Good Practice Handbook

LAND ACQUISITION AND INVOLUNTARY RESETTLEMENT

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Foreword

The International Finance Corporation (IFC) published its first guidance on involuntary resettlement in 2002, the *Handbook for Preparing a Resettlement Action Plan*, which became a widely used and referenced tool for practitioners. IFC's experience since that time has strengthened our understanding of the risks inherent in involuntary resettlement, as well as the opportunities it can provide to improve the living conditions and livelihoods of those affected. Ten years after the publication of the 2002 handbook, IFC built on the experience it had gained for the update of its Sustainability Framework, in particular Performance Standard 5 and the accompanying guidance note.

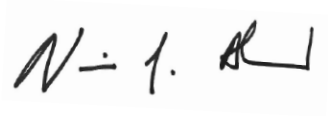
Resettlement is one of the most complex aspects of project development. If its impacts are misunderstood or underestimated, mitigation measures are likely to be inadequate and unable to achieve their objectives, to the detriment of project-affected persons. Conversely, when the resettlement process is well planned and implemented, and firmly grounded in robust stakeholder engagement, it can lead to positive outcomes and improved livelihoods.

In the past decade, land acquisition and resettlement programs have increasingly taken broader environmental and social issues into account, including the potential impacts of climate change and the unique challenges that women often face, such as gender-based violence. Positive changes in these programs encompass more inclusive and participatory consultation and design, as well as collaboration with development partners on innovative measures to restore and enhance livelihoods.

This *Good Practice Handbook: Land Acquisition and Involuntary Resettlement* is a comprehensive and detailed practitioner's guide to implementing resettlement and livelihood restoration processes in a wide range of land acquisition circumstances. Its goals are to capture and convey to practitioners, project teams, and specialists the knowledge and experience accumulated over the past years and provide them with updated and proven tools to help them and their clients address and mitigate the impacts of land acquisition and involuntary resettlement, including in complex institutional situations where the government is mandated to lead land acquisition for private-sector projects.

The handbook outlines the framework and methodology for planning, conducting socioeconomic studies for, designing, implementing, and monitoring the entire resettlement and livelihood-restoration process to achieve positive, long-term sustainable outcomes, consistent with the requirements of Performance Standard 5.

We hope the handbook will be a useful resource for all those involved in planning and implementing resettlement and livelihood-restoration programs.



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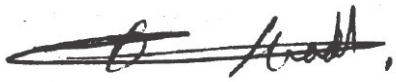

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Acronyms

BTC	Baku-Tbilisi-Ceyhan
CBO	community-based organization
CLO	community liaison officer
CSO	civil society organization
E&S	environmental and social
EITI	Extractive Industry Transparency Initiative
ESAP	environmental and social action plan
ESIA	environmental and social impact assessment
ESMP	environmental and social management plan
ESMS	environmental and social management system
GBV	gender-based violence
GBVH	gender-based violence and harassment
GIS	geographic information system
GLAC	guide to land acquisition and compensation
GM	grievance mechanism
GMC	grievance management committee
GPS	global positioning system
GRM	grievance redress mechanism
HPP	hydropower project
IDP	internally displaced person
IFC	International Finance Corporation
IFI	international finance institution
IT	information technology
kg	kilogram
KPI	key performance indicator
LRP	livelihood restoration plan
MoU	memorandum of understanding
NGO	nongovernmental organization
NTFP	nontimber forest product
PA	participatory appraisal
PAP	project-affected person
PPP	public-private partnership
PS	IFC Performance Standard
RAP	resettlement action plan
RF	resettlement framework
SE	stakeholder engagement
SEP	stakeholder engagement plan
TOR	terms of reference
UAV	unmanned aerial vehicle
UXO	unexploded ordnance

Introduction

Involuntary resettlement presents one of the most exacting project management challenges. It involves carrying out "hard tasks" (e.g., acquiring and preparing replacement land, selecting sites, developing livelihood-restoration programs, construction of housing and infrastructure) in combination with "soft tasks" (e.g., achieving alignment between a project sponsor and government on standards, consultation, consensus building, community mobilization) that are interdependent, have to be delivered in sequence, and often must be accomplished within precise time frames. Individuals, groups, or communities must be supported to make decisions and reach agreement on matters that will affect their standard of living, livelihoods, and potential to realize their aspirations for possibly a generation. At the same time, host communities and governments need to be assisted in assuming their roles in the sustainable management and administration of those displaced. Experience has shown that failure to successfully perform these tasks and to adequately engage affected parsons can have long-lasting negative impacts and lead to impoverishment of individuals and communities.

In 2002, IFC first released the *Handbook for Preparing a Resettlement Action Plan*. In the ensuing years, IFC has increased its understanding of the risks associated with resettlement, as well as the opportunities to increase positive outcomes. This updated handbook includes many of the lessons learned from supporting a broad range of projects with resettlement.

This *Good Practice Handbook: Land Acquisition and Involuntary Resettlement* is a practical guide for those involved in scoping, planning, implementing, or monitoring programs that require physical or economic displacement. It is aimed primarily at project managers, planners, land teams, resettlement practitioners, and livelihood-restoration program partners responsible for delivering project land access and resettlement. The handbook is also helpful for government officers, lender safeguards specialists, and consultants undertaking social due diligence or monitoring. Consistent with IFC's mandate, the target audience of this handbook is private-sector developers, but much of the content is equally applicable to resettlement by the public sector. The handbook's primary focus is involuntary resettlement in emerging markets, but many of the good practices described herein are equally applicable in highly industrialized countries or those of the Organisation for Economic Co-operation and Development. This handbook should be used in conjunction with IFC's Performance Standards (PSs), and the accompanying guidance notes, which contain the policy requirements and good international industry practices to be followed when designing, developing, and/or implementing projects. (Find full reference to IFC's PSs in the

"Resources" section of this publication.) This handbook is designed to provide practical detailed guidance to support PS5 implementation and contains examples of successful good practices that have emerged since the issuance of the 2012 Sustainability Framework. The policy requirements are strictly found in the Performance Standards themselves.

While the handbook's focus is on land acquisition[1] that is "involuntary,"[2] considered to be the case when there is an option for the government to expropriate land, the principles and approaches are still useful in situations in which land acquisition is negotiated and expropriation is not an option ("willing buyer/willing seller").

What Will You Find in This Handbook?

The handbook provides a framework and methodology for planning, baseline data collection, implementation, monitoring, and evaluation of the entire resettlement and livelihood[3]-restoration process. The guidance in this handbook has been designed to enable project alignment with the overall objectives of IFC PS5:

- *To avoid, and when avoidance is not possible, minimize displacement by exploring alternative project designs.*
- *To avoid forced eviction.*
- *To anticipate and avoid, or where avoidance is not possible, minimize adverse social and economic impacts from land acquisition or restrictions on land use by (i) providing compensation for loss of assets at replacement cost[4] and (ii) ensuring that resettlement activities are implemented with appropriate disclosure of information, consultation, and the informed participation of those affected.*
- *To improve, or restore, the livelihoods and standards of living of displaced persons.*
- *To improve living conditions among physically displaced persons through the provision of adequate housing with security of tenure[5] at resettlement sites.*

4. Replacement cost is defined as the market value of the assets plus transaction costs. In applying this method of valuation, depreciation of structures and assets should not be taken into account. Market value is defined as the value required to allow Affected Communities and persons to replace lost assets with assets of similar value. The valuation method for determining replacement cost should be documented and included in applicable Resettlement and/or Livelihood Restoration plans (see paragraphs 18 and 25).

5. Security of tenure means that resettled individuals or communities are resettled to a site that they can legally occupy and where they are protected from the risk of eviction.

1. Land acquisition includes both outright purchases of property and acquisition of access rights, such as easements or rights of way.

2. PS5, paragraph 1: "Involuntary resettlement refers both to physical displacement (relocation or loss of shelter) and to economic displacement (loss of assets or access to assets that leads to loss of income sources or other means of livelihood[1]) as a result of project-related land acquisition[2] and/or restrictions on land use. Resettlement is considered involuntary when affected persons or communities do not have the right to refuse land acquisition or restrictions on land use that result in physical or economic displacement. This occurs in cases of (i) lawful expropriation or temporary or permanent restrictions on land use and (ii) negotiated settlements in which the buyer can resort to expropriation or impose legal restrictions on land use if negotiations with the seller fail."

3. The term "livelihood" refers to the full range of means that individuals, families, and communities utilize to make a living, such as wage-based income, agriculture, fishing, foraging, other natural resource-based livelihoods, petty trade, and bartering.

The handbook is organized into the following parts:

Seven modules that correspond to the phases of planning and implementing a resettlement program. Each module outlines the process and provides tools, techniques, and good practice examples that will help a resettlement practitioner design and implement a resettlement program consistent with the needs of a project-affected population and good international industry practice (IFC Performance Standard 5 on Land Acquisition and Involuntary Resettlement). The end of each module provides a "Do's and Don'ts" section highlighting key lessons from the module.

MODULE 1 Scoping of Land-Acquisition Impacts

MODULE 2 Planning Land Acquisition and Involuntary Resettlement

MODULE 3 Stakeholder Engagement

MODULE 4 Baseline Data Collection

MODULE 5 Livelihood Restoration and Improvement

MODULE 6 Implementation of the Resettlement Program

MODULE 7 Monitoring

MODULE 8 Specific Circumstances

MODULE 9 Sectoral Guidance

Module 8 Specific Circumstances. This provides land-acquisition guidance in instances related to postconflict situations, government-led land acquisition, and public-private partnership projects.

Module 9 Sectoral Guidance. This focuses on sector-specific aspects of land acquisition and relates to different types of projects, including hydropower, linear infrastructure, renewables, and so forth.

Appendixes. These contain a scoping stage checklist; forms; and examples for a census, land and assets survey, livelihood questionnaire, compensation agreement, table of contents for a resettlement action plan/livelihood restoration plan, and terms of reference for consultants, among others.

While the resettlement handbook covers cross-cutting subjects such as stakeholder engagement, baseline data collection, vulnerable people, gender, and monitoring, these are addressed only insofar as they are applicable in a resettlement context. For more general guidance on these subjects, reference should be made to other IFC good practice handbooks available at IFC's website (www.ifc.org/sustainabilitypublications).

The following paragraphs provide an overview of some of the key overarching principles and issues discussed throughout the handbook.

Planning Commensurate with Resettlement Scope

In some instances, the content and activities presented in this handbook may seem overwhelming and overly elaborate for a small and straightforward resettlement project, such as one that involves only minor economic displacement. Each resettlement project is different and has its own nuances and complexities. It is important that the project sponsor engages an experienced resettlement specialist to define the tasks, activities, and documents appropriate to the scale and complexity of displacement that a specific project will entail. A Resettlement Action Plan can be as short as 4 to 5 pages for displacement affecting two or three households, or 150 pages or longer for displacement that involves many households, complex livelihoods, and vulnerable or indigenous peoples.

This handbook presents the full suite of tasks and activities necessary for large and complex resettlement projects, but this does not imply that all these must be applied to smaller resettlement programs. Indeed, "keep it simple" remains a critical success factor for any resettlement program.

Resettlement Avoidance and Minimization

Too often, displacement is taken for granted as an inconvenience that cannot be avoided, while key features of the project design (why here? why so large?) are not questioned. Up-front investment in exploring alternatives, site selection, and site planning to avoid displacing people eliminates the very high social risks of resettlement to communities, families, and individuals. It can also result in substantial benefits in terms of project cost, schedule, and reduced exposure to environmental and social as well as reputational risks. Often, avoidance of physical displacement, where possible, can expedite land access for a project by three years or more.

Cross-Cutting Issues

Each of the modules covers the following cross-cutting issues:

- Gender and gender-differentiated displacement impacts
- Vulnerable and marginalized groups
- Indigenous peoples

These issues are considered from the perspective of how affected persons might be disadvantaged within the context of a resettlement program and in terms of what measures are required to ensure these persons are adequately consulted, able to fully participate in decisions affecting their future, and able to access benefits and livelihood opportunities.

A significant development since the previous handbook was published in 2002 is the requirement to achieve free, prior, and informed consent in cases where a project results in the relocation of indigenous peoples or impacts land and natural resources subject to traditional ownership or under customary use. Free, prior, and informed consent considerations are, however, beyond the scope of this *Good Practice Handbook*.

A further significant development is the requirement to ensure the inclusion of women and vulnerable groups in planning and resettlement implementation, and to consider how resettlement can have positive impacts on the status of women and vulnerable groups in their communities.

In addition to the modules, the handbook looks at some specific circumstances that can affect delivery of private-sector resettlement programs:

- Postconflict situations
- Government-led resettlement
- Public-private partnership projects

Private-sector investment and the economic stimulus it provides is increasingly being considered as an important peacebuilding activity. Conducting resettlement in postconflict contexts, where many families may have been displaced from their original land and dwellings, where records and traces of land and property ownership may have been destroyed, or where property may have been forcibly occupied by newcomers, requires careful due diligence and attention to engagement and reconciliation.

Emerging Trends

During the expected lifetime of this handbook, several trends are likely to significantly impact private-sector resettlement practice, for better and for worse.

These will include the following:

- Continuing growth in development-induced displacement to meet urban growth and infrastructure needs, concurrent with an increasing scarcity of land
- Continuing growth in the number of industrial parks, free trade zones, and the like in which resettlement activities are undertaken en masse

by government agencies on behalf of multiple future private tenants, complicating subsequent attempts to assign company-level responsibility for past land acquisiton and resettlement

- Increasing focus on offshore developments (e.g., wind farms, floating liquefied natural gas projects) that can have complex economic displacement impacts on artisanal fishing communities
- Continuing international civil society pressure to forego the use of eminent domain in favor of negotiated settlement and agreement-based approaches to the relinquishment of land and resources
- Evolving public policy discussion around private-sector interests benefiting from public interest laws and what constitutes good practice in situations where a government expropriates land for private-sector purposes
- Operationalizing the "UN Guiding Principles on Business and Human Rights"[4] and the increasing scrutiny of private-sector resettlement programs through a human rights lens
- Continuing emergence of new undergraduate and postgraduate resettlement teaching and research programs to address the current shortage of qualified resettlement practitioners
- Changing attitudes and laws regarding women's right to own and inherit land, homes, and resources, and women's increasing demand for gender equity
- Increasing awareness of the risks of gender-based violence[5] and recognizing that projects and resettlement can exacerbate it
- Increasing recognition of the diversity of gender identities and practices outside the dominant binary model (man/woman)—or "gender variance"—and the impacts of resettlement on gender nonconforming persons
- Mainstreaming of new technologies (e.g., unmanned aerial vehicle platforms and remote sensing systems) that greatly facilitate resettlement-related baseline surveys, land and asset inventories, and other tasks, such as resettlement site selection, livelihood-restoration planning, and monitoring

[4] United Nations. 2011. *Guiding Principles on Business and Human Rights*. New York and Geneva: UN. https://www.business-humanrights.org/en/big-issues/un-guiding-principles-on-business-human-rights/.

[5] For more information on gender-based violence, see CDC, European Bank for Reconstruction and Development (EBRD), and International Financial Corporation (IFC). 2020. *Addressing Gender-Based Violence and Harassment: Emerging Good Practice for the Private Sector*. Washington, DC: IFC. www.ifc.org/addressinggbvh.

- An increasing intersection of conflict-induced resettlement, climate change–induced resettlement, natural disaster–induced resettlement, conservation-related resettlement, and development-induced resettlement

So far as possible, these trends have been anticipated in the development of this handbook.

Critical Success Factors for Resettlement

The following are some key considerations for the initiation of a successful resettlement program. Each of these topics is addressed in the handbook:

- Start consultations and scoping of displacement impacts (inclusive of ecosystem services) and potential mitigation measures during the environmental and social impact assessment phase of the project.
- Allow sufficient time for resettlement planning and consultations—ideally, start about three years before access to construction land is required in the case of projects involving significant physical displacement.
- Engage experienced resettlement practitioners early—if possible, during site selection and certainly before resettlement scoping.
- Provide internal training on the resettlement standards and approach—start with the executive management team and work down.
- Establish a working relationship with local governments and other government agencies with resettlement-related responsibilities—for larger projects, consider establishing steering and working groups.
- Allocate sufficient budget—resettlement, including land acquisition, is costly.
- Invest in avoidance and minimization of physical and economic displacement at all stages of project design, starting with project site selection.
- Consider livelihood restoration and enhancement as key drivers for resettlement site selection where physical displacement is unavoidable.
- Start stakeholder engagement early—keep stakeholders regularly informed and updated, and provide opportunities for them to contribute to decision-making and participate meaningfully.
- Continuously anticipate, monitor, and pay attention to managing the community expectations that can arise at any point in the resettlement process, from scoping studies onward.
- Ensure that vulnerability and gender aspects are mainstreamed in every step of the resettlement-planning and implementation process.

- Establish and publicize a grievance mechanism prior to the start of site activities.
- Benchmark resettlement good practices.
- Identify and assess past land acquisition and resettlement.
- For large or complex projects, make use of experienced independent oversight or advisors to regularly review and challenge your resettlement program.
- Begin planning the monitoring process and resettlement closure while the baseline studies are underway.

MODULE 1

SCOPING OF LAND-ACQUISITION IMPACTS

I. An Overview of Scoping

Scoping is a process undertaken, preferably, at an early stage of project planning to make a preliminary identification of key environmental and social (E&S) impacts and risks associated with project development and implementation.

Similarly, the resettlement-scoping exercise identifies the key social impacts and risks associated with land acquisition and physical and/or economic displacement. This scoping process enables impacts and risks to be identified early and avoided or minimized. It also provides the basis for establishing a land-acquisition and compensation strategy and informs the detailed resettlement-planning process.

Early resettlement scoping avoids expenditure of effort and resources on gathering unnecessary data, and at the same time it promotes rapport with affected communities and the diversity of people within them, which is a prerequisite for further genuine stakeholder engagement.

Finally, it focuses attention on and prioritizes key land-acquisition and livelihood-restoration planning and implementation activities to be undertaken.

Resettlement scoping provides project proponents, resettlement planners, responsible government authorities, and affected communities with an early initial understanding of the likely impacts of land acquisition and the extent of stakeholder engagement, baseline data collection, planning, and resources that will be required to implement and monitor appropriate resettlement and/or livelihood-restoration mitigation measures. Resettlement scoping provides inputs for the environmental and social impact assessment (ESIA) scoping process.

II. Resettlement Scoping

II.A. Key Objectives of Resettlement Scoping

A thorough scoping assessment process will largely determine the focus, quality, and utility of resettlement and livelihood-restoration planning, implementation, and successful initiation of the project.

The key objectives of resettlement scoping are to accomplish the following:

- Clearly define the extent of the project footprint, area of influence, and land requirements, at each stage of the project.
- Initiate the stakeholder engagement process with preliminary stakeholder mapping.

- Get a first sense of communities and people living in the proposed project footprint and area of influence, their livelihoods (e.g., based on land, common property and/or natural resources, wages or enterprise), including knowledge of the diversity of people.
- Identify, screen, and prioritize at an early stage the range, types, magnitude, and complexity of likely environmental, social, and economic issues, impacts, and risks resulting from land acquisition and physical and/or economic displacement.
- Identify currently available relevant information and data and gaps to be addressed.
- Assess land-acquisition alternatives and work with project designers, engineers, and the affected community early on to avoid or minimize physical and economic displacement.
- Develop a land-acquisition strategy and work plan to prepare detailed resettlement and/or livelihood restoration plans (LRPs), including the design of consultation with affected communities and households, local authorities, and other directly affected stakeholders.
- Tailor baseline data collection, surveys, and assessments to enable an efficient resettlement-planning and implementation process.
- Develop a preliminary approximate cost estimate of likely compensation measures for resettlement and livelihood restoration.

The outcomes of scoping provide a basis for developing a strategic approach to the detailed land-acquisition and resettlement-planning process. Scoping results in the following:

- Development of policies and definition of methodologies
- Establishment of guidance for avoidance and minimization of displacement impacts
- Definition of resources and inputs for the effort required
- Planning for phasing of stakeholder engagement (SE), baseline data collection, land-acquisition planning, and implementation to dovetail with overall requirements for project implementation

II.B. The Risks of Poor Scoping

During the prefeasibility phase of a project, there is a range of issues to address in a constrained time frame, and resettlement scoping is often overlooked. This commonly results in an underestimation or very inaccurate assessment of potential impacts, risks, and costs related to resettlement (see box 1.1 and box 1.2). Box 1.1 lists some of the resettlement aspects that are frequently overlooked or misrepresented with inadequate scoping.

Box 1.2 provides an example of how easy it is to miss a potential livelihood activity when scoping is undertaken during only one season.

Box 1.1. What Is Often Missed with Inadequate Scoping

- An accurate assessment of the number of affected persons and/or households
- Information and analysis of the diverse gender dynamics in the communities and an understanding of the effects of resettlement on women and other vulnerable groups
- An assessment of the institutional capacity of relevant government departments to facilitate the land-acquisition and resettlement process
- An understanding of the availability of resettlement sites and replacement land, including time and effort required to obtain approval and construction permits
- Options for livelihood restoration
- Time required for stakeholder engagement
- Extent of legal processes and time needed to finalize land transactions
- Team composition and skills required for resettlement planning and implementation
- Estimate of time required to plan, prepare, and obtain agreement on the Resettlement Action Plan (RAP) and, further, to fully implement the RAP
- Accurate budgeting of the cost of resettlement planning and implementation
- An understanding of the economic or physical displacement caused by the project that is outside the project's direct footprint

Box 1.2. Scoping Lesson: Unforeseen Seasonal Livelihood Activity

The initial scoping and preliminary E&S impact assessment of a gold mine in west Africa were undertaken in the middle of the six-month dry season. There was no surface water in the area at the time, and the nearest perennial river was 70 kilometers from the project. Stakeholder focus groups and household livelihood and food security questionnaires failed to identify the significance of fish consumption among the local population.

The researchers subsequently returned to the project site in the middle of the wet season to find that the previously dry tributaries of the river at the project site were flowing intermittently and contained significant fish populations (which had migrated upstream) that were being harvested by local fisherpeople. The fishing season was short, but it provided important food supplies for local households.

The lesson learned was that initial scoping assessments must not only focus on local socioeconomic circumstances at the time of the survey but should probe livelihood activities that take place throughout the year, especially when there are marked seasonal differences that may be unforeseen at the time of a given survey.

III. Key Steps in Scoping Impacts

III.A. Establishing Land-Acquisition and Involuntary Resettlement Policy and Objectives

It is important early on, and prior to scoping exercises, to define and reach agreement internally on the standards to which the land acquisition and subsequent involuntary resettlement will be undertaken. If the project does not yet have a formal land-acquisition and involuntary resettlement policy, a document should be developed that outlines the key policies and approaches to which the project will adhere. Typically, the policies are defined by the project sponsor or by the lender(s). Once they are developed, the following should be undertaken:

- Prepare a draft for discussion and feedback and seek a commitment from management to meet Performance Standard (PS) 5 compliance requirements.
- Meet with project management, planners, designers, engineers, and E&S specialists to discuss key land-acquisition and resettlement policy aspects and objectives, including time frames.
- Finalize and obtain approval and sign off.
- Obtain agreement from project management on specific scoping objectives (refer to section II.A. Key Objectives of Resettlement Scoping of this module).

It is especially important to have project management involvement and oversight in development of policies that address challenges arising from project land acquisition.

III.B. Establishing a Resettlement-Scoping Team

It is important for the project proponents to appoint at the scoping stage resettlement experts who have solid experience in (i) stakeholder engagement; (ii) legal aspects of land acquisition, resettlement planning, and implementation; (iii) livelihood restoration; (iv) gender and gender-based violence (GBV); (v) local land-use and tenure systems (statutory and customary, as applicable); (vi) relevant project experience; and (vii) familiarity with international standards.

Strong resettlement-scoping teams commonly consist of one or more senior experienced international specialist(s) and/or local specialist(s) with a sound knowledge of the project area, the people, and their language. This combination of expertise helps to warrant that all key issues are addressed and encourages local capacity building and participation. The scoping team may need to be supplemented by additional specialists in different fields of expertise (e.g., legal), depending on the complexity of the land acquisition and resettlement.

Successful scoping must take place in coordination with the relevant engineers and project designers who can provide technical information about project construction requirements, and so forth.

III.C. Understanding the Role of the Government

In many jurisdictions, it is the government's responsibility to plan and implement land acquisition and resettlement, even for private-sector projects. Even where land acquisition and resettlement are implemented by a private project sponsor, the government will almost always play an important role for a number of reasons:

- Land acquisition and resettlement are sensitive activities that governments are attentive to, particularly with regard to setting precedents.
- Planning of resettlement involves spatial planning decisions that fall within the remit of government at national, regional, and/or local levels.
- Local authorities will want to play a role in SE around the land-acquisition and resettlement issues.
- Compulsory land-acquisition procedures, if triggered, will involve the government.

A key activity at the scoping stage is to understand the role that the government must play (activities that are mandated by legislation, for example, disclosure of project information such as ESIA findings with affected persons), is willing to play (particularly where SE is concerned), and can play (institutional arrangements and capacity to implement activities that fall under its responsibility). For example, it is important to understand the following at the scoping stage:

- What role the government will play in establishing and enforcing the cutoff date for eligibility for compensation (see Module 2. V. Task 2: Cutoff Date and Optional Precensus Survey for details on the cutoff date)
- How the project private sponsor and the government can collaborate during the expropriation process
- Whether there is a potential risk of delays in issuing required approvals, and whether additional time is required to build government capacity
- Whether the government requires any specific formats for the asset surveys, and what validation steps (expropriation commission or similar) are required to validate asset surveys
- What role government has played in determining land-use activities and zoning within the project area, and whether this is being enforced by local planning and environmental protection agencies

III.D. Coordinating with the Environmental and Social Impact Assessment Team

Where possible, it is recommended to coordinate and align the ESIA team activities with respect to SE, data collection, impact, and risk assessment. Of course, project ESIAs address larger areas and wider issues than just land acquisition and resettlement and commonly do not contain the level of detail required for planning resettlement of affected communities. The ESIA and resettlement teams have different tasks, require different skill sets, and generally should be separate, but coordination is critical to ensure efficient use of resources and avoid duplication of surveys and consultations, which can result in survey fatigue among stakeholders.

III.E. Engaging with Stakeholders

At the outset, the scoping team should establish a basic SE road map in the form of a simplified or outline Stakeholder Engagement Plan (SEP) to guide interaction concerning land acquisition during the scoping stage. This SEP will build on any existing SEP for the overall project and be based on an initial stakeholder mapping of all potential stakeholders in the area of influence. As the scoping process continues, the mapping will be refined based on data gathered, understanding of risks and impacts, and feedback from stakeholders. The SEP is a living document and should be updated regularly or as required, such as to address specific engagement activities to be undertaken in the RAP preparation process. Subsequently, the SEP will need to be updated to guide interaction in the course of the detailed data collection, resettlement and livelihood-restoration planning, and implementation phases (refer to Module 3. X. Content of a Stakeholder Engagement Plan). One of the most important issues that the initial SE road map and the SEP should consider is the establishment of a community committee that can adequately represent diversity within the community, actively engage in the SE process, and serve as an interface with the scoping team (and later with the planning team).

III.F. Collecting Data

If respective schedules of ESIA and resettlement scoping allow, the scoping team should review information obtained and documented by the E&S team (e.g., scoping and preliminary ESIAs, detailed ESIAs, and environmental and social management plans [ESMPs]) that is pertinent to land acquisition and resettlement. These should include available maps, aerial photos, and satellite imagery: any imaging presenting, for example, project layout; topographical conditions; present land use, settlement patterns, seasonal activities,

transportation routes, and infrastructure; geology; soils and land capability; natural vegetation; and water resources. This information must be taken into account in assessing the level of detail in project planning, information gaps, and the need for surveys to inform the land-acquisition and resettlement-planning process. If the ESIA team has not yet completed baseline data collection, it will be important to coordinate the assessment of information gaps and the planning of necessary surveys to maximize use of resources, assess the appropriate scale and level of detail of baseline studies, and avoid overlaps (refer to Module 4. III.A. Coordination with Environmental and Social Impact Assessment and Alignment with Other IFC Performance Standards).

Appendix A. Scoping-Stage Checklist lists key scoping considerations and provides a detailed checklist of questions to address in the scoping and assessment of land-acquisition impacts. The extent to which these questions are relevant will depend on the nature and complexity of the proposed land acquisition and displacement of communities. For projects with few land-acquisition impacts, the list of issues to scope is likely to be limited, but for projects with major land-acquisition impacts, there are likely to be a large number of issues to scope and investigate in more detail during subsequent planning and baseline data collection.

III.G. Assessing Impacts and Risks

The resettlement-scoping team will need to review potential project E&S impacts and risks identified and assessed by the project E&S team to determine those relevant to the land-acquisition and resettlement process.[4] Coordination and harmonization will be required to identify and plan appropriate mitigation measures, including avoidance and minimization of resettlement-related impacts, where feasible. Potential impacts and risks associated with land acquisition will not necessarily be the same for the proposed project and the potentially affected community (refer to table 1.3). Resettlement planning will necessarily focus on mitigating and compensating for the impacts of land acquisition on affected households and communities, while the project (e.g., operations/construction) will tend to focus on the risks associated with the land-acquisition process and possible impacts on the project such as delays to construction schedules.

[4] An emerging important risk related to resettlement is gender discrimination and GBV. The scoping team should ensure this risk has been considered.

III.H. Identifying the Proposed Project Footprint and Area of Influence

An important difference between project ESIA studies and land-acquisition and resettlement planning is that the latter requires a relatively precise definition of the proposed project footprint, since this will determine the extent of physical and/or economic displacement, affected assets, and compensation payable. Understanding the area of influence of the project will help define impacts that extend beyond the project footprint from associated facilities, cumulative impacts, or indirect project impacts. The greatest chance to avoid or minimize displacement occurs during site selection and the early stages of project planning.

The resettlement-scoping team will need to meet with the project management team, planners, designers, and engineers to obtain a reasonably definitive project footprint, including all ancillary and associated facilities (refer to Appendix A. Scoping-Stage Checklist). In practice, the proposed project footprint will often change during project planning and implementation, and include changes made to address resettlement issues. Such changes must be carefully considered, and plans made to avoid, if possible, or minimize impacts of land acquisition and resettlement.

The proposed project footprint should be disclosed only after it is considered reasonably final, otherwise this could result in land speculation, unrealized

expectations of compensation if some communities or households are no longer affected after the footprint changes, and potential disputes, conflict, and project disruption. If the potential project footprint must be disclosed before it is reasonably final, it is important to clearly communicate to the affected community the potential for footprint changes during planning or implementation.

A joint resettlement and project-planning, design, engineering, environmental, and social team should be established at a very early stage, preferably during site or route selection, to optimize the project footprint and to avoid or, if not possible, to minimize displacement. The need for staging of land acquisition is critically important and should also be considered by this joint team. Opportunities to make footprint changes diminish as planning advances and becomes finalized. Information obtained from the scoping exercise will be critical to help optimize and finalize the project footprint.

Project-engineering teams often prefer to finalize site boundaries and buffer zones as late as possible to allow flexibility in planning. However, this can present difficulties for land-acquisition and resettlement teams, which need certainty to define who will be affected. The different teams will need to achieve a realistic and practical compromise in finalizing the project footprint. Boundaries of the project footprint should be finalized to establish eligibility for compensation and determine a cutoff date, and to plan and commission any detailed land-right surveys and asset inventories. Identifying a realistic project footprint is thus a critically important component of the land-acquisition process.

The project footprint and area of influence are not the same. Impacts can affect individuals, households, and communities outside of the project footprint; these need to be considered during the scoping exercise and can require resettlement. Impacts can range from those on potential host communities accepting displaced persons and the livelihoods of neighboring communities (such as livelihoods of downstream water users), to restricted access to roads or paths, and to risks from blasting and toxic emissions.

III.I. Conducting a Scoping Desk Review

The scoping process typically starts with a desk review that addresses the scoping questions contained in Appendix A. Scoping-Stage Checklist.

Review all relevant documentation, such as those resources shown in table 1.1, to obtain information pertinent to land acquisition and resettlement. This initial desk review will provide the information needed by teams as they begin to define potential resettlement impacts, risks, and costs.

The scoping desk review of information contained in existing studies and reports outlined above should address, as appropriate, the key aspects and scoping activities as given in table 1.2.

Table 1.1. Preliminary Scoping Desk Review of Existing Studies and Reports

EXISTING STUDIES AND REPORTS	RELEVANT LAND-ACQUISITION AND RESETTLEMENT INFORMATION
Project prefeasibility and feasibility studies	Nature of proposed project and potential land-acquisition impacts Alternate options for infrastructure layout and land use Possible extent of project footprint and area of influence[a] Preliminary estimate of physical and economic displacement (with gender-disaggregated information) Timing and scheduling estimates
Legal and regulatory documents	Applicable legislation, guidelines, and regulations concerning land acquisition and resettlement
Land-acquisition and resettlement plans	Resettlement and entitlement strategies contained in resettlement frameworks or plans developed for other neighboring projects or projects elsewhere in the country
Baseline data	Maps, aerial photographs, and satellite imagery of affected communities Sex-disaggregated demographic characteristics: local population groups, census, socioeconomic circumstances, and local livelihoods and occupations Local administrative and community organizational structures, including organizations that represent women and vulnerable or disadvantaged groups Local infrastructure and community assets Land-use types (settlement, agricultural land, forest, etc.), including soils and land capability, and suitable sites for resettlement Land tenure, including traditional and formal tenure, third-party arrangements such as tenancy or sharecropping, gender aspects of land tenure, and seasonal or nomadic use of land Existing national or local compensation methodology and rates for land, crops, built structures, and so forth Local cultural heritage (archaeological, historical, and sacred sites, graves, etc.)

[a] The terms *project footprint* and *area of influence* are used throughout this handbook. The project footprint is the area directly affected by the project components. The area of influence includes the project components and activities as well as impacts from unplanned but predictable developments caused by the project that may occur later or at a different location, or indirect project impacts on biodiversity or on ecosystem services on which affected communities' livelihoods are dependent. For a fuller description, see the Glossary.

