

INDIA

**MUMBAI URBAN TRANSPORT PROJECT
(LOAN NO. 4665-IN; CREDIT NO. 3662-IN)**

**Follow Up to the
Meeting of the Executive Directors of the World Bank (March 28, 2006) on the
Inspection Panel Investigation Report No. 34725 and
Management Report and Recommendation**

**FOURTH PROGRESS REPORT ON IMPLEMENTATION
OF THE ACTION PLAN**

May 21, 2010

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Acronyms

BEST	Bombay Electricity and Suburban Transport Corporation
EMCB	Environmental Management Capacity Building
ESR	Elevated Storage Reservoir
GoI	Government of India
GoM	Government of Maharashtra
GRC	Grievance Redress Committee
IBRD	International Bank for Reconstruction and Development
IDA	International Development Association
IMP	Independent Monitoring Panel
INR	Indian Rupee
JVLR	Jogeshwari-Vikhroli Link Road
KNWA	Kismat Nagar Welfare Association
LEAP	Livelihoods Enhancement Action Plan
lpcd	Liters per capita per day
MCGM	Municipal Corporation of Greater Mumbai
MHADA	Maharashtra Housing Area and Development Authority
MMRDA	Mumbai Metropolitan Region Development Authority
MN	Motilal Nehru
MoU	Memorandum of Understanding
MRVC	Mumbai Railways Corporation
MSRDC	Maharashtra State Roads Development Corporation
MUTP	Mumbai Urban Transport Project
NGO	Nongovernmental Organization
PAH	Project-affected Household
PAP	Project-affected Person
PIC	Public Information Center
R&R	Resettlement and Rehabilitation
RIP	Resettlement Implementation Plan
ROB	Road-over-Bridge
SATIS	Station Area Traffic Improvement Schemes
SCLR	Santacruz-Chembur Link Road
SHG	Self-Help Groups
SRA	Slum Rehabilitation Authority
USD	United States Dollar
USOA	United Shop Owners Association

INDIA
MUMBAI URBAN TRANSPORT PROJECT
(Loan No.4665-IN; Credit No.3662-IN)

**MANAGEMENT REPORT ON STATUS OF IMPLEMENTATION OF THE
ACTION PLAN FOLLOWING THE INSPECTION PANEL INVESTIGATION
REPORT (No. 34725) AND MANAGEMENT REPORT AND
RECOMMENDATION (INSP/R2005-0005/4)**

SUMMARY

1. This is the fourth report documenting the progress in implementing the India Mumbai Urban Transport Project (MUTP) Action Plan following the Inspection Panel Investigation Report (No. 34725) and Management Report and Recommendation (INSP/R2005-0005/4). The Project continues to be implemented slowly within a challenging environment. Since submission of the third progress report in March 2009, negotiations with and resettlement of shopkeepers have progressed and been mostly completed, with the exception of some cases related to land acquisition or religious structures; the issue of income restoration of the affected employees has been addressed; the management of post-resettlement activities (including promotion of sustainable self-management of the resettlement sites), the environment management of the resettlement sites and the institutional mechanism for resettlement and rehabilitation (R&R) implementation have been strengthened; the quality of the R&R process, of database management, and of communication with the Project Affected Persons (PAPs) has improved; and finally, the grievance redress mechanism has been streamlined and the R&R Implementation Manual operationalized.

2. Management is satisfied that the Mumbai Metropolitan Region Development Authority (MMRDA), also the Borrower, has sustained its shift to an approach to resettlement characterized by openness to pursuing negotiated solutions in consultations with PAPs. Management is therefore reasonably confident that MMRDA will be able to complete the remaining R&R process in a compliant manner despite pressing deadlines. Post-resettlement activities overall have been exemplary, in spite of difficulties with handling specific issues such as repairs, and Management considers the post-resettlement process to be on track to be completed with sustainable outcome. In accordance with the provisions of OP 4.12 a project is not considered complete – and the Bank implementation support continues – until the resettlement measures set out in the Action Plan have been implemented. Therefore, beyond loan closure, Management will continue to monitor progress in resolution of outstanding R&R issues through annual technical visits until such issues are fully resolved.

I. OVERVIEW

3. This is the fourth progress report submitted to the Board providing an update on the implementation status of the Action Plan for MUTP, including additional information on new developments. The Action Plan was included in the Management Report and Recommendation that was discussed by the Board of Executive Directors on March 28,

2006, along with the Inspection Panel's investigation report (INSP/R2005-0005/4). The present progress report follows three earlier reports on the Action Plan, respectively submitted on March 7 (SecM2007-0096), December 7, 2007 (SecM2007-0511) and April 23, 2009 (SecM2009-0213).

4. The last progress report documented MMRDA's efforts to implement the Action Plan, highlighting the post-resettlement support activities. Earlier, the second report, submitted in December 2007, discussed steps taken to introduce a gradual shift in MMRDA's approach to R&R towards an adaptive and problem-solving one, exploring negotiated win-win resettlement solutions for large and medium size shopkeepers and title holder residential PAPs. MMRDA has continued to maintain this shift in approach since 2007. This was evident in the manner in which MMRDA recently negotiated the resettlement issue with 260 legal resident families living in 13 buildings provided by the Maharashtra Housing and Area Development Agency (MHADA) along the Santacruz-Chembur Link Road (SCLR) and proactively responded to and amicably resolved a request made to the Panel by Messrs. Deepak Mehta and Co., absentee land owners from Jogeshwari-Vikhroli Link Road (JVLR) in June 2009.¹

5. The Project has so far progressed well, albeit at a much slower pace than originally anticipated. The efficiency of suburban train operation has increased, with a rise in peak time capacity by 7-10 percent and a reduction in commuting time by 4-9 minutes for about 6 million citizens as a result of track doubling and relocation of thousands of squatter families living along the rail tracks.

6. Progress in implementation of the Borrower Action Plan has been overall satisfactory. A brief outline of progress made to date in implementation of the 10 key actions is provided below.

- (i) Negotiations with and resettlement of shopkeepers (*Action 1*) have been completed in the case of JVLR and mostly in the case of SCLR, except a few involving land acquisition. The resettlement of shopkeepers affected by Railway sub-projects was completed earlier; and the Road-over-Bridges (ROBs) have been removed from the Project as a part of restructuring.
- (ii) The issue of income restoration of the affected employees (*Action 2*) has been addressed by providing for the payment of one year's income as assistance in the event of job loss, which has been publicized. Identity cards have been issued to the employees for such assistance.

¹ The Panel in its Report and Recommendation on Request from the Mehtas (No 49873-IN August 7, 2009) recorded satisfaction regarding MMRDA's response to the Request thus: "In their electronic communication sent to the Panel, the Requesters express satisfaction with this arrangement and thank both the Inspection Panel and the World Bank Management for their '*cooperation and initiative*' in helping them '*settle the matter.*' **The Panel wants to record the positive contributions of all parties to this process which led to an early resolution of the Requesters' concerns.**"

- (iii) Improvement in the management of post-resettlement activities (*Action 3*) has been sustained over the last four years. MMRDA continues to follow up on implementation of a post resettlement action plan for sustainable self management of R&R sites carried out earlier with the help of a professional consultant. Registration of 90 percent of the housing societies in occupied buildings has been completed with maintenance funds and community management funds transferred to about 90 percent, and common social facilities handed over to 100 percent of these registered societies. Social service facilities have been set up in major resettlement sites including schools at Mankhurd and Anik; a community hall/health center at Majaj and flour mills in others. MMRDA has started an assessment of demand and land availability for setting up service facilities including health centers, community halls, schools, etc. at different resettlement sites. The water supply and transport situations have considerably improved compared to March 2006.
- (iv) The environmental management of the resettlement sites (*Action 4*) has been strengthened with the preparation and implementation, with the help of a professional consultant, of an environmental management capacity building plan. The majority of repairs related to civil work at resettlement buildings have been completed (in 42 out of 52 buildings identified with problems) and waste management in resettlement sites has improved. MMRDA and the Municipal Corporation of Greater Mumbai (MCGM) have agreed on a timeframe for finalizing modalities for fuller integration of the resettlement sites into the city's urban services network.
- (v) The institutional mechanism for R&R implementation has been strengthened (*Action 5*) with the streamlining of the role of the nongovernmental organizations (NGOs) and staff enhancement of the R&R Cell.
- (vi) Several steps have been taken to improve the quality of the R&R process (*Action 6*), which include: finalization and disclosure of the Implementation Manual and its application; better data management; disclosure of Baseline Surveys and Resettlement Implementation Plans (RIP) prior to actual relocation; regular implementation reporting; issuance of identity cards to 94 percent of the resettled PAPs; relocation of a majority of affected religious/community structures through negotiations; reconstitution of the Independent Monitoring Panel (IMP), which has been effectively monitoring resettlement colonies.
- (vii) Database management (*Action 7*) has considerably improved with updating of the baseline surveys and PAP eligibility lists, and MMRDA continues to refine the new Oracle database system.
- (viii) Communication with the PAPs (*Action 8*) has improved with disclosure of R&R related information on the MMRDA website and at its public information center (PIC), and through frequent meetings with the PAPs.
- (ix) The grievance redress mechanism has been streamlined and the hearing procedure widely publicized (*Action 9*), which has contributed to efficient resolution of 95 percent of cases placed before the field level grievance committee and 89 percent

before the senior level grievance committee. The independent Impact Assessment Study records a high degree of PAP satisfaction with the grievance redress process.

- (x) Finally, the R&R Implementation Manual (*Action 10*) has been finalized, disclosed, and put into operation.

7. Since submission of the third progress report in March 2009, MMRDA has made progress on relocating the remaining structures along SCLR and JVLR to speed up civil works; and in carrying forward the post-resettlement activities to ensure long-term sustainability of the Project. The relocation process has been completed for JVLR except for two commercial structures, a temple, and the boundary wall for a cremation ground. Along SCLR major progress in clearing work fronts for civil work was achieved by signing the Memorandum of Understanding (MoU) with the majority group of United Shop Owners Association (USOA) representing 85 shopkeepers, and by removing 13 multi-storey residential buildings and key religious/community structures. MMRDA is following up on the post-resettlement action plan implemented earlier with the help of a professional consultant for strengthening people's capacity to manage their own affairs in the resettlement sites. The resettlement process continues to benefit from the advice of the IMP, which has been monitoring the R&R situation. The Livelihoods Cell of MMRDA has started implementing the Livelihood Enhancement Action Plan (LEAP) prepared with the help of a consultant to support income restoration activities among resettled PAP groups. MMRDA has progressed towards handing over management responsibilities to the PAP cooperative housing societies (CHS) in R&R colonies by accelerating registration of societies, and providing them with financial and capacity building assistance. Areas that require further attention include: relocating remaining shops and residences along SCLR and community and religious structures along JVLR and SCLR; improving the coordination of civil works with the implementation of R&R activities; and completing the Exit Strategy for the resettled PAP societies that will complete the rehabilitation process.

8. **Progress in resolving the concerns of the Requesters.** The concerns of the first group of Requesters, shopkeepers along the SCLR, have been almost resolved. One group of the SCLR shopkeepers, the Kismat Nagar Welfare Association (KNWA), signed a MoU with MMRDA in 2007 for a private *in-situ* resettlement scheme; the other group of shopkeepers, the USOA split into two, and the majority group recently signed a MoU with MMRDA for their resettlement in a new shopping complex to be developed at Motilal Nehru Nagar located in Mumbai's new business district, Bandra-Kurla Complex (BKC). The other USOA group of 50 odd shopkeepers has long favored the *in-situ* resettlement scheme chosen by KNWA; however it has yet to sign any MoU with MMRDA to this effect. The second group of Requesters, Gazi Nagar, has relocated from SCLR to a non-MUTP site of their choice. With respect to the third group of Requesters, the Bharti Nagar residents along the SCLR, MMRDA has clarified that the Project will neither affect nor disturb these Requesters. The fourth group of Requesters, the shopkeepers affected by Jogeshwari ROB has not been resettled. Now that the ROB has been removed from MUTP as part of Project restructuring, this group will be resettled as per the agreed procedure explained in Annex 5 of the third progress report.

