			
1.	Reestablishment of income generating activity to earlier levels of production / enterprise		
1.	Restoration of pre project income levels and living standard		
3.	Training provided		
4.	Sustainability of income activity		
5.	Adequacy of assistance for establishment of income activity		
Social measures during construction as per contract provisions			
1	Prohibition of employment or use of children as labor		
2	Prohibition of forced or compulsory Labor		
3	Ensure equal pay for equal work to both men and women		
4	Implementation of all statutory provisions on labor like health, safety, welfare, sanitation, and working		
5	Maintenance of employment records of workers		

OUTLINE OF QUARTERLY SOCIAL SAFEGUARDS MONITORING REPORT

1. Following requirements of the ADB Safeguard Policy Statement (2009) and the *Operations Manual* section on safeguard policy (OM F1), borrowers/clients are required to establish and maintain procedures to monitor the status of implementation of safeguard plans and ensure progress is made toward the desired outcomes. For projects categorized as A or B in Involuntary Resettlement and/or Indigenous People, the Borrowers/clients are required to submit quarterly or biannual monitoring reports for ADB review. The level of detail and comprehensiveness of a monitoring report is commensurate with the complexity and significance of social safeguards impacts (IR). A safeguard monitoring report may include the following elements:

A. Executive Summary

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

B. Background of the Report and Project Description

3. This section provides a general description of the project, including:

- (i) Background/ context of the monitoring report which includes the information on the project, project components, safeguards categorizations, and institutional requirements
- (ii) Information on physical progress of project activities, scope of monitoring report and requirements, reporting period, including frequency of submission and changes in project scope and adjusted safeguard measures, if applicable
- (iii) Summary table of identified impacts and the mitigation actions.

C. Scope of Impacts

4. This section outlines the detail scale and scopes of the project's safeguards impacts, vulnerability status of the affected people/communities, entitlements matrix and other rehabilitation measures, as applicable, as described in the approved final RP(s).

D. Compensation and Rehabilitation

5. This section describes the process and progress of the implementation of the safeguards plan and other required activities as determined in the plan. This includes payment of the affected assets compensation, allowances, loss of incomes, etc. to the entitled persons; provisions of other types of entitlement as described in the matrix and implementation of relocation assistance and livelihood rehabilitation activities as determined in the plan. Quantitative as well as qualitative results of the monitoring parameters, as agreed in the plan, should be provided.

E. Project disclosure, public participation and consultation

6. This section describes project disclosure mechanism, public participation and consultations activities during the project implementation as agreed in the plan. This includes, numbers of activities conducted, issues raised during consultation and responses provided by the project team, contractors, etc.

F. Grievance Redress Mechanism (GRM)

7. This section described the implementation of project GRM as design in the approved RP. This includes evaluations of its effectiveness, procedures, complaints receive, timeliness to resolve issues/ complaints and resources provided to solve the complaints. Special attentions should be given if there are complaints received from the affected people or communities.

G. Institutional Arrangement

8. This section describes the actual implementation or any adjustment made to the institutional arrangement for managing the social safeguards issues in the projects. This includes the establishment of safeguards unit/ team and appointment of staff in the executing or implementing agencies; implementation of the GRM and its committee; supervision and coordination between institutions involved in the management and monitoring of safeguards issues.

H. Monitoring Results-Findings

9. This section describes the summary and key findings of the monitoring activities. The results are compared against previously established benchmarks and compliance status (e.g., adequacy of IR compensation rates and timeliness of payments, adequacy and timeliness of IR rehabilitation measures including serviced housing sites, house reconstruction, livelihood support measures, and training; budget for implementing EMP, resettlement plan, timeliness and adequacy of capacity building, etc.). It also compared against the objectives of safeguards or desired outcomes documented (e.g. involuntary resettlement impacts avoided or minimized; livelihood restored or enhanced; For FI projects this includes the effectiveness of the Environmental and Social Management System (ESMS) managed by the FI and its participating institutions. If noncompliance or any major gaps identified, include the recommendation of corrective action plan.

I. Follow up Actions, Recommendation and Disclosure

10. This section describes recommendations and further actions or items to focus on for the remaining monitoring period. It also includes lesson learned for improvement for future safeguards monitoring activities. Disclosure dates of the monitoring report to the affected communities should also be included. A time-bound summary table for required actions should be included.

Appendix 1

- (i) List of Affected Persons and Entitlements
- (ii) Summary of RP with entitlement matrix

Appendix 2

- (i) Copies of AP's certification of payment (signed by the APs)
- (ii) Summary of minutes of meetings during public consultations
- (iii) Summary of complaints received and solution status

TERMS OF REFERENCE FOR TA EXTERNAL MONITOR AND SOCIAL DEVELOPMENT EXPERT

Tamil Nadu Slum Clearance Board Inclusive, Resilient and Sustainable Housing for Urban Poor Sector Project (IRSHUPSP) Terms of Reference for External Monitor

Objective

1. To ensure effective monitoring of the resettlement plan and the graduation program and the consultation and participation plan an External Monitor will be hired for the project.
2. The External Monitor will support and monitor the resettlement implementation work carried out by the Project Monitoring Unit (PMU) and the Project Implementation Divisions (PIDs).