(*Table continued on next page*)

Table 1.1. (*Continued*)

EXISTING STUDIES AND REPORTS	RELEVANT LAND-ACQUISITION AND RESETTLEMENT INFORMATION
ESIAs and ESMPs	Land acquisition and proposed project land use: social and environmental impacts, magnitude of potential physical and/or economic displacement Proposed measures to avoid displacement Risk assessment, including proposed measures to address risk of GBV Proposed management plans to address impacts of land acquisition
Detailed project plans, designs, construction, and implementation schedules	Definitive project location and footprint (maps and plans) Project infrastructure layout Project organizational structure and management responsible for land acquisition and compensation Timing and scheduling of land-acquisition requirements
Local and regional development plans and other related reports	Larger area context: for example, administrative structure, demography, existing and proposed settlements and development projects, spatial plans, and zoning Existing and proposed infrastructure, facilities, and services: for example, roads, railways, water and energy supplies, schools, hospitals, and health clinics
Satellite imagery	Preliminary identification of land-use types and impacts (see also Module 4. XII. Tools Needed for Data Acquisition: Remote Sensing, Aerial Photography, and Unmanned Aerial Vehicles)

Table 1.2. Scoping Desk Review of Key Aspects of Land Acquisition

ASPECT	ACTIVITY
Legal issues	Review existing land-acquisition and compensation legislation and regulations and any gaps between them and international standards. Identify any disputes over legal title and ownership of land and resources.
Benchmarking	Review standards of land acquisition and compensation contained in publicly available RAPs, completion audits, or independent resettlement monitoring reports of other in-country resettlement programs. Review lessons learned from past resettlement activities in-country, including land conflicts, GBV, and the broader context in which the resettlement occurred.
Stakeholder engagement	Review records of any SE undertaken to date (including any engagement of affected communities by government agencies), categories of stakeholders consulted, key issues raised concerning land-acquisition and livelihood impacts and risks, possible solutions discussed, and any project commitments made to mitigate impacts. On the basis of this information, prepare a brief scoping road map to SE to guide interaction during a scoping field visit (refer to section III.E. Engaging with Stakeholders of this module).
Mapping	Outline the proposed project footprint and area of influence on available published topographical maps, cadastral plans, land-rights maps, orthophoto maps, air photos, or satellite imagery as appropriate. (Google Earth satellite imagery may be adequate for a preliminary assessment, depending on image resolution.) For communities whose livelihoods are land based, this will help identify land-use types and productive potential, presence of natural and/or critical habitat, proximity of protected areas, and so forth. Identify the need for any additional land-tenure or remote-sensing data acquisition.
Preliminary identification of land-acquisition impacts	Identify affected land-use types, infrastructure, settlements, dwellings, community and business buildings, and other structures if the available documentation, maps, photos, and satellite imagery have sufficient detail and adequate information.
Preliminary identification of affected communities and social profile	Review available documentation listed in table 1.1 to identify affected communities, their socioeconomic profile, average household size, and so forth.
Preliminary estimate of magnitude of displacement	Tabulate a preliminary estimate of the magnitude of displacement if the available baseline data are sufficient and adequate. The following is an example:

(*Table continued on next page*)

Table 1.2. (*Continued*)

ASPECT	ACTIVITY	
Preliminary estimate of magnitude of displacement *(Continued)*	*Settlements*	Number of towns, villages, hamlets, seasonal accommodation (herders, fisherpeople, tourists), and squatter settlements
	Household infrastructure	Number of household structures (houses and outbuildings such as sheds, poultry houses, livestock pens, granaries)
	Population and households	Total number of people and/or households affected by land acquisition Note: If the average household size is known, the estimated total affected population could be calculated by multiplying this by the number of identified affected residential dwellings. This calculation can be relatively easy and accurate where single family units can be identified from aerial photos or satellite imagery, but it is more difficult to estimate in cases of extended family compounds or apartment blocks in urban areas.
	Government- and community-owned infrastructure	Administrative buildings, schools, hospitals and clinics, meeting halls, roads, powerlines, canals, and graveyards
	Extent of economic displacement	Types of livelihood activities that may be temporarily or permanently lost due to project impacts and number of individuals (men and women) and households affected
	Businesses or enterprises	Shops, markets, restaurants, accommodation facilities, and manufacturing enterprises
	Land-use categories	Extent of affected dryland cropping, irrigation, grazing, forestry, orchards, and so forth
Preliminary brief outline estimate of potential costs of land acquisition and physical and economic displacement	Prepare a brief outline of the potential cost estimate of compensation for physical and economic displacement if adequate information is available on local land and property values, building values, annual crop and perennial tree and plant compensation rates, possible livelihood-restoration mitigation measures, and so forth. This may be expressed in general estimates per household or per hectare of land type category.	
Preliminary assessment of information gaps	Prepare an outline list of gaps in information that must be gathered to undertake scoping and planning. Highlight types of missing information that could be gathered during the scoping field visit.	

III.J. Scoping Field Visit and Review

Once the resettlement-scoping desk review is completed, it is important for the resettlement-scoping team to undertake a field visit. If the ESIA is underway and this field visit is done as part of the ESIA scoping process, ensure that there is coordination between the resettlement-scoping team and the ESIA team to adequately scope the potential impacts and risks of land acquisition and displacement. Fieldwork is essential for the scoping team to see firsthand the potential impacts of project land acquisition and to meet project field staff, local authorities, and a cross-section of affected communities and households.

Engagement at this stage must be handled with care, as the scoping team may be the first project representatives to disclose news about the proposed project and possible land acquisition and displacement of households. The scoping team should consider the following:

- Understand and follow established local protocols in visiting and meeting with government authorities, traditional tribal authorities, and potentially affected communities.
- Explain the objectives of the scoping exercise, namely, to identify any potential project impacts on the community.
- Commit to providing feedback on completion of the scoping exercise—advice from local government and traditional authority representatives, the ESIA team, and/or civil society representatives on how to provide feedback can be useful.
- Carefully word messages to communities, particularly where there is uncertainty concerning the extent of likely impacts of the project and land-acquisition requirements.
- Be truthful about who the teams are and the purpose for the consultation.
- Take care not to raise community expectations regarding the proposed project.
- Do not disclose specific information on the potential project footprint until project plans are well developed. (Disclose the proposed project footprint at the stage of detailed baseline surveys and household asset inventories, and before the cutoff date for compensation.)

The scoping field visit and review should include the following activities, as appropriate:

III.J.i. Stakeholder engagement

- Use the scoping road map to SE prepared during the scoping desk review (refer to section III.E. Engaging with Stakeholders of this module) to guide interaction with a selected range of stakeholders during the scoping field visit.

These stakeholders should include a cross-section of affected community members and households, land-owning households, transient or migrant communities, local and traditional leaders, local government and regional authorities, project field staff, community-based organizations (CBOs) and nongovernmental organizations (NGOs), and various interest groups, women and youth groups, vulnerable groups, business and entrepreneurial groups, and so on.

- Refer to the scoping questions in Appendix A. Scoping-Stage Checklist to guide interaction with stakeholders and other informants during the field visit. These questions will also help ascertain whether all information required for land-acquisition impact and risk assessment and resettlement planning is either available or has been identified as a gap to be addressed during subsequent baseline surveys (refer to Module 4. Baseline Data Collection).
- There are various methods of interaction with stakeholders that can be used to undertake a rapid scoping assessment of key land-acquisition impacts and risks. Refer to Module 3. Stakeholder Engagement for more detail.

III.J.i.a. Engagement with government authorities

- It is important for the scoping team to meet with government authorities (national, regional, local, and departmental) responsible for land acquisition, infrastructure, and services in the proposed project-affected area. Understanding the role of government officials and establishing relationships of trust from the outset will help facilitate the land-acquisition process, particularly in the case of government-led land acquisition.
- Key issues and actions to outline, discuss, and at least achieve preliminary agreement on concerning the way forward include the following:
    - The overall land-acquisition process and the policies and standards to which it will be implemented
    - Strategies and plans for stakeholder engagement, including securing the support of relevant government organizations, agencies, and officials, and appropriate means to address key stakeholders' questions concerning land acquisition and management of grievances
    - Roles and responsibilities of government and the project (cutoff date, expropriation process, etc.)
    - Capacity of government agencies to register land transactions and issue permits for resettlement sites, housing, and community infrastructure in a timely fashion
    - Commitment of government to promote gender equality and address GBV
    - Any need for additional resources or inputs such as cadastral surveys

- Mechanisms that could ensure joint government-project coordination (e.g., joint steering committee and/or working group with regular meetings)

- A memorandum of understanding (MoU) with government officials can clarify from the outset the agreements and commitments of government and the project leaders to planning and implementing the land-acquisition process, resettlement, and livelihood restoration and can be key to a smooth process:
  - The MoU should address agreement on (i) standards (e.g., national legislation and regulations, IFC PS requirements, and international best practice); (ii) roles and responsibilities; (iii) stakeholder engagement; (iv) steps to be followed and time frames; (v) the types of surveys and assessments to be performed; and (vi) expertise needed (surveyors, valuers, legal specialists, etc.), including licensed professionals if required by law.
  - If government officials are reluctant to agree to comply with IFC PSs, consider what measures could be taken to achieve an agreement, such as in-depth discussion with senior government decision-makers, awareness building, and training workshops.
  - If there are gaps between the requirements of government legislation and regulations and IFC PSs, the project will prepare a Supplemental Resettlement Plan that, together with the documents prepared by the responsible government agency, will address the relevant requirements of this PS5. To make this happen, work with relevant government officials to consider possible solutions (such as timing, flexibility, or different approaches to achieve mutually acceptable outcomes) and record agreements.
- See Appendix A. Scoping-Stage Checklist for additional scoping questions to pose to government officials.

III.J.i.b. Engagement with local community and traditional leaders

- It is important to meet with local community and traditional leaders, especially where land is communally held by traditional tribal authorities in the proposed project-affected area. Building trust with local community and traditional leaders from the outset of the land-acquisition process will help facilitate access to affected communities and establish an understanding of land tenure arrangements and any conflicts over land rights or boundaries between traditional authority areas.
- Key issues to discuss include the role of local community and traditional leaders (compile a list of these leaders, including leaders of women's and youth groups and associations), protocols for engaging with the affected community, cultural practices that need to be observed, and the location of important cultural and sacred sites. Gain a preliminary understanding of any

underlying community issues that could either serve or hinder opportunities for engagement during the land-acquisition process (such as conflict between government representatives and local community or traditional leaders).

III.J.i.c. Engagement with civil society and advocacy groups

- The scoping team should meet with local civil society groups during the initial field visit to hear their perspectives and concerns. There is commonly a reluctance by project management to approve meetings between scoping teams and advocacy groups, especially if there has been opposition to the proposed project and if there is potential for a negative influence on affected households. Experience shows that listening to the concerns of advocacy groups up front can benefit the community as well as the project. Civil society and advocacy groups also often have access to information about community issues that remain largely hidden and that affect vulnerable groups (e.g., discrimination, GBV). Failure to build constructive relationships can lead to misunderstandings and tensions, making it difficult, time consuming, and costly to find solutions and achieve acceptance of the project and its land-acquisition requirements. Refer to Module 3. Stakeholder Engagement for more detail.

III.J.ii. Social license to operate

- Use the scoping field visit to make a preliminary assessment of the proposed project's social license to operate (withholding of local support, acceptance, approval, or positive support for the project). While this is not limited to resettlement aspects, it is critical for the resettlement-scoping team to assess affected communities' degree of acceptance and concern over land-acquisition impacts and mitigation measures.
- Identify what measures could be taken to earn and gain a social license to operate if there is opposition to the proposed project and what could be one to strengthen and maintain the social license to operate if there is already positive support for the project. Refer to Module 3. Stakeholder Engagement for more detail.

III.J.iii. Project footprint, area of influence, and affected land-use types

- Visit and gain an understanding of the extent and boundaries of the potential project footprint, the extent of the project area of influence, local socioeconomic circumstances, and types of affected land use, including mixed uses, such as cropland used for grazing livestock after harvests and during fallow periods, and systems of land tenure. Identify areas of critical importance to land users. In urban settings, look at employment opportunities

and livelihood patterns inside and outside the footprint. Consider ways to reduce the extent of the proposed project footprint and/or impacts on local communities and households.

III.J.iv. Livelihood activities

- Observe and identify the livelihood activities of potentially affected communities: for example, agriculture, animal husbandry, business enterprises (including shops), markets and informal petty trade, manufacturing enterprises, and other types of enterprise and employment, including mixed activities such as informal businesses being used for sleeping accommodations at night. Determine the extent to which they are likely to be affected by proposed project land acquisition, and the extent to which any change might impact men and women differently.
- Note any links, dependencies, or supply chains associated with key livelihood activities, such as women drying and marketing fish from artisanal fishers, women panning gold from ore mined by artisanal miners, mechanization contractors plowing land or harvesting crops for farmers, seasonal workers on local farms, and the use of ecosystem services and natural resources such as charcoal production and harvesting of medicinal plants, wood, and other vegetation materials for crafts.

- Identify impacts to livelihood activities outside of the project footprint, such as from restrictions to access (including nomadic migration routes or offshore fisherpeople) or from restrictions to water flow to downstream water users.

III.J.v. Interaction with other development initiatives

- Meet with representatives from other development initiatives, particularly projects in social housing, agriculture, assistance to vulnerable groups, gender and GBV initiatives, economic development, tourism, and generally any initiatives relevant to resettlement and livelihood restoration.
- Learn from their experience of successes and failures and seek consistency (and integration where possible) with existing initiatives.

III.J.vi. Infrastructure and assets

- Identify potentially affected community infrastructure and assets in community offices; educational, health, and recreational facilities; roads; telecommunication; energy; water and sanitation systems; and infrastructure for fire protection systems.
- Identify potentially affected household dwellings and type (e.g., separate or semidetached housing, extended family compounds, apartments, and informal and squatter shacks), huts, barns, storage and animal sheds, granaries, fences, walls, wells, boreholes, and irrigation systems.
- Make a preliminary count of affected houses and structures if the proposed project footprint is relatively small and accessible.

III.J.vii. Cultural heritage

- Observe and identify potentially affected cultural heritage, such as archaeological, historical, religious, and sacred sites, including graves and cemeteries.

III.J.viii. Alternative project sites or route options

- Observe and make a preliminary assessment of potential options to avoid or minimize land-acquisition displacement impacts by re-siting project facilities and infrastructure.

III.J.ix. Other projects

- Identify other private- or public-sector projects (industrial plants, mines, roads, etc.) that may have or will place pressure on community landholdings or natural resources.

III.J.x. Preliminary estimates of displacement magnitude and costs of land acquisition

- Prepare preliminary gender-disaggregated estimates of the probable magnitude of physical and economic displacement and costs of land acquisition, asset compensation, and livelihood restoration based on the desk review and field visit.
- Note gaps in information and uncertainties regarding estimates that must be addressed during the baseline data collection stage.

III.J.xi. Scoping assessment of impacts and risks

- Conduct an assessment of potential key issues, impacts, and risks of land acquisition and resettlement with respect to the proposed project and the affected community. Some examples of common key issues, impacts, and risks are shown in table 1.3. For further examples, refer to the scoping questions contained in Appendix A. Scoping-Stage Checklist.
- Make a preliminary assessment of the significance of these key potential land-acquisition impacts and risks and the likelihood of their occurrence (refer to the example in table 1.4). Rank the risks accordingly and compile a register of risks. Identify potential mitigation options and appropriate actions to eliminate or reduce each risk.
- Use this register of risks and preliminary assessment of potential mitigation measures to guide the preparation of more comprehensive risk-mitigation actions in the course of detailed resettlement planning.

Table 1.4 is an example of how the identified impacts and risks can be documented and tabulated, along with the corresponding risk of occurrence and magnitude of risk. The completed table will become the basis for resettlement planning.

Table 1.3. Scoping: Potential Impacts and Risks Associated with Land Acquisition and Resettlement Affecting Project or Community

ISSUE	IMPACTS AND RISKS
Poorly defined national laws, regulations, and procedures for land acquisition or expropriation	Lack of clarity concerning the land-acquisition process Lack of enforcement or compliance by local government Potential for misunderstandings and delays
Changing laws and regulations on land acquisition and resettlement	Uncertainty, "changing goal posts," with delays in planning and implementation
Requirement for environmental impact assessment, not ESIA (focus on environmental issues with limited attention to social issues)	Selection of project and resettlement sites based on minimizing environmental impacts and risks and not social impacts and risks
Gaps between IFC PS5 and national government requirements for compensation for physical and/or economic displacement	Time needed to discuss and agree on measures to close gaps Additional resources and costs to close gaps Lack of interest by government authorities to address PS5 requirements for compensation because this may set a precedent for future compensation Low compensation rates (not at replacement value) Lack of provision in government requirements for compensation for renters or illegal informal settlers Barriers to addressing gender- and GBV-related risks associated with compensation measures
Quality and reliability of land-ownership registers	Time needed to verify and update information and resolve issues
Limited capacity and resources of government agencies to process land transactions, issue permits, expedite expropriation, and conduct judicial procedures	Project delays The need for additional resources to assist government agencies
Uncertainty over costs of land acquisition and resettlement due to footprint changes	Delays to completion and implementation of the RAP/LRP Difficulties in finalizing the RAP budget
Land speculation	Time needed to resolve issues Increased costs of land acquisition

(*Table continued on next page*)

Table 1.3. (*Continued*)

ISSUE	IMPACTS AND RISKS
Unrealistic expectations of compensation rates and benefits among affected communities Misunderstandings and conflict over the land-acquisition process	Time needed to address the issue Loss of trust and social license to operate Project reputational risks
Past land acquisition and resettlement: previous forced evictions by police, military, or security forces; poor human rights performance; and past conflict, among others Poor previous experience with land acquisition or resettlement	Time to gain trust and social license to operate and resolve past issues
Poor law and order or security environment Presence of guerrilla or insurgency groups and/or ongoing conflict Presence of criminal organizations that will exploit the land-acquisition process Unwarranted compensation claims and corrupt practices	Increased need for project security measures Undermining of the RAP and implementation process Increased costs and resources required to address the issue Project delays GBV, especially sexual exploitation and sexual violence against women and adolescent girls
Presence of refugees and internally displaced persons	Potential limited resettlement options Conflict with local host community
Opposition to the project by advocacy and civil society groups; political interference	Time and resources to engage with opposition groups Disruption of the RAP planning and implementation process
Conflicts over land rights, overlapping or disputed land claims	Project schedule delays, potential for conflict
Unforeseen delays and/or underestimation of time required to finalize the RAP, achieve agreements with affected households, and undertake implementation	Project schedule delays Increased costs Loss of social license to operate

(*Table continued on next page*)

Table 1.3. *(Continued)*

ISSUE	IMPACTS AND RISKS
Project land acquisition and implementation	Disruption of household and community activities Loss of land and natural resources Decreased local food production (food security) Loss of livelihoods Enterprises' and businesses' potential loss of business, trade, and clients (temporary or permanent) Increased impacts on women and vulnerable groups
Intensification of land use due to decrease in available cropland following project land acquisition	Change from low-input, low-output, low-risk subsistence agriculture to high-input, high-output, high-risk market-based agriculture, and social risks attached to such change Local households potentially not readily able to adapt to the change
Influx of newcomers seeking job and entrepreneurial opportunities associated with the project	Uncontrolled settlement, unsanitary conditions, potential for disease Competition for and possible unsustainable use of common property and natural resources Increased demand for use of community infrastructure, facilities, and services Changes in community leadership and power relationships Increased incidents of GBV, especially sexual exploitation and abuse
"Elite capture"[a] of land-acquisition benefits Criminal organizations exploiting the land-acquisition process. Predatory lending to affected households eligible for compensation before finalization of payments	Local households' loss of access to compensation benefits Exploitation and marginalization of local households, women, and vulnerable groups (ethnic, indigenous, minority, and other groups), with an increase in vulnerability Indebtedness of local households to predatory lenders Inflationary local land costs

[a] Risk that powerful or influential members of the community will engage in land speculation or corrupt practices or disenfranchise other community members entitled to compensation.

(*Table continued on next page*)

Table 1.3. (*Continued*)

ISSUE	IMPACTS AND RISKS
Payment of royalties, stipends, and cash compensation for land acquisition	Dependence on compensation payments, with loss of resilience Misuse of compensation money
Future project expansion; progressive land take as often occurs in mining projects	Re-resettlement of previously displaced households Cumulative impacts, including increased pressure on land
Unforeseen delays and/or underestimation of time required to finalize the RAP, achieve land-acquisition agreements with affected households, and undertake implementation	Dissatisfaction over delays among affected households Lives on hold for project-affected persons Loss of opportunities; increased costs

Table 1.4. Example of a Register of Key Potential Impacts and Risks and Potential Mitigation Measures

ISSUE	IMPACTS AND RISKS	LIKELIHOOD OF OCCURRENCE (CERTAIN, LIKELY, POSSIBLE, UNLIKELY)	MAGNITUDE OF ASSOCIATED IMPACT OR RISK (MAJOR, MEDIUM, MINOR)	POTENTIAL MITIGATION OPTION AND ACTIONS
Limited capacity and resources of government agencies to process land transactions, issue permits, expedite expropriation, and conduct judicial dispute-resolution procedures, etc.	Dissatisfaction over delays in finalizing compensation agreements[a] among affected households; potential for protests and project disruption Project delays	Likely	Major	Additional resources to assist government agencies: assign project staff or provide funding for lawyers or land-transaction specialists to assist government agencies Provide office space and equipment (computers, desks, chairs) to accommodate additional personnel

[a] See Appendix F. Example of a Compensation Agreement.

III.K. Information Gaps

Subsequent to the resettlement-scoping desk review and field visit, undertake the following:

- Summarize available information and compile a list of information gaps to address during the more detailed baseline data collection stage (refer to Module 4. Baseline Data Collection).
- Make a preliminary assessment of the significance of each gap in information, then rank the gaps in order of importance and when the information will be required.
- Note whether there are any timing issues or constraints on obtaining the required information (e.g., seasonal studies, meetings with itinerant migrants, access to sensitive information—especially from vulnerable groups—and absentee landowners).
- Identify types of consultation (and with whom), research, and surveys that will be required.
- List any local, national, and international organizations or individuals that were identified in the course of scoping who could address these information gaps (e.g., government departments, academic institutions, NGOs, CBOs, women's organizations, researchers, consultants, and specialists). Also list their fields of knowledge and expertise.
- Make a note of any government procedures or requirements for undertaking surveys and collecting baseline data (e.g., disclosure of information, consultation, and use of licensed professionals).

III.L. Work Plan for Land Acquisition and Resettlement Planning

The scoping assessment should result in a preliminary project footprint sufficiently well defined to commence planning the land-acquisition and resettlement process.

The outcome of the scoping desk review, field visit, and assessment of information gaps is the preparation of a scoping report and work plan based on a preliminary project footprint and definition of area of influence to undertake necessary SE, baseline data collection, land-acquisition, resettlement, and livelihood-restoration planning. See Appendix I. Template for Terms of Reference: Scoping Process for a RAP/LRP for terms of reference for the scoping consultant and the preparation of a RAP, which also includes a proposed table of contents for the scoping report.

III.M. Time Frame

Depending on the magnitude of impacts and readiness of the project, scoping of resettlement and land-acquisition impacts typically takes between two weeks and two months.

To ensure coordination between the ESIA and the resettlement-planning process, scoping should take place jointly with the ESIA scoping process, or ahead of the detailed ESIA studies being procured (particularly before the ESIA baseline studies are procured).

IV. Do's and Don'ts

The scoping assessment and work plan for land acquisition, resettlement, and livelihood-restoration planning will provide a framework for discussion with project management to achieve agreement on a strategic approach, steps, resources, and mobilization of the planning process (table 1.5).

Table 1.5. The Do's and Don'ts of Scoping Impacts and Risk Assessment

DO'S	DON'TS
Use experienced resettlement specialists to carry out the scoping and risk-assessment exercise. Establish clear scoping objectives with project management, including level of detail required for the scoping stage. Clearly define what information needs to be gathered and how it will be used in land-acquisition planning and implementation. Ensure that all key groups, including vulnerable and marginalized groups within the affected community, are identified. Ensure that data gathering is gender inclusive and gender sensitive. Use qualitative research methods, including *participatory rural appraisal* techniques that are relatively quick for scoping, and combine these with available quantitative information.	Skip or undertake the scoping step superficially. Gather unnecessary social, land-use, and other baseline information, or information that could place community members (especially women and vulnerable groups) at risk. Disclose the extent of the potential project footprint until it has been well considered and planned. Create expectations that might encourage speculative activities during early scoping SE.
Ensure that scoping includes seasonal changes in livelihood activities, including seasonal migration of herders, fisherpeople, and artisanal miners. Identify possible alternatives that will avoid or minimize land-acquisition and adverse impacts. Identify key social and land-acquisition issues and prioritize them for further investigation at the early design stage. Look for local, regional, and national benchmarks and use lessons learned from similar land-acquisition and resettlement programs. Report outcomes of the scoping exercise to project management and key stakeholders, including government, affected persons, lenders, and civil society. Integrate the findings of the resettlement-scoping exercise with the overall ESIA and environmental and social management system.	Forget to engage with project planners, designers, and engineers early on to share scoping information and examine alternatives to avoid or minimize physical and/or economic displacement. Forget to engage with a diverse range of community members, including women and vulnerable groups. Produce scoping reports late or after more detailed studies have been commissioned or are underway.

MODULE 2

PLANNING LAND ACQUISITION AND INVOLUNTARY RESETTLEMENT

I. Overview

The planning process lays the foundation for the implementation and monitoring of the land-acquisition and resettlement steps. Sound planning enables the project to meet the key objectives defined in the RAP or LRP. During planning, affected households and communities should also have the opportunity for informed participation, so that the mitigation of adverse project impacts is appropriate and the potential benefits of resettlement are sustainable. These mitigation measures provide compensation for loss of assets, livelihood restoration, and so forth. The planning process culminates with the development and finalization of an implementable RAP or LRP.[5]

II. Key Objectives of the Planning Process

The planning process builds and elaborates in much greater detail on the scoping stage described in Module 1. Scoping of Land-Acquisition Impacts. It includes SE and baseline studies, as well as livelihood-restoration planning, which for the clarity of this handbook are addressed in separate modules (Module 3. Stakeholder Engagement; Module 4. Baseline Data Collection; Module 5. Livelihood Restoration and Improvement; and Module 6. Implementation of the Resettlement Program). This module focuses on the planning process.

Based on initial information gathered in the scoping and assessment outlined in Module 1. Scoping of Land-Acquisition Impacts. The following are the key objectives of the resettlement-planning process:

- Quantify, describe, and categorize project impacts on land, resources, and people.
- Identify and categorize households, individuals, and assets that will be affected.
- Describe socioeconomic conditions and livelihoods prior to the project to (i) establish a baseline, against which changes caused by resettlement can be monitored and the effectiveness of livelihood restoration can be assessed, and (ii) gain a better understanding of impacts to livelihoods, addressed in detail in Module 4. Baseline Data Collection.
- Define eligibility rules. (Who will be entitled to compensation?)
- Define entitlements for compensation and livelihood restoration.
- Define engagement and grievance management strategies (addressed in detail in Module 3. Stakeholder Engagement).
- Consult on proposed entitlements and negotiate them with the affected community (and host community, if relevant).

[5] See Appendix H. Annotated Table of Contents for a Livelihood Restoration Plan.

- Define livelihood-restoration strategies (addressed in Module 5. Livelihood Restoration and Improvement), discuss them with the affected community, and come to an agreement.
- Define processes and procedures to implement land acquisition and resettlement, including compensation measures and relocation activities, resettlement budget, and schedule.
- Discuss these processes with key stakeholders, particularly the affected community, including women, vulnerable groups, and involved government agencies.
- Document the planning process in a RAP, LRP, or a combination of both.

III. Key Tasks of the Planning Process

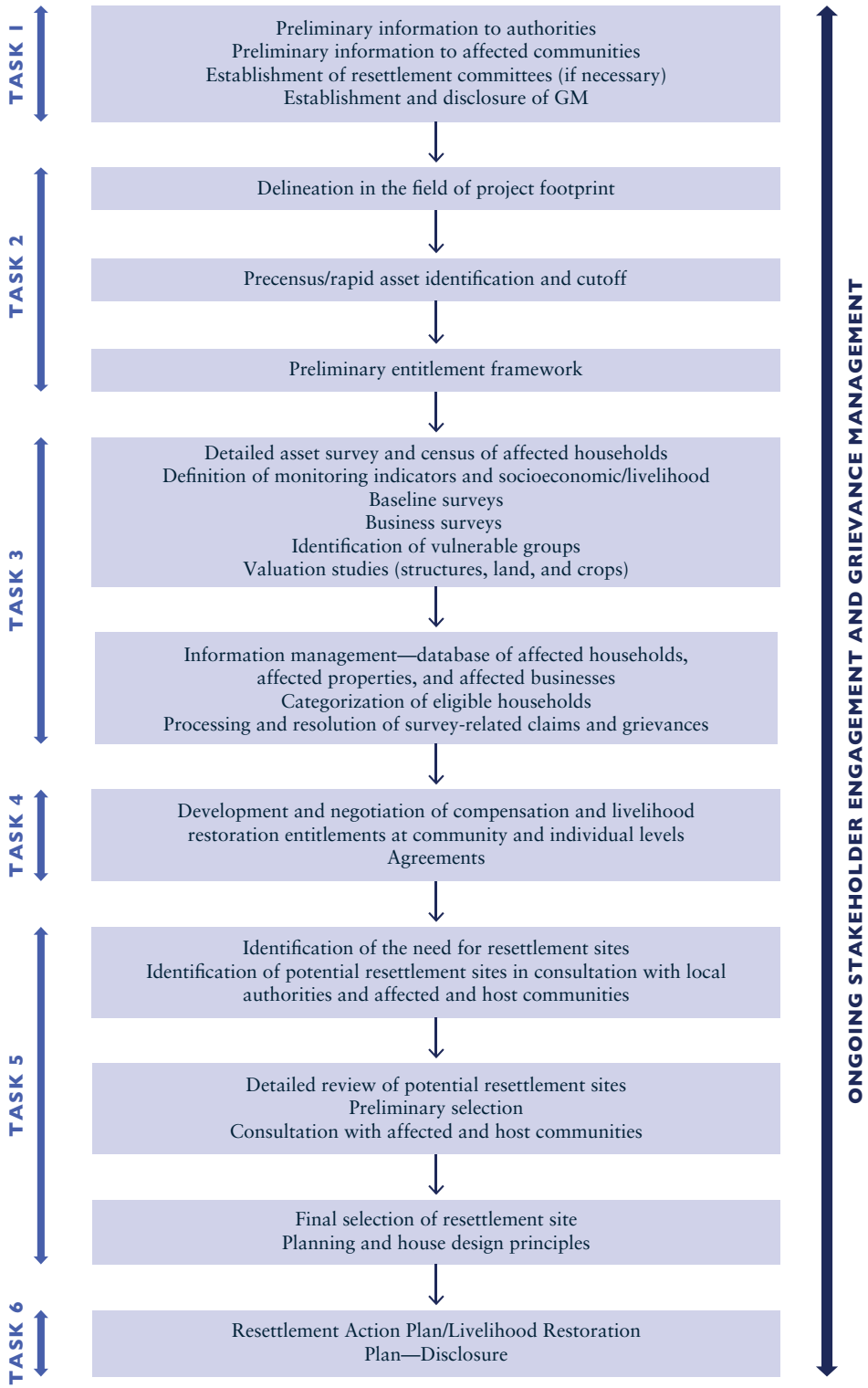
Planning resettlement involves a number of tasks, as illustrated in figure 2.1. The order shown in the figure is not necessarily chronological, and some of the following tasks must be conducted in parallel:

- *Task 1:* Perform preparatory activities, including providing preliminary information on displacement impacts to authorities and affected persons; establishing provisional consultation committees (taking cognizance of the local social and political context); and establishing and disclosing a grievance mechanism (GM). (These activities are also described in Module 1. Scoping of Land-Acquisition Impacts.)
- *Task 2:* Delineate the affected footprint in the field, defining aspects of the area of influence that could result in economic or physical displacement impacts, and declaration of a cutoff date for compensation eligibility to prevent influx or encroachment, with concurrent implementation of a preliminary census and rapid asset survey to establish eligibility at the cutoff date, in consultation with affected groups, including complex eligibility issues.
- *Task 3:* Conduct field surveys, including census, asset inventory, and socioeconomic surveys, along with associated information management and SE (see Module 4. Baseline Data Collection).
- *Task 4:* Establish compensation entitlements and livelihood-restoration benefits, engagement at community level on these entitlements, and negotiation at community, household, or individual levels as appropriate.
- *Task 5:* Select resettlement sites and planning for site development and housing, in consultation with the affected community and host community.
- *Task 6:* Develop implementation approach and arrangements, preparation of RAP/LRP documentation, and disclosure.

SE occurs throughout the process (see Module 3. Stakeholder Engagement for details).

See also Appendix I. Template for Terms of Reference: Scoping Process for a RAP/LRP and Appendix J. Template for Terms of Reference: Preparation of a RAP/LRP.

Figure 2.1. The RAP/LRP Process



IV. Task 1: Make Preliminary Contacts, and Establish a Committee and Grievance Mechanism

IV.A. Preliminary Contacts and Consultation

- With local authorities, typically mayors and/or district heads, as well as contacts at national and/or regional levels, which are also required in many jurisdictions
- With the affected community(ies):
    - Disclose the extent of potential land impacts to the community as well as the standards to which land acquisition and resettlement will be implemented. This engagement must be prepared and managed with caution. In most cases, a first meeting will be held with community leaders and elders. In situations where the community leaders and elders are all men, every effort must be made to ensure the information is shared with women in the communities through women's groups or other avenues. In addition, and unless the local political or social context would not allow, it is also important that the message be communicated to the entire community in a public meeting. Providing a leaflet or other handout is a useful way to support this process.[6] Information concerning the cutoff date, census, and asset surveys must follow within a short time to avoid speculative occupation of the footprint, and the timing of disclosure of the footprint must be given appropriate thought (see section V. Task 2: Cutoff Date and Optional Precensus Survey of this module).
    - To minimize community anxiety, it is also important to convey information about the anticipated schedule of land acquisition, particularly where there is physical displacement. Where there are uncertainties beyond the project control (e.g., investment decisions, permitting, or government agreements), it is important to be transparent with communities. Again, every effort must be made for this information to be made available to all groups in the communities, including women.
    - Where it is uncertain whether the project will go ahead at the time these contacts with communities are established, this needs to be made clear and explained to communities.

[6] It should be kept in mind, however, that alternative methods may be necessary to reach women and vulnerable groups, who may have lower levels of literacy or speak only the local language or dialect.

IV.B. Engagement Framework and Resettlement Committee

The scoping stage will have provided information to enable preparation and tailoring of the Stakeholder Engagement Plan to focus on land-acquisition and resettlement–related activities as presented in Module 1. III.E. Engaging with Stakeholders and Module 3. X. Content of a Stakeholder Engagement Plan.