9. **Looking forward.** The Project is scheduled for closure on June 15, 2010; a further extension has been requested and is under the Bank's consideration. If the project gets extended, the Bank team will continue to provide MMRDA technical support for implementing the Action Plan and the construction works and will monitor implementation progress with a close eye on policy compliance. Supervision will include frequent interaction with the implementing agencies, site visits, and follow-up as needed. Overall, the quality of compliance in the R&R component has improved and the focus of technical support and monitoring has gradually shifted to strategic implementation issues. The Bank continues to closely monitor and advise on the quality of the resettlement process, the progress of various activities and the quality of safeguard compliance. Bank Management will report in year's time on progress made in the implementation of the Action Plan.

II. DESCRIPTION AND STATUS OF THE PROJECT

10. The Project continues to be a highly challenging undertaking in urban development. MUTP aimed to improve road and rail transport infrastructure and was approved by the Bank's Board of Executive Directors on June 18, 2002 (Loan No. 4665-IN; Credit No. 3662-IN).² Project restructuring, with an extension of the closing date until December 2009, was approved by the Executive Directors on September 30, 2008. The total Project cost is now USD 1.1 billion, of which USD 463.0 million is financed by an IBRD Loan, SDR 62.5 million (USD 92.0 million equivalent) by an IDA Credit, and additional financing of USD 568 million from the Government of India (GoI). The Project is being implemented by several entities and coordinated by MMRDA.³ The Project was extended thrice for a cumulative period of 23.5 months, its current closing date is June 15, 2010, and request for further extension is under the Bank's consideration.

11. In 2008, the Project was restructured (R2008-0202, September 19, 2008) to focus on a more limited set of key activities to have a better likelihood of successful completion. Activities removed from the Project under restructuring include, inter alia, the Station Area Traffic Improvement Schemes (SATIS) and the ROBs for which construction had not yet started due to difficulties regarding design or land acquisition. The R&R procedure to be adopted for resettling people to be affected as and when these activities will be undertaken, which will differ from the Bank procedure, was explained in the last Progress Report.⁴

² It should be noted that during the preparation phase, the R&R aspects were for some time considered to be implemented as a separate, but complementary project, the Mumbai Urban Rehabilitation Project.

³ The Mumbai Railways Corporation (MRVC); the MCGM; Bombay Electricity and Suburban Transport Corporation (BEST); Maharashtra State Roads Development Corporation (MSRDC); Traffic Police of Mumbai; and MMRDA on behalf of the Government of Maharashtra (GoM) and the Borrower, the GoI. As well as being the coordinating agency, MMRDA is responsible for implementing the R&R component on behalf of all the implementing agencies.

⁴ The proposed R&R procedure differs from the MUTP policy in two respects: (a) the PAPs will have to choose relocation to one of the available resettlement sites within a month of relocation notification; (b) the relocation will be carried out under the guidance of the IMP, but not under Bank supervision. The Bank accepted this procedure in view of the following: (a) entitlements offered are the same as the MUTP policy; (b) the grievance process will be same as that adopted for MUTP; (c) the client will carry out resettlement

12. The Project after restructuring includes the following components:

- **Component 1 -- Rail Transport**, the main activities of which are: (a) improvement of capacity and performance of the suburban rail network of the Central and Western Railways through provision of infrastructure (track additions, signaling systems, power, etc.) and new rolling stock (101 9-car electric motor units); and (b) technical assistance.
- **Component 2 -- Road-based Transport**, the main activities of which are: (a) selected area traffic control and traffic management infrastructure schemes implemented by MCGM; (b) buses (644) procured by BEST; and (c) road widening to facilitate two East-West linkages, the JVLR and the SCLR, implemented by MMRDA and the MSRDC.
- **Component 3 -- Resettlement and Rehabilitation (R&R)**, comprising mainly: construction of housing, and provision of services for R&R of Project-affected families, implemented by MMRDA and financed with an IDA credit.

13. **Progress towards Attaining Objectives:** The Project has progressed towards achieving its development objectives, albeit slowly, due to several factors including land acquisition and R&R, lack of effective inter-agency coordination, delay in engineering designs and procurement of rail cars, and lack of effective project management. There is substantial improvement in transport service in terms of quality and comfort as a result of adding new trains, replacing 644 old buses with new ones, and installing synchronized traffic signals. However, the pace of implementation has been slow reflected in low disbursement levels (average of 68 percent).

Table 1: Project at a Glance

Project Financing at Appraisal (2002):	At Appraisal (2002) USD million	After Restructuring (2008) USD million
IBRD*:		
<i>Component 1 (Rail)</i>	463.00	463.00
<i>Component 2 (Road)</i>	304.90	304.90
IDA:	150.50	150.50
<i>Component 3 (R&R)</i>	79.00 (SDR 62.5)	92.00 (SDR 62.5)
GoI:	79.00	92.00
TOTAL	403.00	568.00
	945.00	1123.00
Disbursed		March 31, 2010
IBRD:		309.56 (67%)
IDA:		64.92 (71%)
TOTAL		374.49 (67.5%)

Note 1: exchange rate at time of restructuring (1 SDR = 1.57 US\$) applied on undisbursed balance

Note 2: the total value of the Loan/Credit amount has slightly increased in US dollars terms as a result of the restructuring, from USD 542 to 555 million;

* including the Project Preparation Facility and Front End Fee of USD 7.63 million.

for the remaining PAPs under the guidance of the IMP, which has played an effective role in monitoring the R&R process with a positive influence on the outcomes.

14. The Inspection Panel Investigation. The four Requests for Inspection were submitted on behalf of several hundred residents and shopkeepers in 2004. Most of the Requesters, including those with the most complex cases, are located along SCLR. Section III below sets out in detail implementation of the Action Plan, which addresses key concerns raised by the Inspection Panel, including:

- Resettlement of medium- and large-size shopkeepers (Actions 1 and 2);
- Quality of baseline survey data (Actions 3 and 7);
- Management of post-resettlement activities (such as registration of housing cooperative societies, transfer of maintenance funds, adequate water supply and transport facilities, environmental management of resettlement sites, and institutional capacity) (Actions 3, 4, 6, 8, and 10);
- Grievance redress process (Action 9); and
- Supervision (Action 5).

III. ACTION PLAN

A. KEY OUTCOMES

15. Implementation of the Action Plan shows consolidation of the improvement in the quality of implementing R&R, which has led to better results for PAPs. MMRDA has resettled 4,378 households (residences and shops) in the last 48 months (since the Management Report and Recommendation was submitted to the Panel and the Executive Directors in February 2006). To date, 18,624 households (or 95.5 percent of the total) have received alternative houses or shops, or have decided to resettle in partially affected structures or under other resettlement schemes. About 98 percent of residential PAPs and 71 percent of shopkeepers have been relocated to permanent houses/shops (61 percent of medium- and large-size shopkeepers and 77 percent of the small shopkeepers have been resettled.). Key achievements are listed below and details are in Annex 1.

Table 2: Status of Resettlement (February 1, 2010)

Unit Type	Totals	Recast Totals	Resettled (as of 1/31/06)	Resettled (as of 12/31/06)	Resettled (as of 9/1/07)	Resettled (as of 2/1/09)	Resettled (as of 2/1/10)	To be Resettled
House holds	17,378	17,420	13,877 (80%)	15,315 (88%)	15,784 (91%)	16,580 (95%)	17,134** (98%)	286 (2%)
Shops:	2,469	2071	369 (14%)	752 (29%)	1,104 (43%)	1,437(70%)	1,490*** (71%)	581 (30%)
<i>[Of which > 225 sq.ft.]</i>	<i>[800]</i>	686		84 (10.5%)	227 (28.4%)	419 (61%)	419 (61%)	267 (39%)

Total:	19,847	19,491	14,246 (71%)	16,040 (80.4%)	16,888 (84.7%)	18,017 (92%)	18,624 (96%)#	867* (4%)
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* The estimate for the number of PAPs remaining to be resettled was recast after Project restructuring based on data provided by MMRDA. The number of shopkeepers to be resettled may still come down since the 3 ROBs and the SATIS have been removed from the Project as part of restructuring. The shopkeepers from these sub-projects number 676 (Table 3, Annex 2 of Management Report No ISNP/34725-IN). Out of these, only 13 have been resettled so far and many of the remaining shopkeepers may not opt for resettlement under MUTP since the sub-projects were dropped, preferring to continue their businesses in their original locations. Those who do opt for resettlement under MUTP will be resettled following the agreed procedures (Annex 5 of the Third Progress Report).

** Includes 34 households who have opted for resettlement under non-MUTP Slum Rehabilitation schemes; 51 households that opted for partial retention; 46 households that continued unaffected; and 134 that consensually relocated to accommodate reconstruction of affected religious/community structures.

*** Includes 47 commercial PAPs, who have joined *in-situ* scheme at Kismat Nagar and vacated their impacted structures; 15 who have opted for partial retention; and 46 shops that continued business at same place. This figure however does not include 85 USOA shopkeepers who have signed the MoU and are likely to clear their shops.

#percentage figures for the last resettlement status calculated against the recast Totals.

16. Further progress has been achieved with resettlement since the submission of the last progress report in April 2009:

Shopkeepers:

- The status of resettlement of large-size shopkeepers has remained at 61 percent over the last one year, but is expected to improve once the MoU recently signed with the majority USOA group of 85 large/medium shopkeepers is implemented.
- The overall progress for the shopkeepers' resettlement has increased from 24 percent in February 2006 to 71 percent (see details in Table 2 and Annex 1). This figure will further improve once a clear picture emerges regarding how many of the remaining ROB shopkeepers opt to be resettled under MUTP.
- There has been a resolution of resettlement issues with the SCLR shopkeepers, including the signing of a MoU for a private *in-situ* resettlement with some shopkeepers (KNWA), and the MoU with the 85 USOA shopkeepers, who represent 15 percent of the large shopkeepers, for their relocation to a new shopping complex to be developed at Motilal Nehru (MN) Nagar in the Bandra-Kurla Complex, the new business district in Mumbai which is the preferred choice of relocation for the shopkeepers.

Post-resettlement:

- MMRDA continues to make progress in implementing the post-resettlement support action plan in order to promote and strengthen sustainable self-management of the R&R sites.
- An environmental action plan, prepared with the help of an environmental management capacity building (EMCB) consultant is being implemented with the aim of improving environmental management in the R&R sites.

- The registration of cooperative societies has increased from 46 in March 2006 to 174 in January 2010 (about 93 percent) of 187 existing societies, with an additional 7 having commenced the registration process;
- Transfer of common facilities (society offices, welfare and women's centers) is completed for 179 partially- or fully-registered societies (96 percent);
- Identity cards have been issued to some 18,432 Project-affected households (PAHs), representing about 94 percent of the total PAHs and 98.5 percent of the resettled PAHs;
- Significant progress has been made in providing post-relocation financial assistance to the PAP cooperative societies: building maintenance funds have been transferred to joint accounts of 157 out of 174 (92 percent) registered societies; outstanding interest on maintenance funds have been paid to 150 out of 174 (82 percent) societies; and community management funds handed over to 155 out of 174 (89 percent) registered societies.