Introduction

3. The Government of Tamil Nadu has requested support from ADB for: (i) relocation and rehabilitation of households living in extremely vulnerable and high-risk areas in cities in Tamil Nadu; (ii) development and implementation of a housing model for industrial workforce; (iii) piloting new models of affordable housing; and (iv) regional planning. The proposed Inclusive, Resilient and Sustainable Housing for Urban Poor Sector Project (IRSHUPSP) in Tamil Nadu will promote access to inclusive, resilient and sustainable housing and urban development by supporting the state in (i) relocating vulnerable communities living in high-risk areas to safe shelter, (ii) providing affordable, proper housing for households and migrant workers from the economically weaker section (EWS) and lower-income group (LIG), and (iii) strengthening the state's capacity to design and implement integrated development plans for its regions.
4. The proposed project will lead to relocation of persons living in high risk areas to the selected relocation sites for which Resettlement Plans have been prepared for each sub project. The Resettlement Plans describe the scope of resettlement pertaining to each subproject package, magnitude of impact, mitigation measures proposed, valuation of structure and other assets, eligibility criteria for availing benefits, baseline socio-economic characteristics, entitlements based on type of loss, the institutional arrangement for delivering the entitlements and mechanism for resolving grievances and monitoring.
5. The Project has a Graduation Restoration Plan (GP) which will supplement existing resettlement activities for eligible urban poor households to restore livelihoods and rehabilitate social welfare post resettlement. Along with this the project also has a Gender Equality and Social Inclusion (GESI) action plan and a Consultation and Participation Plan (CAPP).
6. The Project Management Unit along with Project Implementation Division is responsible for the implementation of the Resettlement Plans and Graduation Program in the sub projects. The project is classified as category A for involuntary resettlement impacts and as per the requirements of ADB Safeguards Policy Statement, external monitoring of resettlement plan implementation is required. An External Monitor will be engaged carry out independent monitoring of the resettlement plan implementation and also conduct due diligence and monitoring of the Graduation Program.
7. Services of an external monitor are required to confirm/verify the information presented in the quarterly social monitoring reports prepared by PMU, compliance with loan covenants on

social safeguards, assess the resettlement process and timing, adequacy of institutional arrangements for resettlement planning and implementation, affected persons' status before and after displacement, and verify compliance with social safeguards related loan covenants. These terms of reference are for the External Monitor, consultant who will provide consultancy service to undertake these works.

Scope of Work

8. The envisaged scope of work includes the following tasks:
 - (i) Review and verify the progress in resettlement plan implementation and the Graduation Program for all the subprojects;
 - (ii) Confirm / verify the quarterly social monitoring reports prepared since the start of RP/GP/GESI/CAPP implementation;
 - (iii) Assess the effectiveness and efficiency of IRSHUPSPs institutional setup for RP/ GP GESI/ CAPP implementation;
 - (iv) Assess whether resettlement objectives, particularly restoration or enhancement of livelihoods and living standards of the affected persons are being met and the compensation and measures proposed for people facing economic impacts are adequate for livelihood restoration;
 - (v) Assess resettlement efficiency, effectiveness, impact and sustainability;
 - (vi) Suggest any corrective actions as required; and
 - (vii) Review the project impacts on vulnerable groups and assess the effectiveness of the mitigative actions taken for such groups.

9. To carry out the above tasks the Consultant will need to:
 - (i) Carry out detailed consultations in the sub projects location, both individual interviews and focus group discussions.
 - (ii) Carry out a sample survey of affected persons, ensuring vulnerable categories are covered.

10. The consultant will prepare a checklist for consultations, sampling methodology and survey questionnaire and seek ADB's concurrence on the same.

Detailed Tasks and/or Expected Output

11. The external monitoring report will cover below points:
 - (i) Verify whether the objectives of resettlement plan/ graduation plan/ GESI have been realized;
 - (ii) Verify whether the project is in compliance with agreed loan covenants related to social safeguards;
 - (iii) Assess the process of consultation and CAPP implementation, information disclosure and grievance redress adopted by the project and its effectiveness;
 - (iv) Assess whether the compensation is adequate to replace the lost assets;
 - (v) Assess the perceived benefits and losses of relocation to a new site and perception of the implementation in their living standards;
 - (vi) Assess how the asset compensation has been utilized; document the living standards of APs and any notable changes in the same;
 - (vii) Conduct impact assessment which is to be compared with the baseline values for key socioeconomic as given in the RP.
 - (viii) Assess the level of satisfaction of the affected persons.