In many settings, the establishment of one or several committees is a useful tool—albeit not mandated by PS5—for engaging with the affected community. The provisional consultation committees should be appropriate within local social and political contexts as well as broadly representative (women and men, elders and youth) and be established prior to the commencement of field surveys. See Module 4. IV. The Census to VII. Livelihood Baseline Research and Surveys.

IV.C. Grievance Mechanism

The GM, described in detail in Module 3. Stakeholder Engagement, must be established by the project proponent before the start of any significant field activity and before starting the surveys aimed at identifying affected assets and affected persons. The GM must be broadly communicated to affected persons and communities.

V. Task 2: Cutoff Date and Optional Precensus Survey

V.A. Delineating Project Footprint

Starting surveys and declaring a cutoff date require the project footprint (the actual area of land that is required to build and operate the project) to be defined with a reasonable level of certainty:

- Make sure that the project footprint (including the boundaries of the project footprint and ancillary facilities) is clearly defined by project planners and engineers, as the RAP team must have this information to plan and start surveys.
- Define the area of influence with a focus on aspects that may cause physical or economic displacement or impact natural resources used by communities.
- Optimize the footprint jointly between RAP, project planning, and engineering teams (see Module 1. III.H. Identifying the Proposed Project Footprint and Area of Influence).

- Where communities are divided by the proposed delineation into affected and unaffected sections, review the footprint limit carefully and consult with government and the communities themselves on potential expansion of the footprint to avoid or minimize severance of communities.
- Show the footprint boundaries to community representatives, but only once the following conditions are met:
    - These boundaries are known with a reasonable level of certainty, to avoid loss of community trust if changes need to be made at a later stage.
    - The cutoff date has been disclosed or will be shortly thereafter. This can be done immediately after finalizing definition of the project footprint. The implementation of surveys and the planning process can then proceed.
- Take a long-term view of community viability in reviewing the footprint in consultation with affected communities, looking at the following points, among others:
    - It may be necessary to resettle people that are outside of the direct project footprint if a community's social cohesion would be affected by a partial relocation.
    - Residences that are not in the direct project footprint may need to be relocated because their agricultural land or other sources of livelihoods are affected and they might become economically unviable should they not be relocated.
- The project footprint often changes over the course of the project. When this happens, manage the change with care: if people were surveyed based on a first delineation but end up outside of the final footprint, they may expect compensation and it may be necessary in such cases to compensate the related disturbance and impacts to livelihood, subject to negotiation.

V.B. Cutoff Date

The cutoff date is the date after which any new structures, trees, crops, and other immovable assets will no longer be counted or measured for compensation purposes. The intent of the cutoff date is to avoid opportunistic settlement or construction of new structures by existing households (in the expectation of compensation) in the area earmarked for project use. Key considerations include the following:

- If a cutoff (sometimes called a "moratorium") is provided by local legislation (usually the case where eminent domain procedures are applied), make sure that the cutoff date as mandated by local legislation (usually the date at which a certain legal act is taken) can correspond to the cutoff date required by PS5 (the date at which the census and asset surveys are completed). Typically, the date of publication of a declaration of public interest (or similar

eminent domain–related act) will become the cutoff date. The additional requirement of PS5 is to ensure that the cutoff date and its conditions (e.g., no erection of new structures, no planting of new trees and crops) are disclosed, which is not always mandated by local legislation. Aligning the declaration of public interest mandated by local laws with the cutoff date disclosure required by PS5 calls for careful coordination with government agencies and must be planned well in advance.

- Where no cutoff date is envisioned in local legislation or if eminent domain procedures are not used, a project-specific cutoff disclosure process must be established, with government endorsement if possible (see box 2.1 for an example).
- Where a government cutoff date, such as a declaration of public interest, has been established in the past but not disclosed or enforced, a new cutoff date will need to be established to meet PS5 requirements.
- The cutoff date must not prevent the registration of individuals or groups who have legitimate claims to land, assets, or the use of natural resources in the project footprint, including those who might be absent when the cutoff date is declared. Such groups might include the following:
    - Absentee families or family members who may be engaged in seasonal or migrant labor elsewhere in-country or internationally
    - Seasonal users such as transhumance pastoralists, herders, hunters and trappers, foragers, and fisherpeople
    - People separated from their land and assets due to conflict (internally displaced persons [IDPs] or refugees)
    - Other absentees such as those in military service, in the hospital, in prison, or studying elsewhere
- The cutoff must be broadly communicated to ensure that all affected persons, and any person seeking to settle in the area, are informed.
- Upon announcement of the cutoff date, affected persons might suspend normal livelihood activities and expect immediate compensation. It is important that they be encouraged to continue these activities until compensation measures have been agreed and they have been given notice to stop project-affected livelihood activities.

Where there is no strict legal requirement with regard to the cutoff date, it can be practical to adopt a "rolling" cutoff date approach, whereby the cutoff is specific to each property: it is the date on which the inventory of this given property was undertaken and signed off by the relevant owner(s). Where this approach is adopted, the sponsor must still make sure that the surveys are undertaken within a relatively short period of time to avoid discrepancies and valuation-consistency issues.

Box 2.1. Cutoff Date, Census, and Avoiding Speculation

Tenke-Fungurume Mining built a large copper and cobalt mine and processing plant between 2007 and 2010 and currently operates them in the Lualaba province of the country. Speculation was identified up front as a potential risk because of the general poverty of communities and of known precedents in the area.

Tenke-Fungurume Mining was relatively successful in avoiding speculation by taking the following measures:

- Land access is organized in successive phases; each of these phases covers about three years of mining construction and expansion. Any significant land access phase is covered by a stand-alone Resettlement Action Plan.
- For each phase, a *restriction zone* is delineated to cover the direct footprint of mining operations and related facilities, as well as safety buffers. In a restriction zone, dwellings are prohibited, and all residents must be physically displaced and relocated.
- After delineation of a restriction zone, a cutoff is declared, confirmed by an act of the local authority, and is publicly disclosed in a general meeting of the potentially affected population with the local authority present.
- An inventory of affected assets and a census of affected persons are conducted immediately after the cutoff (starting on the same day as the meeting just mentioned). In the interest of moving swiftly, rather than embarking into a full, detailed census (which would take time, thereby allowing people to erect structures and plant trees and crops opportunistically), the company organizes a rapid precensus, whereby assets (structures and fields) are identified, numbered, and marked in the presence of community leaders and local authorities, and owners/users are identified on a preliminary basis. The company makes sure that the precensus can be conducted in a few days at most (generally one to two days). The precensus starts immediately once the cutoff date has been declared and preliminary lists of affected assets and affected persons can be established. Mistakes or gaps in the precensus can be corrected later when the full census is undertaken or through the grievance mechanism.

The establishment of restrictions on activities such as construction, agricultural activities, and home improvements after the establishment of cutoff dates can represent a hardship for affected households and communities. Often there are delays between the cutoff date (and the subsequent establishment of restrictions) and the development of the project, including the actual delivery of compensation. The declaration of a cutoff date must be carefully planned so that the resettlement planning (particularly asset surveys) and the move follow within a reasonable period of time. While it is important not to start land acquisition too late to have sufficient time to plan and implement resettlement adequately, it is as important not to start too early or without absolute certainty about the implementation of the main project.

Where delivery of compensation does not proceed (or occurs only after a protracted period), project proponents should consider specific compensation in recognition of the disturbance, restriction of use, and opportunity cost that the delay entails. To minimize disruption to households and communities, it is good practice for the cutoff to have a validity of one year. Three years should be a maximum, after which an update of the census and eligibility for compensation is warranted. Households and communities cannot be left in a state of uncertainty that could cause even more economic, social, and psychological disturbances than the move itself.

V.C. Precensus (or Rapid Asset Survey)

The cutoff will be meaningful and useful only if the project moves swiftly thereafter to undertake an inventory of affected assets and a census of eligible households and assets. In complex situations where there are many affected assets and people, the inventory and census (see Module 4. Baseline Data Collection) may be a lengthy exercise, and in these cases it can be useful to undertake a precensus (also called "rapid asset survey") to establish an initial list of eligible households within a short time (from one to several days). This will not necessarily be exhaustive (e.g., some absentee landowners may be missed), but it can be useful when there is a high risk of speculation. Box 2.1 describes an example of the implementation of cutoff and precensus. The necessity of undertaking a precensus survey needs to be assessed at the scoping stage.

An interesting and relatively inexpensive complement to asset surveys is to arrange a flyover with an unmanned aerial vehicle (UAV or "drone") at the cutoff date to capture visible existing assets. For the most complex projects, arranging these data into a geographic information system should be considered at these early stages.

V.D. Validity of Cutoff Date and Subsequent Changes

Managing the cutoff requires continuous engagement with affected households. Life does not stop because a cutoff date has been declared: people marry or divorce, they pass away, and children are born. Good practice is to take a relatively flexible approach to such changes by allowing project eligibility rules to accommodate them to the extent reasonable, while keeping an eye on potential speculation and gender implications (where marriages or divorces may be triggered by attempts to dispossess women of their compensation). Once the cutoff is agreed with community representatives, it is good practice to disclose

the project policy on any changes to eligibility criteria for compensation (such as taking new households, structures, crops, and so forth into consideration, and attached conditions). This transparency will minimize opportunistic claims.

Where surges in marriages or divorces are observed, this could be a strategy on the part of affected persons to create new households in order to maximize entitlements. A sudden divorce could also be a strategy to dispossess the female spouse of her share of the compensation. Changes to lists of eligible households and individuals after the cutoff should always be reviewed with community representatives (resettlement committee) to avoid fraudulent claims.

Another recurrent issue is that of repairs to houses after the cutoff: Are they allowed or not? Will they be considered for compensation or not? This is particularly an issue in monsoon-type climates where it is customary to repair houses every year after the rains end. Households should be able to appeal the cutoff date limitations where it can be demonstrated that post-cutoff repairs or improvements were absolutely needed in the period between cutoff and displacement.

V.E. Complex Eligibility Issues

V.E.i. Establishing ownership

Where ownership is officially registered, identifying the owner of an affected property usually entails acquiring cadastral information for affected land plots and identifying owners (and/or co-owners) from such cadastral information. In some jurisdictions, ownership information may be out of date (e.g., where the registered owner is deceased and the inheritors have not been registered), and in such cases the baseline surveys should seek to identify current ownership information and potential discrepancies with registered ownership. Validation of updated ownership information by community committees and/or local authorities is often a useful step. Certain legal processes may have to be followed such that updated information gets registered in the cadastre, which is usually a mandatory step for compensation to be paid to the actual owners. Projects will always benefit from facilitating such processes to avoid further legal difficulties. This would typically involve providing legal support free of charge to reregister properties and paying for registration fees and duties.

Where ownership is based on customary or other informal rights, ownership information is absent from official cadastral data. In such cases, surveys should be conducted with community representatives who will validate customary or informal ownership. The same applies to unregistered renters, informal sharecroppers, free occupiers, and so forth.

V.E.ii. Joint ownership and associated gender sensitivities

Most jurisdictions accommodate joint ownership of properties, whether land or houses. Where two or more owners jointly own an affected plot of land or a building, these co-owners will jointly receive the compensation, which must be split between them, either equally or according to the number of shares they hold in the affected property. If the co-owners jointly decide that the compensation should be in the form of a resettlement property, the co-owners become co-owners of the replacement resettlement property. The process of co-owner consent can be protracted where co-owners are many, do not agree among themselves, and/or do not live in the community. Another issue with co-ownership is that the shares of each may be insufficient to purchase a replacement property, with resulting risks of homelessness, if compensation is paid in cash.

Where spouses live on an affected property, and regardless of who is the registered or recognized owner (individual or joint ownership), the project should, at a minimum, seek the consent of all spouses to the proposed compensation. Many countries mandate such consent, but even where it is not compulsory, it should be sought. In such cases, house replacement is preferable to monetary compensation to ensure that all spouses and household members benefit from the compensation. Women's as well as men's preferences in terms of compensation mechanisms, such as replacement land or alternative access to natural resources rather than cash, should be discussed. Unfortunately, there are many examples of the male spouse misusing cash compensation to the detriment of the wife or wives and children:

- Buying nonessential items (vehicles)
- Investing the money in a business that has low chance of success
- Leaving the household to create a new household with a younger wife and abandoning the older wife and her children

However, even in cases where the formal agreement of the female spouse(s) to the form of compensation is required, such formal agreement is often not sufficient to ensure that women's circumstances are not worsened by the resettlement. More substantial awareness and empowerment training for women and men prior to compensation being delivered is needed to ensure that informed decisions are made. Titling the replacement house in both spouses' name can provide a degree of security for the wife and promote gender equity, and is a requirement of PS5. Where compensation in kind (e.g., a replacement house) is not feasible, sharing cash compensation equally between the spouses, or depositing it in a joint account is also a requirement of PS5. Where national law and tenure systems do not recognize the rights of women to hold or contract in property, measures should be considered to provide women as much protection as possible, with the objective to achieve equity with men (PS5, footnote 17). See box 2.2 for related

issues. In many parts of the world, married women individually own property, crops, and land. Failure by the project proponent to recognize this ownership right can lead to the woman's loss of power, livelihood, and financial resources.

The compensation process should include measures to ensure that documentation of ownership or occupancy, such as title deeds and lease agreements, and compensation (including the bank accounts established for payment of compensation) are issued in the names of both spouses or of single women heads of households, as relevant to each situation.

Box 2.2. Examples of Gender and Vulnerability Issues Linked with Co-ownership

In a project in the Caucasus region, an elderly woman was found to live in a property that she co-owned with her two sons (equal shares), both living in cities. When asked in what form she would like to be compensated, she refused to give a clear answer and kept saying that she would accept whatever decision her sons would make, either a resettlement house in the area or cash compensation. It became clear that the sons were willing to receive cash compensation, which could have led to the mother being unable to replace her home. In addition, her way of life (with backyard agriculture critical to her livelihood) suggested that she might become impoverished if she was relocated to an urban environment. Engagement with the two sons and the mother with the support of local authorities led to a better solution, whereby the mother got a small resettlement property close to the project area, thereby allowing her to keep her way of life, while the two sons received some cash compensation.

V.E.iii. Community ownership

Affected areas of land may be communally owned, with no individual usage rights. This is often the case for land that is not arable, such as rangelands, pasture, forests, woodlots, and wetlands. And, in indigenous and peasant communities all land (residential and agricultural) may be communally owned. These pieces of land may be critical to livelihoods, particularly where they provide grazing areas, timber or fuel wood, nontimber forest products (NTFPs), or other "ecosystem provisioning services" as defined in PS6, paragraph 2. Where access to sufficient arable land is problematic, such communal natural resources are all the more important to livelihoods of the most vulnerable members of the population, who may hold no land and might receive no compensation as a result. It is therefore important to recognize the significance of communally owned land when considering resettlement sites, which should have similar natural resources and the potential for similar provisioning services nearby. It is also important in devising community entitlement and

compensation systems. Considerations may include compensating communities for land they hold or use through in-kind measures. Box 2.3 provides an example of community compensation in Georgia.

Box 2.3. Compensating Community-Based Organizations for Pastureland in Georgia

In Georgia's high altitude Tsalka district, pipeline-affected land is mainly pastureland used for grazing and is usually community held. In order to compensate for this land, the project supported the establishment of legally registered CBOs, which have the legal ability to receive compensation and use it for community purposes. CBOs were established by all residents, who then designated a board of trustees. Most CBOs decided to use part of the money for community purposes, such as repairing a water system or a section of road, and share the remainder with all members through a cash payment.

Land affected by the pipeline corridor was reinstated and returned to the communities after the end of construction, so it could continue to be used for grazing with no significant long-term livelihood impacts.

V.E.iv. Transient, seasonal, and nomadic communities

Such communities may include seasonal workers who are present only temporarily in the affected area (e.g., at the time of harvest), transhumant or nomadic herders, seasonal fisherpeople, hunters, other seasonal workers, and so forth. Such groups may be affected by the loss of land or other natural resources, but usually they hold no recognizable rights and are often missed at the time of planning compensation and resettlement entitlements. In addition, there may be opposition from local sedentary communities or local authorities to concede any entitlement to compensation to them.

It is important to identify such communities at the scoping stage. At the planning stage, consultations must be conducted with all relevant stakeholders (including both the transient and sedentary communities as well as local authorities) to ensure that impacts are minimized, mitigated, or compensated. This may include one or several of the following measures:

- Ensure access to resources (e.g., reinstate transit routes through or around the project footprint).
- Identify alternative natural resources (and negotiate with host communities to secure such resources).
- Introduce fodder crops as a partial substitution to lost grazing land (although this will usually require time, effort, and precautions).

- Develop livelihood-restoration measures for individuals (particularly seasonal workers that may have to find another job or seasonal fisherpeople who lose direct income) who may be economically displaced.

V.E.v. Complex land rights

Customary land rights can be very complex, with two or more layers of rights over the same piece of land, particularly where shifting slash-and-burn (swidden) agricultural systems are used or where there is an overlap of farming and grazing rights, such as in the following cases:

- The community may have an overall customary ownership right managed by a council of elders or a land chief.
- Individual farmers are given a usage right by the community (or lineage) for a given period of time (typically one slash-and-burn cycle of a few years), and then the land returns to community management during the time it is left fallow.
- Fallow land, although not cultivated at the time it is taken and perhaps not held in individual ownership (and therefore not automatically eligible for compensation or replacement), is important as a reserve of land and a way to manage soil fertility.
- The temporary farming right may be allocated to an extended family or clan, but within that group the land is then split between different households or individuals for cultivation; sometimes two systems may coexist, with some land used at a broad family level under the leadership of an elder, while other land is allocated to households or individuals within the group.
- Different areas within the same community may be managed differently. For example, there may be land where a slash-and-burn system is used, which falls under management modalities just described, while better and permanently used land is allocated to households or individuals on a permanent basis and could be sold or inherited.
- In some jurisdictions, all agricultural and forest land is deemed as property of the state, with communities or farmers awarded only usage rights. Where the state may have only recently deemed such land to be state property, this may be disputed by local communities used to long-standing traditional means of control of the land.
- Nomadic or transhumant herders may have customary and temporary grazing rights recognized (or not) by sedentary communities and/or the administration.

Failing to recognize this complexity when devising a land-compensation system may result in compensating the wrong beneficiaries (or only some of

the right ones) and entail serious misunderstandings and conflict, which can be extremely difficult and time consuming to resolve. It is therefore particularly important to understand land tenure, management, and transmission systems in detail as part of the baseline studies (see Module 4. V. The Land and Assets Inventory).

V.E.vi. Mortgages and liens

Where a property is held with an outstanding mortgage or other lien, the mortgage holder will seek to enforce it and obtain repayment at the time of the transaction with the project. The resulting issue is that most of the compensation will be used to repay the debt, and affected homeowners may be left without a home. The best course of action in such situations is the following:

- Identify mortgages or liens early.
- Negotiate with the bank or other entity holding the mortgage and seek a tripartite agreement whereby the mortgage can be transferred to a replacement property.
- Allow for additional time to solve these issues.

Where land acquisition is undertaken by a state entity, some jurisdictions may withhold compensation unless the affected persons have cleared all arrears due to the state, particularly outstanding tax payments. Where this is the case, legal advice is needed, particularly where compensation is in the form of a resettlement package, and negotiations must take place such that the affected persons are not left without compensation or shelter while the issue is resolved.

V.E.vii. Voluntary land donations

Voluntary land donations by communities or individuals can be problematic since they result in land being used by a project without compensation being paid. Land donations should generally be avoided, but could be considered acceptable under exceptional circumstances following key principles:

- The process is free of coercion.
- Land donors have been informed about the project and the choices available to them, including the option to refuse the land donation.
- The size of land donated is relatively small and no impacts to livelihoods are expected as a result of the donation (i.e., land is, has been, and would remain unused, or the size is insignificant), whether to landowners or to land users (be they informal).
- No physical displacement is expected from the land donation.
- For community or collective land, users and occupiers have been informed and have consented to the donation.

- The donor community will benefit from the project.
- Consultations and agreements reached are transparent and recorded.

V.E.viii. Illicit livelihood activities

A project can affect activities that are both illicit (and/or environmentally harmful) and yet essential to local livelihoods. Typical examples include the following:

- Crops used for the production of illicit substances (e.g., cannabis, coca, opium)
- Fishing or hunting protected species (e.g., sturgeon in the Caspian Sea, seals in Arctic seas)
- Illicit logging in a primary forest
- Illicit mining activities
- Nonpermitted agricultural activity (e.g., shrimp farms on land designated for rice paddies)

Compensation for displacement of illicit activities would be tantamount to recognizing and/or encouraging these and is therefore usually rejected by governments. Impacts to illicit activities should be addressed through alternate livelihood-restoration activities, rather than compensation.

This raises difficulties:

- Substitute legal activities may be less profitable than the illicit ones they replace.
- Involved individuals or groups may be unwilling to come forward, as they may fear arrest or retaliation from criminal groups.

Specialist advice should be sought, and government engagement is key. Sometimes it may be possible to find a trusted individual or NGO than can act as intermediary to negotiate with those who are unwilling or unable to come forward.

V.E.ix. Deceased persons

When an eligible person dies between the cutoff and the delivery of compensation, normal practice is to conform to relevant legislation, with the entitlement delivered to the legitimate inheritors. While traditional authorities will play a role in determining inheritors, a judicial decision should preferably be sought to avoid fiduciary risks to the project (e.g., compensation delivered to the wrong individuals). Again, gender implications must be verified and dealt with.

- In some jurisdictions or traditions, the spouse might be excluded from the succession and could be left with no compensation as a result, even though he or she was affected. A good solution in such cases is to seek a family agreement whereby the spouse of the deceased receives the usufruct (usage right) of the resettlement house for the rest of his or her life, while the ownership remains with the inheritors.

- Be aware that if inheritors prefer to receive the entitlement in cash, particularly if there are many of them or if they do not live in the community, and efforts to convince them to grant the usage of a resettlement house to the spouse(s) of the deceased fail, this could leave the spouse without a shelter. The project may then have to treat the spouse as a vulnerable person in order to ensure access to benefits from a specific entitlement.

V.E.x. Renters, leaseholders, and nonpaying renters

Renters may be difficult to determine as landlords may be reluctant to identify them, and may even evict them as surveys start, as they feel that having renters might reduce their overall compensation. In other situations, there may be a surge in renter numbers when an influx of people realize that renters could be eligible for compensation. Proper community information and ground truthing of information are critical. There are multiple types of nonowner residents and land users. These range from someone renting a home with a defined lease, to people being allowed by the owner to lease land in exchange for cash or a portion of crops, to nonfamily members being given free temporary shelter in the family house, to complex leaseholder arrangements such as is found in Uganda (*kibanja* rights). Each of these situations needs to be assessed and understood in the cultural context to be able to define the eligibility (and subsequent entitlements) for each category of renter or leaseholder (see box 2.4). The GM needs to have substantiation procedures in place to ascertain who is a renter and who is not.

Compensation and allowances for this category of affected persons can include a range of mitigation, including moving allowances, cash equivalent of a few months of rent support while finding replacement rental properties, and support applying for mortgages.

Good practice is to facilitate the renters' moving process by compensating them for the cost of moving. This typically involves both the direct cost of moving belongings and the cost of securing a new rented dwelling, which often requires a deposit. Compensation is thus meant to cover these expenses. The project should help secure housing for vulnerable renters.

V.E.xi. People with no recognizable legal right to land

Most government regulatory frameworks do not recognize compensation for displaced people with no recognizable legal right to land. Often communities themselves will not recognize these land users as having rights. The rightful landowners may remove them from the land prior to the precensus. Yet,

Box 2.4. Providing Assistance to Renters During Resettlement

The Anglo-American Group, with its subsidiaries Kumba Iron Ore Limited (Kumba) and Sishen Iron Ore Company (Propriety) Limited, undertook a substantial relocation program in order to enable the western expansion of the Sishen Iron Ore Mine in the Northern Cape Province of South Africa.

Following prefeasibility and feasibility study phases, which involved extensive consultation with the affected community of Dingleton, the provincial government, and local municipal authorities, a decision was made in December 2013 to relocate the town of Dingleton to a resettlement site named Siyathemba in the town of Kathu, 23 kilometers from Dingleton.

A census of the Dingleton community revealed that out of 680 affected households, 47 percent were private homeowners and 53 percent were renters, most of whom were staying with and renting rooms or backyard dwellings from homeowners.

Initially, it was envisaged that these renters would relocate with their landlords to their new homes in Siyathemba, and thus no specific provision was made to provide separate accommodations for renters. However, it was subsequently found that many homeowners did not want to take their renters with them, since they could find higher paying renters in Kathu.

Dingleton renters experienced difficulties in finding alternative accommodations, and some renters were members of vulnerable households who could not afford higher rents in Kathu. Therefore, in order to support renters during the resettlement process, a renters' information desk was established in Dingleton to undertake the following:

- Register and address renter concerns and grievances.
- Identify immoveable assets eligible for compensation erected or owned by renters.
- Interview renters and homeowners to identify renters not moving with homeowners to the Siyathemba resettlement site in Kathu.
- Assist renters with finding alternative rental accommodations. (This required understanding their preferred rental property requirements, such as location, accommodation type, number of rooms, rental rates, and periods.)
- Source and advertise alternative rental accommodations in Kathu and other nearby towns. (This included providing affected Dingleton homeowners with an opportunity to register available rental stock at their new homes in Siyathemba.)
- Prepare rental information booklets for potential rental properties (see photographs in this box).
- Make appointments for renters to visit alternative rental properties and provide renters with transport to appointments.
- Host training workshops with homeowners and renters on lessee and lessor rights.
- Assist renters with signing lease agreements.

(*Box continued on next page*)

Box 2.4. (*Continued*)

- Assist renters with moving logistics and transportation, including informing renters of moving schedules, packing moveable assets and furniture, childcare for minors, and the transportation of livestock.
- Host roadshows on weekends in Dingleton to assist with information dissemination, dialogue, transparency, and building relationships with renters.
- Undertake regular surveys to monitor the relocation of renters in Dingleton.

During 2014–16, the renters' information desk employed and trained 12 Dingleton staff members, operated six days per week, and supported the relocation of 297 renter households to alternative rental accommodation. This was achieved by adopting a proactive approach to engaging and building relationships with renters. Key to the success of this office were weekly feedback meetings with Kumba's core resettlement team and the appointment of a team of local Dingleton fieldworkers to regularly engage with and provide feedback to renters.

Rental desk resources.

Rental stock availability.

experience has demonstrated that people with no rights to the land can be among the most vulnerable people and often have limited financial resources. Care must be taken to identify and compensate them so as to reduce their vulnerability without favoring them over legal owners. PS5 requires that the project offer affected persons with no recognizable legal right to land a choice of options for adequate housing with security of tenure so that they can resettle legally without having to face the risk of forced eviction.

Assets owned by illegal land users are often extremely limited; their houses may be constructed with temporary material and often have dirt floors. Often, if they are offered only cash compensation for their house's raw material, they will be unable to construct a house with minimum standards in another location with security of tenure. Standards for a replacement house should, at a minimum, include security of tenure, adequate space, and protection of people from cold, dampness, heat, rain, wind, and other hazards to health (including disease vectors). For this reason, projects should make efforts to ensure that measures are taken to improve informal land users' security of tenure and reduce their vulnerability and provide relocation assistance sufficient for them to restore their standard of living at an adequate alternative site. Options for providing security of tenure would depend on national law and tenure systems but could include the following:

- A title deed to land owned by the client
- A title deed to land donated by the local government
- Communal titles
- A pay-to-own arrangement sponsored by a housing agency (if financially viable for the displaced household)
- A long-term leasing or occupancy arrangement
- Cooperative housing

VI. Task 3: Baseline Surveys

Baseline surveys are addressed in Module 4. Baseline Data Collection.

VII. Task 4: Developing and Negotiating Compensation Packages

VII.A. Entitlement Matrix

The entitlement matrix defines the proposed compensation, allowance, and livelihood-restoration packages and links compensation entitlements to types of impacts and categories of affected persons. Typically, the following criteria should be considered and combined as needed:

- Physical and economic displacement, which will typically give rise to different entitlements
- Permanent loss of land or temporary occupation
- Loss of formal ownership rights or loss of informal usage rights
- Owners of agricultural land or tenants and sharecroppers
- Owners of businesses or operators and employees
- Landlords or tenants
- Nonresidents or residents (nonresidents could include landlords renting their properties out or transhumant or nomadic communities using the land only at certain periods)

Entitlements may include the following:

- A resettlement package that, depending on circumstances, may include a plot of replacement residential land with a house, an apartment, and/or a plot of land, or any combination of these
- Cash compensation as mandated by local law
- Allowances that supplement mandatory compensation, intended to bridge gaps in local legislation against the full replacement cost requirement of PS5
- Other allowances to cover the cost of moving, registration, reestablishment of utilities, changing identification documents, enrolling children in new schools, discomfort and disturbance, and so forth
- Assistance in the form of noncash packages, such as training for livelihood restoration

Table 2.1 provides an example of an entitlement matrix.

Table 2.1. Illustrative Entitlement Matrix (based on an example in Central Africa)

AFFECTED ASSET OR RIGHT HOLDER	ELIGIBILITY CONDITIONS	ENTITLEMENTS		
		COMPENSATION/RESETTLEMENT	ALLOWANCES	LIVELIHOOD RESTORATION
Homeowners with title Ownership of a residential plot of land and house	At the time of the census, they occupy a building on a residential land plot and hold a title to this plot and building	Replacement house on a residential plot with electricity and water supply located either at resettlement site one or two Eligibility to rooms as follows: • Three-room house in replacement of a two-room house or less • Five-room house in replacement of three- and four-room houses • Any additional room beyond four is compensated either in cash or in building materials • Replacement house standard as follows: • Concrete floor, ceilings, brick partitions, internal doors, metallic entry door, metallic windows, Aluzinc roof • Improved inside finish • Double-ventilated improved pit latrine • Residential plot of 400 to 450 square meters • Security of tenure: full perpetual property title • Salvaging of materials from the affected structure • Assistance to move personal belongings and other movable assets	Discomfort allowance Moving allowance Transition allowance	Applicable to those in this category whose livelihoods are also affected (either affected agriculture or affected businesses)

(*Table continued on next page*)

Table 2.1. *(Continued)*

AFFECTED ASSET OR RIGHT HOLDER	ELIGIBILITY CONDITIONS	ENTITLEMENTS		
		COMPENSATION/RESETTLEMENT	ALLOWANCES	LIVELIHOOD RESTORATION
Informal settlers[a] Informal occupation of a residential plot with dwelling built by the occupant	Found at the time of the census to be occupying a residential dwelling unit but without title to the land	Compensation for the affected structure at full replacement cost (with no depreciation deduction). No compensation for land. Cash enhancement to ensure the ability to acquire a plot of land with security of tenure and be able to construct a house with minimum standards OR A choice of options of resettlement housing with security of tenure at site one or two Concrete floor, ceilings, brick partitions, internal doors, metallic entry door, metallic windows, Aluzinc roof Improved inside finish Double-ventilated improved pit latrine Residential plot Security of tenure: full perpetual property title Salvaging of materials from the affected structure Assistance to move personal belongings and other movable assets	Discomfort allowance Moving allowance Transition allowance	Applicable to those in this category whose livelihoods are affected (either affected agriculture or affected businesses)

[a] PS5 applies to this category of people who have no legal right or claim to the land they occupy or use.

(*Table continued on next page*)

Table 2.1. *(Continued)*

AFFECTED ASSET OR RIGHT HOLDER	ELIGIBILITY CONDITIONS	ENTITLEMENTS		
		COMPENSATION/RESETTLEMENT	ALLOWANCES	LIVELIHOOD RESTORATION
Tenants Tenancy or free-of-charge occupation of a residential dwelling	Found at the time of the census to be renting a residential dwelling unit in agreement with the landlord	Rental reestablishment compensation equal to, for example, 12 months of rent of a one-room apartment of at least a similar standard in the nearest town times the number of rooms occupied in the affected dwelling by the affected tenants	Moving allowance	n.a.
Farmers	At the time of the census, must be recognized by local community, authorities and/or resettlement committee as the customary owner of an affected agricultural field	Replacement land of similar agricultural potential close to the resettlement site on a square meter per square meter basis Compensation for annual crops per project rates at full replacement cost, revised annually Compensation for perennial crops per project rates at full replacement cost, revised annually	Land replacement assistance: Replacement land preparation allowance, paid in cash, based on the cost of clearing and cultivating a piece of land of equal surface area Transitional allowance	Eligibility of two household members to one livelihood-restoration package (two packages per household)

(*Table continued on next page*)

Table 2.1. *(Continued)*

AFFECTED ASSET OR RIGHT HOLDER	ELIGIBILITY CONDITIONS	ENTITLEMENTS		
		COMPENSATION/RESETTLEMENT	ALLOWANCES	LIVELIHOOD RESTORATION
Businesses	At the time of the census, must be recognized as the owner of an affected business—a business operating on an affected piece of land	Compensation in cash for any immoveable structures belonging to the business per replacement rates for structures Compensation for moving heavy equipment or the like Compensation or replacement of land if land is formally held Assistance for business relocation to a proper agreed site	Allowance for loss of business income during the reestablishment period, equal to three months of net income	Eligibility of one household member to one livelihood-restoration package

(*Table continued on next page*)

Table 2.1. *(Continued)*

AFFECTED ASSET OR RIGHT HOLDER	ELIGIBILITY CONDITIONS	ENTITLEMENTS		
		COMPENSATION/RESETTLEMENT	ALLOWANCES	LIVELIHOOD RESTORATION
Business employees	At the time of the census, must have a formal job with an affected business owner or be recognized by the census and validated by the resettlement committee as an informal employee of an affected business	n.a.	Allowance for loss of income during the business reestablishment period or for termination of contract, equal to three to six months (depending on the duration of disruption) of net income as evidenced by pay documentation interviews	n.a.

(*Table continued on next page*)

Table 2.1. *(Continued)*

AFFECTED ASSET OR RIGHT HOLDER	ELIGIBILITY CONDITIONS	ENTITLEMENTS		
		COMPENSATION/RESETTLEMENT	ALLOWANCES	LIVELIHOOD RESTORATION
Vulnerable people	Must be recognized as vulnerable following a participatory identification and screening process involving the resettlement committee or a specific vulnerability committee	Entitlements in respect of impacts per each of the applicable lines above Specific attention during the consultation and negotiation process, with individual sessions at home as warranted Additional assistance during the moving and reestablishment process Counseling and monitoring for a certain period of time after the move Liaison with government social welfare agencies to enlist relevant households into existing support programs	In addition to the allowances provided in each applicable category: transitional in-kind assistance (food aid, health support, and health insurance, as the case may be)	At least one livelihood-restoration package per household regardless of the magnitude of the impact
Community facilities (school, health center)	Found at the time of the census	Reconstruction to applicable government standards	n.a.	n.a.