Other activities:

- The Livelihoods Cell established at MMRDA has started to implement the LEAP with the help of a professional consultant to promote and coordinate income generating activities among resettled women, and provide capacity-building measures for income restoration; and
- MMRDA has prepared 92 out of the 174 registered (52 percent) PAP societies for program exit using exit indicators, with repair and re-fix works completed for 42 buildings out of 52 identified with problems. The procedure for program exit will involve certification of fulfillment of exit indicators by the Deputy Registrar of Societies with approval from the IMP.

17. MMRDA has appointed a full time Chief-Post R&R to augment the pace of post-resettlement support activities and implement the exit strategy in a sustainable manner. The IMP continues to play a helpful role in the resettlement process, including facilitating dialogue with PAPs and monitoring improvement in living conditions at the resettlement sites.

18. **Negotiations with large shopkeepers have progressed carefully.** Of the 686 large shopkeepers, (i.e., those with premises greater than 225 square feet), some 419 (or 61 percent) have been resettled to date, including 188 large shopkeepers along the SCLR. MMRDA's hard efforts to explore mutually acceptable resettlement solutions through negotiations with PAPs explain the slow relocation process. Along JVLR, resettlement for all but two shopkeepers including title holders has been completed. Along the SCLR, MMRDA has signed MoUs with the two key shopkeeper groups including the KNWA and the majority USOA group. This USOA group has started clearing its shops as per the MoU to enable civil work. The breakaway USOA group of some 50 shopkeepers who earlier preferred to join KNWA opting for the private *in-situ* resettlement scheme is yet to

sign a formal MoU with MMRDA to this effect, failing which MMRDA may relocate them applying the procedure for failure of negotiations.

19. Remaining key challenges in achieving full implementation of the Action Plan include: resolving cases involving litigation and relocation of affected religious and a few other community structures and utilities. (A summary table showing the locations and specifics of resettlement-related impediments is provided in Annex 4.) MMRDA continues to face non-cooperation from landowner PAPs, especially along SCLR. It has recently initiated legal procedure for land acquisition to relocate these land owner PAPs including some 15 shopkeepers and the residents of 3 MHADA buildings at Netaji Nagar.

B. Management Action Plan

20. Following the Project restructuring in September 2008, Management continued to monitor closely the actions taken by the Borrower to improve the speed of Project implementation. Over the last two years, monitoring has been done against an implementation schedule for completing specific tasks (including R&R actions for various sub-projects) with clear timelines and roles and responsibilities set out using project management software. The monitoring process involved regular joint stock taking by participating agencies and steps to strengthen inter-agency coordination. On realizing that scheduling did not help real targets to be achieved on time without a fuller appreciation of the implementation management issues involved, MMRDA hired a professional Management Consultant (KPMG), on the advice of Bank Management, to identify and address project management issues affecting progress. The Bank implementation support team regularly visits the Project to review progress and continues to follow up on agreed actions. The key remaining impediments include land acquisition cases, relocation of community structures and utilities and the resettlement of shopkeepers (see details below).

21. Management has been working closely with the Borrower and affected communities to resolve issues identified in the Action Plan, in particular, R&R. Most of the issues with respect to the overall management of R&R, including grievance process, communications, and implementation of the post-resettlement action plan, have been resolved and implementation progress has been slow but satisfactory. Members of the Bank's implementation support team have made 38 visits to Mumbai between March 2006 and March 2010 (including seven visits by the Social Development Specialist focused on MUTP); maintained intense implementation support of the Project; remained engaged with MMRDA and the GoM on key issues; and have kept interacting with PAP groups to understand their problems (see Annex 2, List of Supervision and Other Key Missions). Major missions and visits undertaken to review progress and discuss key issues since the last progress report include: the visit by the World Bank Senior Vice President (External Affairs) and interaction with MUTP PAPs on February 5, 2009⁵ and two full implementation support missions in July 2009 and February 2010.

⁵ This visit happened while the last progress report was being prepared and could not be captured in the report at the time.

22. Management regularly receives requests from PAPs seeking clarifications or additional information and expressing grievances or deficiencies in the process of resettlement, including those related to entitlements, consultations/disclosure, etc. Management maintains a database on all such communications and requests, and follows up with MMRDA to ensure that applicable R&R benefits are provided to eligible people, that grievances or problems are attended to, and any additional information is provided as appropriate. Management also meets with the Requesters during implementation support missions and as necessary, organizes specific visits to meet with them, and follows up with MMRDA. The data base for tracking and managing communications from the PAPs is continuously updated and has been managed at the World Bank New Delhi Office since October 2005. About 50 such requests were received since the last progress report bringing the total to 850, all of which have been replied to and followed up with the implementing agencies wherever necessary. The large number of requests from the PAPs or groups of PAPs reflects increasing awareness among people regarding their rights and entitlements and in some cases expectations for the Bank to intervene in order to resolve any outstanding case in the PAP's favor. The study commissioned by the Bank on Urban Resettlement Management by Management to offer technical guidance to the Borrower regarding urban R&R has been finalized and shared with the GoM.

C. Borrower Action Plan

23. The status of issues under the current Board-endorsed Action Plan is discussed below and summarized in Annex 3:

Action 1: Negotiations with each eligible shopkeeper will be held on the basis of options listed in the Action Plan when applicable. Agreements reached will be recorded and implemented.

24. The resettlement of shopkeepers along the JVLR, including land titleholders and those having medium- and large-size shops, has been completed, except for one case involving court litigation and another requiring restructuring of a fuel station beyond the road alignment. The protracted and challenging negotiation process with Kismat Nagar shopkeepers along SCLR is nearing a conclusion with the majority USOA group signing the MoU with MMRDA for their relocation to a new shopping complex at MN Nagar in BKC. Earlier, the KNWA group had signed a MoU with MMRDA for a private *in-situ* resettlement scheme. To date, more than half of the affected SCLR shopkeepers have been resettled. The challenge now will be to commence the shopping complex scheme at MN Nagar; and deal with the breakaway USOA group of 50 shopkeepers that have not signed any MoU with MMRDA for resettlement, and who may be relocated under the procedure for failure of negotiations. MMRDA has initiated legal procedures to relocate some 15-20 land owner shopkeepers along SCLR that have stayed away from these negotiations.

Action 2: MMRDA will publicize policy provisions related to making available up to one year of income on a one-time basis to those affected employees who are not reemployed as a result of Project resettlement and will process the requests as and when received.

25. Information regarding R&R benefits for affected employees explained in the Implementation Manual (page 12) is available for reference in the PIC at MMRDA and on MMRDA's website (www.mmrda.mumbai.org). Affected employees losing their job are entitled to receive a one-time assistance equivalent to one year's income. The affected employees are given identity cards prior to displacement in order to enable them to obtain assistance in the event of loss of employment.

Action 3: MMRDA will improve its resettlement implementation mechanisms through various measures such as: (a) registration process for PAP cooperative societies and cooperative management plan; (b) undertaking construction of additional social services at R&R sites; (c) transferring maintenance funds from the Slum Rehabilitation Authority (SRA) to PAP cooperative societies; (d) transferring conveyance deeds from MMRDA to the cooperative societies; (e) providing building maintenance manuals and brochures for supporting proper management of cooperative societies; (f) taking steps to improve water supply at resettlement sites; (g) improving transport connectivity at resettlement sites; and (h) undertaking impact assessments to determine the improvements in the living standards and proposing remedial measures for any improvement required as a result of assessment findings.

26. Registration Process for PAP Cooperative Societies and Cooperative Management Plan. Some 187 partially or fully occupied buildings have functional societies with or without formal registration. To date, 174 societies have been fully registered (compared to 157 societies registered as of January 2009) with another 7 societies having completed name registration. MMRDA has transferred common facilities (society office, child welfare, center, and women's welfare center) to 179 societies, compared to 168 societies a year ago.

27. MMRDA continued the post-resettlement support program with its own staff after the professional consultant's assignment ended in June 2008; under this program, an action plan for strengthening self-management of resettlement sites was prepared and implemented. Management training for institutional development has enabled the PAP cooperative societies to function sustainably, periodically electing their management committees; using household contributions to meet recurring expenses, such as common electricity and water bills, cleaning, and remuneration for teachers at the child care centers; and managing their own accounts. As of January 31, 2010, 92 societies had received the full course of management and financial management training, management committee elections had been held for 171 societies; 157 societies had completed financial audit of their accounts; and 102 societies had paid all pending water bills.

28. Construction of Additional Social Services at R&R Sites. As noted in the last progress report, two primary schools built by MMRDA are run by MCGM at Mankhurd and Anik resettlement sites, and a large secondary school had started operations in Mankhurd. In addition, a few informal education centers run by Sarva Shiksha Abhiyan (Universal Literacy Mission) and private schools managed by charities in and around the R&R sites also benefit the resettled children. MMRDA has set up a community center at the Majas site which will double as a primary health care center and has provided four flour mills at different R&R sites. It has appointed an architect to assess the demand for

various social facilities as well as the available vacant plots in various resettlement sites, so that a plan for setting up social facilities can be finalized. In April 2008 the Urban Development Department of the GoM took a policy decision to provide primary schools, dispensaries and health care centers at all large R&R sites developed in Mumbai, if such facilities are not available within 1 kilometer of the site.

29. Transferring Maintenance Fund Interest and Conveyance Deeds. Transfer of interest on maintenance funds has been updated for 150 cooperative societies and MMRDA has opened joint bank accounts for 157 societies for keeping the capital amount of maintenance and management funds. Community management funds have been transferred to 155 societies. The borrower has informed that the transfer of conveyance deeds will be processed after completion of the post resettlement activities.

30. Providing Building Maintenance Manuals and Brochures to Societies. MMRDA has distributed maintenance manuals and brochures on society management to the registered cooperative society committees. Additional information, education, and communication materials on society management and cohesive living developed by the post-resettlement consultant are being disseminated to the housing cooperative societies to strengthen self-management of assets and facilities.

31. Steps to Improve Water Supply at Resettlement Sites. The improvement in the water situation since the summer of 2006 has been sustained, with more regular water flow except during April and May when Mumbai as a whole faces a supply deficit. MMRDA along with MCGM has largely addressed the inadequacy in water supply due to low pressure at the Anik and Mankhurd sites. The following steps have been taken to improve water supply in the R&R sites: (a) construction and commissioning of an elevated storage reservoir at Mahul; Chembur; (b) testing and commissioning of a water pumping station at Trombay; and (c) commissioning of a pipeline to an outlet distribution network at Trombay also. These activities are expected to sustainably augment water supply to Anik. The water supply at the resettlement sites is now quite comparable to that in most parts of Mumbai.

32. Improving Transport Connectivity at Resettlement Sites. Since the last progress report, BEST has continued to operate buses connecting the Anik and Mankhurd sites with the main city centers. The Anik-Chembur site is accessible via 11 bus routes on which 107 buses make 929 trips; some 255 buses make 1,504 trips using 25 bus routes to the three closest access points surrounding the Mankhurd resettlement site. MMRDA has begun construction of a skywalk connecting the Kanjurmarg resettlement site with the nearest suburban railway station. MMRDA has also decided to set up a similar skywalk to connect the Mankhurd resettlement site.