Deliverables: The Consultant will prepare semi-annual, annual monitoring reports and mid-term and final evaluation reports over the project period.

Minimum Qualification Requirements

12. The Specialist should have 10 years' experience as a Social Safeguards Specialist working on resettlement, social development and consultations. The input of consultant will be required on an intermittent basis.

13. The Consultant should be a Post-graduate in social science with minimum of 10 years of experience in the field of social safeguards in South Asia. Having experience in implementation and monitoring of a category A (resettlement) project involving large-scale resettlement/relocation impacts. The Consultant should have adequate managerial skills and should be conversant with the region.

14. Knowledge of Tamil will be preferable.

TERMS OF REFERENCE: TA SOCIAL DEVELOPMENT EXPERT (SOCIAL SAFEGUARDS AND GENDER)

Key Qualifications and Experience

Minimum of Master's degree in social work, women's studies, sociology, economics or social sciences.

A combined 10 years' experience in preparation and implementation of resettlement plans, gender equality and women's empowerment preferably in a government set up. A sound familiarity with the gender aspects in resettlement and housing sector and experience in large scale resettlement projects is highly desirable. 3 years of experience in social development, surveys, preparation and implementation of Gender Action Plans/Resettlement Plans. Experience in multilateral funded projects specifically ADB will be preferred. Knowledge of Tamil will be preferable.

Estimated person months

The expert will be appointed for a period of 18 months.

Background of the Project

Tamil Nadu Slum Clearance Board is implementing ADB financed Inclusive, Resilient, and Sustainable Housing for Urban Poor Sector Project in Tamil Nadu. The project outputs are (i) Affordable and improved housing for vulnerable communities, (ii) Affordable housing for urban poor and migrant workers increased, (iii) Regional plan development supported.

The project is categorized effective gender mainstreaming (EGM) and has a gender equality and social inclusion (GESI) action plan. The GESI action plan includes the following (i) EWCD friendly design features of housing units, common areas and sites, with specific features to address security concerns and common areas that are inclusive and conducive to livelihood needs, (ii) increased consultation and participation of beneficiaries (including women) in design (iii) a consultative and gender sensitive relocation process which ensures women's participation in pre-relocation meetings and visits to the site, (iv) property rights for women through joint titles of housing units (v) graduation program which will build resilience of vulnerable families, with 30% women as animators and a monitoring and evaluation framework which is sex disaggregated, and (vi) increased financing for women's hostels and low-income migrant workers, (vii) gender mainstreaming trainings for project staff of Implementing Agencies.

The proposed project will lead to relocation of persons living in high risk areas to the selected relocation sites for which Resettlement Plans have been prepared for each sub project. The Project has a Graduation Restoration Plan (GP) which will supplement existing resettlement activities for eligible urban poor households to restore livelihoods and rehabilitate social welfare post resettlement. Along with this the project also has a Consultation and Participation Plan (CAPP).

The Project Management Unit along with Project Implementation Division is responsible for the implementation of the Resettlement Plans and Graduation Program in the sub projects. The project is classified as category A for involuntary resettlement impacts.

The project has a TA attached to it for capacity building for project implementation. GoTN through the HUDD will be the executing agency and TNSCB, TNIFMC, and DTCP will be the implementing

agencies for the TA which will be implemented over 4 years. The TRTA will be administered by ADB.

Key Responsibilities

Key responsibilities of the TA Social Development Expert (Social Safeguards and Gender) will include but not be limited to:

Gender Mainstreaming

- (i) Provide overall support to PMU and PIDs in implementation, monitoring and reporting of GESI action plan;
- (ii) Prepare a GESI implementation schedule in consultation with ADB, for time bound and effective completion of GESI activities;
- (iii) Ensure enrolment of women in graduation program;
- (iv) Ensure 30% of the animators recruited are women;
- (v) Supervise and guide animators;
- (vi) Ensure women's participation in pre-relocation meetings and site visits;
- (vii) Ensure training needs assessment and assessment of local social and economic opportunities at new site is done in a gender responsive manner;
- (viii) Ensure sex disaggregated data is routinely collected, reported and is part of the monitoring and evaluation framework of the Graduation Program;
- (ix) Conduct GESI workshops for project staff of TNSCB, TNIFMC and DTCP;
- (x) Conduct pre and post-GESI workshop assessments to assess learning gains;
- (xi) Ensure that the project maintains sex disaggregated data of staff, consultants, trainings and graduation program;
- (xii) Undertake regular monitoring and documentation of gender results;
- (xiii) Prepare and submit a GESI action plan completion report with gender equality results and lessons learned;

Social Safeguards

Specific responsibilities will include:

- (i) Oversee the preparation of resettlement plans for any new subprojects, confirm existing resettlement plans are updated based on detailed designs, and that subproject resettlement plans are prepared in accordance with the resettlement framework prepared for the project;
- (ii) Review the resettlement plan prepared by the PMU in accordance with the approved resettlement framework consistent with ADB SPS 2009, to be submitted to ADB for review, clearance and disclosure prior commencement of works;
- (iii) Assist PMU to update the Resettlement Plans and ensure disclosure;
- (iv) Provide capacity development training to PMU and PID staff covering (a) sensitization on ADB's policies on involuntary resettlement; (b) introduction to social safeguards assessment and document requirements; (c) consultation and participation requirements; (d) project GRM and ADB's Accountability Mechanism; and (e) monitoring and reporting system.
- (v) Assist in internal monitoring of the resettlement process;
- (vi) Ensure that timely payments of compensation and other entitlements consistent with the agreed entitlement matrix are provided to the affected persons before any physical or economic displacement.

- (vii) Assist to consolidate monthly resettlement monitoring report prepared by the Community Development Officer and ensure submission of quarterly progress report and monitoring reports to ADB;
- (viii) Guide social safeguards staff on all matters related to preparation, implementation and monitoring of social safeguards documents;
- (ix) Assist to ensure that all grievances are recorded and addressed through the grievance redress mechanism in a timely manner, and assist PMU to take swift corrective action where necessary to facilitate redressal of grievances in coordination with contractors, PID and the affected persons;
- (x) Ensure the PID carries out meaningful consultations and ensure the Consultation and Participation Plan is implemented;
- (xi) Ensure that resettlement plans are included in bidding documents and civil works contracts;
- (xii) Ensure timely disclosure of final resettlement plans in locations and form accessible to the public and affected persons;
- (xiii) Coordinate database management for social safeguards implementation and monitoring.
- (xiv) Ensure health and safety considerations including issues related to COVID-19 pandemic, are adequately covered and costed.
- (xv) Any other tasks assigned during course of project implementation.

TERMS OF REFERENCE: TA SURVEY SPECIALIST

Key Qualifications and Experience

The expert (National) should have a Master's degree in social sciences, with at least a 10-year experience in carrying out baseline socio-economic surveys. Familiarity with database management applications, use of web-application for data collection, in large scale resettlement projects is highly desirable.

Estimated person months

The Expert will be appointed for a period of 12 person months, with intermittent inputs

Background of the Project

The Government of Tamil Nadu has requested support from ADB for: (i) relocation and rehabilitation of households living in extremely vulnerable and high-risk areas in cities in Tamil Nadu; (ii) development and implementation of a housing model for industrial workforce; (iii) piloting new models of affordable housing; and (iv) regional planning. The proposed Inclusive, Resilient and Sustainable Housing for Urban Poor Sector Project (IRSHUPSP) in Tamil Nadu will promote access to inclusive, resilient and sustainable housing and urban development by supporting the state in (i) relocating vulnerable communities living in high-risk areas to safe shelter, (ii) providing affordable, proper housing for households and migrant workers from the economically weaker section (EWS) and lower-income group (LIG), and (iii) strengthening the state's capacity to design and implement integrated development plans for its regions.

The proposed project will lead to relocation of persons living in high risk areas to the selected relocation sites for which Resettlement Plans have been prepared for each sub project based on a detailed Census Survey. This Census survey provides the baseline information for the preparation of the Resettlement Plans and identifying the scope of resettlement pertaining to each subproject. The Census also provides the baseline information for the preparation of the Graduation Program, which is a program for urban poor households to restore their livelihoods post resettlement. The project is classified as category A for involuntary resettlement impacts as per the requirements of ADB Safeguards Policy Statement.

The Project Management Unit along with Project Implementation Division is responsible for carrying out the Census surveys for the new sub projects and maintaining the database for the same. The Survey Specialist will be required to the assist the PMU and PIDs in carrying out Census survey in the new sub project site. The specialist will assist in the complete database management of the field information.

Key Responsibilities

Key responsibilities of the Survey Specialist will include but not be limited to:

- (i) build TNSCB's capacity in undertaking socio-economic baseline surveys, for subprojects under IRSHUPSP and other projects of TNSCB;

- (ii) work closely with PMU, circle and divisional offices in guiding and assisting the social team and field engineers in undertaking socioeconomic surveys for different scenarios, viz. baseline, census, sample surveys, midterm and impact evaluation;
- (iii) build the capacity of TNSCB in identification of target population, planning of surveys, developing survey instruments, training of enumerators, supervision of data collection, validation of data collected and compiling data;
- (iv) assist TNSCB in ensuring that surveys are carried out for all projects and the data collected is compatible with the database developed for managing the survey data.