(*Table continued on next page*)

Table 2.1. *(Continued)*

AFFECTED ASSET OR RIGHT HOLDER	ELIGIBILITY CONDITIONS	ENTITLEMENTS		
		COMPENSATION/RESETTLEMENT	ALLOWANCES	LIVELIHOOD RESTORATION
Places of worship	Found at the time of the census	Reconstruction to improved standards in consultation with communities and religious authorities	n.a.	n.a.
Cultural sites	Found at the time of the census	Relocation by the custodian(s) with cash compensation for material expenses and ceremonies	n.a.	n.a.
Graves	Found at the time of the census	Relocation in conformance with sanitary standards and regulations pertaining to next-of-kin authorization Requires consultation with families, communities, religious authorities, and other relevant stakeholders	n.a.	n.a.

Note: Entitlements are provided as examples only, as these are context specific. n.a. = not applicable.

VII.B. Valuation and Compensation Rates

VII.B.i. Overview

PS5 requires that any compensation be calculated at "full replacement cost." Per PS5, full replacement cost is current market value plus transaction costs and land preparation costs (for agricultural land) and does not include depreciation.[7]

The key challenge in determining replacement cost is that, in developing and emerging countries, there is often no functional real estate market, particularly for land and structures located in rural areas. Thus, assessors find it difficult to identify comparable transactions on which to base their appraisal. Government agencies often use rates meant to be market based, but these may be outdated or miss local specificities. Cadastral values that are mandated for compensation in some jurisdictions are also usually inadequate, as, frequently, are government valuation rates for annual and perennial crops. For any significant land-acquisition program, it is therefore advisable to undertake a valuation study addressing land, structures, and crops, as well as ancillary costs such as moving, and to use local assessors under the supervision of a specialist well versed in international policies.

It is critical that affected persons know and understand how compensation rates were calculated. It is important to communicate this information in a way that is comprehensible to all affected persons.

Table 2.2 illustrates how to determine full replacement cost in the framework of a valuation study for different types of assets.

[7] PS5, footnote 4 to the objectives states that "replacement cost is defined as the market value of the assets plus transaction costs. In applying this method of valuation, depreciation of structures and assets should not be taken into account."

Table 2.2. Compensation at Full Replacement Cost in Practice

TYPE OF ASSET	WITH FUNCTIONAL REAL ESTATE MARKET	WITHOUT FUNCTIONAL REAL ESTATE MARKET
Land	Comparative method: Value of similar[a] land in comparable transactions in the past six months Land registry offices usually hold information on recent land transactions. In some countries, these data may be publicly available on the website of the land registration agency. *Plus* Cost of land preparation to a similar or better condition (may involve clearing, leveling, plowing, access) *Plus* Transaction costs (registration, taxes, time lost, cost of transport)	National benchmarks (using areas with functional real estate markets if such exist) International benchmarks (using similar areas in neighboring countries with similar socioeconomic settings) Income method: value of land assessed indirectly (income capitalization method) The method is based on an assessment of future income (net operating income) expected from the land, divided by the capitalization rate (typically the long-term interest rate) *Plus* Cost of land preparation to a similar or better condition (may involve clearing, leveling, plowing, access) *Plus* Transaction costs (registration, taxes, time lost, cost of transport)

[a] For agricultural land: similar in general location, soil and land capability, agronomic potential, and access. Land may be categorized (arable, arable irrigated, pasture, fallow, barren, etc., as relevant). For residential or commercial land: similar in location and economic potential.

(*Table continued on next page*)

Table 2.2. *(Continued)*

TYPE OF ASSET	WITH FUNCTIONAL REAL ESTATE MARKET	WITHOUT FUNCTIONAL REAL ESTATE MARKET
Buildings	Value of similar[b] building in similar transactions in the past six months, with the building assessed in the comparison meeting, at a minimum, "adequate housing" criteria *Plus* Transaction cost (registration, taxes, time lost, cost of transport)	Value of the acquisition or reconstruction of a similar structure (make inquiries with contractors or real estate agents, if such exist, assessing value of construction materials and labor rates), taking consideration of upgrades required to meet "adequate housing" criteria *Plus* Transaction costs (registration, taxes, time lost, cost of transport)
Annual crops	Value of the produce on the market multiplied by average yield in the area (assessed by experienced agronomists)	
Perennial crops	Cumulative loss of income experienced between the removal of the tree and its future reinstatement to a similar level of production *Plus* Cost of replanting (see table 2.3)	

[b] Similar in location, type of construction, age, and level of amenities and finish.

(*Table continued on next page*)

Table 2.2. *(Continued)*

TYPE OF ASSET	WITH FUNCTIONAL REAL ESTATE MARKET	WITHOUT FUNCTIONAL REAL ESTATE MARKET
Businesses	Loss of income experienced between the occurrence of the impact and the time that the business can reasonably be expected to be reinstated (typically three to six months for small businesses in emerging economies)[c] *Plus* Cost of physical relocation of equipment and structures, if applicable, and any legal (reregistration) and other costs	
Transaction costs	Costs of registration of new property, reestablishment of utilities at new site, and reestablishment of forms of identity and other legal documents (make inquiries with official agencies and utilities), and indirect costs of transportation and lost time to take care of formalities Look at tax implications of the transaction for the affected households and offset any negative tax effect. If relevant, look at agricultural subsidy implications and offset any negative effect.	
Moving costs	Cost of transportation of personal belongings (assess average volume to transport and nature of assets) Take account of any animals or agricultural equipment and storage of agricultural produce that may need to be moved. Inquire with moving companies, if available, or truck or van rental companies and add the cost of workforce and lost time.	

[c] Consideration may need to be given to barriers to reestablishing a business for women. The relocation may result in the closure of a business that a woman cannot restart because she does not have access to financial support or a new location for her business, or because her domestic situation has changed since she first started the business. The woman may have started her business despite discriminatory laws and/or social norms that prohibit women from engaging in income-generating activities. These laws and social norms may be strengthened as a result of the resettlement.

VII.B.ii. Land

Two methods are commonly used to approach market value:

1. The *comparative method* bases the determination of the value of a plot of land on "analogue" transactions, that is, recent transactions on similar pieces of land in similar areas. The value of similar transactions is usually approached through information available in the land register. This can work when the number of recent transactions is sufficient to derive a meaningful average or median value. At least five comparable transactions are usually needed to achieve a reasonable level of confidence, while ten would be ideal in most situations. This is generally possible in countries with sophisticated land markets and in urban or suburban areas of developed and emerging economies. However, it is often difficult or impossible in less developed economies and traditional rural areas, where land markets are not active enough and/or most transactions are not registered. Note that using transaction values from the land registry may result in arriving at values lower than true values, as transactions are often underdeclared for tax reasons. Data from the land registry should be compared to actual transactions on the ground to bridge this potential gap.
2. Where the comparative method cannot be used, the *income method* can be substituted. The method is based on an assessment of future income expected from the land (such as agricultural or rental income) divided by the discount rate (typically the long-term interest rate). Results of the income method should be reviewed with caution by comparison to a national baseline, as it often provides underestimated results.

Pastureland and forestland are often even more complex to value than cultivated agricultural or residential land, particularly where land is held by communities under customary regimes and is not considered a commodity that can be sold or purchased. In the absence of local benchmarks and national guidelines, it is generally fair to consider that the value of pastureland is in the range of 10 to 30 percent of the value of cultivated agricultural cropland located in the same area. This should be considered with some caution however: in arid countries, the value of pastureland suitable only for very extensive animal husbandry may be even lower than this rule of thumb, while in areas where pastureland is intensively used and optimized, the value may be higher. The income method can be used to provide benchmarks of the difference in value, but, once again, results should be analyzed with caution.

The following actions are recommended when considering land valuation:

- Consider national regulations closely, checking whether they comply with the replacement cost requirement. It is better to use national regulations with add-ons than devising completely new valuation methodologies that local

regulators, valuers, and affected persons may not be familiar with and may not accept.

- Use a sound categorization of land. Either use categories provided by relevant national regulations or usual valuation practices, or devise a simple categorization that makes sense and can be explained in a transparent manner (e.g., residential, arable irrigated, arable nonirrigated, pasture, forest, barren). Time spent on categorizing land properly is never lost, as a disputed categorization will result in numerous grievances. Using local expertise and multiple field observations is key.
- Use the comparative method wherever reasonably possible. Where there are no functional real estate markets, resort to national or even international benchmarks. Use the income method only with caution and subject to a critical review of outcomes: run sensitivity tests to assess the influence of changes in net operating income and capitalization rates.
- Make sure that methodologies used to arrive at rates, as well as the rates themselves, are transparent to affected persons and that any differences can be explained simply and clearly.
- To the extent reasonable, simplify the structure of rates to arrive at more or less uniform values: for example, one rate for all affected pastureland in a given district, one rate for all nonirrigated arable land, and so forth.

VII.B.iii. Restrictions to land

There are no generally accepted methodologies to estimate the difference in value between unrestricted land and restricted land. This particularly applies to projects that use land for construction but return land at the end of the construction with certain restrictions on use. It also applies to buffer or sanitary zones around industrial facilities. This land can be used, but certain types of usage are restricted: for example, it may be prohibited to build a structure or drill a well on restricted land along a pipeline route, or it will be impossible to grow high trees under a transmission line. Note that compensation for the restriction comes in addition to compensation for temporary use and for any lost crops during construction, and should be calculated separately.

Some jurisdictions do have guidelines, and it is advisable to use these where they provide reasonable estimates of the loss in value. In the absence of such guidelines, it is also generally possible to use common sense to estimate the loss in value caused by restrictions:

- For example, if it becomes impossible to grow trees in an area where land was overwhelmingly used for orchards, the loss in value will be very significant. An assessment based on the average annual loss of income and an adequate capitalization rate can be devised.

- In contrast, tree height restrictions on land used for grazing entail few or no impacts to livelihoods, and the loss in value will be lower.
- Where land becomes unavailable for construction as a result of project restrictions but can be farmed, the value of the restriction can be estimated as the difference in value between built-up land and agricultural land.

"Orphan" land (also referred to as "severed" or "unviable") is land that is not directly located within the project's direct footprint but becomes uneconomic as a result of land acquisition and should be acquired and compensated for as a result. There are guidelines in the legislation of many countries with regard to orphan land. In general, such land should be compensated in full. In terms of process, affected persons should be informed that orphan land can be eligible for compensation under certain conditions, and in such situations they should be able to lodge a specific claim for review by the project or the relevant agency. The project will generally benefit from establishing and disclosing clear criteria for eligibility of orphan land to acquisition and compensation.

VII.B.iv. Buildings

Traditional buildings built by residents or by local contractors (such as mud huts with thatched roofs that are common in many areas of rural Africa) can be valued through an estimate of the cost of labor and construction materials, while modern buildings should be valued on a case-by-case basis, as follows:

- Interview local contractors building traditional houses and the project-affected persons (PAPs) to determine the amount of labor required and any cash expenses (such as roofing, beams, thatching grass, nails, or poles).
- Check local market prices for essential building materials such as bricks, cement, corrugated iron roofing sheets, carpentry items, and so forth.
- Categorize existing structures in a few generic groups and assign an average replacement cost (or a unit area value) to each category.[8]
- Use a similar approach to obtain replacement costs for traditionally built ancillary structures, such as granaries, bread ovens, storage racks, poultry houses, animal sheds, and so forth.
- For modern structures with features such as concrete walls, tiles, interior plumbing, and so forth, obtain the full replacement cost based on detailed bills of quantities typically used by real estate valuers after having verified that unit rates are up-to-date and no depreciation coefficients are used.
- Where the use of a predefined bill of quantities issued by central valuation boards or similar agencies is mandatory, make sure that unit rates are up-to-date and depreciation coefficients are not used.

[8] For example, category 1: raw bricks, thatch roof; category 2: fired bricks, thatch roof; category 3: raw bricks, corrugated metal roof; category 4: fired bricks, corrugated metal roof.

- If depreciation has been included, eliminate it and update rates as warranted, and use the bill of quantities with "as new" unit rates for the building components.

Where affected buildings do not meet "adequate housing" criteria (e.g., absence of toilet, substandard construction materials), the evaluation of full replacement cost should consider upgrades needed to meet such criteria. Guidance on adequate housing criteria is available on the website of the Office of the UN High Commissioner for Human Rights.

VII.B.v. Nonperennial crops

To value nonperennial crops (both annual crops and biennial or triennial crops such as tubers), the following approach is commonly used:

- Compensate based on the gross market value of the harvest.
- Identify local market price in a survey of the closest markets where affected persons sell their crops.
- Monitor price fluctuations over a one-year cycle or so (or use secondary data when available from national economic statistics institutes) and take fluctuations into account when computing the crop market value.
- Update crop compensation rates on a yearly basis to take account of price fluctuations. Use the same approach for biennial or triennial crops such as tubers or forage crops, simply multiplying the annual gross product by the number of cycles lost.
- Where crops are mixed (more than one crop planted together in one field), investigate typical crop mixes (e.g., maize 40 percent and beans 60 percent) used by farmers and devise rates for these mixes based on average estimates of ground covered by each of the crops in the mix multiplied by the average yield of each crop, or an estimate of the combined yield of the mix based on local expert opinion.
- If applicable (if replacement land is provided), include a land-preparation allowance in the compensation for crops.

VII.B.vi. Perennial crops

The calculation of the full replacement cost for perennial crops (e.g., fruit trees) requires consideration, not only of the production of the crop over one year, but also the cost of reestablishing the crop (seedlings, soil preparation, fertilizer, pest control, etc.), as well as the lost income during the period needed to reestablish the crop, that is, for the tree to achieve the same productive level. The following formula components can be used:[9]

[9] Note that local legislation may mandate different methodologies. If such is the case, these calculation

A: Selling price of fruit, in monetary units per kilogram (kg)

B: Yield (in kg per tree per year)

C: Average time required to reestablish the tree to its previous production level, in years

D: Value of lost production, in monetary units: $D = A \times B \times C$

E: Cost of seedling and planting (seedling, soil preparation, and initial fertilization) at the new location, in monetary units

F: Cost of labor and inputs required to maintain the crop during the time needed to reestablish it to its previous production level (fertilizer, pest control, pruning, etc.), in monetary units

The compensation amount G (in monetary terms) is determined by application of the following formula:

$$G = D + E + F, \text{ with } D = A \times B \times C \quad (2.1)$$

The parameters in the compensation formula are commonly obtained as follows:

- A (price) is obtained by a survey of regional markets and direct interviews with affected farmers.
- B (yield) is sourced from local agronomists or agricultural extension workers to obtain the yield per tree.
- C (reestablishment time) can be obtained from secondary agronomic references, usually available from research institutes and confirmed by the local agronomists.
- D: For the purpose of calculating D (value of lost production), affected trees are often categorized in three or four categories (e.g., seedling, young nonproductive, and adult productive), each of these being assigned a different value of C in years.
- E (cost of planting) and F (cost of maintenance, including labor, during reestablishment period) are estimated based on crop agronomic requirements and interviews with affected farmers and local agronomists.

Table 2.3 provides an example of calculation of compensation rates for trees (from a project in Armenia).

Opportunistic planting of trees to obtain compensation is not uncommon, and box 2.5 provides an example of handling this issue.

methods should be assessed against the "replacement cost" requirement of PS5.

Table 2.3. Example of Tree Compensation Calculation (Armenia)

SPECIES	CATEGORY	AGE CATEGORY	SELLING PRICE OF FRUIT (US$ PER KG)	YIELD (KG PER TREE PER YEAR)
			A	B
Apricot	Seedling	0–3 years	2.00	n.a.
	Young nonproductive	4–5 years	2.00	n.a.
	Young productive	6–7 years	2.00	20
	Adult productive	8 years and more	2.00	50
Apple	Seedling	0–2 years	0.40	n.a.
	Young nonproductive	3–4 years	0.40	n.a.
	Young productive	5–6 years	0.40	30
	Adult productive	7 years and more	0.40	70
Plum	Seedling	0–2 years	0.50	n.a.
	Young nonproductive	3–4 years	0.50	n.a.
	Young productive	5–6 years	0.50	10
	Adult productive	7 years and more	0.50	25
Pear	Seedling	0–2 years	0.50	n.a.
	Young nonproductive	3–4 years	0.60	n.a.
	Young productive	5–6 years	0.60	30
	Adult productive	7 years and more	0.60	70
Peach	Seedling	0–3 years	0.60	n.a.
	Young nonproductive	4–5 years	1.50	n.a.
	Young productive	6–7 years	1.50	20
	Adult productive	8 years and more	1.50	40
Mulberry	Seedling	0–3 years	0.80	n.a.
	Young nonproductive	4–5 years	0.80	n.a.
	Young productive	6–10 years	0.80	10
	Adult productive	11 years and more	0.80	20
Walnut	Seedling	0–3 years	3.00	n.a.
	Young nonproductive	4–5 years	3.00	n.a.
	Young productive	6–10 years	3.00	20
	Adult productive	11 years and more	3.00	50

Note: Row one refers to variable in equation 2.1. kg = kilogram; n.a. = not applicable.

REESTABLISHMENT PERIOD (YEARS)	VALUE OF LOST PRODUCTION (US$)	COST OF SEEDLING (US$)	CUMULATIVE COST OF LABOR, IRRIGATION, FERTILIZERS, AND OTHER MAINTENANCE OVER THE REESTABLISHMENT PERIOD (US$ PER TREE)	TOTAL (US$)
C	D = A × B × C	E	F	G = D + E + F
3	n.a.	3.00	41	44
5	n.a.	3.00	68	71
7	280	3.00	96	379
8	800	3.00	109	912
2	n.a.	3.00	27	30
4	n.a.	3.00	55	58
6	72	3.00	82	157
7	196	3.00	96	295
2	n.a.	3.00	27	30
4	n.a.	3.00	55	58
6	30	3.00	82	115
7	88	3.00	96	186
2	n.a.	3.00	27	30
4	n.a.	3.00	55	58
6	108	3.00	82	193
7	294	3.00	96	393
3	n.a.	3.00	41	44
5	n.a.	3.00	68	71
7	210	3.00	96	309
8	480	3.00	109	592
3	n.a.	3.00	41	44
5	n.a.	3.00	68	71
10	80	3.00	137	220
11	176	3.00	150	329
3	n.a.	3.00	41	44
5	n.a.	3.00	68	71
10	600	3.00	137	740
11	1,650	3.00	150	1,803

Box 2.5. Managing Risks of Opportunistic Tree Planting

SCPC[a] is currently expanding gas transport capacity through the new South Caucasus Pipeline Expansion Project route in Georgia and acquired land for this purpose between 2012 and 2016. The following policy was applied for tree compensation:

- Compensation rates were carefully established and peer reviewed to respect the full replacement cost criterion and avoid any under- or overcompensation.
- While rates were established on a per tree basis, they were associated with maximal plantation densities, resulting in a maximal rate per hectare that cannot be exceeded: if the planting density was clearly above established agronomic standards, the plantation was still compensated based on the maximal agronomically reasonable density.
- Seedlings were compensated based on a flat rate basis that covered the direct cost of planting (subject to the maximal density criterion mentioned).

This policy has generally been successful, resulting in minimal levels of opportunistic planting and associated grievances.

[a] A consortium of national and international oil and gas companies and owner of the South Caucasus pipeline.

VII.B.vii. Businesses

Business compensation includes compensation for land, buildings, and other immoveable assets owned by the business and is based on the same rules as those applied to households (full replacement cost). The specificity of businesses is that compensation should also offset business losses (lost income) during the transition period, as well as the cost of reestablishing the business elsewhere, if applicable, which may be significant for mid-size and large businesses.

The general principle for business-loss compensation is to assess income losses incurred during disruption of business activities and the down period required to reestablish the business elsewhere (often between three and twelve months)[10] or on a joint assessment if the business is informal. For the smallest businesses (kiosks, roadside stalls, etc.), an approach similar to that for traditional structures (see section VII.B.iv. Buildings of this module) is advisable to simplify the process. Small businesses can be categorized, and a general income estimate is calculated for each broad category, with a reasonable top-up to cover any unforeseen losses. Box 2.6 shows an example of such an approach.

[10] With the possibility to use an income average over the previous three years.

Box 2.6. Compensating Impacts to Small, Roadside Businesses

Baseline surveys of a major bridge project crossing a lagoon and access roads on both sides in densely settled areas indicated that businesses affected by the project could fall into three categories.

Microbusinesses usually consist of a woman on the streetside selling prepared food or small, everyday items such as soap, phone cards, and so forth, with no immoveable structure.

Small formal businesses are typically, but not always, family owned and family operated. In the most complex situations, a salaried operator may take care of the business on behalf of the business owner in premises owned by a third person. Such businesses include stationery and photocopying shops, small restaurants or bars, tailors, and so on. These businesses would usually be operated in small structures (registered or not), not necessarily owned by the same person as the owner or operator of the business. Most of these businesses have some employees or apprentices.

Large formal businesses are usually owned and/or operated by limited liability companies and include such businesses as filling stations, large restaurants, supermarkets, maintenance workshops, and so on. All of these businesses have employees.

After consultation with business owners and operators of all three categories, the RAP provided the following entitlement principles:

- Microbusinesses were compensated at a uniform flat rate, assuming an average net income of about US$5 per day and a disruption period of one month (total compensation US$150).
- Small formal businesses were compensated based on a three-month disruption period, generally assumed to be sufficient to identify and secure suitable premises to relocate the business (except in a few cases where this period was extended, such as a small sawmill that required more space than others). The monthly income was calculated based on records, if these were usable, or on a self-declaration by the owner. In addition, any immovable objects or structures were compensated based on a replacement cost appraisal. Business operators received a moving allowance. Employees were compensated based on a three-month salary allowance paid directly to them. Finally, assistance to relocate was provided by the resettlement unit (contacts with estate agents, joint visit of proposed premises, business planning in the new location, etc.).
- Large formal businesses were addressed through case-by-case negotiations, with lawyers typically involved and fairly complex land tenure situations.

While the microbusinesses usually took their cash and were satisfied, the second category of small businesses proved difficult to manage, generating a significant number of grievances. This was mainly because the initial census had not fully identified the intricacies of business ownership and operation, which proved much more complex than expected. When the census staff contacted businesses, they would typically interview the business operator and fail to identify that other stakeholders could be affected, such as the owner of the premises, the owner of the land, the owner of the business itself, employees, and so forth. This highlights the importance of identifying all interests in businesses at the time of conducting the census.

These losses also need to be evaluated for business employees, which are typically calculated at the monthly salary times the number of months needed until the business is reestablished and the employee is fully employed again. Typically, this could range from three to six months or until the business is able to reestablish itself.

Project construction, such as laying down water pipelines in urban areas, can cause temporary or partial impacts to businesses. Assessing the loss in these cases is complicated and requires determining the potential impacts to the business during the time that it is closed or that business is reduced. The same principles just listed are followed while estimating the period and extent of disruption.

VII.B.viii. Value update and inflation

It is not unusual for large-scale projects to have an inflationary effect on the area, particularly as compensation for land and assets takes place. Land values can increase significantly after the footprint of the project is defined and, in some cases, those compensated last cannot afford to acquire replacement land equivalent to their original plot.

As a general rule, in projects where land acquisition and compensation may take place over several years (or where land-acquisition implementation is delayed), compensation rates should be updated annually, at a minimum, depending on the rate of inflation. This is particularly necessary for crop rates, as the value of most crops can fluctuate significantly in relation to fluctuations in both world and local markets. Sometimes an update will also be necessary if market prices have changed between the initial surveys and the actual payment of compensation. Box 2.7 provides an example of the rate update process followed by a mining project in Central Africa.

Box 2.7. Price Monitoring and Compensation Rates Update

The Tenke-Fungurume mining project in the Democratic Republic of Congo (2006 to present) established a set of rates applicable to crops, trees, and structures as well as certain improvements and developments on land, such as clearing and plowing (land per se is not compensated as it is deemed state property). These rates, particularly those applicable to crops, were based on a detailed agronomic study (to establish yields) and market monitoring (to establish selling prices).

While the agronomic study is a "one-off" (notwithstanding annual variability, it is assumed that average yields do not change significantly over time), the market survey is an ongoing exercise: prices are monitored in a number of markets neighboring the mine concession area four times a year to capture the extent of seasonal variations, and a rate update is produced yearly, with updated rates made publicly available. In addition, the company pays compensation in U.S. dollars rather than in Congolese francs to protect affected persons from currency depreciation.

VII.C. Land-for-Land or Cash Compensation

PS5 states, "Where livelihoods of displaced persons are land-based, or where land is collectively owned, the client will, where feasible, offer the displaced land-based compensation" (paragraph 9). Resettlement research and experience indicates that cash compensation often puts displaced households at risk of impoverishment and can lead to aggravated gender gaps and risks, as described in sections V.D. Validity of Cutoff Date and Subsequent Changes and V.E.ii. Joint ownership and associated gender sensitivities of this module.

A few countries have legislation that explicitly allows land-for-land compensation. Where this is not the case, legal means can usually be found to accommodate land-for-land transactions (e.g., exchange agreements or double sale-purchase agreements).

There are situations when cash compensation for impacts to housing, access to land, and livelihoods might be assessed to be manageable,[11] such as in the following cases:

- There is an active land and real estate market that will allow people to replace their lost assets (as long as they have been valued at replacement cost), and affected persons are able to access this market and be treated fairly by potential sellers.

[11] PS5, footnote 21 states, "Payment of cash compensation for lost assets may be appropriate where (i) livelihoods are not land-based; (ii) livelihoods are land-based but the land taken for the project is a small fraction of the affected asset and the residual land is economically viable; or (iii) active markets for land, housing, and labor exist, displaced persons use such markets, and there is sufficient supply of land and housing."

- Some households may have alternative housing or alternative land available, in which case it may be acceptable for them to receive cash in lieu of the land-for-land compensation package.
- In linear projects, impacts on a household's overall land holdings may be benign or temporary (particularly pipelines and transmission lines), and cash may be acceptable for a majority of affected landowners.
- Social circumstances are such that cash will not be used to settle debts or meet immediate (or less immediate) needs.
- A gender-impact analysis has been conducted that demonstrates that cash compensation will not adversely affect the circumstances of women and children in the household.

Mixed approaches (part land-for-land, part cash) can be useful in some cases, particularly where there are large land plots that are partly used and/or where there is a realistic potential for intensification of farming.

Where replacement land is deemed not to be available, the livelihood-restoration strategy should further address this issue by providing alternatives that take account of the needs of the vulnerable and women. There are few success models for this approach. Retraining farmers to run small businesses or work in factories is challenging. Project proponents are responsible for ensuring that affected persons can sustainably replace their livelihoods, and this can be time consuming and risky where replacement land is not available.

For large projects involving several successive phases of land acquisition (e.g., large mining developments) over long periods, a long-term overview of overall land availability may need to be established from the early stages (even if there are uncertainties), such that the resettlement site selection and livelihood-restoration strategy are driven by long-term land needs and availability.

It is common that in early stages of consultations, communities express a preference for cash compensation. There can be a range of reasons for this:

- A majority of people in the community need cash for urgent needs (this could include food, school fees, settling debts, etc.) and see the compensation as an opportunity to solve these issues in the short term, without necessarily considering longer-term implications.
- An influential part of the community (quite often the men) believe that they will be able to invest the cash profitably, although they may in fact have limited experience of such investments, while the less vocal part (typically the women) realize the benefits of in-kind compensation but are not listened to.

- There has been deficient in-kind compensation in the past (e.g., poor quality resettlement houses, low potential agricultural land, low quality agricultural equipment), and people in the community are aware of these deficiencies.

In such cases, projects can do the following:

- Ensure that the risks of cash compensation are understood by the community (through participatory methods, such as role playing, providing real life examples, and offering financial training).
- Put in place inclusive decision-making processes and ensure that all stakeholders are heard and listened to, including women.
- Seek to convince affected persons that quality and timeliness of in-kind compensation is a project priority. Provide examples of in-kind compensation, such as model houses, or start with those most willing to choose in-kind compensation to convince others.
- Take time, as experience shows that community views evolve over time.

Replacing community land may be challenging or impossible, as it may entail redefinition of community territories. Other approaches, preferably including community in-kind compensation, need to be developed for such cases. Compensation could be in the form of community facilities built by the project and/or local authorities, with support from NGOs.

VII.D. Timing of Payments

Delivery of compensation must be prior to the impact. This is a fundamental principle, and RAPs or LRPs must substantiate the mechanisms that are put in place to ensure it is respected, including in government-led land acquisition. Exceptions to this rule may be acceptable in the following cases:

- Where a payment in installments is deemed more conducive to proper use of cash, explicitly and formally consulted upon with the community, and accepted by each recipient by means of a specific payment agreement that clearly indicates the timing and amounts of successive installments
- Where legal difficulties are experienced (absentee landowner, succession, ownership dispute before court, etc.), as long as due process has been followed under the control of a judge, notary, or similar officer, and the compensation monies are deposited into a dedicated escrow account (such account preferably remaining under the control of an independent party, such as a judge or notary), with a proven mechanism to effect payment immediately upon resolution of the legal problem

Where a delay occurs between valuation and compensation payment, particularly if in the interim economic conditions have changed (e.g., inflation), the value of the compensation should be reviewed and updated, if needed, to reflect the new conditions.

VII.E. Consultation and Negotiation

This is described in detail in Module 3. Stakeholder Engagement particularly in section VI.C. Affected Communities and Households.

VIII. Task 5: Selecting and Planning Resettlement Sites and Housing

VIII.A. Resettlement Site Selection

VIII.A.i. Process

Resettlement site selection is an iterative process, which includes the following steps:

- Preliminary identification by the project team (or consultants) in consultation with affected communities of several potential alternative sites
- Preliminary technical and economic studies of these sites (availability of water, geotechnical characteristics, cost of access infrastructure, etc.)
- Preliminary consultation with diverse groups of people within host communities
- Validation of a final list of potential resettlement sites
- Consultation with relevant local authorities and affected community(ies), including visits of selected sites with the relevant resettlement committees
- Screening to ensure the site will not be needed in future project expansion

VIII.A.ii. Key criteria

The selection of resettlement sites is often based predominantly on size and planning criteria. However, unsuitable resettlement sites have been an important factor in failed resettlements, mainly because people were unable to restore their livelihoods. Livelihood restoration must therefore be included in the review as one of the key drivers. Livelihood restoration and development should also contribute to increased social harmony in the affected communities, including improved gender equality.

Key criteria for selection of resettlement sites in both rural and urban contexts are shown in table 2.4.

Table 2.4. Key Criteria for Selection of Rural and Urban Resettlement Sites

CRITERION	RURAL	URBAN
Livelihoods	Land sufficient in size and potential to restore livelihoods (arable, grazing, forest, and/or fishing access as applicable) without any significant secondary displacement	Distance from and access to employment areas where affected persons are employed
	Safe access to agricultural extension services and markets	Public transport availability, affordability, and safety
	Access to alternative livelihoods, including project employment for men and women, if relevant	Access to alternative livelihoods, including project employment for men and women, if relevant
	Security of tenure for residential land and agricultural land and agronomic potential of agricultural land	Potential for security of tenure for houses or apartments
	Proximity to location from which income is derived	Ability of wage earners to continue to access their place(s) of work
Planning and construction	Size of residential area	Size of residential area and/or apartments
	Geotechnical characteristics, slope, and drainage	Access to sustainable water and power
	Availability of water for drinking and other uses	Equal access to sustainable education and health services for men and women. Access to schools for children
	Access to sustainable power and fuel supplies	Spatial planning and building permits potential
	Equal access to sustainable education and health services for men and women; access to schools for children	
	Spatial planning and building permits potential	
	No anticipated need for site to be displaced again in the future (i.e., located away from ore deposits or planned infrastructure)	No anticipated need for site to be displaced again in the future (i.e., located away from areas of planned urban development)

(*Table continued on next page*)

Table 2.4. *(Continued)*

CRITERION	RURAL	URBAN
Sociocultural	Sociocultural compatibility between resettled and host communities	Sociocultural compatibility between resettled and host communities/ neighborhoods
	Impacts to local political balance	Impacts to local political balance
	Impacts to gender norms and roles, including positive impacts on gender equality and reduced risks of GBV	Impacts to gender norms and roles, including positive impacts on gender equality and reduced risks of GBV
	Impacts to demographic balance between administrative subdivisions	Impacts to demographic balance between administrative subdivisions
	Access to religious and sacred sites, including cemeteries	Access to religious sites, including cemeteries
	Ceremonies that may be required according to local customs Proximity and/or access to schools and clinics	
Environmental[a]	No impacts to protected areas, critical habitats, or protected species	Located away from potential environmental and health risks that affect both/either men and/or women
	Long-term climate change resilience (away from potential sea-level rise risks, inundation resilience, etc.) and consideration of natural disaster risks (such as landslides, flooding, etc.) which might be exacerbated by climate change	Long-term climate change resilience (away from potential sea-level rise risks, inundation resilience, etc.) and consideration of natural disaster risks (such as landslides, flooding, etc.) which might be exacerbated by climate change
	Manageable impacts to land and land use	
	No health or environmental impacts from project or other factors to the resettlement site	

[a] Consideration of environmental impacts of the site and to the site will need coordination between the RAP and ESIA teams.

In rural areas, it is advisable to propose an option between two or more resettlement sites with different characteristics from a livelihood perspective:

- One or more urban resettlement site(s) where resettlers may have employment or small business opportunities (or one that is close to project employment opportunities)
- One or more rural resettlement site(s) for those who prefer agriculture-based livelihoods

Where several communities are displaced, it may be socially unacceptable to resettle different communities to one site for sociopolitical, religious, tribal, clan, or other cultural reasons. Also, the impact of resettlement on the balance of traditional and political power is often an important determinant of communities' and leaders' responses to proposed resettlement sites. Certain locations may have specific significance to communities and their leaders from a political power perspective (for instance, shifting to the territory of different political parties or traditional foes).[12]

VIII.A.iii. Agreement

The project will offer displaced persons choices among feasible resettlement options, and their preferences with respect to relocating in preexisting communities and groups will be taken into consideration. Obtaining the displaced community's agreement to the proposed resettlement sites as well as to site development options (infrastructure, level of equipment, type of water and electricity service, etc.) is desirable. The local administration's and the host community's agreement, and the project must follow any permitting and spatial planning processes mandated by local legislation.