33. Independent Impact Assessments to Determine Improvements in Living Standards and Remedial Measures. The previous progress report discussed the outcome of the independent resettlement impact study undertaken by the Tata Institute of Social Sciences, Mumbai, covering the Anik, Mankhurd and Majas resettlement sites. The study highlighted 80 percent PAP satisfaction with resettlement buildings; an increase in average monthly household incomes and 80 percent job retention among

relocated PAPs; the purchase of additional household assets; and an enhanced sense of social security. The study also noted the loss of supplementary incomes by women earlier employed in mixed communities, building repair issues, etc. MMRDA has initiated remedial measures, including establishment of a Livelihoods Cell to promote income generating activities; repair works in several resettlement buildings; and allotment of shopping kiosks/work sheds to poor PAPs. A final R&R Impact Assessment Study will be commissioned at the time of Project completion.

34. The Livelihoods Cell established by MMRDA promotes and supports income generating activities among the resettled women's groups. Some 11,700 women have been enrolled in different group based income activities through self-help groups (SHGs): the NGO SPARC-Mahila Milan has enrolled 9,889 women in a micro-credit scheme, with cumulative savings of INR 7,649,404 (USD 170,000); the NGO SRS has enrolled 791 women, most of whom are provided with vocational training for income activities; MMRDA's Livelihoods Cell has directly formed 66 SHGs with 1,020 members, some of whom have formed an Industrial Women's Cooperative named "Sankalp" ("resolve") to undertake micro-enterprise activities.⁶ At Anik, the CAP Foundation⁷ continues to conduct employment training programs for resettled youth. MMRDA began planning and implementation of the LEAP for about 700 poor women SHG members, about 350 of whom have already found employment. The Livelihoods Cell anchors and coordinates diverse livelihood initiatives for restoring people's incomes in resettlement colonies. MMRDA identified 215 vulnerable families in Anik and 224 vulnerable families in Mankhurd, and provided 15 work sheds to some of these families at Anik. More work sheds for poor families are being built. Earlier, MMRDA had organized an 'opportunities fair' for youth, in which 427 young people participated. Among the difficulties encountered, public interest litigation was filed against MMRDA's offer of hawking sheds on the sky walk to the Railway station to the shopkeepers resettled at Kanjurmarg. The construction of the skywalk has been completed.

35. MMRDA has ensured concessions in property and water charges levied in order to enable the families living in resettlement colonies to adapt to the new conditions which require them to pay property tax and for water⁸. MMRDA facilitated the participation of people living in resettlement sites in the state assembly elections by ensuring that they were issued voter identity. The majority of building repairs have been completed in 42 out of 52 resettlement buildings identified with problems. MMRDA has prepared an action plan to complete the remaining repair works for another 20 buildings that have reported problems. This action plan will be implemented at an estimated cost of about INR 2.5 million following formal agreement with the PAP societies, who will henceforth address recurring maintenance issues on their own. The Grievance Redress Centers established at five R&R sites to strengthen estate management and address maintenance related complaints have been functioning.

⁶ These activities include making and selling greeting cards, office stationery, and traditional earthen lamps; food processing; buying and selling sarees, etc. While the women's groups in Anik and Mankhurd are producing handmade consumer items, the women's group at Kanjurmarg has set up a small bakery.

⁷ MMRDA and the Corporate Social Responsibility wing of the Tata Consultancy Services have engaged the CAP Foundation to teach English and computer skills to the resettled youth.

⁸ Earlier the PAPs lived in slums and neither had to pay property tax nor for water they consumed.

Action 4: MMRDA will assist cooperative societies to maintain public assets and take measures for solid waste management in resettlement sites.

36. Following up on the implementation of the post-resettlement action plan by the professional consultant, MMRDA has continued to facilitate registration of societies and provide them with eligible technical and financial support; and has been preparing them to take over responsibilities for managing their assets and surroundings. An exit strategy had been prepared by MMRDA, satisfactory to the Bank, to conclude the post-resettlement. According to the exit indicators for individual buildings, 92 societies are ready to take over responsibilities.⁹ MMRDA will prepare and submit exit proposals for individual housing societies, which will take effect after being reviewed and approved by the Deputy Registrar of Societies and the IMP. Proposals to conclude R&R programs for any resettlement colony will take effect after the same have been reviewed and approved by the IMP, which may undertake field visits to reconfirm facts on the ground. The exit indicators for resettlement sites include: (a) MCGM assumption of street light and conservancy responsibilities, including waste management, sewerage, and drainage maintenance; (b) formation of a federation of PAP societies, where feasible; and (c) resolution of urgent civil works problems that present safety risks (e.g., missing manhole covers). The exit strategy has been agreed upon and disclosed on the MMRDA website.

37. For site exit, the EMCB consultant has prepared location specific action plans that are being implemented. MMRDA continues to implement environmental management plans for all sites. The community-managed waste disposal unit set up under a pilot plan at Kanjurmarg is functioning. The sustainability of resettlement sites will largely depend on their integration into the urban services network, which has been delayed. MMRDA and MCGM are working out modalities for transfer of the resettlement sites to MCGM, which will maintain the roads, street lights, waste disposal, storm water drains, and sewage management for the sites. The formal institutional arrangement, delayed due to lack of consensus, is expected to be achieved in the next few months. MCGM has commenced waste collection from various pick-up points in the R&R sites; and MMRDA for its part has started coordinating efforts with MCGM officials.

⁹ The achievement of overall exit indicators is as follows: (a) society registration completed for 174 buildings; (b) transfer of common facilities completed for 179 buildings; (c) transfer of community management funds (CMF) completed for 155 societies; (d) opening of joint accounts for depositing maintenance and management funds completed for 157 societies; (e) payment of interest on maintenance funds until the joint accounts are opened completed for 150 societies; (f) regular payment of water and electricity bills (bills should not be outstanding for over 6 months) updated for 103 societies; (g) completion of urgent repair works to minimize adverse safety implications completed for 42 out of 52 societies reporting problems; (h) completion of the yearly statutory audit of society accounts completed by 157 societies; (i) democratic management of the PAP cooperative societies (at least one election held to choose the management committee) done by 171 societies; and (j) housing society members trained in management skills in case of 92 societies.

Action 5: MMRDA will strengthen its institutional arrangements for day to day management, assess NGOs' capacity and roles and prepare and implement a training program for sensitization and skills improvement of staff, NGOs and others involved in implementation.

38. MMRDA has strengthened its R&R capacity with additional staff, including a Social Development Specialist, Community Development Assistants, a Deputy Registrar of Societies, and a Special Land Acquisition Officer. The post-resettlement consultant completed its assignment and ended its contract. To continue the post-resettlement activities, MMRDA hired two executive engineers and three social work professionals, in addition to the Livelihoods Cell that promotes income generating micro-enterprise activities in resettlement sites. Steps taken by MMRDA to streamline roles and responsibilities of NGOs, consultants, and its own staff, explained in the previous progress report, have been sustained without any changes to the agreed guidelines. A new Chief-Post R&R has been appointed in order to strengthen the program exit process and to provide more time to the Chief-R&R to focus attention on relocation activities.

Action 6: MMRDA will improve its R&R process through measures such as: (a) finalizing the R&R implementation manual to define the procedures; (b) expediting the finalization of outstanding RIPs; (c) expediting the issuance of identity cards and payment of shifting allowances; (d) assessing the magnitude of relocation of community assets and synchronizing their relocation with the civil works time table; and (e) the GoM filling the position of IMP Chairman and clarifying the IMP's role.

39. Finalizing the R&R Implementation Manual to Define Procedures. The updated R&R Implementation Manual is available at the PIC and on MMRDA's website.

40. Expediting the Finalization of Outstanding Resettlement Implementation Plans (RIPs). There is no outstanding RIP to be prepared for completing remaining R&R activities.

41. Expediting Issuance of Identity Cards and Payment of Shifting Allowances. MMRDA has issued 18,342 identity cards to resettled PAHs (compared to 17,467 identity cards issued as of January 31, 2009), which is about 98.5 percent of those resettled.

42. Assessing Magnitude of Community Asset Relocation and Synchronizing with Civil Works Timetable. There has been significant progress in relocating community and religious structures and other assets in the last 12 months, despite strong social sensitivities involved. MMRDA was able to relocate host communities¹⁰ in order to reconstruct three mosques, two temples, one social welfare center, and two electric pylons along SCLR, and one temple and one cremation place along JVLR. The relocation

¹⁰ A host community is the community located on an area selected to relocate a structure that has to be demolished in order to allow the construction of the road, but that needs to be reconstructed in the immediate vicinity. In such case the host community itself is relocated as part of MUTP.

of some other religious structures is likely to take several months in view of the social sensitivity of such relocations. .

43. *Position of IMP Chairman Filled by GoM and Clarification of IMP's Role.* The IMP, reconstituted with a new chairperson in March 2006, continues to play an important role in monitoring living conditions in the resettlement sites through regular field visits and facilitating MMRDA's consultations and negotiations with the PAPs. To date it has held 32 meetings and has undertaken 14 field visits for monitoring the resettlement process.

Action 7: Improving data base management.

44. MMRDA has decided to continue using its Visual Basic/Excel database for managing data and information relating to resettlement of eligible PAPs, and this database provides sufficient control of the management of the current process. The Bank team continues to monitor the process of R&R data management and the timely disclosure of all relevant information, including, especially, the lists of eligible PAPs prior to their actual relocation.

Action 8: MMRDA will engage in communications with Project-affected Persons and improve documentation.

45. MMRDA has made sustained efforts to maintain communications with the PAPs. Specific hours during weekdays have been set aside for face to face to meetings with PAPs by the Chief-R&R, in addition to special meetings held with specific PAP groups, such as residents, shopkeepers, and custodians of religious structures. In addition, it is evident that the Chief-R&R and his personnel are meeting PAPs on an almost daily basis. All relevant Project-related information is available at the PICs and on the MMRDA website.

Action 9: Improve grievance redress process.

46. This action was completed and documented in the first progress report to the Board in March 2007. Since April 2006, the single member independent Grievance Redress Committees (GRCs) have continued to hear and resolve cases registered with them. MMRDA stopped accepting grievances after May 15, 2009, which was set as the deadline for registering grievance petitions through a prior public notice, in view of the near completion of the resettlement process. In total, 3,704 cases were registered with the field level GRC before May 15, 2009 including about 800 new applications received during April-May 2009. Out of these, 3,506 cases (95 percent) have been resolved. The senior level GRC has resolved 639 out of 716 cases received (i.e., 89 percent).

Action 10: Operationalization of the Implementation Manual.

47. As reported in the March 2007 progress report, this action has been completed. The Implementation Manual was finalized, taking into account the Bank's comments, and is

now available at the PIC and on the MMRDA website. The manual is being used to administer the entitlements and apply relevant procedures.

IV. CONCLUSION

48. **Resettlement.** Management is satisfied that the shift in MMRDA's approach to resettlement, characterized by its openness to pursue negotiated solutions in consultation with PAPs, has been sustained. MMRDA has demonstrated its capacity to engage in negotiations and achieve results even in the case of difficult PAP groups, which is evident from the manner in which it relocated the MHADA building residents at New Tilak Nagar and religious structures along SCLR, and completed negotiations with the majority group of USOA shopkeepers. MMRDA has indicated that it will apply the legal procedure for relocating PAPs not amenable to mutually agreeable resettlement options, especially in view of the long delayed civil works. Other than the above, the remaining resettlement challenges which continue to delay civil work include: (a) about 15 land owner shopkeepers, who will be relocated applying the legal procedure; and (b) some 5 religious structures which will be relocated through negotiation. Management is reasonably confident that MMRDA will be able to address these resettlement challenges in a compliant manner, despite pressing deadlines.

49. **Post-resettlement.** MMRDA's overall post-resettlement activities have been exemplary, despite difficulties with handling specific issues such as repairs. The progress made in registering and enabling PAP cooperatives to take over financial and technical responsibility for self-managing their assets and facilities has been very good over the last year. Noteworthy among these activities are: the LEAP, implemented for poor women; the assessment in view of expansion of social services in resettlement sites; considerable repairs undertaken and planned for all buildings reporting any problem in agreement with the societies; and preparing about 90 societies for program exit. Management considers the post-resettlement process to be on track to be completed with sustainable outcomes.

50. The Bank team will continue to assist MMRDA with need-based technical support for implementing the Action Plan and the construction works and will monitor progress of various activities and the quality of compliance. Supervision will include frequent interaction with the implementing agencies, site visits, and follow-up as needed. Overall, the quality of compliance in the R&R component has improved and the focus of technical support and monitoring has gradually shifted to strategic implementation issues. In view of this, the Bank has, since January 2008, reduced the involvement of its social development specialist. In accordance with the provisions of OP 4.12 a project is not considered complete – and the Bank implementation support continues – until the resettlement measures set out in the Action Plan have been implemented. Therefore, beyond loan closure, Management will continue to monitor progress in resolution of outstanding R&R issues through annual technical visits until such issues are fully resolved. Bank Management will report in a year's time on progress made in implementation of the Action Plan.

Annex 1: KEY RESETTLEMENT IMPLEMENTATION PROGRESS

No	Action	Target	Current Target	April-May 2005 (Inspection Panel Visit)	February 2006 (Submission of Management Response to Inspection Panel Report)	December 2006 (First Progress Report on Action Plan)	September 2007 (Second Progress Report on Action Plan)	January 2009 (Third Progress Report on Action Plan)	January 2010 (Fourth Progress Report on Action Plan)
1	No. of households shifted to permanent houses	17,378	17,420	12,396 (71%)	13,877 (80%)	15,315 (88%)	15,784 (91%)	16,580 (95%)	17,134 (98%)
2	No. of affected shopkeepers provided permanent alternative shops < 225 sq.ft. (small) > 225 sq.ft. (medium and large)	2,469	2,071	249 (10%)	369 (14%)	752 (29%)	1,104 (43%)	1,437 (70%)	1,490 (71%)
		1,669 800	1,385 686	na na	na Na	668 (37.7%) 84 (10.5%)	877 (50%) 227 (28.4%)	1,018 (71%) 419 (61%)	1,071 (77%) 419 (61%)
3	No. of households issued identity cards	19,847	19,491	1,685 (8%)	5,616 (28%)	6,319 (32%)	15,011 (75%)	17,467 (90%)	18,432 (98.5% of resettled)
4	Disclosure of beneficiaries list on the website	19,847	19,491	Nil	10,910 (55%)	15,627 (78%)	16,447 (82%)	17,467 (90% of total and 97% of the resettled PAPs)	18,202 (94% of total and 87% of the resettled)
5	No. of cooperative societies registered (approximate)	200*	180	47 (27%)‡	48 (28%)‡	58 (33%)‡	85 (49%)‡ (name registration done for another 56)	157 (90%)‡ (13 in process)	174 (93%) (7 in process)
6	No. of maintenance funds (Interest) transferred to the joint accounts of cooperative societies	200*	180	23 (13%)‡	23 (13%)‡	46 (26%)‡	46 (26%)‡	52 (30%)‡	157 out of 174 registered (90%)
7	No. of cooperative societies that received Community Maintenance Funds	200*	180	47 (27%)‡	47 (27%)‡	47 (27%)‡	47 (27%)‡	125 (71%)‡	155 out of 174 registered (89%)
8	No. of PAPs	2000	NA	NA	244	244	244	The fund is	The fund is

	who received assistance under Community Maintenance Funds				(12%)	(12%)	(12%)	provided to cooperative societies	provided to cooperative societies
9	Transfer of common facilities (pre-school, society office and welfare centre) to cooperative societies)	600 (for 200 societies)	540	Nil	Nil	114 (18%)	423 (70%)	445 (82%)	For 179 societies received (100 % of the registered societies)
10	Issue of building maintenance manuals to cooperative societies	152	157	Nil	Nil	100 (66%)	100 (66%)	157	174
11	No. of community assets reconstructed	87*		NA	16 (18%)	18 (21%)	50 (58%)	60	69
12	Water supply – Mankhurd (sample buildings) – lpcd	90	90	69	60-65	70-125	90-150 27 buildings get 90-95 lpcd; 2 get 121 and 150 lpcd respectively	71-171 lpcd]	NA
13	Water supply – Anik (sample buildings) lpcd	90	90	25	30	70-125	60-129 6 buildings get 60-85 lpcd; 27 buildings get 90-129 lpcd	57-197 58% of 33 buildings received more than 90 lpcd	NA

Note 1: The number of shopkeepers remaining to be resettled has been reduced due to total target recast after Project restructuring.

Note 2: The figures in parentheses indicate percentages.

Building maintenance manuals not prepared for initial 48 buildings purchased directly from Maharashtra Housing Board.

* Revised target. At this stage there are 175 occupied buildings, 180 buildings are expected to be finally occupied.

‡ This represents the percentage of the 175 fully occupied buildings where residents can register their housing cooperative societies.

**ANNEX 2: WORLD BANK SUPERVISION MISSIONS,
MARCH 2006 – FEBRUARY 2010**

March 9 – 14, 2006

Hubert Nove-Josserand	Task Team Leader
Manmohan Singh Bajaj	Senior Procurement Specialist
Priya Goel	Financial Management Specialist
Els Hinderdael	Manager, Procurement
Manoj Jain	Senior Financial Management Specialist
Rajat Narula	Senior Finance Officer
I.U.B. Reddy	Senior Social Development Specialist
Robert J. Saum	Manager, Financial Management
Warren Waters	Lead Social Development Specialist

April 12 – 21, 2006

Hubert Nove-Josserand	Task Team Leader
Sameer Akbar	Senior Environment Specialist
Mr. Apte	Architect
Frederick Brusberg	Regional Safeguards Advisor
Richard Clifford	Lead Urban Specialist
Satya Mishra	Social Development Consultant
Fayez Omar	Senior Country Program Manager
I.U.B. Reddy	Senior Social Specialist

May 2 – 5, 2006

Hubert Nove-Josserand	Task Team Leader
Arnab Bandyopadhyay	Transport Specialist
Sujit Das	Transport Specialist
Setty Pendakur	Traffic Management Specialist

June 5 – 6, 2006

Hubert Nove-Josserand	Task Team Leader
Frederic Brusberg	Safeguards Advisor
Michael Carter	Country Director
Satya Mishra	Social Development Consultant
I.U.B. Reddy	Senior Social Specialist

June 28, 2006

Hubert Nove-Josserand	Task Team Leader
Satya Mishra	Social Development Consultant

July 25 – 28, 2006

Hubert Nove-Josserand	Task Team Leader
Sameer Akbar	Environmental Specialist
Arnab Bandyopadhyay	Transport Specialist
Sujit Das	Transport Specialist
Satya Mishra	Social Development Consultant
I.U.B. Reddy	Senior Social Specialist
Sonia Sandhu	Environmental Specialist
Sankaran Vaideeswaran	Environmental Specialist

August 14, 2006

Fayez Omar	Acting Country Director
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Satya Mishra	Social Development Consultant
I.U.B. Reddy	Senior Social Specialist

August 17 – 25, 2006

Hubert Nove-Josserand	Task Team Leader
Manmohan Singh Bajaj	Senior Procurement Specialist
Arnab Bandyopadhyay	Transport Specialist
Sonia Sandhu	Environmental Specialist
Sujit Das	Transport Specialist
Ke Fang	Transport Specialist
Priya Goel	Financial Management Specialist
Satya Mishra	Social Development Consultant
Setty Pendakur	Traffic Management Specialist
Jitendra Sondhi	Rail Transport Specialist
Sona Thakur	Public Relations Specialist
Sankaran Vaideeswaran	Environmental Specialist

September 25 – 26, 2006

Satya Mishra	Social Development Consultant
I.U.B. Reddy	Senior Social Specialist

November 22 – 24 and 26 – 29, 2006

Hubert Nove-Josserand	Task Team Leader
Frederick Brusberg	Regional Safeguards Advisor
I.U.B. Reddy	Senior Social Specialist
Satya Mishra	Social Development Consultant
Shyamal Sarkar	Senior Water and Sanitation Specialist

January 16 – 25, 2007

Hubert Nove-Josserand	Task Team Leader
Frederick Brusberg	Regional Safeguards Advisor
Richard Clifford	Lead Urban Specialist
Sujit Das	Transport Specialist
Priya Goel	Financial Specialist
Stephen Lintner	Senior Technical Advisor for Safeguards
Satya Mishra	Social Development Consultant
Sudip Mozumdar	External Relations
I.U.B. Reddy	Senior Social Specialist
Sonia Sandhu	Senior Environmental Specialist
Shyamal Sarkar	Senior Water and Sanitation Specialist
Jitendra Sondhi	Railway Specialist (consultant)
K. Srinivasan	Financial Analyst
Sankaran Vaideeswaran	Environment Consultant

February 2, 2007

Hubert Nove-Josserand	Task Team Leader
Rajesh Rohatgi	Civil Engineer
Jitendra Sondhi	Railway Specialist (consultant)

March 7, 2007

Hubert Nove-Josserand	Task Team Leader
Guang Zhe Chen	Sector Manager, Transport
Satya Mishra	Social Development Consultant

April 16 – 19, 2007

Sujit Das	Senor Transport Specialist
Satya Mishra	Social Development Consultant

April 25 – 27, 2007

Satya Mishra	Social Development Consultant
I.U.B. Reddy	Senor Social Development Specialist

June 6 – 7, 2007

Hubert Nove-Josserand	Task Team Leader
Satya Mishra	Social Development Consultant

July 6 – 20, 2007

Hubert Nove-Josserand	Task Team Leader
Sameer Akbar	Environmental Specialist
Manmohan Bajaj	Procurement Specialist
Frederick Brusberg	Regional Safeguards Advisor
Richard Clifford	Lead Urban Specialist
Sujit Das	Transport Specialist
Priya Goel	Financial Specialist
Satya Mishra	Social Development Consultant
Sudip Mozumdar	External Relations
I.U.B. Reddy	Senior Social Specialist
Sonia Sandhu	Senior Environmental Specialist
Shyamal Sarkar	Senior Water and Sanitation Specialist
Jitendra Sondhi	Railway Specialist (consultant)
K. Srinivasan	Financial Analyst
Roy Sumner	ATC Specialist
Sankaran Vaideeswaran	Environment Consultant
Pradeep Valsangkar	ICT Specialist

August 20 – 22, 2007

Hubert Nove-Josserand	Task Team Leader
Isabel M. Guerrero	Country Director
Mandakini Kaul	Economist
Satya Mishra	Social Development Consultant
R.S. Pathak	Water Resource Specialist
Sona Thakur	External Affairs Consultant

September 26 – 28, 2007

Hubert Nove-Josserand	Task Team Leader
Sujit Das	Senior Transport Specialist
Satya Mishra	Social Development Consultant

November 20 – 21, 2007

Hubert Nove-Josserand	Task Team Leader
Satya Mishra	Social Development Consultant

December 16 – 18, 2007

Hubert Nove-Josserand	Task Team Leader
Satya Mishra	Social Development Consultant