Where impacts to host communities are significant, it is advisable to establish a host committee—comprising a diversity of people from the communities, ensuring gender representation—to negotiate the trade-offs and seek formal agreement on the development of a resettlement site in the territory of the host community. Any benefits targeting the host community should be covenanted in the formal agreement documentation.

The outcomes of the site selection exercise and associated consultation must be documented in the RAP.

[12] When making their decision on preferred choice of site, community leaders may take into account the potential impacts to existing gender norms and roles. For example, they may perceive that resettlement to a more urban area increases the likelihood that women will spend more time involved in income-generating activities and will neglect their household and family responsibilities. They may not be supportive of changes to existing gender roles and responsibilities. It is important, therefore, that decisions are made based on consultations with a diversity of people in the communities, including women. Some training and awareness raising may be required before the decision is made in order to help community leaders understand the benefits of greater gender equality for their community.

VIII.A.iv. Environmental and permitting aspects

Environmental impacts of resettlement sites have to be assessed. Whether they are assessed within the ESIA or RAP exercise depends on the respective timing of both exercises. For large resettlement sites, local regulations may require a specific environmental impact assessment or ESIA.

Permitting processes may be quite demanding in some jurisdictions, and the required time periods need to be factored into the overall project development schedule.

VIII.B. Security of Tenure

Resettled people who have formal legal rights to the land or assets that they occupy or use, as well as those who do not have formal legal rights to land or assets but have a claim to land that is recognized or recognizable under national law, will be offered security of tenure that is equivalent or improved to what they have (PS5, paragraphs 21 and 22). Persons with no legal right or claim to the land or assets they occupy or use must be offered a choice of options for adequate housing with security of tenure so that they can resettle legally without having to face the risk of forced eviction (PS5, paragraph 22). Security of tenure is also an important element of "adequate housing." Options for providing security of tenure will depend on whether people have a legal right or claim to the land and assets being acquired, national law, and local tenure systems, but may include the following:

- A title deed to land acquired in a sale purchase or exchange agreement (the cost of which should be covered by the project sponsor)
- A title deed to land provided by the local government
- Particularly in urban resettlement, a pay-to-own scheme sponsored by a housing agency or a cooperative housing arrangement (for persons with no recognizable legal right or claim to the land they occupy, renters, etc.)
- A long-term leasing or occupancy arrangement if a full and perpetual ownership title is not achievable (i.e., for people who did not legally own the land and assets they use or occupied the land under rental or informal arrangements)

The following activities should be undertaken to achieve security of tenure:

- Include the description of the process required to achieve security of tenure in the legal review done at the scoping stage, which depends on the legal framework of the jurisdiction.
- Where practical, seek the allocation of an officially registered full title of perpetual ownership.

- In jurisdictions where land is the property of the state, consider formalized and officially registered long-term leases or occupancy permits: "long-term" is ideally a 99 or 49-year lease, or as long as the legal framework will allow.
- Issue documentation of ownership or occupancy, such as title deeds and lease agreements, in the names of both spouses wherever possible.
- Provide assistance to affected persons in registering their resettlement property (e.g., negotiate a one-stop shop with the relevant authority).
- Cover all costs of providing titles to resettled people, including hidden costs such as transport and time lost (see section VII.B. Valuation and Compensation Rates of this module).

VIII.C. Resettlement Site Planning

VIII.C.i. General

The factors presented in table 2.5 should be considered when planning resettlement sites. It is paramount to consult on potential plans with resettlement committees and in focus groups representative of the different layers of the affected population.

Table 2.5. Key Factors to Consider When Planning Resettlement Sites

BOTH URBAN AND RURAL SITES	RURAL	URBAN
• Compliance with local planning regulations and norms (size of residential plots, size of plots for community facilities, size of reserved space for expansion, width of streets, etc.) • Compliance with all criteria of adequate housing • Infrastructure technical options that are proven in the local context	• Space for tree plantations, woodlots, and orchards in the resettlement site • Space for gardens in the resettlement site, adjacent to each residential plot or as allotments • Commercial spaces (for instance, dedicated strips along streets or central marketplaces) • Space for cultural facilities that support diverse cultural needs	• Safe access to public transport, including new stops if required • Safety of children when accessing schools (protected paths and crossings) • Access to emergency services and fire safety • Commercial spaces (for instance, at ground level of apartment blocks) • Playgrounds and recreation spaces
• Flood protection and erosion potential, with consideration of climate change resilience where relevant • Cultural factors, such as how and where people cook (inside or outside) • Security of women and girls • Location and safety of existing and proposed public facilities, particularly education, health, and transportation (also police, justice, administration, and others)	• Availability of mobile phone network • Feasibility and long-term sustainability of reticulated piped water supply versus wells or boreholes • Feasibility and long-term sustainability of connection to electricity grid versus autonomous power source (e.g., solar) • Sanitation (autonomous in situ solutions such as dry latrines or septic tanks versus piped sewerage systems)	• Connection to networks (telephone, electricity, drainage, drinking water, sewerage) • Potential for additional apartments or houses to be sold on the market to people other than the displaced households, and related potential for public-sector involvement in the development of the site • Space efficiency (to minimize footprint and cost) by considering smaller residential plots and semidetached or terraced houses, potentially two-storied, and separating subsistence gardens (on an allotment model) from the built-up areas: replacement housing or gardens should be of equivalent size as the original, at a minimum

VIII.C.ii. Resettlement without a resettlement site

A common approach in resettlement is to select, plan, and build a dedicated site for physically displaced people. However, alternative approaches (like a so-called in-fill resettlement, based on the purchase of existing homes, or the construction of new homes within the built-up fabric of the community) can also be considered, particularly where the number of displaced people is relatively low, in urban settings, or for linear projects like roads or pipelines. In-fill resettlement can have various benefits, including the following:

- Enhancing the social mix and achieving a better integration of the resettlers in the broader community
- Achieving easier and quicker (and sometimes cheaper) implementation
- Creating opportunities where resettlers fit into new developments constructed by the private sector predominantly meant for other people

Consider the following when assessing the feasibility of in-fill resettlement:

- Can the number of displaced people be accommodated in existing properties?
- Does the timing of availability of properties match the timing of displacement?
- Do the characteristics and location of available properties match the socioeconomic characteristics of the displaced population?
- Are there opportunities for improving gender equality as a result of the resettlement, in both displaced and host communities?
- Does consultation show that there is overall interest for this type of solution?
- Will the displaced households be able to maintain their family and community support networks?
- Will the displaced households and/or the host community face increased risks of GBV?
- Will access to employment, education, and health facilities be maintained or improved compared to the pre-resettlement situation?
- What is the cost compared with that of a developing a specific resettlement site?

VIII.D. Housing Design

Key factors to consider when designing housing are presented in table 2.6. Here, too, consultation is essential, giving attention to the views of different groups within the affected population (men and women, young adults and children, etc.). Construction and display of model houses allow affected persons a good opportunity to understand the nature of replacement housing.

Table 2.6. Key Factors to Consider in Resettlement Housing

BOTH URBAN AND RURAL	RURAL	URBAN
• Compliance with local regulations and norms • Construction materials and techniques that are proven in the local context and can be handled by local contractors • Consideration of all criteria defining adequate housing	• Changes in way of life that the house design may entail, particularly for cooking, and access to drinking water and toilets (e.g., flush toilet versus dry latrine) and cultural acceptability of these changes	• Social, cultural, and gender acceptability of house or apartment layout • Balconies • Electrical safety • Gas safety
• Access to water, energy, and sanitation • Social and cultural appropriateness (internal and external layout) • Security of women and girls • Accessibility for people with disabilities • Security and risks of theft • Fire safety • Cost and ease of maintenance, including availability of spare parts • Reasonable improvement over previous housing • Involvement of local contractors in design, construction, and maintenance • Guarantee period of no less than one year—more as warranted by technical sophistication of houses • Climatic factors and energy efficiency, particularly in terms of ventilation and heating (as relevant to the local climate)	• Privacy • Cultural and gender acceptability of house layout • Storage space for farm produce • Inclusion of electricity in the house where there was none before (Is the cost manageable for resettled people?) • Proximity to neighbors	• Technical solutions for heating or cooling in apartment blocks, including access to source of energy and maintenance cost, capabilities for maintenance, and availability of spare parts • Elevator maintenance and cost where elevators are required, capabilities for maintenance, and availability of spare parts • Storage space • Parking space if relevant

VIII.E. Self-Build

In some cases, and in consultation with the affected community, projects may elect to provide support to resettlers to build the replacement house themselves. Table 2.7 provides guidance on why and how this can be a good solution and the risks that it may entail. See also Module 6. V.A. Models for Organizing Site Development and Housing Construction.

Table 2.7. Advantages and Disadvantages of Self-Build Solutions

ADVANTAGES	DISADVANTAGES	MITIGATIONS
• Resettlers plan and build for themselves and take responsibility and ownership. • Local contractors and workers from the community get work. • Resettlers choose the location.	• Potential for misuse of compensation, with the risk that not enough money remains available to build the resettlement house • Occupational health and safety issues at the work site • Quality issues (potential for substandard design and construction) • Aesthetics • Risk that schedules are not met • Design of houses not suitable and/or unsafe for women and girls (e.g., kitchens are an afterthought) • Vulnerable people may be unable to self-build without project assistance • Reputational risks for the project if the replacement houses are poorly constructed or not durable	• Make sure arrangements were made through consultation and are clear to all in the community, including to women and vulnerable groups. • Pay house compensation in installments as construction progresses. • Provide approved designs and specifications. • Ensure designs have been developed, or at least reviewed, through a gender lens. • Provide approved materials. • Provide trained builders. • Provide construction assistance, training, and supervision. • Make contingencies for vulnerable people (e.g., have the project build for them) and those not meeting construction deadlines (e.g., the project takes over and completes the house—conditions for this to be discussed with and agreed by the community beforehand).

VIII.F. Temporary Accommodation

Putting displaced people in temporary accommodations to make way for construction of the project construction while resettlement housing is still being planned and built must be avoided for several reasons:

- People move twice rather than once, and experience double the disruption as a result.
- Compensating the additional disruption in cash will usually not offset the psychological and livelihood impacts and can result in numerous and difficult grievances.
- The double displacement can aggravate stress within a family and contribute to increased risks of domestic violence.
- Livelihood-restoration activities cannot start until people are in their final accommodation, and are protracted as a result.
- More generally, the process of starting a new life in the final resettlement location is delayed, which is particularly detrimental to children and the more vulnerable members of the community.

Therefore, projects must avoid temporary accommodation and adapt their construction, land access, and resettlement schedules to prevent it.

However, temporary relocation for a few weeks or months may be acceptable in the event of temporary impacts such as noise, dust, vibration, and safety issues during project construction. The cost of moving temporarily and then returning home should be covered entirely by the project, while reasonable compensation for the disruption should be negotiated.

VIII.G. Public Facilities

VIII.G.i. Health, education, and other services

Depending on local standards for health and education services, specific facilities may have to be built at resettlement sites. Key guidance for such facilities includes the following:

- Check whether it is feasible and sustainable to strengthen the capacity of existing neighboring facilities rather than building new dedicated structures. Abide by applicable facility allocation maps and service levels prescribed by relevant ministries.
- Use designs prescribed (or at least accepted) by national authorities for schools, clinics, health posts, police stations, and so forth.
- Include equipment (e.g., furniture for schools, basic medical equipment for health posts or clinics) per national requirements and standards.

- Consider the needs of a diversity of people within host communities when designing new facilities or upgrades to existing structures, including, for example, the needs of girls in regard to toilet use.
- Make sure beforehand that personnel to operate and maintain the facilities can be allocated and paid for by relevant authorities (e.g., ministries or departments in charge of education or health). Establish agreements with these agencies to clarify their responsibilities in design, construction, and operation of the facilities paid for by the project.
- Transfer the facility formally at the end of the guarantee period to the relevant authority.

VIII.G.ii. Water, sanitation, and power

In rural areas, an array of technical solutions can be considered for drinking water, sanitation, and a power supply. In urban areas, choices are more restricted, as networks are usually already established and readily available. The key driver to the identification of the most adequate technical solutions for water supply, sanitation, and electricity supply is long-term sustainability. The most critical factors that must be considered when reviewing solutions are shown in table 2.8.

Table 2.8. Key Factors to Consider in the Supply of Water, Sanitation, and Power to Resettlement Sites

UTILITY SERVICE	DESCRIPTION
All services	• Cost of investment • Cost of operations for resettled people, particularly compared to the pre-resettlement situation • Sustainability of maintenance and financial arrangements, involvement of users in management, and associated training • Ease of maintenance • Local availability of maintenance skills • Potential for involvement of the local private sector (and users) in maintenance and management • Accessibility for men, women, and children • Adequacy of supply for the number of people served • Specific affordability approaches for vulnerable people
Drinking water	• Chemical and bacteriological quality of water • Taste of water (which may be different from what people are used to) • Training requirements along the water production and distribution chain
Sanitation	• Cultural adequacy and acceptability • Environmental and health impacts • Safety and gender aspects
Electric Power	• Safety • Reliability • Energy efficiency

VIII.H. Gender Considerations

The design of resettlement housing and villages can have implications for women and girls that are often invisible to planners, particularly if women are underrepresented on resettlement committees or not directly consulted. Resettlement village designs can disrupt social networks and options for childcare; resettlement sites can increase women's burden by being farther removed from fields, from sources of fuel, or other means of earning livelihoods. Most of these issues can be avoided if direct consultation with women includes the following:

- Site visits with women to the proposed resettlement sites
- Visits to the schools and clinics near the proposed resettlement sites
- Consultation with women on the design of the replacement housing, including kitchen design
- Consultation with women onsite design and the place where families will be relocated within the resettlement village

VIII.I. Handover

Handover of resettlement sites to competent municipal authorities is an important factor for long-term sustainability and should be considered at the commencement of site selection and planning. For example, if a local municipality is expected to take over garbage collection at a resettlement site, it must be involved in the design and location of garbage collection sites. The same applies to street maintenance, public lighting, drainage, sewage, and so forth. Handover is addressed in further detail in Module 6. VIII. Task 2: Physical Displacement—Handover of Resettlement Sites and/or Apartment Buildings.

VIII.J. Graves and Graveyards

Relocation of graves and graveyards is always sensitive and should be avoided wherever possible. If relocation is unavoidable, the following points should be used as guidance:

- Engage the community on the acceptability of disturbing and moving graves and seek its views on an appropriate relocation site and necessary precautions and ceremonies. (Note that in some cases, depending on the religious beliefs and customs, the community may prefer the graves not to be relocated despite them being permanently impacted.)
- Review local permitting and sanitary regulations applicable to the transfer of human remains and engage relevant experts (cultural and sanitary experts and specialized accredited contractors).
- Seek to identify next of kin and obtain their permission. (Many countries have specific legal requirements in this respect.)
- Consult with relevant religious authorities to understand what rites and rituals are necessary at the time of the transfer.
- Locate new graves or graveyards in compliance with applicable sanitary and spatial planning regulations and in consultation with affected and host communities.

See box 2.8 for an example where relocation was warranted and managed in a way that was acceptable to the community.

Box 2.8. Grave Relocation

Land acquisition for a project in South Asia required the resettlement of a rural village. The resettlement included the relocation of 16 graves of former village residents. In addition to the consultation with affected families and the local religious leaders, the project management sought the guidance of Islamic scholars and imams on the appropriate procedures for relocating the remains of the deceased, including obtaining a fatwa (religious opinion) from the Islamic institutions in the country. Under the supervision of local religious persons and family members, the company arranged for the disinterment and transfer of remains of the deceased to a new graveyard near a shrine of a Pir (religious personality) that is being protected by the project from construction traffic impacts.

Disinterment of graves.

Prayer ceremony prior to interment.

IX. Task 6: Preparing RAP/LRP Documentation

IX.A. Documentation and Disclosure

The purpose of a RAP is to specify all resettlement arrangements and the measures for avoiding, minimizing, or compensating losses or other negative social impacts resulting from resettlement. It establishes the basis for the agreement with the affected parties. The RAP outlines institutional arrangements, legal frameworks, entitlement frameworks, resettlement consultation processes, GMs, budgets, and so forth and will essentially provide a blueprint for conducting the resettlement.

The preparation of the RAP begins with the scoping process and continues through the conduct of socioeconomic studies. One of the challenges with a RAP is finalizing it to a reasonable level of accuracy while many details, including the number of affected persons, are still being worked on.

The draft RAP is based on outcomes of the noted tasks, including the ongoing consultation exercise through resettlement committees or other avenues where committees are deemed unsuitable in the local social or political context. The RAP is issued for consultation with key stakeholders including PAPs and government prior to being finalized.

Appendix G. Annotated Table of Contents for a Resettlement Action Plan presents a template table of contents for a RAP.

The RAP is generally meant for institutional stakeholders such as government, project sponsors, and lenders, and it is often difficult for affected persons to use and understand. RAPs can be bulky and complex and include baseline chapters and other details that may not interest affected persons, especially if some details concern other communities (as might be the case in linear projects that affect many different communities over a long distance). Engaging affected persons will usually require a simpler summary document to be disclosed, such as preparing a guide to land acquisition and compensation (GLAC)[13] mentioned in Module 3. Stakeholder Engagement and specific events at the time of disclosure, including public meetings and smaller forums such as focus groups to discuss specific aspects in the RAP or LRP. For nonliterate populations, a pictorial representation can be helpful.

IX.B. RAP or LRP?

In accordance with PS5, a RAP is required where physical displacement is expected, whereas an LRP is warranted where the project entails only economic displacement. While most of the substance of these documents is similar, the focus of each is different:

- RAPs focus on physical planning, resettlement sites, and housing and amenities
- LRPs focus on livelihoods impacts and livelihoods restoration for the affected persons

Most projects that entail physical displacement also cause economic displacement. In such cases, the RAP should address livelihood restoration as well and should meet the objectives for both a RAP and an LRP. The RAP and LRP could also be produced as separate stand-alone documents for ease of use during implementation. Physical relocation is almost always completed early, before the close-out of livelihood-restoration programs, which might continue for several years and require updates to the livelihood-restoration components

[13] A GLAC is a simple summary outlining key steps of the land acquisition and compensation process. A GLAC is not a PS5 requirement but is a good approach for effective communication and disclosure of land acquisition and RAP processes and outcomes to the affected persons.

of the documentation, hence the interest in producing the RAP and LRP as separate documents. The RAP or LRP becomes the key document that guides the resettlement and livelihood-restoration program and is subject to monitoring.

IX.C. Plan or Framework?

The general rule is that a full RAP should be submitted and disclosed with the ESIA. However, a Resettlement Framework (rather than a full RAP) can be acceptable as a first step to the further development of a RAP, but only when the project footprint is not fully determined at the time the planning document has to be disclosed. The framework should present all compensation and entitlement principles as well as implementation arrangements but can be complemented later by details on impacts when the footprint is known and the census and surveys have been implemented.

A framework is also useful where a project will have successive phases (e.g., phased development of a mine, toll road, or large agricultural concession). The Resettlement Framework will establish common policies and principles, while each subsequent RAP will address the impacts of a specific phase based on these common policies and principles with details of resettlement and livelihood-restoration measures.

It is also possible to submit a RAP for the components that are fully defined and a resettlement framework for those that are not, with a full RAP prepared at a later stage when RAP aspects are more defined.

Approaches to documentation submission planning should be consulted on with stakeholders such as government and lenders.

IX.D. Change Management

RAPs, LRPs, and Resettlement Frameworks should include a section on change management that describes processes to be followed where changes occur. No project is implemented strictly according to initial plans, and there are always changes to the footprint, schedules, and/or legislation, as well as changes resulting from monitoring and evaluation of approaches that are eventually found not to work. The change management sections should describe the following:

- Consultative processes regarding changes to be followed to engage affected and host communities as well as other stakeholders (government, lenders, civil society, etc.)

- Documentation, disclosure, and approval processes, including lenders' requirements
- Definition and assessment of impacts based on the changes to determine whether a RAP or LRP addendum is required

IX.E. Incremental Land Acquisition

Projects often have to undertake limited incremental land acquisition for various purposes in the course of implementation and after the RAP or LRP has been submitted. This may not necessarily need to be covered by a supplemental RAP or LRP as long as the following conditions are met:

- Impacts are limited (no physical displacement, benign economic displacement affecting both limited numbers of people—for example, less than 20 households—and small tracts of land—for example, less than five hectares).[14]
- General processes defined in the RAP or LRP (including engagement, grievance management, baseline surveys, compensation entitlements, and eligibility to livelihood restoration, among others) are strictly followed for such incremental land acquisition.
- The same parties (i.e., the project itself) involved in the main land-acquisition exercise are also those responsible for incremental land acquisition.
- There are no or very limited cumulative impacts (e.g., landowners and land users affected by incremental land acquisition have not been affected before).

IX.F. What the RAP Is Not

A RAP or LRP is not simply a document meant to "check a box" in the process of financing, permitting, and due diligence. It is a participatory planning process, with consultation and negotiation at the forefront, primarily with affected persons but also with other stakeholders. Once the RAP is finished and disclosed, the work has only started.

As a result, the boundary between RAP/LRP preparation and RAP/LRP implementation is not always easy to define. For example, negotiating and finalizing individual compensation agreements can be considered as part of either planning or implementation, depending on the project's financial and contractual structure. It is therefore important that there be no disconnect between planning and implementation, in either time or resources. Project finance milestones (such

[14] Numbers are given for general guidance and may vary significantly depending on context.

as a final investment decision) often require separating implementation activities from studies, but continuity in land-acquisition and resettlement activities should be sought as much as is practical.

It is essential that the RAP/LRP process be phased consistently with key project milestones (feasibility, final investment decision, financial close, etc.). Communities find it difficult to understand when there is a sudden surge in activity (the RAP surveys, consultation on resettlement options), followed by the project disappearing for months (sometimes years) while decisions are being prepared and made. Where such discontinuities are unavoidable, they should be honestly explained to communities and presence should be maintained to the extent practical to provide community liaison, address concerns and grievances, and monitor and mitigate rumors or speculative occupation.

X. Schedule and Budget

X.A. Implementation Strategies and Schedule

Defining implementation strategies is important to resettlement planning and must be reflected in the RAP or LRP. This is discussed in Module 6. Implementation of the Resettlement Program.

The RAP or LRP must include an implementation schedule (see example in table 2.9). The following information should be presented:

- Main resettlement tasks
- Start date, duration, and planned completion date for each task (including initial engagement and consultation)
- Any important dependencies between tasks
- The relation of resettlement activities to the general project construction schedule

The schedule should also include key consultation and negotiation milestones and the duration of livelihood-restoration activities, as well as the timing of external monitoring reviews and, where applicable, the RAP completion audit. Climatic factors may have to be considered (e.g., rainy season impeding construction work or surveys).

Resettlement tasks should be integrated in the project master schedule so that the project management team remains aware of the project timing for clearance of particular plots of land. Ongoing coordination and clear communication between the resettlement team and the project management team are critical. There are several information-management tools that can be utilized to assist this process.

In developing the schedule, the RAP planners should be mindful of seasonal factors affecting displaced communities, including, for example, the school year and the agricultural calendar.

Schedules should provide displaced families sufficient time to move into their replacement dwellings and resolve any serious defects well ahead of the onset of winter or the rainy season. Organizing moves is a time-intensive activity for the RAP team, and it can be beneficial to plan moves in successive waves.

For projects that involve a phased resettlement through the life of the project, the scheduling for future resettlement planning, implementation, and livelihood restoration should be broadly described in framework documents.

Table 2.9. Example of a RAP Implementation Schedule

#	ITEM	RESPONSIBLE PARTY	M1	M2	M3	M4	M5	M6	M7	M8	M9	M10
1	**Negotiations with affected persons**											
1.1	Consultation on compensation entitlements, including resettlement	Project										
1.2	Cutoff	Project or Govt.	✦									
1.3	Census, inventory, socioeconomic surveys	Project										
1.4	Handover of asset inventory sheets	Project										
1.5	Grievance and mistake redress, and associated changes to database	Project										
1.6	Handover of compensation sheets	Project										
1.7	Negotiations on resettlement entitlements and signoff	Project										
1.8	Handover of compensation agreements	Project										
1.9	Grievance redress in regard to compensation agreements	Grievance committee										
1.10	Final identification of vulnerable people	Project										
1.11	Establishment of final entitlement list	Project										
2	**Development of resettlement site**											
2.1	Consultation on resettlement site selection, incl. host communities	Project										
2.2	Site allocation by government authorities	District planning office										
2.3	Delineation of site and general plan	Project										
2.4	Preparation of bidding documents (earthmoving and access)	Project										
2.5	Preparation of bidding documents for house construction	Project										
2.6	Contract award	Project										
2.7	General earthmoving and access	Contractor										
2.8	House construction	Contractor										
2.9	House commissionning	Contractor										
2.10	Construction of mosque and church	Contractor										
2.11	Construction of three classroom block	Contractor										
2.12	Drilled wells	Contractor										
2.13	Plantations and embellishment	Community										

Note: M = months; stars = milestones

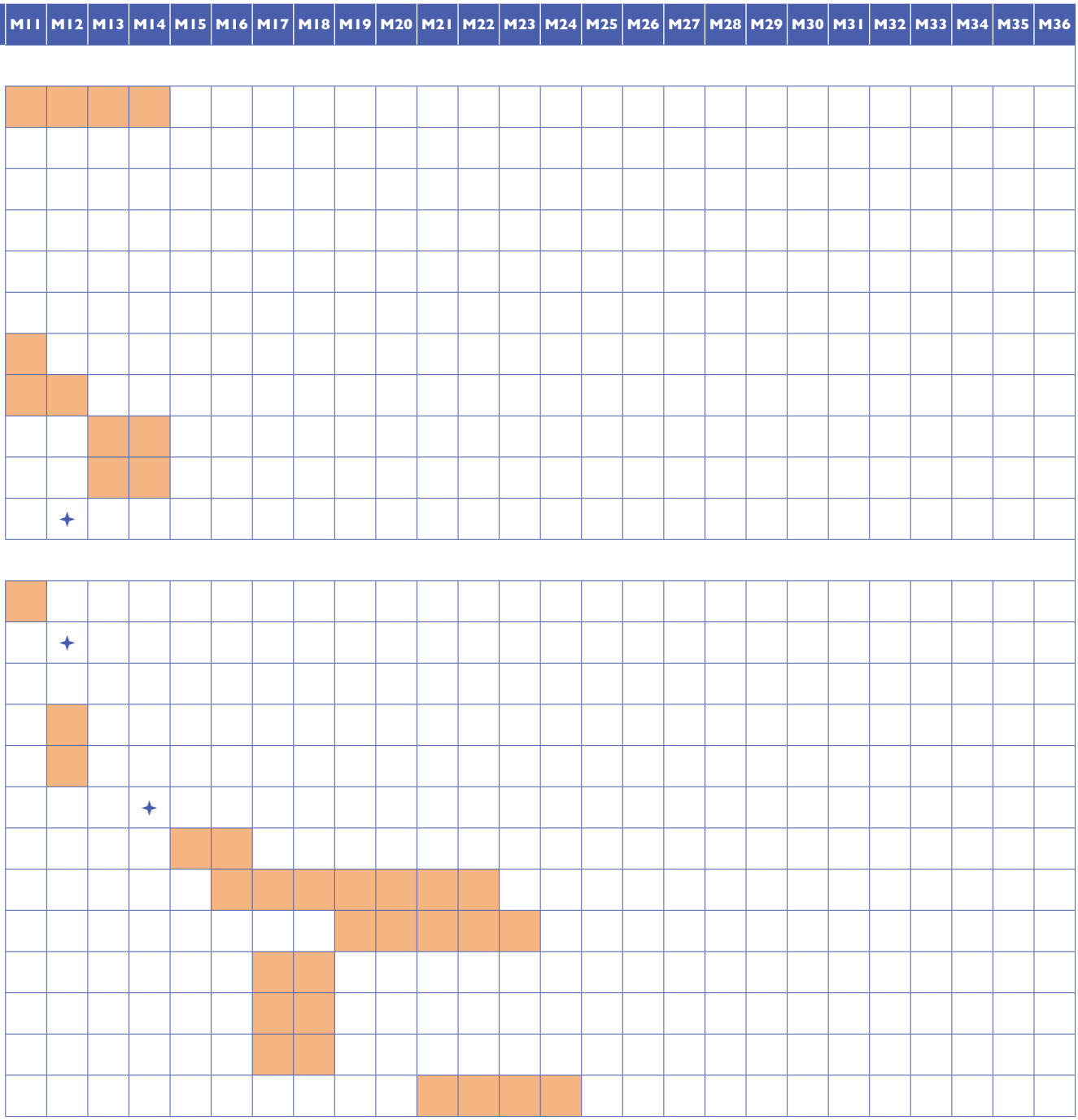


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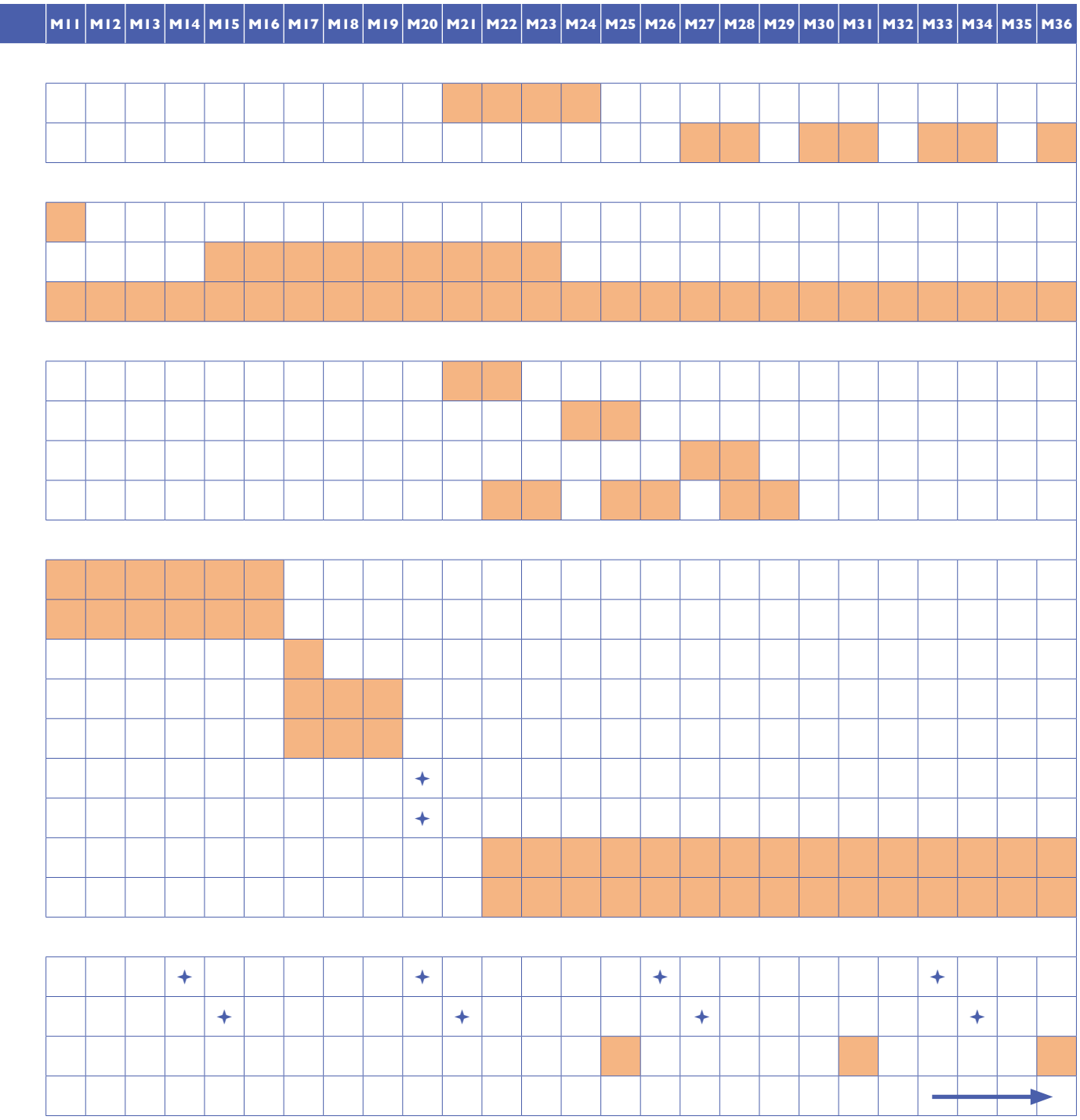
Table 2.9. *(Continued)*

#	ITEM	RESPONSIBLE PARTY	M1	M2	M3	M4	M5	M6	M7	M8	M9	M10
3	**Cash compensation for crops**											
3.1	Payment of initial cash compensation	Project										
3.2	Payment of further cash compensation installments	Project										
4	**Engagement and consultation**											
4.1	Consultation onsite layout, house design, and public facilities	Project										
4.2	Monitoring of construction by Resettlement Committee	Resettlement committee										
4.3	Grievance management	Grievance committee										
5	**Move**											
5.1	Residents move—1st wave	Project										
5.2	Residents move—2nd wave	Project										
5.3	Residents move—3rd wave	Project										
5.4	Salvaging and demolition	Community										
6	**Livelihood Restoration**											
6.1	Identification of alternative agricultural land for replacement	Project										
6.2	Consultation and negotiations around replacement agric. land	Project										
6.3	Allocation and preparation of replacement agricultural land	Project/District agric.										
6.4	Detailed feasibility study for alternative farming methods	Consultant										
6.5	Detailed feasibility study for business support	Consultant										
6.6	Recruitment of NGO to lead agricultural program	Project										
6.7	Recruitment of NGO/microfinance to lead business support program	Project										
6.8	Implementation of agricultural program	Impl. Partner										
6.9	Implementation of business support program	Impl. Partner										
7	**Monitoring and evaluation**											
7.1	Internal monitoring reports	Project		✦						✦		
7.2	Periodic compliance reviews	External reviewer			✦						✦	
7.3	Monitoring surveys	Consultant										
7.4	Completion audit (well after completion of livelihood restoration)	External reviewer										

Note: M = months; stars = milestones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X.B. RAP/LRP Budget

Land acquisition and resettlement are costly, and costs are often underestimated. Two key factors are that (i) land is increasingly becoming a scarcer and a costly commodity all over the world, including in developing countries, and (ii) adequately resourcing a land-acquisition and resettlement program is costly, as it is a labor-intensive activity. Typical orders of the magnitude of costs are shown in table 2.10.