January 07 – 17, 2008 – January 23 – February 4, 2008

Hubert Nove-Josserand	Task Team Leader
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Atul Agarwal	Transport Specialist
Sameer Akbar	Environmental Specialist
Manmohan Bajaj	Procurement Specialist
Arnab Bandyopadhyay	Transport Specialist
Frederick Brusberg	Regional Safeguards Advisor
Guang Zhe Chen	Transport Sector Manager
Frederic Giovannetti	Social Safeguards Specialist (consultant)
Priya Goel	Financial Specialist
Punit Kapur	Financial Specialist
Satya Mishra	Social Development Consultant
Sudip Mozumdar	External Relations
I.U.B. Reddy	Senior Social Specialist
Shyamal Sarkar	Senior Water and Sanitation Specialist
Jitendra Sondhi	Railway Specialist (consultant)
K. Srinivasan	Financial Analyst
Roy Sumner	ATC Specialist
Sankaran Vaideeswaran	Environment Consultant
Pradeep Valsangkar	ICT Specialist

April 6 – 10, 2008

Hubert Nove-Josserand	Task Team Leader
Atul Agarwal	Transport Specialist
Vasile Olievski	Rail Transport Specialist
Jitendra Sondhi	Rail Transport Specialist

May 14 – 15, 2008

Hubert Nove-Josserand	Task Team Leader
Atul Agarwal	Transport Specialist

May 22 – 23, 2008

Hubert Nove-Josserand	Task Team Leader
Satya Mishra	Social Development Consultant

Goa, July 11 – 12, 2008

Hubert Nove-Josserand	Task Team Leader
Frederic Brusberg	Safeguards Regional Adviser
Frederic Giovannetti	Social Safeguards Specialist, (consultant)
Gaurav Joshi	Environmental Safeguards Specialist
Satya Mishra	Social Development Consultant
I.U.B. Reddy	Senior Social Specialist

July 23 – August 5, 2008

Hubert Nove-Josserand	Task Team Leader
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Manmohan Bajaj	Procurement Specialist
Ramola Bhuyan	Financial Specialist
Frederick Brusberg	Regional Safeguards Advisor
Sujit Das	Transport Specialist
Priya Goel	Financial Specialist
Gaurav Joshi	Environmental Specialist
Satya Mishra	Social Development Consultant
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Shyamal Sarkar	Senior Water and Sanitation Specialist

Jitendra Sondhi	Railway Specialist (consultant)
K. Srinivasan	Financial Analyst
Sankaran Vaideeswaran	Environment Consultant
Pradeep Valsangkar	ICT Specialist

September 15 – 16, 2008

Sujit Das	Transport Specialist
Satya Mishra	Social Development Consultant

November 23 – November 26, 2008

Hubert Nove-Josserand	Task Team Leader
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Ramola Bhuyan	Financial Management Consultant
Rakhi Basu	Transport Specialist
Gaurav Joshi	Environmental Specialist
Satya Mishra	Social Development Consultant

January 28 – February 6, 2009

Hubert Nove-Josserand	Task Team Leader
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Manmohan Bajaj	Procurement Specialist
Frederick Brusberg	Regional Safeguards Advisor
Sujit Das	Transport Specialist
Rakhi Basu	Transport Specialist
Priya Goel	Financial Specialist
Gaurav Joshi	Environmental Specialist
Satya Mishra	Social Development Specialist
Sudip Mozumdar	External Relations
I.U.B. Reddy	Senior Social Specialist
Jitendra Sondhi	Railway Specialist (consultant)
Sankaran Vaideeswaran	Environment Consultant
Ramola Bhuyan	Financial Management Consultant
Pradeep Valsangkar	ICT Consultant

March 26-30, 2009

Satya Mishra	Social Development Specialist
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May 6, 2009

Atul Agarwal	Transport Specialist
Sujit Das	Transport Specialist
Satya Mishra	Social Development Specialist

May 25, 2009

Satya Mishra	Social Development Specialist
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June 17-28, 2009

Satya Mishra	Social Development Specialist
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July 13-24, 2009

Hubert Nove-Josserand	Task Team Leader
Atul Agarwal	Transport Specialist
Manmohan Bajaj	Procurement Specialist
Sujit Das	Transport Specialist
Alok Bansal	Transport Economist

Bogdan Filip Popescu	Economist
Gaurav Joshi	Environmental Specialist
Satya Mishra	Social Development Specialist
Sudip Mozumdar	External Relations
I.U.B. Reddy	Senior Social Specialist
Jitendra Sondhi	Railway Specialist Consultant
Ramola Bhuyan	Financial Management Consultant
Ed Dotson	Urban Transport Planner
Sumner Roy	Traffic Management Specialist

August 16-20,, 2009

Satya Mishra	Social Development Specialist
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October 15, 2009

Atul Agarwal	Transport Specialist
Sujit Das	Transport Specialist
Satya Mishra	Social Development Specialist

February 15-19, 2010

Hubert Nove-Josserand	Task Team Leader
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Manmohan Bajaj	Procurement Specialist
Marc Davy	Project Management Specialist
Bogdan Filip Popescu	Economist
Gaurav Joshi	Environmental Specialist
Satya Mishra	Social Development Specialist
Sudip Mozumdar	External Relations
I.U.B. Reddy	Senior Social Specialist
Jitendra Sondhi	Railway Specialist (consultant)
Ramola Bhuyan	Financial Management Consultant
Ed Dotson	Urban Transport Planner
Sumner Roy	Traffic Management Specialist

ANNEX 3: MUTP: STATUS OF ISSUES AS OF FEBRUARY 1, 2009

Issue	Status as of March 10, 2010	Comments
Resettlement of Shopkeepers		
1. Shopkeeper Resettlement Options		
1.1 Complete negotiations / resettlement with all affected shopkeepers of SCLR.	<p>Status: Substantially completed</p> <p><i>Target Date: May 2006</i> <i>Revised: August 2010</i></p>	<p>Over 65 percent of SCLR shopkeepers have been resettled, including 188 medium- or large-size shops. A procedure on how MMRDA would deal with shopkeepers who refuse to negotiate has been agreed and disclosed. However, MMRDA has so far pursued negotiations with shopkeepers with IMP guidance. Both groups of SCLR shopkeepers (KNWA) and USOA (IP Requesters) have signed MoU with MMRDA for resettlement. KNWA has opted for a private development scheme whereas USOA prefers relocation to a new shopping complex at MN Nagar. One breakaway faction of USOA of 50 shopkeepers favors the <i>in-situ</i> scheme and will like to join this scheme; if it does not, MMRDA will resettle these shopkeepers as per the approved procedure applicable in case of breakdown in negotiations. MMRDA expects to complete resettlement of these shopkeepers by end August 2010.</p> <p>The Bank continues to monitor, advise and assist MMRDA to expedite the resettlement process.</p>
1.2 Complete negotiations / resettlement of affected shopkeepers of other sub-projects (non-SCLR).	<p>Status Substantially completed</p>	<p>Thus far, 71 percent (1,590) of shopkeepers have been resettled, including 267 medium- or large-size shopkeepers. Negotiation and resettlement of shopkeepers from JVLR (except one involving court case) and Thana-Kurla Railway corridor have been completed. SATIS and ROBs were earlier deleted from the Project as part of restructuring.</p>
2. Affected Employees		
2.1 MMRDA will publicize the R&R policy, which provides one year's income on a one-time basis to those employees who are not re-employed as a result of Project resettlement.	<p>Status: Completed</p>	<p>The provision of assistance to affected employees is described in the Implementation Manual which is disclosed in the PIC and uploaded on MMRDA's website.</p>
2.2 MMRDA will process such cases of assistance as and when formal requests are received. The amount of income will be determined by a valuation committee, per the R&R policy. Funding for this assistance will come from the Bank-financed portion of MUTP.	<p>Status: In progress</p> <p><i>Target Date: Ongoing</i></p>	<p>MMRDA is yet to receive any requests from the affected employees for assistance.</p> <p>The Bank continues to monitor this issue.</p>
2.3 Employees will be issued identity cards prior to displacement of the business unit.	<p>Status: In progress</p> <p><i>Target Date: Ongoing</i></p>	<p>Issuance of identity cards to employees is ongoing. The Bank monitors the issuance of identity cards to employees prior to their displacement.</p>

Issue	Status as of March 10, 2010	Comments
Post-Resettlement		
3. Implementation		
3.1 MMRDA will strengthen the R&R management system and engage additional staff for the timely completion of the registration process of the cooperative societies.		
3.1.1. Complete registration of 80 housing cooperative societies in addition to the initially registered 48 societies	Status: Completed	Society registration has been completed for 174 (93%) occupied buildings with name reservation completed for another 7 societies out of 187 occupied buildings. The remaining societies including a few divided societies and partially occupied buildings will take time to be registered.
3.1.2 Implementation of cooperative management action plan.	Status: Completed	MMRDA has implemented the cooperative management action plan through its consultant, Tata Consultancy Services, which has completed its assignment. MMRDA continues to conduct training for the newly registered societies. The Bank will continue to monitor the process.
3.2 Construction of social services at R&R sites.	Status: Substantially completed <i>Target Date: July 2007</i> <i>Revised: June 2009</i>	Primary schools have been established at Anik and Mankhurd and a larger school started at Mankhurd. In addition, one private school at Mankhurd and two private schools at Anik are managed by charities. Some 86 Integrated Child Development Service centers established in three major R&R sites including Anik and Mankhurd provide early childhood nutrition and learning support to 2,150 children. MCGM has sanctioned establishment of a health care center at Anik. MMRDA has started construction of a community hall which will double as a health centre at Majaj. MMRDA has hired a consultant to assess the need and availability of space for setting up such other social facilities in different R&R sites.
3.3 MMRDA will facilitate, through the GoM, the transfer of maintenance funds to the cooperative societies that have been established. If there is a delay, interest on the maintenance funds will be transferred within 3 months of the end of the financial year.	Status: Completed <i>Target Date: April 2006</i> (first 48 societies) Status: <i>Target Date: March 2009</i> (for additional 80 societies)	Transfer of interest on maintenance funds* has been done for 150 societies and joint bank accounts opened for 157 societies compared to 52 last year, from which societies can now directly withdraw interest amount. The Bank continues to monitor the process.
3.4 Transfer of conveyance deeds to first 48 cooperative societies.	Status: No action taken <i>Target Date: July 2006</i> <i>Revised: December 2009</i>	MMRDA has not initiated action for transferring the title to the cooperative societies. This issue involves many buildings in Mumbai, not just those affected by the Project. At present, MMRDA's focus is on high priority resettlement issues. The Bank will continue to monitor the progress on this issue.
3.5 Transfer of conveyance deeds to next 80 cooperative societies.	Status: No action taken <i>Target Date: December 2007</i> <i>Revised date: December 2009</i>	Process is yet to be started; MMRDA is preoccupied with more pressing post resettlement issues at present.

Issue	Status as of March 10, 2010	Comments
3.6 Training and building facilities maintenance manuals and brochures will be provided to cooperative societies' committee members to support proper management of the societies, maintenance of lifts and provision of services, such as water supply, sewerage, solid waste management, etc. The Bank is following up with MMRDA on specific additional measures to assure sustainable self-management of cooperative societies in the longer term.	Status: Substantially Completed	The maintenance manuals have been distributed to 157 cooperative societies in the Mankhurd, Asgaonkar, Anik, Kanjurmarg and Majas sites. Tata Consultancy Services prepared a range of information, education and communication materials on society management and cohesive living which are being disseminated among the PAP societies.
3.7 MMRDA will work with the GoM to engage with MCGM on steps required to improve water supply at the resettlement sites.	Status: Substantially completed <i>Target Date: Ongoing</i>	The water supply situation has considerably improved in the resettlement sites, despite reports of relative short supply in a few buildings at Anik due to location disadvantage. The special pumping station has been established at Anik and the pipeline from Trombay to Mahul passing through Anik has been constructed.
3.8 The Bank is pursuing measures with GoM and MMRDA to improve transport connectivity to resettlement colonies.	Status: Substantially completed <i>Target Date: Ongoing</i>	Accessibility and availability of bus service from the resettlement colonies is comparable to that of other areas of Mumbai. Major bus routes are within 1-2 km of the Mankhurd and Anik resettlement colonies. MMRDA has sanctioned the construction of a sky walk at Mankhurd to connect it to the nearby Railway station.
3.9 Independent resettlement impact assessments will be carried out as and when due for each resettlement site. Remedial measures, if required, will be implemented.	Status: Completed. End evaluation will be undertaken closer to Project closing date	Tata Institute of Social Sciences, hired by MMRDA to carry out independent resettlement impact assessment studies in Mankhurd, Majas and Anik resettlement sites, has submitted its final report. MMRDA has started undertaking remedial measures to follow up on concerns raised in the report. The Bank continues to monitor the process.
Environmental Management of Resettlement Sites		
4. Maintenance of Public Assets; Waste Management		
4.1 MMRDA will assist the ad hoc cooperative housing societies to survey repairs needed to rectify construction defects, such as water and sewerage networks, plumbing and civil works, before expiration of the contractors' liability period.	Status Substantially completed <i>Target Date: Ongoing</i>	MMRDA has completed the majority of civil works related repairs at resettlement buildings. As part of the environmental exit strategy, MMRDA agreed on a set of indicators that require completion of all urgent and pending repair works. As part of this exit strategy, MMRDA has prepared a plan to complete all pending civil work repairs in the resettlement sites in the coming months. The Bank will closely monitor the process.
4.2 MMRDA has prepared maintenance manuals which will be handed over to each registered cooperative society.		See Item 3.6.

Issue	Status as of March 10, 2010	Comments
4.3 MMRDA is liaising with MCGM to provide necessary community facilities, including tree plantation.	Status: In progress <i>Target Date: Ongoing</i>	MMRDA prepared environmental management action plans for resettlement sites with the help of professional consultants; a plan was implemented at Kanjurmarg on a pilot basis and is being replicated in other sites with the help of NGOs. The action plans focus on environmental issues, such as solid and liquid waste management, other activities that have implications for community health, and tree plantation in resettlement sites. The Bank will continue to monitor the progress on this issue.
4.4 Concerned Ward Offices will be asked to route solid waste collection vehicles to the resettlement sites for the timely collection and disposal of waste.	Status: Substantially completed <i>Target Date: Ongoing</i>	Further to MMRDA's dialogue with MCGM, the latter started regular garbage pickup from resettlement sites. MMRDA and MCGM are in dialogue to ensure the transfer of R&R sites to MCGM. The Bank will continue to monitor the progress on this issue.
Overall Management of R&R Implementation		
5. Strengthening Institutional Arrangements for R&R		
5.1 Day-to-day R&R management (with delegated administrative and financial authority) will be undertaken by a Chief Officer (R&R) reporting to the Project Director. The R&R Chief will be supported by 12 officers with backgrounds in R&R management and community development, data base management, land acquisition, environmental management, estate management, public relations, registration of societies, legal, etc. Functions and responsibilities of key officers will be documented soon. Requirements for other support staff will be assessed and provided accordingly. The Bank Task Team will work closely with MMRDA to ensure that effective and efficient management systems are put in place.	Status: Completed April 2006	MMRDA has maintained its strengthened R&R capacity with a Chief R&R a Chief Post-Resettlement Officer, additional managers, and community development associates.. MMRDA has established a special Livelihoods Cell to address income restoration issues. The earlier appointed Deputy Registrar-Cooperatives continues to support society registration process. The Chief-R&R manages overall resettlement operations.
5.2 MMRDA will review and assess the NGOs' capacity and future role.	Status: Completed	MMRDA has streamlined roles and responsibilities of NGOs, consultants and its staff members. The Bank will monitor the role of NGOs in the light of agreed guidelines.
5.3 MMRDA will prepare and implement a training program for the sensitization and skills improvement of R&R staff, NGOs, and others concerned with R&R implementation.	Status: Substantially completed <i>Target Date: Ongoing</i>	MMRDA has been conducting training programs on issues of interest for its staff. The Bank will continue to monitor the process.

Issue	Status as of March 10, 2010	Comments
6. Improving the R&R Process		
6.1 MMRDA will further define procedures in the R&R Implementation Manual.	Status: Completed	The updated R&R Implementation Manual is disclosed at the PIC and uploaded on MMRDA's website. No further action is required.
6.2 Strengthen data base capability for effective management of resettlement and post-resettlement.		See Items 7.1 and 7.2 below.
6.3 MMRDA will expedite: 6.3.1 Finalizing the draft RIP for SCLR up to 45.7 meters with flexibility to proceed on a section-by-section basis.	Status: Completed	The revised RIP for SCLR has been finalized and endorsed by the Bank. This was disclosed on MMRDA's website and in the local PIC, and was also disclosed in the Bank's InfoShop.
6.3.2 Finalizing the draft RIP for SATIS, to be submitted to the Bank when railway clearances are obtained for the sub-project.	Status: Not Required	The SATIS has been removed from MUTP as part of Project Restructuring in September 2008..
6.4 Finalizing the Vikhroli ROB draft RIP.	Status: Completed	MMRDA has submitted the draft RIP for the Vikhroli ROB. This sub-project has been removed from MUTP as part of Project Restructuring in September 2008; and the balance PAPs will be resettled as per the agreed procedure ..
6.5 Updating the baseline socio-economic survey data for JVLR and Jogeshwari ROBs.	Status: Completed	MMRDA has completed the updating of the baseline survey and the copies were submitted to the Bank. Jogeswari ROBs were subsequently removed from MUTP as part of Project Restructuring in September 2008; and the balance PAPs will be resettled as per the agreed procedure. No further action is envisaged.
6.6 MMRDA will improve on timely reporting and the submission of progress reports. The Bank Task Team will work with MMRDA on report content and frequency.	Status: Ongoing	MMRDA has been regularly sending periodic progress reports to the Bank in a format provided by the Bank Team. The Bank will continue to monitor the timely receipt of the progress report on implementation of the Action Plan.
6.7 MMRDA will expedite timely issuance of identity cards and payments of shifting allowances for PAPs shifting to new resettlement sites.	Status: Substantially completed <i>Target Date: Ongoing</i>	MMRDA has completed issuance of 18,342 identity cards to the resettled PAHs, which is 94 percent of the total PAHs and 98 percent of the resettled PAHs. The Bank will continue to monitor the progress on this issue.
6.8 Road project impacts on community assets will be assessed and their relocation and reconstruction will be synchronized with the timetable for civil works.	Status: In progress <i>Target Date: Ongoing</i>	MMRDA has successfully completed relocation of a majority of religious and community structures over the last year, except three structures remaining along SCLR and one along JVLR, through negotiations with the custodians of religious structures. These structures were provided free space and financial assistance for reconstruction. The Bank will continue to monitor the progress on this issue.

Issue	Status as of March 10, 2010	Comments
6.9 The GoM will fill the post of Chairman, IMP and will elaborate on and clarify the IMP's role. Secretarial assistance will be provided to the IMP.	Status: Completed	The IMP, constituted in mid-March 2006, has been actively monitoring key resettlement implementation aspects. No further action is required. However, the Bank will follow up on the implementation of IMP decisions.
7. Improving Data base Management		
7.1 MMRDA is in the process of procuring state-of-the-art software for the management of all the R&R-related data.	Status: Completed	MMRDA has procured and installed Oracle software to establish full coordination between grievance management and resettlement. No further action is required.
7.2 Systems will be put in place for providing inputs, updating, using and retrieving various types of information related to R&R and post-resettlement implementation. The data base will be linked with family photo IDs to facilitate tracking and management of the process. The resettlement support consultants will conduct hands-on training for MMRDA staff.	Status: Substantially completed	MMRDA has decided to continue using its Visual-Basic and Excel database while pursuing the refinement of the Oracle database, in view of delays involved in operationalizing the latter. The Bank Team continues to monitor data management.
8. Improving Communications and Consultation		
8.1 MMRDA will enhance communication with PAPs and improve documentation.	Status: In progress <i>Target Date: Ongoing</i>	MMRDA has improved communications and consultations with shopkeepers and other PAPs. The key Project-related documents are now available in the PIC and on MMRDA's website. The Bank will continue to monitor the process.
8.2 MMRDA will make separate space arrangements for a PIC at MMRDA. It will also ensure the timely availability of relevant documents and brochures.	Status: Completed	MMRDA has closed all field level PICs in view of their under-utilization and continues to manage the PIC started in 2006 at MMRDA. The Right to Information Act has reduced the importance of the PIC. No further action is required.
8.3 The Bank Task Team will work with MMRDA to assess and implement training needs in public consultation and communications.	Status: Completed	The Bank organized a one-day session on public consultation and communications for the staff of MMRDA and NGOs in February 2006. The Bank's social consultant is providing technical guidance on consultations and communications on a regular basis.
9. Grievance Redress		
9.1 MMRDA will provide support staff to the field level GRC to expedite the hearing and disposal of cases and to improve recording and reporting of decisions.	Status: Completed	MMRDA provided secretarial assistance and computers to the field level GRC to improve the hearing and disposal of cases. The progress in hearings by the senior level, which was slow, has improved significantly.

Issue	Status as of March 10, 2010	Comments
9.2 A separate one-page brochure on the updated grievance redress process will be prepared, circulated, and posted on the Project website.	Status: Completed	<p>The updated grievance redress process was incorporated in the Implementation Manual (Chapter 29) and disclosed in the PIC and uploaded on the website. The main improvement in the process was the specification of a clear timeframe for registering a grievance and confirmation that the resettlement of a petitioner would not be carried out before the grievance process was completed. Brochures in English and Marathi were printed and attached to the allotment letters/eviction notices.</p> <p>MMRDA declared a deadline (May 15, 2009) for receiving grievances in view of near completion of the R&R process. The GRCs are in the process of disposing of the pending cases. The FLGRC has resolved 95% of cases and the senior GRC level 89%.</p> <p>No further action is envisaged.</p>
9.3 The Bank Task Team will work closely with MMRDA staff to evaluate the current status of the system, support its revision, and facilitate its effective implementation.	Status: Completed	<p>The process has been streamlined and is improving. There has been a shift in MMRDA's approach to resettlement, characterized by its openness to pursue negotiated solutions in consultation with PAPs. MMRDA has made significant progress in managing post-resettlement issues. It has established field level Grievance Redress Centers at five key resettlement sites to resolve site specific issues. The IMP continues to undertake regular field visits to resettlement sites, listen to PAPs and direct MMRDA to take remedial action if and when required. The Bank has a social development specialist paying special attention to MUTP since March 2006. In recent months, his time spent on MUTP has been reduced in view of improvement in the R&R implementation quality.</p> <p>The resettlement Impact Assessment study indicates a high level of PAP satisfaction with the grievance redress process.</p>
10. Operationalization of the Implementation Manual		
10.1 MMRDA will finalize the Implementation Manual in consultation with the Bank, GoM, and consultants. The MMRDA will then identify procedures specified in the Implementation Manual that will be used for the balance of R&R activities and notify the relevant agencies regarding its implementation:		
10.1.1 Revise and amend Implementation Manual to include R&R and environmental procedures.	Status: Completed	The Implementation Manual has been revised in close consultation with Bank staff. No further action is envisaged.
10.1.2 Finalization of Implementation Manual	Status: Completed	The Implementation Manual has been finalized taking into account the Bank's comments and is now disclosed in PICs and uploaded on the website. No further action is envisaged.