The RAP or LRP must present a comprehensive budget showing all costs associated with resettlement planning and implementation. If relevant, the budget should be broken down to show annual expenditures for each item for the period from commencement of RAP planning until the end of the RAP completion audit. This breakdown will be used for monitoring inputs as described in Module 7. "Monitoring". The budget should itemize provisions for the following (see the example of itemization in table 2.11):

- Land acquisition and compensation:
  - Annual crops
  - Perennial crops and trees
  - Dwellings and other structures
  - Communal infrastructure
  - Cultural heritage, including graves
  - Forest and state or municipal land, if relevant
  - Business downtime and relocation
  - Relocation assistance and allowances
  - Private and communal land
- Replacement site development:
  - Land acquisition
  - Site planning, engineering, and architectural design
  - Site preparation
  - Infrastructure
  - Housing and facilities construction
  - Host community compensation or trade-offs
- Livelihood restoration and improvement, including, for example, agricultural reestablishment and development programs, support to nonagricultural income-generating activities (including for women), microfinance and support to small and medium enterprises, and so forth
- Permitting and approvals
- Statutory fees, registration costs, and replacement land titling

- Monitoring and evaluation:
  - Internal monitoring
  - External monitoring
  - RAP/LRP completion audit
- Internal staffing and inputs:
  - Cost of staffing the program
  - Inputs such as vehicles for staff
- Consulting fees:
  - Surveying
  - Legal fees
  - Appraisal and valuation studies
  - RAP specialists
  - Architects and engineers
  - Geographic information systems and data management
  - Socioeconomic survey and monitoring consultants
  - Other specialists (soil and land capability specialists, agronomists, land-use planners, livelihood specialists, microfinance experts, etc.)
- Contingencies (typically in the range of 10 to 20 percent)

An example of itemization in a RAP budget (summary for presentation in a publicly disclosed RAP) is shown in table 2.11. Note that amounts are highly context specific and are shown here only for the purpose of demonstrating the type of itemization that is typically adopted for a RAP.

Where a RAP or LRP covers only a small number of displaced people or enterprises, cost data should be aggregated in such a way that entitlements of individual households or entities cannot be easily discerned, to protect privacy. In some cases, disclosing the detailed budget may not be desirable, and in those cases, it can be replaced by lump sums per overall activity or just a total amount, while the detailed amounts are kept confidential.

Resettlement expenditure very often extends beyond the project construction phase. Provision must be made to fund livelihood restoration, RAP monitoring, and completion audit activities through operations budgets for reasonable periods, perhaps two to five years, after construction completion.

Where land-acquisition and resettlement activities are funded from more than one source, the sources for each component of the budget should be clearly identified, especially where the government has responsibility for particular resettlement activities (land acquisition and associated compensation, for example). Where a private project sponsor is the source of funds for a government-run resettlement program, it may be possible for the client to organize direct disbursement of compensation to affected persons or enterprises based on a specific agreement with the government. This reduces administrative delays and the risk of resettlement funds being dissipated before they reach beneficiaries. It can also help ensure that compensation payments reach women and vulnerable groups fairly.

The RAP should also describe compensation channeling provisions and mechanisms to ensure payments are timely and delivered prior to impacts. This is particularly important for payments to women, as these payments are more likely to have a direct impact on children. In a limited number of cases, landowners may not be found or are deceased, there are legal ownership disputes, or unforeseen impacts occur such as damage to adjacent crops during road construction. The RAP should describe mechanisms to ensure that compensation monies that cannot be paid beforehand remain available (typically in an escrow account) and are paid as soon as barriers to payment are resolved.

Table 2.10. Ranges of Land-Acquisition and Resettlement Costs (in U.S. dollars[a])

FACTOR	DEVELOPING ECONOMIES		NEWLY INDUSTRIALIZED ECONOMIES	
	RURAL	URBAN	RURAL	URBAN
Arable land ($ per square meter)	0.2 to 5.0	n.a.	0.2 to 20.0	n.a.
Grazing land ($ per square meter)	0.1 to 2.0	n.a.	0.1 to 2.0	n.a.
Residential land ($ per square meter)	1 to 10	5 to 200	1 to 20	10 to 1,000
80-square-meter apartment ($)	30,000 to 60,000	40,000 to 100,000	40,000 to 100,000	80,000 to 200,000
100-square-meter detached house on 300-square-meter residential plot[b] ($)	20,000 to 80,000	50,000 to 200,000	50,000 to 120,000	100,000 to 300,000
Average cost of resettlement of one physically displaced household[c] ($)	50,000 to 150,000	50,000 to 250,000	80,000 to 250,000	150,000 to 400,000

Note: These figures are sourced from various experts' experience in different jurisdictions and should be used with caution and considered as "usual" ranges only. Site-specific circumstances tend to be unique, and exceptions often happen. n.a. = not applicable.

[a] Dollar figures are based on 2020 estimates.

[b] This considers the cost only of the house itself and does not include resettlement site development or public facilities.

[c] This includes replacement of housing, livelihood-restoration activities, and implementation costs.

Table 2.11. Example of a RAP Budget (in U.S. dollars)

#	ITEM	UNIT	QUANTITY	UNIT PRICE	TOTAL PRICE
1	**Development of the resettlement site and house construction**				
1.1	General works				
1.1.1	Site survey and delineation	Unit	1	20,000	20,000
1.1.2	Delineation of individual land plots	Unit	1	20,000	20,000
1.1.3	General earthmoving at site	Unit	1	250,000	250,000
1.1.4	Construction of access road	Kilometer	2.2	200,000	440,000
1.1.5	Construction of bridge	Unit	1	100,000	100,000
1.1.6	Construction of trunk street	Kilometer	1.5	250,000	375,000
1.1.7	Construction of secondary streets	Kilometer	2.1	90,000	189,000
1.1.8	Storm water collection network	Kilometer	7.2	40,000	288,000
1.2	House construction				
1.2.1	Two-room house	Unit	150	20,000	3,000,000
1.2.2	Three-room house	Unit	20	27,000	540,000
1.2.3	Four-room house	Unit	30	34,000	1,020,000
1.2.4	Five-room house	Unit	20	41,000	820,000
1.2.5	Double ventilated pit latrine	Unit	120	10,000	1,200,000
1.3	Public facilities				
1.3.1	Mosque	Unit	1	120,000	120,000
1.3.2	Three-classroom school	Unit	1	130,000	130,000
1.3.3	Ventilated pit latrines for school	Unit	4	10,000	40,000
1.3.4	Drilled wells with hand or foot pump	Unit	8	15,000	120,000
1.3.5	Waste skids on concrete platforms	Unit	10	2,000	20,000
1.3.6	Solar lighting systems	Unit	220	1,500	330,000
1.3.7	Health center	Unit	1	80,000	80,000
1.3.8	Dedicated area for resettlement of businesses	Unit	1	80,000	80,000
1.3.9	Plantations and embellishment	Unit	1	300,000	300,000
1.4	Land titles				
1.4.1	Preparation and delivery of land titles	Unit	120	500	60,000
				Subtotal 1: Site Development	**9,542,000**

(*Table continued on next page*)

Table 2.11. *(Continued)*

#	ITEM	UNIT	QUANTITY	UNIT PRICE	TOTAL PRICE
2	**Cash compensation**				
2.1	Moving allowance				
2.1.1	Households	Unit	220	200	44,000
2.2	Incomplete and other structures compensated in cash				
2.2.1	Compension for additional rooms beyond five	Unit	20	1,500	30,000
2.2.2	Incomplete structures	Unit	30	2,000	60,000
2.2.3	Ancillary structures	Unit	450	200	90,000
2.3	Annual crops				
2.3.1	Garden crops in homesteads	Square meter	120,000	12	1,440,000
2.4	Trees				
2.4.1	Cashew	Tree	38,000	60	2,280,000
2.4.2	Banana	Tree	12,000	4	48,000
2.4.3	Palm	Tree	9,000	20	180,000
2.4.4	Mango	Tree	8,000	70	560,000
2.4.5	Citrus	Tree	2,600	125	325,000
2.4.6	Others	Tree	2,000	40	80,000
2.5	Land redevelopment allowance				
2.5.1	Land redevelopment allowance	Hectare	115	1,000	115,000
2.6	Businesses				
2.6.1	Compensation for loss of business income	Unit	80	1,000	80,000
2.6.2	Compensation to business employees	Person	45	500	22,500
				Subtotal 2: Cash compensation	**5,354,500**
3	**Assistance to vulnerable people**				
3.1	General allocation for assistance to vulnerable people	Unit	1	100,000	100,000
				Subtotal 3: Assistance to vulnerable people	**100,000**
4	**Livelihood restoration**				
4.1	Fruit tree seedlings	Seedling	5,500	3	16,500
4.2	Money management training	Unit	1	15,000	15,000
4.3	Soil preparation at resettlement site	Hectare	35	20,000	700,000

(*Table continued on next page*)

Table 2.11. *(Continued)*

#	ITEM	UNIT	QUANTITY	UNIT PRICE	TOTAL PRICE
4.4	Credit line at agricultural cooperative bank	Unit	250,000	1	250,000
4.5	Small agricultural equipment dotation	Household	220	1,200	264,000
4.6	Agricultural training	Household	220	800	176,000
4.7	NGO to oversee agricultural livelihood activities	Unit	1	280,000	280,000
4.8	Support to nonagricultural IGAs	Household	220	1,200	264,000
				Subtotal 4: Livelihood Restoration	**1,965,500**
5	**Implementation**				
5.1	Company staff and vehicles	Throughout planning and implementation			2,016,000
5.2	Consultants	Throughout planning and implementation			570,000
5.3	External monitoring				
5.3.1	External compliance reviews	Month	25,000	4	100,000
5.3.2	Completion audit	Month	25,000	2	50,000
5.3.3	Completion socioeconomic survey	Unit	30,000	1	30,000
5.3.4	Air and other transport	Mission	4,000	12	48,000
5.4	Vehicles and other means				
5.4.1	Vehicles	Month	2,000	180	360,000
5.4.2	Computers	Unit	1,000	25	25,000
5.4.3	GIS equipment	Unit	5,000	1	5,000
5.4.4	GPS and other field equipment	Unit	20,000	1	20,000
				Subtotal 5: Implementation	**3,914,000**
6	**Contingencies**				
6.1	Contingencies 10%		20,876,000	10%	2,087,600
				Subtotal 6: Contingencies	2,087,600
				GRAND TOTAL	**22,963,600**

Note: Includes 220 physically displaced households and 200 economically displaced households in West Africa. Unit values are context specific and can vary greatly, even in the same region.

XI. Do's and Don'ts

Table 2.12 lists the do's and don'ts for planning land acquisition and resettlement.

Table 2.12. The Do's and Don'ts of Resettlement Planning

DO'S	DON'TS
Give sufficient time to the planning process. Undertake phased resettlement planning with due consideration of the overall project cycle. Give proper attention to valuation issues and use adequate expertise with understanding of both local and international requirements for this purpose. Gather socioeconomic information that is necessary and manage it as it is gathered. Manage expectations, rumors, concerns, and grievances. Understand sociopolitical dynamics within communities and consider community representation accordingly. Seek to facilitate representation of diverse affected groups and engage these representatives throughout the planning process. Look at gender impacts of the proposed compensation strategy. Consider all impacts, including the less obvious ones such as natural resources (pasture, forest, wetlands, water bodies, sea), transient groups, and informal or temporary users. Consider livelihood restoration and improvement that must drive resettlement site selection and planning. Use proven and simple construction techniques for resettlement site development and house building. Engage government around its role in the land-acquisition and resettlement process, particularly where expropriation may be used. Conduct ongoing coordination with internal stakeholders (management, engineers, construction).	Start too late. Start too early—it is preferable to avoid long gaps between planning and implementation that result in more community disruption. Start planning without a reasonably well-defined and certain project footprint. Start planning without a well-defined and specific engagement strategy that accommodates community decision-making processes and times, as well as all groups within the communities, including the vulnerable. Offer temporary accommodation unless this absolutely cannot be avoided. Request land donations unless they are conducted in alignment with the guidance on voluntary land donations in this handbook. Regard the RAP/LRP as only a document or a box to check—it is part of a process that continues with implementation and monitoring. Underresource planning (too small of a team or a team without adequate skills).

MODULE 3

STAKEHOLDER ENGAGEMENT

I. Overview

The purpose of an early, ongoing, and robust SE process is to build strong, constructive, responsive, and equitable relationships to enable all groups of displaced persons, host communities, and other stakeholders that have a role in the resettlement program to meaningfully participate in planning, implementation, and monitoring of resettlement activities. SE related to land acquisition and economic and physical displacement should be initiated at the scoping stage and continue for the life of the project. Effective SE also facilitates the identification of avoidance, minimization, risk mitigation, and compensation measures that are appropriate and sustainable.

For the purposes of this module, SE is an umbrella term that encompasses stakeholder identification and mapping, disclosure of information, consultation, and grievance management, as well as reporting to stakeholders.

The affected community(ies) subject to physical and/or economic displacement must be at the center of consultation concerning land acquisition. This can be difficult to achieve, especially in cultures where local people, women, or marginalized members of the community are not accustomed to being asked their opinion and where top-down decisions are the norm.

There are important differences in the focus and approach between SE undertaken to address overall project implementation and SE specifically undertaken to address land acquisition and the displacement of communities and households. With land-acquisition impacts, the disclosure of eligibility and entitlements, as well as other mitigation measures including compensation and livelihood-restoration packages, should take place sufficiently early in the project's planning process to allow potentially displaced people sufficient time to consider their options.

The project SEP is usually prepared as part of the project's ESIA as a living document that evolves with the phases of the project. It generally lacks the specificity required for land-acquisition, compensation, and resettlement activities. As a result, the SEP will need to be updated to ensure that it addresses specific engagement activities required in the course of the detailed data collection, resettlement and livelihood-restoration planning, implementation, and monitoring and evaluation phases.

At the scoping phase, a brief road map for SE should be prepared to guide interaction during the scoping review (refer to Module 1. III.E. Engaging with Stakeholders). During the planning phase, the road map will be developed into a more comprehensive and detailed SEP based on the preliminary identification of stakeholders and key issues.

The SEP should be updated periodically. Good stakeholder engagement practice includes annual review of the SEP to define specifics on meetings, update stakeholders, and ensure that resettlement action plans, including results of the GM, are communicated to stakeholders on schedule. Supplementary communication documents, such as guides, newsletters, or notices, can be used to inform communities, households, and individuals on changes or updates to the resettlement process. Regular community meetings are an effective means of passing on information and updates, especially in communities with low levels of literacy. Supplementary information may focus on surveys, the cutoff date, valuation and entitlements, the design of resettlement sites and housing, livelihood restoration, and so forth. Gender-related issues and risks can sometimes be difficult to raise or discuss early on. The SEP may therefore also need to be updated to include these aspects as they become known.

IFC's good practice handbooks on SE should be referred to for more detail on various aspects and approaches to engagement with individuals, groups, and communities affected by project impacts.[15]

II. Principles and Objectives of Stakeholder Engagement

II.A. Key Principles of Stakeholder Engagement

SE during the land-acquisition process should include the following principles:

- Ensure that the SE, public consultation, and disclosure process complies with national legislation, regulations, and the IFC PSs, in particular PS1, PS5, and PS7, if applicable.
- Ensure that the SE process commences at scoping and is tailored to the stage of land acquisition and to communities and households affected by displacement.
- Work with affected households and communities to explore ways to avoid and minimize, where possible, physical and economic displacement of households.
- Ensure that the SE process is culturally appropriate and inclusive of all stakeholders, including disadvantaged and vulnerable groups affected by land acquisition, and that it is free of interference, manipulation, discrimination, intimidation, and coercion.

[15] See, for example, IFC. 2014. *A Strategic Approach to Early Stakeholder Engagement. A Good Practice Handbook for Junior Companies in the Extractive Industries*. Washington, DC: IFC. http://www.commdev.org; IFC. 2007. *Stakeholder Engagement: A Good Practice Handbook for Companies Doing Business in Emerging Markets*. Washington, DC: IFC. www.ifc.org/stakeholderengagement.

II.B. Key Objectives of Stakeholder Engagement

The key objectives of SE with respect to land acquisition are the following:

- Build relationships based on trust and transparency with communities affected by land acquisition and displacement.
- Build the capacity of affected communities to understand and participate in the resettlement process, including understanding their rights and entitlements.
- Enable communities affected by land acquisition to engage in a two-way dialogue and provide meaningful input, that is, to meaningfully participate in and influence the design and implementation of the RAP and LRP in a manner consistent with the principles of informed consultation and participation.[16]
- Create an inclusive environment in which views, issues, and suggestions can be expressed by all members of the affected community, including women, elderly, youth, and potentially vulnerable, disadvantaged, or marginalized groups.
- Establish an accessible and responsive GM.
- Facilitate efficient land acquisition through mutually agreed solutions, negotiations, and agreements, without delays and disruptions.

III. Stakeholder Identification, Analysis, and Mapping

III.A. Stakeholder Identification

Stakeholders are typically classified as either directly or indirectly affected. For the purpose of resettlement, directly affected stakeholders are those who are physically or economically displaced (or both) as a result of land acquisition, impacts to access to natural resources, or from other construction or operation-related impacts. Indirectly affected stakeholders are those who, while they may reside near or around the project footprint and may have a vested interest in the

[16] PS1, paragraph 31 clarifies: "For projects with potentially significant adverse impacts on Affected Communities, the client will conduct an informed consultation and participation (ICP) process that will build upon the steps outlined above in Consultation and will result in the Affected Communities' informed participation. ICP involves a more in-depth exchange of views and information, and an organized and iterative consultation, leading to the client's incorporating into their decision-making process the views of the Affected Communities on matters that affect them directly, such as the proposed mitigation measures, the sharing of development benefits and opportunities, and implementation issues. The consultation process should (i) capture both men's and women's views, if necessary through separate forums or engagements, and (ii) reflect men's and women's different concerns and priorities about impacts, mitigation mechanisms, and benefits, where appropriate. The client will document the process, in particular the measures taken to avoid or minimize risks to and adverse impacts on the Affected Communities, and will inform those affected about how their concerns have been considered."

project, are neither physically nor economically displaced (for example, members of communities neighboring the project). Other stakeholders who may be involved with the land-acquisition process are local leaders, government officials, project staff, NGOs, and CBOs.

Early in the process (at the scoping or early planning stage), identify stakeholders who may be affected by project land acquisition, either directly or indirectly, using the following steps:

- Determine the extent of the project footprint in terms of land acquisition as well as restrictions on land use.
- Brainstorm, in consultation with key local resource persons (e.g., project staff, government officials, community leaders, and interest group representatives), a preliminary list of stakeholders potentially affected by the project footprint, including categories of organizations, interest groups, households, and individuals.
- Ensure inclusion of stakeholders who are often overlooked or who may not traditionally be identified as persons with any decision-making authority in communities, including women (especially women with low income) and vulnerable groups.
- Consider the use of independent third parties to assist in identifying stakeholders in contexts where the identification, diversity, or independence of stakeholders may be compromised, such as in areas affected by conflict, ethnic tensions, or other barriers to civic participation.
- Consider the use of independent third parties trusted by affected persons to assist in clarifying and explaining potential impacts.

Experience has demonstrated that opposition to projects often comes from those who are indirectly affected, who are not being physically or economically displaced but who are also not receiving any benefits and feel left out of the process. It is important to identify and engage these stakeholders.

III.B. Stakeholder Analysis and Mapping

Assess each identified key stakeholder, or stakeholder group, based on an analysis of likely project and land-acquisition impacts, their vulnerability, and their ability to influence the land-acquisition process positively or negatively. Different types of stakeholders may be impacted negatively or positively by land acquisition and they will also have different types of influence over the land-acquisition process. An example is given in table 3.1.

Table 3.1. Some Categories of Stakeholders for Mapping

STAKEHOLDER	LAND-ACQUISITION IMPACTS						VULNER-ABILITY			INFLUENCE OVER LAND-ACQUISITION PROCESS					
	POSITIVE			NEGATIVE						POSITIVE			NEGATIVE		
	H	M	L	H	M	L	H	M	L	H	M	L	H	M	L
Crop farmers				X			X						X		
Livestock farmers						X		X						X	
Local businesses			X						X		X				
Village chiefs		X							X	X					
Women				X			X								X
Informal settlers					X		X							X	
Host communities						X			X						X

Note: H = high; M = medium; L = low. The ability of stakeholders to influence the land-acquisition process positively or negatively may change over time, and thus stakeholder mapping and analysis should be repeated periodically, especially at key milestones in the land-acquisition and resettlement implementation process. Mapping and analysis should be used as a basis to strategize and plan how to address those stakeholders who may have a negative influence and how to support those who provide a positive influence.

IV. Engagement Methods and Tools

IV.A. Committees

Well-formed and well-organized committees, associations, or representative groups are useful to the SE process. The need for, and adequacy of, appropriate resettlement organizational structures should be considered in the scoping stage (see Module 1. III.E. Engaging with Stakeholders) and implemented when planning and associated field activities commence, including surveys described in Module 4. Baseline Data Collection. There are different models of organizational structures and representation, and the engagement strategy must be tailored to the needs of the project, government institutional arrangements for land acquisition, and the needs of affected communities.

A variety of organizational models can be used:

- *Community-level resettlement committees or associations* for each affected community, including host community committees where they are affected
- *District- or commune-level resettlement committees or associations* in situations where impacts are more benign or dispersed (such as linear projects) and in urban or peri-urban settings[17]
- *An umbrella resettlement committee or association, with subgroups at the community level* in situations where impacts are significant and/or if there is potential for cumulative effects across several communities (examples, are presented in box 3.1 and box 3.2). Subcommittees of the umbrella committee could be formed to address issues relevant to specific groups within the affected community.

The following points should be considered in establishing resettlement committees:

- *Select representatives*. Members are generally chosen by the affected communities but may be elected by the interest group they represent. Committees or associations must be inclusive of representatives of vulnerable or marginalized groups. Consider holding capacity-building sessions with affected communities/groups prior to the selection of representatives in order to facilitate agreement on the characteristics of such representation (numbers, knowledge, skills, gender, age groups, etc.). Table 3.2 provides some guided questions that can help affected community stakeholders select an inclusive resettlement committee. Committee members should represent a cross-section of the affected community, including women, youth, businesspersons, fisherpeople or hunters, the disabled, and indigenous groups, where applicable.

[17] Linear projects are those such as roads, railways, pipelines, and transmission lines, which typically affect a large number of plots, some in a fairly benign manner.

Box 3.1. Establishing Resettlement Committees in Ghana

Ahafo South is a large gold mine in the Brong Ahafo Province of Ghana, owned and run by Newmont Ghana Gold Limited (NGGL). Its first gold was produced in 2006.

NGGL had to manage significant physical and economic displacement: over the successive phases of the mine development, a total of about 8,100 households were affected, of which 685 were physically displaced and resettled accordingly. The resettlement program was potentially controversial and likely to attract stakeholder scrutiny in the country and internationally. It is common practice in resettlement to establish committees at the level of each affected community, but these committees rarely have a say over broader issues relevant to all affected communities, such as the overall entitlement policy or compensation rates. In this case, such community-level committees might not have been sufficient during the planning process. NGGL followed advice from government authorities and established an overall consultation committee as a body to be consulted on the entire compensation and resettlement strategy. The scope of the committee was to participate in the following:

- The development of eligibility and entitlement rules, based on proposals submitted by RAP consultants
- The development of the valuation methodology
- The selection of resettlement sites, their layout and infrastructure planning, and house design
- Grievance review and mediation between the company and aggrieved persons where necessary

The consultation committee included representatives from each of the affected communities, traditional chiefs, local government representatives—including both local councils and representatives from key ministries—as well as two local NGOs. The number of committee members (about 50) made it necessary to have a strong chair. A prominent and well-regarded individual originally from one of the affected communities, who had recently retired from a senior government position, was identified and assumed this role.

The gender ratio within the committee was about three males to one female. Ideally it should have been equal. The committee also split into thematic subcommittees where and when needed. The overall consultation committee met weekly during active resettlement planning, then monthly, and eventually quarterly. This committee was assessed as a key factor in the success of the resettlement-planning exercise.

Where different communities are affected, and impacts are significant, broad committees of this sort are useful, or even necessary, to promote consistency of application and overall community buy-in to key resettlement-planning decisions. Where only one community is affected, a smaller resettlement committee will be sufficient, but representation of key social layers and categories of affected persons (e.g., owners and tenants, vulnerable groups, informal users, transient users such as herders or fisherpersons, businesspersons) and attention to adequate gender representation are required.

Box 3.2. Establishing Resettlement Committees in Guinea

In a rural resettlement project related to a bauxite extraction project in Guinea (Guinea Alumina Corporation), two committees were established as the main consultation avenues for the resettlement-planning and implementation process:

- A resettlement committee with representatives of the affected community (three villages and a number of smaller hamlets), chaired by the local "sector chief" and 13 members, including three women, three youths, and three elders
- A host community committee with representatives of the host community (a small village where the main resettlement site is located)

The resettlement committee met once a month at least, with the project preparing clear and simple agendas, and the minutes of meetings were subsequently signed by all members. Examples of issues addressed in these meetings included the following:

- Resettlement site selection (a lengthy negotiation process that took about nine months, during which several sites were considered, visited, and assessed, with an eventual agreement on one resettlement site)
- Details of entitlements, particularly regarding compensation rates for trees, moving allowances, land-redevelopment allowances, and livelihood-restoration activities
- Location of individual plots within the resettlement site
- Size and design of resettlement houses
- Location, size, and design of community facilities (mosque, school, health post, and water system)

In addition to the resettlement committee meetings, community meetings were organized on average once per quarter to disclose to the broader community in a transparent manner all key decisions arrived at in meetings of the resettlement committee.

The host community committee focused on benefits for the host community, including access to community infrastructure designed to benefit both the resettlement and host communities. The host committee was actively involved during the moving activities by giving support to the preparation of food for resettled persons.

Members of both committees received a sitting allowance equal to one day of a minimum Guinean salary at every meeting, and basic support for transport and food was provided by the project to the meeting venue.

Table 3.2. Key Questions to Guide Affected Communities in the Selection of an Inclusive Resettlement Committee

ISSUES	KEY QUESTIONS
Identification of affected persons and groups requiring representation	Who will be affected by land acquisition (individuals and groups)? Why is it important that they are represented? How will the selected representatives ensure that the concerns of each affected group and individual will be heard and addressed, even if they have a different opinion?
Knowledge, skills, and personal qualities of representatives	What local, indigenous, or technical knowledge would be useful for representatives to have (such as knowledge of local land tenure systems, agriculture, or resource use)? What skill sets should representatives have, such as reading, writing, public speaking? (Note that requiring reading could present a bar to women's participation in some communities.) What personal qualities would a good representative have? Do the proposed committee members enjoy the confidence of those they represent?
Resettlement committee structure	How many people should serve on the resettlement committee? What should be the balance of representatives (men, women, youth, others)? Should there be any subcommittees?
Selection of resettlement committee members	Who should select committee members? How should they be selected? Can community leaders who are not directly affected by land acquisition serve on the resettlement committee? Does everyone get a vote for the representative of their group? When do they have to decide whom to select? How do you ensure representativeness of women, the vulnerable, and minority groups?

- Inclusion of local government officials and traditional community leaders with a good knowledge of local and customary land tenure systems is important to ensure clarity while addressing local land-rights issues. While all such groups should be represented, experience has shown that a manageable size of membership should not exceed 12 to 15 persons, 20 being the maximum. It is important to regularly verify the validity of representation of the different interest groups by their representatives. Representatives may lose the support and confidence of their groups, especially if they are not adequately and accurately representing the group's views or if they are promoting their own views and agendas.
- *Use accepted practice.* In some cultural contexts, there may be a long practice of similar representative bodies, whether traditional (such as elders councils) or not (rural and urban *soviets* and similar councils or committees). Procedures for selecting, convening, and operating these types of organizational structures are usually well known and well accepted locally and can be used for resettlement committees even if their membership and scope are different.
- *Agree beforehand on scope and mandate of the committee.* Ensure that affected persons understand the role of the committee, the type of obligation in terms of time and effort, and the future member's obligations in terms of representing and providing feedback to the community members. Be up front about "sitting allowances or stipends" to minimize the appearance of member's being "bought" by the project.
- *Build capacity of committee members as needed.* If appropriate, explore the need for additional capacity building such as training, presentations, workshops, and literacy education to build awareness of roles and

responsibilities and to clarify land-acquisition documents, plans, and relocation strategies. Where the affected communities have low awareness of associated legal issues, consider training and awareness building for committee members on legal issues such as expropriation law, land law, processes for compensation, redress, and so forth. The project should provide them with relevant good practice examples, facilitate visits to other similar resettlement projects, and interact directly with community representatives there, where possible.

- *Include marginalized or vulnerable groups, possibly in separate discussions, where appropriate.* In some contexts, it may be more effective to engage separately with representatives of ethnic minorities, indigenous groups, women, youth, and so forth. The project should deploy staff from the same marginalized or vulnerable group(s) to lead the process with such groups. The establishment of a diverse resettlement committee is nevertheless an opportunity to promote more meaningful and equitable participation and engagement between dominant and vulnerable groups, and between men and women. All efforts should be made so that women and vulnerable groups are included in the committee and are given an opportunity to actively participate in discussions and decision-making. This may require some early work to build capacity among these marginalized groups and to help existing community leaders understand the benefits of this approach.

  Lack of adequate representation by women on resettlement committees can have lasting negative impacts on women from the resettlement process. Where custom does not allow women to attend meetings with men or speak up in front of men, it may be necessary to create two resettlement committees of equal importance in decision-making.

- *Establish effective frequency and duration of resettlement committee meetings.*
  - It is important to meet with committees regularly (in general fortnightly or monthly during the peak of resettlement planning, and possibly quarterly later).
  - The timing and locations of committee meetings should consider accessibility and safety for women and vulnerable groups.
  - Projects should focus meetings on key issues to be addressed and resolved and should not overwhelm committee members with information. Have more frequent, shorter meetings or workshops to address a manageable number of agenda items or topics.
  - Projects should not make excessive demands on the time of community representatives. Rural communities often spend much of their time in day-to-day subsistence activities (e.g., tending crops and livestock or fetching water and firewood) and do not have time for lengthy participative

processes. Consider what measures could be taken to enable effective participation by community representatives, such as providing women with child and elder care assistance.

- *Document all meetings and decisions*. It is important to document and maintain a record of all meetings, attendance, decisions taken, and follow-up actions, and these should be made public through the project office, local community center, and other appropriate sites (see Module 3. VII. Stakeholder Engagement Records). In cases where there are low literacy levels in the community, consider making available recordings (voice or video) of key meetings and decisions as a means of empowering and enabling affected persons in the process of obtaining and retaining relevant information.
- *Pay reasonable daily stipends*. It is good practice to pay reasonable compensation to community representatives attending committee meetings. This must be meant to cover transportation (if transport is not provided by the project) as well as a reasonable compensation for time inputs and other expenses, such as refreshments. Any sitting allowances for local officials and traditional and community leaders should align with procedures and rates that may have been established by local authorities and should also be in accordance with project compliance procedures. The project legal department can determine a practicable and transparent legal arrangement for payments to comply with antibribery legislation and Extractive Industry Transparency Initiative (EITI)[18] provisions (for extractive projects adhering to EITI). It is critical to communicate the allowance rates and purposes to the community prior to establishing the committees, and to check the adequacy of the principle of paying compensation to committee members (which could be counter-productive in some relatively rare cases).

IV.B. Community Meetings

General community meetings provide a necessary level of transparency and provide a means to inform the entire community of decisions reached with the committee and verify agreement. Due to their size and number of participants, general community meetings are usually ineffective for resolving complex issues, such as the selection of a resettlement site or details of house design. They are also not conducive to marginalized or vulnerable groups expressing their views.

[18] The EITI is an integral part of open and accountable extractive sector management, which is increasingly becoming a global norm. All EITI implementing countries are required to publish oil, gas, and mining contracts granted and amended from January 1, 2021.

As a result, as highlighted in box 3.1 and box 3.2, it is best to have both committee meetings and general community meetings: complex issues are discussed and resolved in committee meetings, while the overall approval of the community on decisions reached with the committee on these issues is sought in general community meetings.

IV.C. Focus Groups

Focus groups are a powerful technique and have the following benefits:

- Convening of separate meetings for groups (e.g., women, businesspersons, hunters, and indigenous people), thereby eliminating challenges that such groups may experience in expressing themselves in broader meetings, and capturing each group's concerns, opinions, or expectations
- Discussing specific issues in detail (e.g., the layout and design of a resettlement house or the location of the latrine within the resettlement plot) to reach a practical solution that has the agreement of all that will be subject to the resettlement process
- Facilitating a discussion among the participants themselves, thereby allowing them to identify their own solutions and reach consensus
- Building a common understanding, as it is often observed that many people enjoy discussing topics in a well-facilitated focus group, sharing their views, hearing others' views, and building mutually agreed solutions

Topics for focus group discussions include the following:

- Baseline surveys
  - Land uses, including customary and informal land tenure arrangements, and land market values
  - Use of natural resources (NTFPs, hunting, grazing, fishing)
  - Maps of location of natural resource use sites for persons whose livelihoods are natural-resource-based
  - Migration (both in and out)
  - Specific sex-disaggregated livelihood activities, such as hunting, fishing, smoking and preservation of fish catches or other produce processing, extraction of sand or salt, brick making, and so forth
  - Cultural sites (ceremonies held, significance, custody arrangements) and potential relocation principles where relocation of cultural artifacts is possible
  - Agricultural calendars for men, women, and youth and interaction with calendars for other activities
  - Community safety
  - Coping strategies in case of hardship
  - Women's and vulnerable groups' specific project-related concerns
- Discussion of entitlements
  - Compensation rates
  - Development of resettlement sites and relevant development principles once a site has been selected
  - Resettlement housing
  - Replacement agricultural land (location, soils and land capability, agricultural potential, conditions of development and allocation, relationships with host communities)
  - Preference for method of compensation (land-for-land, cash, other)
  - Equitable distribution of entitlements
  - Compensation for business loss
  - Development of livelihood-restoration programs
- Host communities
  - Acceptance of the resettlement site and principles
  - Implications concerning local infrastructure
  - Implications concerning local power balance and relationships
  - Community safety

IV.D. Guide to Land Acquisition and Compensation for Disclosure

Experience has shown that a concise, clear, and simple guide is useful for local affected communities and households (see box 3.3). RAPs and technical summaries may contain information that is not particularly relevant to individual communities and households being displaced, especially in the case of linear projects where information is provided concerning many different and separate affected communities. A GLAC can be used for any project,[19] including small ones, to simply explain the key elements of the land-acquisition and compensation process in a few pages.[20]

The GLAC should be developed prior to asset surveys and negotiations with land-right holders as a brief guide providing pertinent land-acquisition information for directly affected households and communities. In the case of communities with high illiteracy rates, the guide should contain as many illustrative sketches and examples as possible and be explained in meetings and during household interviews. Consider providing copies of the guide to literate members of the community, such as teachers and nurses, who can help make the information more readily and widely available. Or, to ensure informed decision-making, consider engaging a trusted third party such as a university professor or religious leader to explain the key points.

The guide should be a short and concise outline of the step-by-step process of land acquisition and compensation and should be written specifically for directly affected communities, households, and individuals in straightforward language (usually produced in both the local and the dominant language) and provide practical information covering the following:

- Key principles to be followed in the land-acquisition process
- A summary of the land-acquisition and compensation process (schedule of future stakeholder engagement meetings, asset surveys, valuation of assets, negotiations, compensation offers, time to consider offers, legal procedures to follow if negotiations fail, finalization and signing of compensation agreements, payment and compensation of assets—in cash or in-kind—and timing of land take)

[19] While the preparation of a GLAC is not a requirement under PS5, it is an effective tool to support the resettlement plan and communication efforts by the clients.

[20] Examples include Newmont Ghana Gold. 2005. *Guide to Land Acquisition and Compensation for Exploration Activities: Ahafo Gold Project (Ghana)*. https://s24.q4cdn.com/382246808/files/doc_downloads/operations_projects/africa/documents/Guide_to_LACE_Activities_Ahafo_South_Project_0.pdf; Lydian International. 2015. *Amulsar Project, Armenia: Guide for Landowners and Land Users: Land Acquisition and Compensation*. https://www.lydianarmenia.am/images/geoteam_hoghatereri_ughecuyc_2015_eng.pdf; and BP in Azerbaijan. 2015. *Guide to Land Acquisition and Compensation-Azerbaijan,* South Caucasus Pipeline-Expansion Project. https://www.bp.com/Caspian.

Box 3.3. Guide to Land Acquisition and Compensation for the Baku-Tbilisi-Ceyhan Project

The RAP for the Baku-Tbilisi-Ceyhan (BTC) pipeline project consisted of three bulky volumes for the three countries (Azerbaijan, Georgia, and Turkey) traversed by the pipeline, containing extensive, very detailed information, including legal reviews and results of social baseline surveys. Translation of the RAP into local languages would have taken much time, caused costly delays, and would not have been particularly useful at the local affected community level. IFC, however, wanted to ensure that affected persons received relevant land-acquisition information in advance of agreeing to compensation packages.

The proposed solution was for the BTC Pipeline Company to prepare and disclose a practical, concise GLAC for each country in the local languages so that affected landowners and users had the basic information they needed to make an informed decision before any land acquisition took place.

The GLAC consisted of a 15-page document written in nontechnical language targeted at the level of affected households. It contained practical information, such as compensation formulas and rates, a description of successive steps in the assets survey and compensation process, the various documents that affected households need to gather or to sign, what to do in the case of a disagreement, and useful contact information.

The GLAC proved to be extremely useful for local households since it presented the information in a much clearer and simpler form than lengthy, detailed, and complex resettlement plans and did much to clarify compensation issues and avoid misunderstandings.

Many projects, large and small, particularly in the mining and the oil and gas sectors, have since prepared brief GLACs as part of their local disclosure process to affected communities. The BTC project demonstrated that, from the community's perspective, these easy-to-understand guides may prove to be more useful to affected persons than complex RAPs and technical summaries.

Detailed RAPs and technical summaries are nevertheless essential to record such issues as regulatory and policy requirements, relevant baseline data, an analysis of compensation requirements, total extent and cost of compensation, and organizational structures and budgets to implement and monitor land acquisition.

Source: IFC. 2006. *Lessons of Experience: The Baku-Tbilisi-Ceyhan (BTC) Pipeline Project*. Washington, DC: IFC. www.ifc.org/LOE-BTCPipeline.

- Types of land-acquisition or land-use restrictions (permanent versus temporary, purchase versus rent or lease, easement, etc.)
- Compensation framework, including methods for determining full replacement costs, rates, and calculations for specific compensation items (land, built structures, crops, pastures, trees, etc.)
- Livelihood restoration (eligibility, types of assistance and options, process to negotiate an assistance agreement, time to consider, finalization and signing of an agreement, process and schedule to implement)
- Ongoing SE, disclosure of information and participation of affected households and communities during the planning, negotiation and compensation, implementation, monitoring and evaluation process
- A list of documents and agreements required (land-right title if available, lease agreements, tribal authority verification of land rights, powers of attorney for absentees, identification documents, etc.)
- Methods and schedules to be used for compensation payments
- Whom to contact and where in case of queries and issues
- GM (process to raise grievances, appeals against property valuations, available avenues, time for receipt and processing, etc.)
- Recourse to independent mediation (independent ombudsman, courts)

IV.E. Models and Demonstration Resettlement Houses

Reading maps, plans, and drawings is not easy, and information or consultation based solely on such materials may exclude people with lower educational levels. In contrast, the presentation of 3D models to show the proposed layout of a resettlement village, or individual houses and other buildings, is a useful and powerful visual tool that facilitates discussion with local affected communities about the advantages and disadvantages of the proposed layouts and structures. Similarly, another option to consider is the construction of a full-scale demonstration replacement house, which provides affected communities with an example of their new housing and affords them an opportunity to consider and make adjustments to the final design.

IV.F. Site Visits to Other Projects Involving Resettlement

Where feasible, site visits by affected community members or their representatives to other projects that have involved resettlement (if they are nearby or relatively accessible) can provide a good example of the issues involved in physical and economic displacement and an assessment of the measures (positive and negative) that were used to implement relocation. When conducting site visits, ensure that community participants are legitimate representatives of the communities and will provide feedback once they return, and that these site-visit participants have the opportunity to have free conversations with relocatees at the resettlement site.

IV.G. Question and Answer Information Sheets

Q&A information sheets can help allay community concerns and avoid the same questions being raised repeatedly at meetings.

- Prepare Q&A information sheets that specifically address key questions raised in the ongoing SE process, such as project timeline, entitlements, and compensation rates.
- Translate them into the local language (or languages).
- Distribute them widely throughout the affected community (public places such as the local administration offices, library, community center, project information center, and others).
- Where appropriate, use social media as well as radio and television to disseminate this information.
- Make them available to vulnerable groups, especially persons with disabilities, through alternative methods, including verbally and visually.

IV.H. Participatory Appraisal Techniques

Participatory appraisal (PA) techniques provide practical methods of engaging with local communities and enable sharing and analysis of local knowledge. This facilitates local community participation in finding ways to avoid or minimize displacement as a result of project land acquisition, identifying key social and livelihood issues, and considering and selecting options for resettlement and livelihood restoration.

PA techniques have several benefits:

- They are excellent for building good rapport with communities.
- They are often more effective as a general information-gathering exercise with traditional, rural, or semiliterate communities than standard interview and questionnaire survey techniques.

- They are useful in helping local communities identify and present key information and issues and in facilitating a joint analysis of issues and informed decision-making.
- They are also helpful in empowering local communities to take ownership of key findings and the agreed land-acquisition, resettlement, and livelihood restoration plans.
- They can ensure the inclusion of women and vulnerable groups.

However, PA techniques must be used with much caution, since inexperienced application can lead to incomplete and inaccurate information, misinformed decisions, and unforeseen consequences.

Table 3.3 lists PA techniques that can be useful in discussing and eliciting information pertinent to land acquisition.[21]

[21] For more details on PA techniques, refer to IFC. 2014. *A Strategic Approach to Early Stakeholder Engagement: A Good Practice Handbook for Junior Companies in the Extractive Industries*. Washington, DC: IFC, 78. https://commdev.org/wp-content/uploads/2015/06/A-Strategic-Approach-to-Early-Stakeholder-Engagement.pdf.

Table 3.3. Participatory Appraisal Techniques

PA TECHNIQUE	APPLICABILITY	HOW TO USE
Semistructured interviews and focus group discussions	These are qualitative research methods using open-ended discussions with only some predetermined questions and others flowing from the interview; they are useful in eliciting and scoping a range of issues associated with land acquisition and provide an opportunity for meaningful engagement.	Conduct interviews with individuals, key resource persons, households, or interest and focus groups. Prepare a list of key open-ended questions beforehand to initiate and stimulate discussion around the topic(s) to be explored.
Venn diagram	The diagram illustrates key institutions, groups, and individuals in a community and their links and relationships. It is important for understanding local decision-making processes regarding land acquisition.	Use a flip chart to illustrate links and relationships among key institutions, groups, and individuals concerning key land-use aspects within the area occupied by the affected community and to explain their significance and importance.
Participatory mapping and transects	Mapping with different interest groups is useful in identifying the use of natural resources (water, different land qualities, fishing grounds, and soil and vegetation types), as well as presenting land use and land-use rights such as women's use of land; seasonal migration patterns and land use; location of settlements and social groups, including vulnerable households; location of extended families; and other key links within villages, historical and cultural features, sacred sites, and social networks. It can also help stakeholders to understand land conflicts between neighboring communities or different groups (e.g., herders versus farmers). Comprehensive mapping is time consuming but transects can provide an overview at limited cost.	Meet with knowledgeable resource persons and community representatives (both men and women) to identify one or more routes to walk across the area affected by land acquisition and/or the general community territory. Select routes that provide a good view of affected infrastructure, land-use types, and livelihood activities. In the course of the walk, discuss and note key land-acquisition issues, likely impacts, and potential mitigation measures.

(*Table continued on next page*)

Table 3.3. *(Continued)*

PA TECHNIQUE	APPLICABILITY	HOW TO USE
Historical profile	This is particularly useful in some contexts to understand customary land tenure arrangements and aspects related to cultural sites. It may also help the team and the community understand any past issues affecting land acquisition and the current situation in a community.	Meet with knowledgeable resource persons (e.g., community elders and leaders, local government authorities) to compile a historical profile of the affected community. Use a flip chart to allow participants to sketch an outline of past events, links and relationships, and potential historical issues. Use semistructured interviews or focus group discussions.
Time trends	Timelines provide information on changes over time relevant to land acquisition (such as demographic and land-use changes).	Meet with knowledgeable resource persons (e.g., community elders and leaders, local government authorities, representatives of women's groups and vulnerable groups) to identify changes and trends over time (e.g., population and number of households, land-use patterns, settlements, newcomers versus migrants, crop yields, numbers of livestock, etc.). Use a flip chart to allow participants to list changes and rank their importance related to the proposed land-acquisition process. Use semistructured interviews or focus group discussions.
Seasonal calendars	Calendars can illustrate complex seasonal activities in a simple diagram. This facilitates understanding of livelihood activities and optimum times to undertake relocation (e.g., after crop harvests and before the planting season), and it can highlight women's use of time and resources.	Meet with community resource persons and representatives of interest groups affected by seasonal changes (e.g., annual agricultural cycle, forestry, livestock production, fishing). Use semistructured interviews or focus group discussions to identify different seasonal activities. Illustrate on a flip chart which months a particular activity takes place over one calendar year. Discuss and note the implications of these activities for men and women as the activities relate to the land-acquisition process.

(*Table continued on next page*)

Table 3.3. *(Continued)*

PA TECHNIQUE	APPLICABILITY	HOW TO USE
Livelihood analysis diagrams	These facilitate an understanding of livelihood activities, gender roles, behaviors, decisions, and coping strategies of households and communities.	Undertake semistructured interviews with resource persons and a random sample of individual households. Hold focus group discussions with community and livelihood interest group representatives. Use specific and open-ended questions prepared beforehand to guide a discussion to understand livelihood activities and strategies adopted by men and women in the affected community and households.
Preference ranking and scoring	Ranking facilitates a rapid determination of key land-acquisition issues, preferences, and priorities in resettlement planning and implementation.	Undertake focus group discussions with community leaders and interest group representatives to identify a list of potential key land-acquisition issues and list them on a flip chart. Allow each participant to individually rank the issues he or she considers the most important. Score each issue to identify the group's collective ranking of the key issues. Undertake the same process to identify and rank potential mitigation measures, preferences, and priorities related to the land-acquisition and compensation process. Using this technique with separate demographic groups (e.g., adult women, men, adolescent girls, boys) can help identify different needs and concerns based on gender, age, socioeconomic status, and so forth.
Joint group analysis and decision-making	This facilitates participation of community members in resettlement planning and implementation decision-making and builds ownership of outcomes.	Undertake joint discussions between different teams and groups (e.g., project team, government representatives, community leaders, interest groups, and the RAP team). Use preference ranking and scoring to build a consensus on decisions concerning land acquisition and appropriate mitigation and compensation measures.

IV.I. Creative Engagement

Recently there has been a trend to reach community members with more creative approaches, including theater and videos. Some projects have worked with theater groups to act out scenarios from the future land-acquisition process. Street theater can be a lighthearted but informative approach and helps to elicit constructive discussion concerning key issues. Other projects have created videos to indicate what a future resettlement site could look like as well as providing information on the project itself, and have brought these showings to the communities.

V. Key Stakeholder Engagement Activities in the Land Acquisition and Resettlement Process

Consultation concerning resettlement will commence at the scoping stage and continue throughout the land-acquisition and compensation process until a completion audit has been done satisfactorily. Engagement must take place with the affected community, each individual household, specific subgroups within the affected community (such as fisherpeople or businesspersons), host communities, government officials, civil society, and other stakeholders, including women and vulnerable or marginalized groups. If there is a large number of households to be resettled, individual consultation with affected households concerning asset assessments, valuation, and compensation measures is likely to be the most time-consuming aspect of the overall SE process.

The selection of project staff, consultants, NGOs, or local community members to undertake stakeholder engagement activities must be given careful attention to ensure that they have the appropriate knowledge, experience, interpersonal and communication skills, and attitude to successfully liaise with a cross-section of affected stakeholders (refer to Module 6. XIII. The Implementation Team). Key consideration should be given to the characteristics of community liaison officers (CLOs), such as gender and ethnicity. If they are from the local area, assess whether they will be able to liaise with all affected communities and report back accurately without undue influence or whether they are likely to promote their own viewpoints and agendas. Some CLOs can be gatekeepers or not fully represent the concerns and views of communities with whom they interact.

Table 3.4 summarizes the sequence of key SE activities, appropriate methods of engagement and information disclosure reports or documents, and steps and milestones of the land-acquisition, resettlement, and livelihood-restoration planning and implementation process. The scale of SE activities must be appropriate to the scale of the project, land-acquisition requirements, and impacts on affected communities.

Table 3.4. Sequence of Stakeholder Engagement Activities during the Resettlement Process

STAGE OR STEP	ACTIVITIES AND TASKS	KEY STAKEHOLDERS TO ENGAGE	APPROPRIATE ENGAGEMENT METHODS	KEY INFORMATION TO DISCLOSE	KEY DOCUMENTS AND REPORTS
Scoping and risk assessment	Initial consultation with government authorities Preliminary stakeholder identification (affected communities and their leaders, relevant government agencies, local authorities, NGOs/CBOs, women's organizations, organizations servicing the needs of vulnerable groups, local interest groups) First disclosure of potential project footprint, to be managed with utmost caution to mitigate speculation risks Impact and risk assessment Preparation of SE road map for further stages	Project proponents and design team Local government and traditional authorities Community leaders and resource persons Cross-section of households Local NGOs and CBOs Local interest groups, including those representing women and vulnerable or marginalized groups (e.g., youth, agriculture, business, fisherpeople)	Interviews with resource persons Workshops PA techniques	Project purpose and key components; project sponsor information Project Nontechnical Summary (if available) Purpose of scoping (at commencement) and further stages of resettlement planning Project footprint (if available and appropriate) and potential impacts (with all due precautions) SE purpose and proposed arrangements Feedback at end of scoping	*For project use:* SE road map for resettlement planning Scoping report, including refinement of footprint Resettlement Policy Framework

(*Table continued on next page*)

Table 3.4. *(Continued)*

STAGE OR STEP	ACTIVITIES AND TASKS	KEY STAKEHOLDERS TO ENGAGE	APPROPRIATE ENGAGEMENT METHODS	KEY INFORMATION TO DISCLOSE	KEY DOCUMENTS AND REPORTS
Initiation of the resettlement-planning process[a]	Kickstarting the resettlement-planning process Establishment of a diverse resettlement committee Establishment of grievance management committee (especially for long linear projects) Disclosure of project footprint Explanation of community role in avoiding and minimizing speculation Identification of third party trusted by community (if relevant) to help communicate RAP process	Community resettlement committee Affected community and households Central government (and regional, if relevant) Local government and traditional authorities Local NGOs and CBOs Groups representing women Groups representing vulnerable or marginalized people	Public meetings Committee meetings Media announcements Announcement on social media Face-to-face information announcements by community liaison team Announcements by local authorities Notice boards	Same as above Key elements of the planning process, including timing, cutoff, surveys, valuation, and entitlement Associated consultation process, including information on representative committees GM Project contact information Contact information relevant to further information and GM	*For community use:* GLAC, including project contact information and details on GM Leaflets Resettlement newsletter Mobile phone text messages Project footprint (if declaration of cutoff is to follow shortly)

[a] Refer to Module 2, figure 2.1.

(*Table continued on next page*)

Table 3.4. *(Continued)*

STAGE OR STEP	ACTIVITIES AND TASKS	KEY STAKEHOLDERS TO ENGAGE	APPROPRIATE ENGAGEMENT METHODS	KEY INFORMATION TO DISCLOSE	KEY DOCUMENTS AND REPORTS
Cutoff date	Announcement of intent to conduct Rapid Asset Survey prior to establishment of cutoff date Establishment and announcement of cutoff date for eligibility for compensation (assets constructed and crops planted after the cutoff date will not be compensated) Explanation of the legal process backing the declaration of cutoff (such as a Declaration of Public Interest or similar)	Community resettlement committee Affected community and households Central government (and regional, if relevant) Local government and traditional authorities Local NGOs and CBOs Potential newcomers and/or settlers	Community general meeting Committee meetings Media announcements Information announcements by community liaison team and RAP steering committee Local government announcements Notice boards	Cutoff date restrictions GM	*For community use:* GLAC Leaflets Resettlement newsletter

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Table 3.4. *(Continued)*

STAGE OR STEP	ACTIVITIES AND TASKS	KEY STAKEHOLDERS TO ENGAGE	APPROPRIATE ENGAGEMENT METHODS	KEY INFORMATION TO DISCLOSE	KEY DOCUMENTS AND REPORTS
Asset surveys	Survey and quantification of all household and community assets Explanation of legal process if relevant Explanation of GM	Community resettlement committee Local government officials (and possibly central and regional levels, if necessary) Traditional authorities Community leaders Each affected household	Kickoff of community general meeting to explain survey process to all involved Committee meetings Site visits by asset survey teams to the home and land of each affected household to list all assets Site visits by asset survey teams and meetings to list affected public and community assets, infrastructure and resources	Disclosure of final project footprint, including delineation in the field with community representatives Proposed assets survey process (at commencement) Individual asset summary for each household Detailed information on sign-off of asset summary and its implications Public/community asset summary for government officials and local leaders GM	*For community use:* GLAC Leaflets Resettlement newsletter Individual household asset summary Consolidated summary of assets for all households Public/community assets summary *For project use:* Asset Impacts chapter of the RAP

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Table 3.4. *(Continued)*

STAGE OR STEP	ACTIVITIES AND TASKS	KEY STAKEHOLDERS TO ENGAGE	APPROPRIATE ENGAGEMENT METHODS	KEY INFORMATION TO DISCLOSE	KEY DOCUMENTS AND REPORTS
Socioeconomic data collection	Obtaining quantitative and qualitative information on livelihoods Obtaining quantitative and qualitative information on affected community infrastructure, services, natural resources, socioeconomic circumstances, and so forth Obtaining information on risks of GBV Obtaining information on potential compensation preferences (in-kind, in cash, preferred resettlement locations, etc.) Obtaining information on livelihood-restoration preferences	Community resettlement committee Local government departments and agencies Traditional authorities Community leaders and resource persons Affected households NGOs and CBOs Potential host communities Academic organizations Groups representing women Groups representing vulnerable or marginalized people	Committee meetings Interviews with resource persons Qualitative research (PA techniques, focus groups) Household surveys Other quantitative surveys (questionnaires)	Update of above information Purpose of research and surveys (at commencement) Feedback of key findings	*For project use:* Baseline data chapter of the RAP

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Table 3.4. *(Continued)*

STAGE OR STEP	ACTIVITIES AND TASKS	KEY STAKEHOLDERS TO ENGAGE	APPROPRIATE ENGAGEMENT METHODS	KEY INFORMATION TO DISCLOSE	KEY DOCUMENTS AND REPORTS
Resettlement and livelihood-restoration planning	Planning to mitigate and compensate impacts of physical and/or economic displacement Identification of replacement land Identification and selection of potential resettlement sites Design of resettlement houses Identification of a range of livelihood-restoration options	Community resettlement committee Affected community Project planners, designers, and engineers Government agencies and NGOs involved in activities relevant to compensation and resettlement and livelihood restoration and improvement Traditional authorities Community leaders Host communities, if relevant Groups representing women Groups representing vulnerable or marginalized people	Planning workshops Focus group meetings Committee meetings Public meetings Face-to-face meetings with government agencies and NGOs Site visits with community resettlement committee to potential land replacement and resettlement sites and to see model homes Site visits with community resettlement committees to relevant projects	Proposed planning process (at commencement) Proposed entitlements Proposed compensation rates Proposed compensation process List of documents project-affected persons will have to submit to initiate compensation process Proposed resettlement sites and their location and characteristics Proposed site and house design Proposed livelihood-restoration packages Explanations about grievance process Draft RAP for feedback	*For community use:* GLAC Schedule of compensation rates *For project use:* RAP and/or LRP

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Table 3.4. *(Continued)*

STAGE OR STEP	ACTIVITIES AND TASKS	KEY STAKEHOLDERS TO ENGAGE	APPROPRIATE ENGAGEMENT METHODS	KEY INFORMATION TO DISCLOSE	KEY DOCUMENTS AND REPORTS
Livelihood restoration and improvement	Negotiations to agree on livelihood-restoration and -improvement measures at community and household levels	Community resettlement committee Each affected household (husband, wife, and all members contributing to household livelihood activities) Groups representing women Groups representing vulnerable or marginalized people Local livelihood groups (e.g., agriculture, forestry, fisheries, business) Government agencies and donors involved in activities relevant to livelihood restoration and improvement NGOs and microfinance institutions involved in activities relevant to livelihood restoration and improvement	Meetings with community resettlement committee Individual meetings with each affected household by the livelihood-restoration team Meetings and workshops with livelihood interest groups	Details on proposed livelihood-restoration and -improvement packages Ideas on new livelihood opportunities Draft written summary of all agreed livelihood-restoration measures for confirmation by each household (will typically be part of the overall compensation agreement mentioned above)	*For community use:* Signed agreements for each affected household

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Table 3.4. *(Continued)*

STAGE OR STEP	ACTIVITIES AND TASKS	KEY STAKEHOLDERS TO ENGAGE	APPROPRIATE ENGAGEMENT METHODS	KEY INFORMATION TO DISCLOSE	KEY DOCUMENTS AND REPORTS
Compensation negotiation and agreements	Negotiations to agree on compensation entitlements for loss of household and community assets	Community resettlement committee Each affected household (husband, wife, and/or other key family members) Local government and traditional authorities and community leaders responsible for public/community assets Third party experts to support communication of compensation rates and process	Individual meetings by compensation negotiation teams	Asset summary Draft compensation agreement that includes livelihood-restoration measures	*For community use:* Signed agreements for each household Signed agreements by government authorities/community leaders

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Table 3.4. *(Continued)*

STAGE OR STEP	ACTIVITIES AND TASKS	KEY STAKEHOLDERS TO ENGAGE	APPROPRIATE ENGAGEMENT METHODS	KEY INFORMATION TO DISCLOSE	KEY DOCUMENTS AND REPORTS
Implementation of relocation and livelihood-restoration measures	Consultation with affected households to plan and implement staging and timing of movement to new houses/settlements, and staging of harvesting existing crops, preparing new land, and commencing new livelihood activities	Community resettlement committee Each affected household (husband, wife, and other members) Groups representing women Groups representing vulnerable or marginalized people Transportation contractors to relocate households and their assets Livelihood-restoration implementation agencies (e.g., NGOs, CBOs, government departments, rural development organizations) Host communities	Meetings with community resettlement committee Individual meetings with each affected household by the resettlement and livelihood-restoration teams	Timing and staging of physical relocation to new settlement site/houses Details of relocation transportation arrangements, other assistance, and allowances Date by which existing crops must be harvested Details of transitional support to be provided while livelihoods are restored Timing and staging of implementation of replacement livelihoods (e.g., assistance with preparation and planting of new cropland, establishment of new entrepreneurial and business premises, etc.)	*For community use:* Leaflets Resettlement newsletter Mobile phone text messages

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Table 3.4. *(Continued)*

STAGE OR STEP	ACTIVITIES AND TASKS	KEY STAKEHOLDERS TO ENGAGE	APPROPRIATE ENGAGEMENT METHODS	KEY INFORMATION TO DISCLOSE	KEY DOCUMENTS AND REPORTS
Monitoring	Internal project and external independent monitoring of the land-acquisition and resettlement process	Community resettlement committee Sample of affected households Groups representing women Groups representing vulnerable or marginalized people Host communities if relevant Local government officials and traditional and community leaders Resource individuals (key informants)	Participatory monitoring techniques Perception research Quantitative surveys and qualitative research, with focus on livelihoods and consistent with the baseline surveys to allow for comparisons	Feedback of key findings to project management and RAP implementation teams Feedback to government, if applicable Feedback to community resettlement committee Feedback to entire affected community Any corrective actions	*For community and project use:* Publicly disclosed monitoring reports *For project use:* Corrective Action Plan Internal monitoring reports

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Table 3.4. *(Continued)*

STAGE OR STEP	ACTIVITIES AND TASKS	KEY STAKEHOLDERS TO ENGAGE	APPROPRIATE ENGAGEMENT METHODS	KEY INFORMATION TO DISCLOSE	KEY DOCUMENTS AND REPORTS
Completion audit	Independent audit to assess completion of RAP or LRP commitments, including assessment of status of livelihoods	Random sample of affected households Groups representing women Groups representing vulnerable or marginalized people Local government officials and traditional and community leaders Resource persons	Quantitative surveys and qualitative research Focus group discussions Interviews with resource persons	Feedback of key findings to project management and RAP implementation teams Feedback to government, if applicable Feedback to community resettlement committee Feedback to whole affected community Any corrective actions	*For community and project use:* Publicly disclosed Completion Audit Report

VI. Engaging with Specific Stakeholder Groups

The previous sections provided general guidance on stakeholder engagement with communities. The following sections provide guidance on engagement with specific groups that may require special consideration or a unique approach.

VI.A. Government

It is necessary to engage effectively with the government in land acquisition and resettlement, even where the process is handled through a private-sector project. Government authorities should initially be engaged in the scoping stage, especially in the case of government-led resettlement (refer to Module 1. III.C. Understanding the Role of the Government). Those typically involved are mayors and district heads at the local level and appropriate regional heads and national departmental heads, and those with a say in expropriation, land tenure, and the oversight and permitting of the project. There are two main aspects of engagement with government authorities: (i) the project establishing a relationship of trust with the range of government officials (national, regional, local, etc.) and disclosing information and soliciting feedback, and (ii) supporting the government in undertaking resettlement-related activities (e.g., convening public consultation forums, establishing cutoff dates).

VI.A.i. National legal and regulatory requirements

Government requirements for SE and disclosure concerning land acquisition should be ascertained at an early stage. These requirements may be provided in the overall project SEP but will typically have to be understood in more detail for the purpose of land acquisition. Local laws may require specific SE and disclosure activities with regard to the following stages of the land-acquisition and resettlement process:

- The ESIA
- Spatial planning or zoning amendments for specific types of land use possibly needed for the project
- Delineation of the footprint and declaration of public interest of this footprint (if applicable)
- Asset surveys
- Expropriation

In addition to these mandatory government procedures, government typically provides input in the following decisions:

- Compensation and valuation policy and rates
- Requirements for grievance resolution
- Selection of resettlement sites and titling
- Community infrastructure at resettlement site (access, education, sanitation, water, power, health, and public transport) and staffing of schools and health centers
- Transfer of responsibility from project sponsor to communities or local authorities for resettlement sites

Finally, it is important to discuss SE with the government, particularly the following:

- *Approvals:* as needed from national, regional, and local authorities to undertake SE and disclose information
- *Types of SE:* location and format of public hearings, disclosure periods, and means of disclosure of information
- *Scheduling of SE activities:* such as specific steps for initial stakeholder identification, notices required to advertise meetings, disclosure of information, studies and surveys, planning, and so forth
- *Timing of formal public hearings:* especially those related to land acquisition, in addition to the regulatory requirements for disclosure of the project ESIA and spatial planning and zoning updates that the project may entail
- *Documents to disclose:* such as footprint maps, amended spatial planning documents, cutoff date, ESIA, RAP and/or LRP, GLAC, monitoring reports, and so forth
- *Establishment of cutoff dates:* as this typically involves government officials

VI.A.ii. Key steps in engaging the government

- Identify government stakeholders, including individuals and relevant government departments and agencies at the national, regional, and local levels. Ascertain their functions, relevance to project land acquisition, and levels of influence and support. Tailor SE activities accordingly.
- Engage with government leaders and representatives early and agree on a process of ongoing interaction (who, how often, where, when, and how). Regular scheduled meetings of a steering committee are a practical way to achieve this.
- Work with government representatives to ascertain whether additional resources and capacity building of government officials are required to

address SE, land acquisition, and resettlement. There could be a need for CLOs, resettlement-planning education and training workshops, gender training, and guidance notes.

- Agree on the respective roles of the government and the project team in public consultation, including shared responsibilities with government agencies, how the project will participate, and how the shared responsibilities will be managed. Make sure government officials are comfortable with the proposed strategies and activities so there are no subsequent objections. Clarify which activities government representatives want to participate in and which will be left to the project to organize.
- Consider establishing a joint steering committee with representation by government and the project (and possibly affected community representatives) to provide overall guidance on SE and implementation of the land-acquisition process and/or of a joint working group to facilitate implementation of SE and the RAP (see table 3.5 and box 3.4). Typically, the steering committee involves regional or district-level government officials as well as project and community representatives and focuses on strategic decisions, while working groups include community members, members of the resettlement committees and other interest groups, and department-level government officials and focuses on technical decisions and day-to-day activities.

Table 3.5. Typical Composition and Scope of a Steering Committee and Working Group

	STEERING COMMITTEE, STRATEGIC LEVEL	WORKING GROUP, TECHNICAL LEVEL
Composition	Regional or district administrator Community leaders (e.g., mayor, traditional chief or head) Project manager Project community liaison manager Head of resettlement-planning and implementation team	Community liaison team Key community interest group representatives Representatives of the community resettlement committee Resettlement implementation team Gender team Key project personnel (e.g., project implementation managers, planners, designers, engineers) Key government department officials (e.g., local government, land affairs, housing, agriculture, education, health, transportation)
Scope	Provide strategic guidance on resettlement planning. Facilitate access to and permitting of resettlement sites. Facilitate engagement in case of conflict with communities. Provide guidance on compliance with national law. Discuss gaps in legislation against international standards and how they can be bridged. Validate the entitlement strategy. Facilitate staffing of community infrastructure such as schools and health centers. Facilitate cooperation and coordination of relevant government departments (public roads, education, health, etc.).	Discuss and agree on methodologies for the different surveys, particularly asset surveys (and participate in their implementation in the field as appropriate). Participate in the selection of resettlement sites and design of housing and provide inputs into technical studies. Discuss and agree on valuation methods and calculation of compensation rates. Discuss and agree on details of entitlements for all categories of losses. Provide technical advice to ensure the resettlement process includes gender considerations throughout. Provide technical standards for development of resettlement sites and housing.

(*Table continued on next page*)

Table 3.5. (*Continued*)

	STEERING COMMITTEE, STRATEGIC LEVEL	WORKING GROUP, TECHNICAL LEVEL
Scope (*continued*)	Address recurrent grievances and sensitive cases. Address security issues that may be raised by the resettlement process. Streamline titling of replacement land. Ensure that different government departments are aligned around the resettlement-planning and implementation process. Validate the RAP and/or LRP.	Discuss and formulate the handover process of resettlement sites. Discuss and agree on livelihood-restoration activities. Discuss and agree on details of implementation arrangements and participate in implementation as appropriate. Discuss and agree on capacity-building measures needed for government agencies and community representatives.

Box 3.4. Government Steering Committee and Working Group

A project in Central Asia had to relocate two villages when its mandatory buffer zone was extended. While the private operator of the project was responsible for the implementation of the resettlement, the government was closely involved, as it would ultimately pay for the resettlement cost as part of the cost-recovery agreement for the project.

A steering committee and a technical working group were established in the early phases of resettlement planning to manage government-project interaction. The steering committee consisted of senior government officials at the vice minister or similar level, representatives of the regional and district administration, and project representatives. The steering committee provided guidance to the implementation team and working group and reviewed specific issues, such as the following:

- Location of resettlement sites and resettlement principles
- Public consultation and disclosure principles
- Entitlement strategy, particularly where proposed full replacement-cost compensation exceeded normal local compensation rates
- Timeline and budget of the resettlement and fund-channeling mechanisms

The working group, chaired by the district head, consisted of district officers and project officers who reviewed issues such as the following:

- Design of resettlement sites and apartments or houses
- Public consultation and disclosure
- Recurrent grievances
- Contracting arrangements and timelines

VI.A.iii. Building strong engagement with government authorities

Encourage government authorities to adopt an inclusive and participative approach to SE. In cases where participation by affected communities is limited, engage early with government officials at a senior level to build awareness of the importance of comprehensive SE:

- Hold discussions with government officials in a safe environment where views can be exchanged in confidence, openly, and honestly.
- Do not place officials at risk of possible reprisals for views expressed.
- Discuss the risks of not undertaking a thorough engagement process with all affected stakeholders and provide examples of poor engagement that have led to difficulties in project land acquisition and resettlement.
- Focus on practical and nonthreatening approaches to address issues and consider including workshops with government officials and community leaders.
- Consider holding a joint open day with government officials at a center within the affected community to explain the overall land-acquisition process.