Issue	Status as of March 10, 2010	Comments
10.1.3 Operationalization of the Implementation Manual	Status: Completed	The Implementation Manual is being used to administer the entitlements and apply procedures. The Implementation Manual occasionally requires updates when new procedures are adopted.

**ANNEX 4: MUTP: STATUS OF IMPEDIMENTS AND R&R RELATED ISSUES
FOR JVLR & SCLR AS OF JANUARY 31, 2010**

SN	Impediments	Location/Name	Difficulties, Challenges, Risks	Remedial Steps Taken/ Progress Made So Far	Estimated Timeframe for Closure
Jogeshwari-Vikhroli Link Road					
1.	<ul style="list-style-type: none"> About 250 shops including about 180 shops with area above 225 sq. ft including 20 titleholder shops 123 households 	2000-2460 and 2890-3600, RHS, ¹¹ JVLR-II (Powai)	Prolonged deadlock in negotiations for R&R due to strong resistance from owner-occupants	<ul style="list-style-type: none"> Issues resolved through negotiations Over 170 shops >225 sq. ft resettled Owner occupants offered equivalent shop area (even when exceeding 750 sq. ft, which is beyond MUTP R&R Policy) All shopkeepers but two resettled All residential PAHs resettled Resettlement of only one shopkeeper (tenant) and reconstruction of a fuel station beyond right of way pending 	May 2010
2.	14 marble shop owners	3660-2920 RHS, JVLR-II, Adi Sankaracharya Marg	Strong resistance from marble shop owners to relocation moves; demand for alternative land difficult to meet in view of scarcity of land in Mumbai	<ul style="list-style-type: none"> Issues resolved through negotiations MMRDA shall provide <ul style="list-style-type: none"> (a) equivalent shop area in exchange for affected shop area at Powai shopping mall (b) TDR¹² for affected land area (c) shop area equivalent to the value of land in case of fully affected land area (above 80 percent) at Powai shopping mall 	Completed
3.	Transfer of 1100 m ² of IIT Land	2080-3575 LHS, ¹³ JVLR-II; Powai	Approval of MHRD, ¹⁴ GoI needed and MoU with IIT ¹⁵ to be signed and executed; Challenges in inter-agency coordination involving IIT, GoM, and GoI delayed the	<ul style="list-style-type: none"> MHRD, GoI approval obtained MoU for transfer of land signed between MMRDA and IIT-Mumbai Actual transfer of land to take place after IIT relocates the affected structures 	<ul style="list-style-type: none"> Transfer of IIT land for civil work for 30 m road width and for 45.7 m by May 2010 Relocation of structures (IIT) to

¹¹ RHS: Right Hand Side of the road

¹² Transfer of Development Rights

¹³ LHS: Left Hand Side of the road

¹⁴ Ministry of Human Resources Development

¹⁵ IIT: Indian Institute for Technology, premier technical institute managed by the Union Ministry of Human Resource Development

SN	Impediments	Location/Name	Difficulties, Challenges, Risks	Remedial Steps Taken/ Progress Made So Far	Estimated Timeframe for Closure
			process	<ul style="list-style-type: none"> IIT has already transferred land for main carriage way 	be done by May 2010
4.	Acquisition of small parcels of land in different stretches	<ul style="list-style-type: none"> Cremation Ground wall, 80-190 RHS, JVLR-I; Pratap Nagar Part of Green Field Society compound, 620-1400 RHS, JVLR-I Opp. Fantasy Land Land for the required pedestrian subway staircase; 4300 RHS, JVLR-III, Pameri Nagar IES School compound, 4080-4160 EHS, JVLR-III, Pameri Nagar 	LA ¹⁶ process has hit road blocks due to cumbersome legal procedures, unclear title in some cases, and lack of coordination between MSRDC and MMRDA; joint measurements of land pending in some cases	<ul style="list-style-type: none"> MSRDC¹⁷ plans to redraw road alignment where LA process remains protracted (Green Field Society) LA for cremation ground wall portion not needed in view of plans for shifting cemetery LA from IES School, for PGSS dropped; alignment redrawn 	Green Field Society land not required; Cremation place wall reconstruction by May 2010.
5.	Relocation of Religious/common property structures	<ul style="list-style-type: none"> Ganesh temple/ Condivita cave; 2650-2750, JVLR-III; Sariput Nagar Buddha Temple, 370 RHS, JVLR-I, Pratap Nagar Hanuman Temple, JVLR-II, Powai Suvarna Temple, Powai, JVLR-II, Powai 	<ul style="list-style-type: none"> Approval of ASI¹⁸ required; Difficulty faced due to stringent ASI norms; Approval process stalled due to Public Interest Litigation filed by NGO in Mumbai High Court Alternative locations need to be identified for relocating temples in consultation with the structure custodians 	<ul style="list-style-type: none"> MSRDC obtained ASI approval; alternative land identified and temple relocated; Police department has shifted its outpost Negotiations to shift Suvarna Temple and Buddha Vihar failed; road realigned Relocation of Hanuman Temple under way 	Relocation of Hanuman temple and Ganesh temple by August 2010
6.	About 150-200	000-210 RHS,	These squatters, said	MMRDA has redrawn work	• Dropped

¹⁶ LA: Land Acquisition

¹⁷ MSRDC: Maharashtra State Road Development Corporation

¹⁸ Archaeological Survey of India

SN	Impediments	Location/Name	Difficulties, Challenges, Risks	Remedial Steps Taken/ Progress Made So Far	Estimated Timeframe for Closure
	Squatters	JVLR-II and 4440-4480, JVLR-I at the Pipeline Bridge, Milind Nagar	to be re-encroachers, have to be relocated; survey challenging due to interference of local leaders	plan due to difficulties in listing the squatters	
Santacruz-Chembur Link Road					
1.	247 Shopkeepers including about 140 large and medium ones (USOA, KNWA)	Kismat Nagar, 000-325 RHS SCLR	<ul style="list-style-type: none"> • Shopkeepers strongly resisted R&R process • Demand for <i>in-situ</i> scheme • Proposed private <i>in-situ</i> development scheme requires administrative clearances involving change in land use regulations • Final closure of agreement for <i>in-situ</i> scheme pending due to internal differences among shopkeepers (USOA) 	<ul style="list-style-type: none"> • 40 shopkeepers resettled at BKC¹⁹ • MMRDA has completed negotiations with 207 shopkeepers (USOA and KNWA) for <i>in-situ</i> resettlement • KNWA (54 shops) cleared the site after signing the MoU with MMRDA • 85 members of the majority group of USOA have signed MoU with MMRDA for relocation to a new shopping complex at MN Nagar; have started to vacate affected portions of their shops • Another group of about 50 USOA (breakaway faction) shopkeepers willing to join private <i>in-situ</i> scheme; if they do not, MMRDA will resettle them applying the procedure for failed negotiations. • Rest willing to relocate to shops at MN Nagar, BKC • MMRDA has initiated LA procedure for 15 land owner shopkeepers, MMRDA has already recommended <i>in-situ</i> scheme to the GoM requesting change in land use 	<ul style="list-style-type: none"> • MoU with USOA signed; • Complete resettlement by May 2010
2.	90 households of 3 MHADA buildings	925-1000, Netaji Nagar	<ul style="list-style-type: none"> • Residents demanding <i>in-situ</i> redevelopment or relocation within BKC • Success of <i>in-situ</i> scheme depends on consent of households of 2 	<ul style="list-style-type: none"> • Negotiations for <i>in-situ</i> redevelopment completed • MMRDA willing to recommend <i>in-situ</i> scheme • Netaji Nagar MHADA group has gone to Court challenging the offer 360 square foot of floor space • MMRDA has served legal 	<ul style="list-style-type: none"> • August 2010

¹⁹ Bandra Kurla Complex

SN	Impediments	Location/Name	Difficulties, Challenges, Risks	Remedial Steps Taken/ Progress Made So Far	Estimated Timeframe for Closure
			unaffected buildings	notice for land acquisition <ul style="list-style-type: none"> Joint meeting among PAPs, MMRDA and MHADA held 	
3.	Relocation of 180 squatters for diversion of drain across road	1700-2125 Sawle Nagar	Survey was not done as part of original baseline survey. Drain alignment was finalized after RIP was prepared. Resettlement of affected households required negotiations	<ul style="list-style-type: none"> Baseline survey carried out PAHs resettled by MMRDA following approved procedure 	Completed in May 2007
4.	About 4-5 structures and facilities on Railways land	2125-2500, Sawle Nagar	MMRDA cannot relocate these structures as these are Railways property, which needs to be cleared for the overbridge	<ul style="list-style-type: none"> MSRDC has deposited required amount with Railways for relocation of these facilities Railways' efforts underway 	August 2010
5.	Relocation of about 260 legal residents of 13 MHADA buildings	2125-2775, Tilak Nagar	<ul style="list-style-type: none"> Residents resist relocation to any MUTP R&R site Demand <i>in-situ</i> redevelopment of their buildings beyond road alignment Initial negotiations failed 	<ul style="list-style-type: none"> MMRDA hired Tilak Nagar MHADA Resident Association's Architect to prepare redevelopment plan Redevelopment scheme submitted to MHADA for approval MMRDA recommended redevelopment scheme providing additional floor space (50 percent more) to resident households MHADA and MMRDA have agreed on lay outs; Plan approved; MoU with PAPs pending MMRDA giving rental allowance to shift PAHs till project materializes 	<ul style="list-style-type: none"> Site clearance done for all 13 buildings;
6.	About 50 residential squatters	2775-3000, Rahul Nagar	These structures were identified to be relocated after final alignment was shifted to avoid affecting Railways land	<ul style="list-style-type: none"> Additional baseline survey completed; allotment proposal cleared; PAPs shifted 	<ul style="list-style-type: none"> Completed
7.	About 40 shopkeepers	3000-3200, Santajog Marg	Shopkeepers resistant to relocation to any MUTP site	<ul style="list-style-type: none"> 28 shopkeepers relocated to BKC; rest relocated to other sites 	Resettlement completed in December 2007
8.	2 MCGM staff residential structures (Row house, building)	2775-3200 Rahul Nagar, /000-294 Panchsheel Nagar	Inter-agency coordination between MCGM and MMRDA required	<ul style="list-style-type: none"> MMRDA willing to accommodate them in redevelopment scheme 	<ul style="list-style-type: none"> Relocation by May 2010
9.	About 50	000-294,	Survey carried out for	<ul style="list-style-type: none"> Baseline survey started 	<ul style="list-style-type: none"> Not likely to be

SN	Impediments	Location/Name	Difficulties, Challenges, Risks	Remedial Steps Taken/ Progress Made So Far	Estimated Timeframe for Closure
	shopkeepers at Arm-I	Amarmal Junction	9 m width; additional survey required for 20 m width as per final alignment	<ul style="list-style-type: none"> • RIP Note to be prepared • Shopkeepers to be relocated as per RIP Note 	undertaken
10.	Relocation of public utilities and facilities: <ul style="list-style-type: none"> • 2 electric pylons • 1 dispensary • 1 welfare centre • 9 religious structures 	3000-3200 Panchsheel Nagar Religious structures in different stretches	<ul style="list-style-type: none"> • Identifying alternate land for relocation challenging • Host communities not cooperative • Strong sensitivities involved in case of religious structures 	<ul style="list-style-type: none"> • Host community relocated • Dispensary demolished • Land cleared for shifting 1 pylon and 8 religious structures 	August 2010
11	Acquisition of small parcels of land in different stretches	In different stretches along SCLR	Joint measurements yet to be carried out in some cases for issuing notices; process slow due to inadequate coordination	<ul style="list-style-type: none"> • LA process substantially completed 	Complete LA by May 2010