> Holding some initial joint discussions with government officials and affected community leaders, with input by a skilled independent facilitator, can help to break the ice and build support for a comprehensive engagement process with all stakeholders.

VI.B. Community Representatives

SE usually requires interaction with representatives of the affected communities, including community leaders, traditional authorities, elected politicians, and CBOs, often initially at the scoping stage. Engagement with such representatives should not replace direct interaction with the affected communities and with each affected household and individual. It is necessary that these representatives are kept informed throughout the land-acquisition and resettlement process—from the early stages. It is important to keep the following in mind:

- In spite of seemingly strong common roots and shared values, rural communities in emerging economies are often divided and may lack adequate leadership and organizational structures needed to achieve inclusive consensus and decisions.
- Urban and suburban communities may be even more divided, with no traditional social cohesion.

- Local government officials and elected representatives, such as members of parliament or counsellors, may have different priorities from those of affected communities.
- CBOs may also have their own interests and represent only some of the affected stakeholders.
- Representation and decision-making power within communities may not reflect the diversity of the people in the communities. Women and vulnerable groups may be especially underrepresented.

Table 3.6 lists some key issues of representation and leadership of affected communities to consider and address in the land-acquisition process.

Table 3.6. Representation and Leadership of Affected Communities

WHEN DEALING WITH	VERIFY
Community and traditional leaders and local government representatives	• The legitimacy and constituency of community and traditional leaders and representatives early on and their consultation with constituents using a participative and inclusive process (namely, that all vulnerable and marginalized groups are included in consultation—such as women, youth, ethnic minorities, and informal land users) • That they genuinely represent the views of the overall affected community and various subgroups and not solely their own particular interests • That they understand the importance and benefits of gender equality • That government officials, community leaders, and representatives fully and accurately convey information and the results of consultation to their constituents If these cannot be verified, build awareness and the capacity of community and traditional leaders to engage effectively with affected constituents: for example, training in participative processes, provision of support documents such as the GLAC, and use of participatory techniques. (Refer to section IV. Engagement Methods and Tools of this module.)
Civil society (CBOs, NGOs, and advocacy groups)	• That organizations' claims of representing the affected community are correct and that they have established local constituents and legitimacy • That groups do not advocate solely their own interests and do genuinely consider the interests of those they represent • That they convey results of consultation to their constituents and genuinely consult with them • That they are able to convey sensitive information in ethical and accurate ways

An assessment of the legitimacy of individuals and groups who claim to represent affected communities can be difficult and tricky to navigate if there are complex local authority structures and differential power relationships, particularly where there is discrimination and vulnerable groups are marginalized. Some community members may not accept these representatives, or representatives may lose the support of those they claim to represent over time. In this regard, ensure that the views of a comprehensive cross-section of the community are obtained and seek the advice of those who know the community very well and may be able to provide a more independent viewpoint, such as teachers, nurses, and agricultural extension officers.

Consultation with traditional authorities is critical in project areas where land is communally held and authorities preside over traditional ceremonial roles and the allocation of land in their areas of jurisdiction. Often, they have local influence, provide permission for engagement with community members, and are able to influence a project's social license to operate. Building trust and maintaining good relationships will form an important part of the stakeholder engagement process.

It is advisable to have regular meetings and focus group discussions with traditional authorities. Before undertaking these meetings, ensure that the consultation team is well informed about traditional practices when meeting with traditional authorities. When dealing with traditional authorities, the following should be verified:

- Land tenure and land allocation arrangements
- Traditional boundaries and areas of jurisdiction
- Different affected communities and groups in the project area
- Sacred sites and customary practices that need to be observed and respected
- Methods for consultation, including venues, notices, and procedures to be followed (such as invitation letters and posters)

VI.C. Affected Communities and Households

The typical sequence of engagement with affected communities is as follows (see also table 3.4 for more details):

- *Scoping:* It is often at the scoping stage that the issue of potential land acquisition is disclosed to the community for the first time, and this disclosure must be prepared for and managed with the utmost caution to avoid misunderstandings, rumors, and speculation.
- *Initial planning:* At the inception of the planning stage, there will typically be another round of information and consultation with community leaders and representatives. It is often at this stage that the precise footprint is disclosed for the first time, which should not happen too early before the cutoff date is declared in order to minimize the potential for speculation.

- *Planning:* It is important to consult with the community in its entirety during the planning stage on issues such as compensation rates, selection of resettlement sites, design of housing, livelihood restoration, and so forth, culminating in an agreement with the community (usually represented by its resettlement committee) on entitlements. This is usually the stage where the RAP or LRP is finalized to reflect this engagement process and the overall agreement at the community level, which does not necessarily imply that every household agrees to their specific compensation package. It may be necessary at this stage to meet with individual households to discuss resettlement house design or livelihood-restoration measures.
- *Baseline surveys:* This process starts with community and committee meetings to explain the process and can include the range of tools described in section IV. Engagement Methods and Tools of this module. The surveys, however, are typically conducted at a household level.
- *Negotiation and implementation:* Negotiations are held with each directly affected household, commencing with planning, and are sanctioned by the final agreement of the household to its individual compensation package, addressing both physical relocation and livelihood restoration where applicable.
- *Monitoring:* This process of engagement with affected communities should commence early on during planning but is particularly important during the implementation phase when unforeseen issues and grievances are most likely to arise and must be identified in order to implement any necessary corrective actions (see Module 7. Monitoring).
- *Completion audit:* The process of interaction with the affected community by an independent auditor after the implementation phase is particularly important to identify whether there are any outstanding issues that still need to be addressed and to be able to confirm if the land-acquisition process has been completed satisfactorily.

The following are key factors for successful engagement with affected communities:

- Listen to advice and suggestions from community and local government representatives. Ask how they want to be consulted, including who, how often, where, and by what methods they would like to receive information and provide feedback.
- Ask and work with community leaders and representatives to determine how information concerning land acquisition will be passed on to the affected and host communities.
- Usually, unless the political or social context does not allow public meetings (see section IV.B. Community Meetings of this module) that are open to all parties, with adequate notice given beforehand such meetings are a useful means of initially informing the community. More specific consultation will

pass through the resettlement committee (see section IV.A. Committees of this module). Focus groups should be considered to enable affected persons, particularly the marginalized or vulnerable, to be able to attend and express their views (see section IV.C. Focus Groups of this module). Periodic public meetings should be held for transparency.

- Where there are constraints on holding general public meetings (e.g., for security, social, or political reasons), work with community leaders to ascertain alternative methods to disclose land-acquisition information and discuss issues with affected households. Smaller individual meetings or workshops with different interest groups (men, women, vulnerable people, religious minorities, informal settlers, etc.) can be helpful in this case. In some situations, women may not be permitted to attend public meetings outside their own home, and even smaller meetings may need to be considered.
- Consider what information needs to be disclosed in conjunction with community leaders and representatives, such as notice of baseline and asset surveys, cutoff date, compensation assessments, and relocation implementation (refer to section VIII. Communication and Information Disclosure of this module).
- Give attention to building the capacity of everybody in affected households to do the following:
  - Fully understand land-acquisition impacts
  - Participate meaningfully in the relocation planning process
  - Understand and be able to negotiate compensation and mitigation measures for their lost assets
- Capacity-building measures can include the following:
  - Conducting training workshops to explain the land-acquisition and compensation process, particularly the legal aspects. This could include a presentation of films as well as play acting to illustrate roles and responsibilities. These can be especially effective in engaging and informing communities with low literacy levels.
  - Making simple guides available, such as a GLAC (refer to section IV.D. Guide to Land Acquisition and Compensation for Disclosure of this module)
  - Arranging visits by community representatives and households to similar completed land-acquisition and resettlement projects, where feasible
  - Commissioning NGOs (where these organizations have the required technical abilities) and/or independent legal advisers and valuers to provide neutral advice to communities and individual households and to facilitate mutually agreed compensation measures with the project

- Ensure that communication channels with affected households and community social networks are maintained after relocation. A disruption of communication channels and networks (often involving women's groups and other vulnerable or marginalized groups) can lead to social isolation and consequent loss of support for the project and resettlement process.

VI.D. Vulnerable Groups

PS1 requires that the SEP include differentiated measures to allow consultation with, and effective participation by, disadvantaged and vulnerable groups and individuals (PS1, paragraph 27). Such vulnerable groups can include, but are not limited to, women; the elderly; youth; physically and mentally disabled and chronically ill persons; extremely poor households; informal settlers or squatters; marginalized minority groups; lesbian, gay, bisexual, transgender, and intersex individuals; and refugees, among others. Indigenous peoples that depend on natural resources are often especially vulnerable to the impacts of land acquisition and changes in land-use systems. Such vulnerable groups may be more likely to be adversely affected by project impacts and may be more limited in their ability to take advantage of a project's benefits. Inclusive SE is required regardless of characteristics of people (age, gender, gender identity and sexual orientation, religion, race, ethnicity, tribe, caste, indigenous status and/or dependence on unique natural resources, political affiliation, socioeconomic, civic and health status, etc.).

Vulnerable groups are often subject to discrimination and may be reluctant to self-identify or express their views and concerns openly. In some countries some vulnerable groups or individuals are considered illegal (e.g., the lesbian, gay, bisexual, transgender, and intersex communities; squatters or informal settlers; artisanal miners; fisherpeople; etc.), or there may be inadequate or nonexistent national laws and regulations for their protection (e.g., internally displaced communities and refugees). Such an individual or group is more likely to be excluded from, or unable to participate fully in, the mainstream consultation process and therefore may require specific measures and/or assistance to participate in consultation.

The following are key aspects of engagement with vulnerable groups:

- Meet with government officials, community leaders, civil society organizations (CSOs), women's groups, indigenous people's representatives, and other resource persons to identify and map vulnerable groups, households, and individuals.
- Identify any local "champions" who provide support to vulnerable groups and are willing to facilitate engagement with project-affected groups.
- Hold separate meetings or focus group discussions with vulnerable group leaders, representatives, and resource persons.

- Make special arrangements (meeting place, time, safety, translators, facilitation, childcare, elder care, etc.) where necessary to enable vulnerable groups to participate meaningfully.
- Ensure that people with disabilities are provided with support, if required, to express their views on an equal basis with others and ensure that their views are not overridden by the decisions of others, such as family members and other relatives. Such measures could include working to overcome obstacles such as illiteracy and restricted freedom of movement.
- Ensure that vulnerable groups and individuals are not put at risk of reprisal.
- Do not put people at risk in discussion groups by probing their concerns when it is clear that they are reluctant to provide a full explanation openly. Freedom of expression is often a highly politicized issue and there can be contextual risks at local, regional, or national levels. Rather, seek to gain insight into the concerns of vulnerable groups through separate, confidential, individual interviews with resource persons.

VI.E. Host Communities

Early engagement with potential host communities is important in cases where there is no alternative but to seek resettlement sites for project-affected households among other, usually neighboring, communities. Consultations with host communities should come early in the resettlement-planning process. It should never be assumed that displaced households will be readily accommodated in host communities without proper consultation.

Preliminary engagement with host communities should be undertaken with caution in the scoping and baseline survey stages so as not to raise expectations or unfounded concerns about the possible settlement of newcomers. Detailed engagement with host communities should be undertaken only once it has been established that the host community is likely to be willing to accept newcomers and that the resettlement site is generally suitable and acceptable to the displaced community.

The following are key aspects of engagement with host communities:

- Engage with host community leaders and representatives early and ask how they want to be consulted.
- Consider the establishment of a host community committee (refer to section IV.A. Committees of this module), representative of relevant interest groups in the host community, to advise on issues concerning the relocation of newcomers.
- Share information transparently and regularly with the host community (including how many resettlers will relocate and when) throughout the land-acquisition planning and implementation process. Discuss acquisition of land for the resettlement site with them, including any compensation issues.

- Assess likely impacts of resettling newcomers within the host community with host community members and identify suitable measures to mitigate negative impacts and enhance positive impacts.
- Work with host community representatives to identify where newcomers could be accommodated in their area and plan resettlement sites accordingly.
- Work with host community representatives and planning specialists to assess and determine to what extent infrastructure, facilities, and services (such as health and education) might need to be created, improved, or expanded to accommodate resettlers and if any other mitigation measures will need to be planned and implemented.
- Ask how newcomers will be accepted (especially if they belong to different cultural, ethnic, religious, tribal, or political groups) and work with host community representatives to identify and implement measures to facilitate integration.
- Facilitate coordination and interaction between host communities and resettlers to determine how and when newcomers will be incorporated into local social and organizational structures.

To help the host community accept, adapt to, and integrate newcomers, the project should consider enhancing mitigation measures (such as the provision of infrastructure and facilities to serve resettlers) so that they will also benefit the wider local population. Implementation of a community development project that would benefit both displaced households and the host community is good practice that will help build and maintain a sustainable social license to operate. Box 3.5 provides an example of mitigation measures implemented to facilitate the integration of newcomers with a host community.

Box 3.5. Example of Planned Mitigation Measures to Integrate Newcomers with a Host Community

A small village had to be relocated to enable the development of a gold mine in West Africa. The nearby main village was willing to make land available to resettle households from the smaller village, but the host community and the mine developers were concerned about the potential for a large influx of migrants seeking work on the mine, as an uncontrolled influx of migrants had taken place at a nearby mine.

In order to avoid similar potential uncontrolled settlement and poor integration of newcomers, the leaders and representatives of both villages and the mine met to select the resettlement site for the new village and also to select a separate suitable site for settlement of the expected influx of migrants. The mine constructed new houses and facilities for the resettlers. Residential plots were surveyed and demarcated, and roads and water supply points constructed at the selected site to accommodate in-migrants. A provision was also made for other facilities, such as a marketplace and health and educational facilities to be built at a central location and crossroads to serve the host community, the resettlers, and the in-migrants.

This process of consultation and participatory planning contributed significantly to the subsequent successful planned settlement and integration of the two different groups of newcomers and the host community.

VI.F. Civil Society

Local CBOs, NGOs, and other CSOs such as religious organizations and universities often can play a positive role in protecting the interests of affected households and communities, highlighting potential issues and challenges that need to be addressed, and monitoring resettlement planning and implementation.

A constructive engagement with CSOs can contribute positively to a successful outcome of the resettlement process. Proactive steps should be taken to avoid conflict with these organizations, since conflict can lead to disruption of the resettlement process, project delays, a loss of trust and social license to operate, and the need for additional resources, staff, and inputs (including by senior project management) to address and resolve perceived issues. However, the potential for disagreement and conflict has often resulted in both the private sector and the government being reluctant to engage with civil society, which in turn could result in misunderstandings and poor interaction with the project.

Regardless of the cause of any opposition to the project, experience has shown that it is better to engage with civil society and advocacy groups, attempt to build constructive relationships, and focus on working together to resolve challenges.

The following are key aspects of engagement with civil society:

- Proactively engage with civil society leaders and representatives early (refer to Module 1. III.E. Engaging with Stakeholders).
- Assess each CSO in terms of its actual representation of, and legitimacy in, the affected community and its agenda, approach, and ability to influence the outcome of the land-acquisition process and prioritize ongoing engagement accordingly.
- Ask how they want to be consulted and provide feedback (e.g., via meetings with project representatives or written memos) and agree on methods and approach.
- Share information concerning the project, its impacts, and land acquisition, transparently and regularly (e.g., hold quarterly meetings and provide progress and monitoring reports).
- Ensure that concerned CSOs have access to updated project information and are informed of public consultation meetings and other SE activities.
- Listen to the views of CSOs, discuss issues and challenges openly, and carefully consider their suggestions in the land-acquisition planning and implementation process.
- Ensure that any agreements or commitments made with CSOs are recorded in an MoU, followed up, and consistently applied.
- Consider involving CSOs, with whom a trust relationship has been established, in aspects of resettlement baseline and asset surveys, planning, implementation, monitoring where feasible, and communicating project risks, benefits, and entitlements.
- Consider involving CSOs in community capacity building (legal aspects of land acquisition) and in grievance management (potential grievance review and mediation role).
- Consider involving CSOs, with whom a trust relationship has been established, to explore gender issues and gender risks, especially GBV, in resettlement baseline and asset surveys, planning, implementation, and monitoring where feasible.
- Issue regular updates on implementation of the SEP and RAP, including the current status of the GM: for example, the number of grievances received, those resolved or outstanding, key issues and types of grievances, and average time for resolution.

If the project demonstrates good-faith efforts to engage CSOs and advocacy groups, in the event that they nevertheless remain opposed to the project, they will have fewer reasons to criticize the project and less ability to negatively influence affected communities and potentially cause misunderstandings and conflict.

VI.G. Internal Project Engagement

VI.G.i. Organization

It is essential that the RAP team has access to senior project management and also clear and efficient communication channels to other project teams. It can be very effective to create a joint coordination team within the project for interaction among the different units, including the RAP team; project management; and planning, design, engineering, construction, environmental, social, and communication teams. It is typical for there to be tension between the project construction team and the RAP team. Early engagement to explain the RAP policies and constraints can relieve tension and help with coordinating resettlement implementation activities.

The key objectives of the joint coordination team should include the following:

- Informing and building awareness among project management and teams about key land-acquisition issues, time frames, challenges, and complexities
- Building consensus on strategies and approaches to achieve successful SE, land acquisition, and resettlement
- Achieving timely and consistent decisions concerning land acquisition supported by overall project management
- Ensuring efficient coordination among various project implementation teams (especially between the team implementing the development project and the team implementing the RAP)
- Avoiding mixed messages to affected communities, which could result in speculation, unfounded rumors, and potential disruption and project delays

VI.G.ii. Internal engagement activities

The following are key activities of internal project engagement:

- Engage with senior project management early, especially once the Resettlement Policy Framework and the Scoping Report and Work Plan (refer to Module 1. III.L. Work Plan for Land Acquisition and Resettlement Planning) have been drafted, to discuss and obtain agreement on the strategic approach to land acquisition, resources required, organizational structure (such as a joint coordination team), responsibilities, timing, coordination, and communication channels.
- Establish the joint coordination team with the project team manager as chair and the RAP team manager as vice-chair, to ensure that authority is given to decisions taken.
- Schedule regular meetings of the joint coordination team to address land-acquisition issues as they arise (weekly or fortnightly, especially during

planning, asset surveys, compensation negotiations, and RAP implementation, when key issues will need to be decided in a timely manner). The meetings should be short and focused on achieving agreement and decisions on specific issues and coordination among teams.

- Compile a record and register of decisions and commitments to communities to ensure that they are fully addressed (e.g., early commitments made by exploration teams must be followed through as appropriate to land-acquisition planning and implementation).
- Ensure that key lessons learned by the project and RAP teams are captured in monitoring and evaluation reports so that experience and the institutional memory of the land-acquisition process are not lost over time. This will enable any specific issues or grievances raised by the affected community at a later date to be addressed based on accurate historical land-acquisition information and decisions made. This is important because project implementation and operational teams are often substantially different.

VI.G.iii. Engagement with employees

Engagement with employees to inform them about land-acquisition and resettlement plans and SEPs is important, especially if they are from the local community. It is certain that local employees will be asked by other community members about what they know concerning the project, land acquisition, and compensation measures. It is better that they be kept informed and have the correct information to prevent the spread of unfounded rumors and potential misunderstandings. This can be achieved by holding brief awareness-building meetings, making the GLAC available to employees, and regularly providing key information, such as the cutoff date for compensation, notice of community meetings, or major land-acquisition events, and so forth. Local employees with reliable information and a positive attitude can be ambassadors for the project and contribute significantly to building trust relationships.

Care must be taken that there are no leaks of confidential data (such as individual compensation records) or information and plans that have yet to be agreed on and finalized. It is critical that affected persons' personal data be safeguarded. The release of preliminary draft project footprint plans can lead to speculative land acquisition, building construction, and increased crop cultivation.

VI.G.iv. Engagement with contractors

It is important for the project to engage and coordinate with contractors. Communities identify contractors with the project. Contractors should be fully aware of the project's land-acquisition policy, objectives, and SEP, RAP, and LRP requirements. The project should establish appropriate contractor control

measures (e.g., as part of contractor management plans). For more information see IFC's "Good Practice Note: Managing Contractors' Environmental and Social Performance."[22]

This is all the more important where contractors are involved in land acquisition themselves, for example, in regard to temporary construction camps, access roads, quarries or borrow pits, and so forth (see Module 6. XII.E. Land Acquisition by Contractors). Contractors must be instructed to comply strictly with project SE and compensation policies and be monitored to avoid any violations of such policies.

It is important to liaise and coordinate with contractors and construction managers about implementation of housing designs selected by households, construction schedules, and so forth. Contractors are often constrained by budgets and time schedules and may give only minimal attention to coordination with the RAP team and SE with affected land-right holders. This can result in conflicts and project delays: for example, if contractors start to enter and clear land before compensation has been finalized and/or they make promises to affected communities that are not fulfilled.

VI.H. Other Stakeholders

Various stakeholders who are affected by project land acquisition or restrictions to land or natural resources may not be permanent residents in the project area. Such stakeholders may include the following:

- Nomadic herders and pastoralists
- Seasonal fisherpeople, hunters, and gatherers of food and herbal and medicinal plants
- Canoeists and river rafters
- Visitors and worshippers to sacred sites, ancestral graves and shrines, and cultural heritage sites
- Transactional sex workers

Since members of these groups are often seasonal or temporary visitors, they present a challenge to SE.

Such groups should be identified at the scoping stage during the initial stakeholder mapping, and it should be ascertained when they are likely to visit the area and use local resources and who may be able to represent them and their interests (e.g., resource persons, tourist agencies, associations, clubs). The SEP should further be tailored to ensure that these groups are engaged when they

[22] IFC. 2017. *Good Practice Note: Managing Contractors' Environmental and Social Performance*. Washington, DC: IFC. www.ifc.org/ESContractorManagement.

visit the project-affected area. If these stakeholders (e.g., seasonal herders and fisherpeople) normally live in distant areas, consider whether it is feasible to visit them in locations away from the project site or contact them through associations or interest groups. Some of these groups can be influential and vocal, and therefore it is in the interest of the project to ensure that they are not excluded from the SE process.

VII. Stakeholder Engagement Records

The establishment of an appropriate, practical, and simple system to record all SE activities is extremely important and should commence at the scoping stage. SE activities to be documented may include presentations, minutes of meetings, decisions and follow-up actions, workshops, focus group discussions, interaction with households and key individuals, and so forth. At the outset, a simple log should be established to track who was engaged, topics and issues discussed, agreements and commitments, responsibility for follow-up actions, and a timeline (see table 3.7).

More sophisticated methods of maintaining records will usually be needed once interaction with stakeholders becomes more intensive and extensive: for example, consultations about household asset surveys, resettlement-planning consultations, individual compensation agreements, and livelihood-restoration measures. These methods could include centralized engagement and commitment registers, grievance logs, a database, and information management systems (possibly with a link to a project geographic information system [GIS]). There are off-the-shelf software solutions available for such purposes, sometimes with full integration with the compensation management systems:

- The engagement register should include a summary of stakeholder comments, concerns, and grievances and agreed follow-up actions and responses.
- Records of community or interest group meetings should also be available in the local language, include an attendance sheet, and be signed off by a recognized community representative(s) and a member of the project stakeholder engagement team.
- The commitments register should maintain a record of all commitments made to stakeholders and enable tracking of follow-up actions and fulfillment of commitments.

It is also important to record acceptance and support of the RAP by local, regional, and national government authorities; local community leaders (including local traditional or tribal leaders, as appropriate); and/or resettlement committees. This may be in the form of a sign-off by the head of the government authority (e.g., district administrator) and local community leaders and resettlement

Table 3.7. Sample Stakeholder Engagement Log

DATE/ PLACE	STAFF	ATTENDEES	MEETING SUMMARY	FOLLOW-UP
July 1, 2020 San Juan village	E. Rodriguez H. Asuncion	20 villagers, village leaders	Concern was expressed about the proposed access road and vehicle speed when approaching the new resettlement site.	Engineers, RAP, and community relations teams will return next week to discuss options for the access road and to slow down vehicles.
July 30, 2020 El Rincón	B. Blasques	Mayor of El Rincón	More information was requested about how construction jobs on the resettlement site will be allocated.	Job announcements will be posted in mayor's office (as well as village community center).
August 15, 2020 La Serena Village	E. Rodriguez H. Asuncion	20 women from the villages of La Serena and San Juan	The women expressed concern that the river where they wash clothing is so muddy, they can't wash clothes. They believe it's rainfall runoff from the resettlement construction site.	The RAP community relations team and construction engineers will visit the resettlement site and river with the women and assess the situation.
August 25, 2020 Project office	E. Rodriguez H. Asuncion	Six village leaders (San Juan, La Capilla, El Rincón, La Serena, Escondido, Los Altos)	Scheduled meeting with village leaders to present the results of the community GM and to discuss resettlement construction schedule.	Provide meeting notes to the village leaders.

committee representatives. The proposed RAP and its provisions should also be presented at a public event attended by affected land-right holders to confirm that there is recognition of its overall acceptance and not just by local leaders.

Regular feedback to communities (e.g., monthly, quarterly, or biannually, as appropriate) should be provided to summarize progress with the RAP implementation process, management of grievances, and so forth, commensurate with the level of interaction taking place. For affected communities with low literacy skills, public or interest group meetings should be held to convey feedback and enable questions and answers. A common pitfall in RAP implementation occurs when requests, verbal commitments, or expressions of concern are not followed up by the project. Keeping good records and ensuring follow-up can prevent this. Progress reports and feedback are particularly important for internal project management and external stakeholders. Refer to section VIII. Communication and Information Disclosure of this module for more details on the information disclosure process.

Record keeping and documentation of consultation activities and acceptance of the RAP will facilitate the management of the overall land-acquisition SE process. It will also serve to protect the project from unfounded claims: for example, that particular groups were not engaged, consultation was inadequate, or affected households were not fully informed about the RAP and agreed mitigation and compensation measures.

The SE record will also be important for monitoring and evaluation (internal and external) and for an eventual completion audit of the land-acquisition, resettlement, and livelihood-restoration process.

Table 3.7 provides a basic sample stakeholder engagement log.

VIII. Communication and Information Disclosure

There is increasing recognition of the strategic importance of engagement with stakeholders and the communication and disclosure of information, particularly regarding significant impacts to local communities, including land acquisition and resettlement. Growing access to the internet and the rise of social media have increased the expectations of stakeholders for more in-depth information and an ongoing two-way dialogue.

Displacement of communities and households is an emotional and risky issue and must be addressed sensitively and openly through adequate and timely information. Proactive communication will help build collaborative and constructive trust relationships and avoid the possible rapid spread of rumors and

misinformation through social media or otherwise. It will also help to strengthen the project's social license to operate among affected stakeholders.

VIII.A. Information Disclosure

The following need to be addressed in a strategic approach to ongoing regular communication and disclosure of information to all stakeholders throughout all phases of land acquisition, resettlement, and livelihood restoration:

- Ensure that all communication and information disclosure is relevant, appropriate, and widely accessible to all affected stakeholders in a gender-sensitive manner that is culturally appropriate. This can be accomplished through various channels, such as strategically placed community notice boards actively managed with information, updates, timetables, and pictures and the provision of pamphlets, plans, and guides, such as a GLAC, in community centers and/or at a local project information center. A community liaison team can interact with stakeholders through public meetings, workshops, and individual discussions with affected households. CLOs can play a key role in arranging meetings, ensuring invitations are extended to all affected groups, and translating documents and discussions.
- Know your audience and tailor the contents of documents appropriately. Provide relevant information for different audiences based on the level of impacts, interest, and concern. Tailor the presentation of information according to language, literacy, and numeracy levels of the intended audience.
- Disclose information in local languages, taking into consideration ethnic minorities, elders, and women who may not be fluent in the national language.
- Take account of local cultural practices, leadership, and organizational structures and systems of information dissemination and feedback.
- Ensure that women, youth, elderly, disabled, vulnerable, and marginalized groups receive information and can participate equitably in dialogue in a safe space free from coercion and intimidation. This may require interaction with individuals or representatives of interest groups via separate meetings and focus group discussions.
- Embrace digital dialogue and establish a project website as well as information flows on social media to disclose project documents and other information. Even remote rural communities are increasingly gaining access to digital communication, with the result that information can be sent, received, and spread very rapidly. This also enables feedback and an interactive two-way communication process. Short text message systems are also an efficient and cheap way to inform people of meetings and key news

where access to smartphones remains limited. Social media searches and analyses can help to identify other project-affected stakeholders who may require other means of contact and channels of engagement to address their concerns and mitigate potential unforeseen risks.

- Ensure dissemination of information using the most appropriate methods, such as through local government, community leaders and organizational structures, project information centers, the media (e.g., internet and social media, mobile phones, radio, television, newspapers), notice boards, public meetings, smaller focus group meetings, and one-on-one meetings with households and key individuals.
- Seek opportunities to listen to, share information with, discuss issues with, obtain feedback from, and build relationships of trust with affected households, communities, and other stakeholders, including land-acquisition adversaries (e.g., during formal and informal meetings or at encounters at shops, community centers, and local cultural events). Unofficial interaction is often as important as official meetings in obtaining feedback and passing on information. However, take care not to raise unrealistic expectations, make commitments that you are not certain can be fulfilled, or provide inaccurate or incomplete information, since it will likely be shared widely in the affected community. A suggestion box also often proves to be helpful to obtain input and feedback from those not comfortable speaking in public or reaching out to a liaison officer for cultural or other reasons.
- Regularly assess the effectiveness of communication concerning land acquisition: for example, through perception surveys, focus group discussions, complaints and grievances received, and the frequency and quality of media coverage.

VIII.B. Disclosure of Documentation

Various project documents, management plans, guidance notes, and communication notices will need to be disclosed as planning and implementation proceed. Disclosure of the land-acquisition process and displacement eligibility and entitlements information, including compensation and livelihood-restoration packages, should take place sufficiently early in the planning process to allow potentially displaced people sufficient time to consider their options. Meaningful stakeholder engagement is not possible without adequate public disclosure of project-related information in a manner accessible and culturally appropriate to affected persons, including translation into local languages. This may include drafts and final versions of reports and plans. Where necessary, efforts should also be made to build and/or strengthen the capacity of project-affected stakeholders to ensure that they adequately understand information concerning project land-acquisition impacts and the planned mitigation and compensation measures

contained in these documents. There are different disclosure requirements by governments and/or international finance institutions. Disclosure may include the following information or documents:

- *Project ESIA:* especially the nontechnical summary containing information concerning risks and impacts of land acquisition and physical and economic displacement
- *Summary scoping report:* key issues, risks and impacts, and outline of work plan for resettlement planning
- *RAP or LRP:* the latter in cases of economic displacement
- *GM* (refer to section IX.E. Key Implementation Steps of this module)
- *GLAC if one is prepared* (refer to section IV.D. Guide to Land Acquisition and Compensation for Disclosure of this module)
- *Communication plans, notices, and leaflets*
- *Information on baseline surveys:* outline purpose, who will undertake it, when and how, including community involvement in PA activities and household questionnaire surveys
- *Information on how the household asset surveys will be undertaken:* purpose and nature of survey, who will be conducting it, how and when
- *Support available for establishing titles and registration:* project assistance should be available to households to formally register land titles, inheritances, and so forth
- *Explanation of cutoff date:* notice of cutoff for eligibility for compensation, including rules applying to newcomers and new infrastructure, crops, and other assets—information to be well documented and disseminated throughout the project area
- *Compensation assessment provided confidentially to each household:* results of assets surveys and notice of discussions with each household to determine compensation measures based on the household asset survey (when and how)
- *Compensation payments and mitigation measures:* for individual households, notice of payments and process to implement other mitigation measures, such as construction of housing, preparation and cultivation of alternate cropland, livelihood-restoration activities, and so forth (when and how)
- *Relocation implementation:* notice of date of relocation, transport assistance, and information on how to adjust to new circumstances, such as change from rural to peri-urban or urban lifestyles
- *Monitoring reports:* regular monitoring assessments (e.g., quarterly or biannually) (Detailed internal project monitoring reports may be confidential,

but they can be summarized for external stakeholders. Independent external monitoring reports are publicly disclosable, including those of compliance reviews described in Module 7. III.A. Compliance Reviews).

- *Completion audit:* independent completion audit reports (see Module 7. III.B. Completion Audit) are publicly disclosable.

IX. What Is the Role and Importance of the Grievance Mechanism?

It is inevitable that complaints and grievances will arise, especially given the emotional nature of displacement issues. It is therefore essential that an initial appropriate GM be designed and implemented by the start of the scoping process. Grievances are likely to peak during asset surveys, further negotiations, finalization of compensation agreements, and resettlement implementation. In addition, the process of land acquisition may expose and exacerbate existing local tensions and conflicts, such as disputes over land ownership and boundaries, family disputes over inheritance claims, and conflicts between villages over natural resource use and community boundaries. The key purpose of the GM is to proactively and effectively resolve any issues or complaints before they escalate. A timely redress of grievances through an effective and transparent GM is essential to the satisfactory implementation of a land-acquisition program and to completion of a project on schedule.

IX.A. Differences in the Grievance Mechanism to Address Overall Project and RAP Implementation Issues

There are some important differences in focus and approaches between grievance management to address concerns about overall project implementation and grievance management undertaken to specifically address the concerns of affected communities and households subject to physical and/or economic displacement. The GM needs to be designed to specifically address grievances resulting from land acquisition, resettlement, and livelihood restoration. It may be necessary to have a dedicated team to address RAP implementation grievances depending on the likely number and complexity of issues that may arise from the land-acquisition process. There may also be a need for separate internal project channels to process and resolve grievances associated with land acquisition. However, all stakeholders, including those not directly affected by land acquisition, should have the same clear channel to submit grievances in order not to create confusion about how to raise an issue. The GM should also be placed

in the larger context of the overarching environmental and social management system (ESMS), operational manual, and other procedures.

In practice, the GM needs to accommodate information such as affected plot numbers and/or household numbers per the RAP database, as well as a categorization of grievances that is relevant to land acquisition, for instance, the following:

- Land registration issue
- Disagreement on inventory
- Disagreement on compensation rates
- Disagreement on resettlement package
- Disagreement on plot allocation at resettlement site
- Defect in resettlement house
- Damage to crops during works or surveys
- Allegations of GBV, sexual exploitation, and abuse associated with the land acquisition and compensation process[23]

[23] Such grievances, once received, may need to be channeled to a specialized team or team member trained to address and resolve these specific issues.

IX.B. Key Principles

Key principles of the GM process should include the following:

- *Proportionality:* The process should be scaled to the stage of the project and land-acquisition process. Grievances are likely to be relatively few at the feasibility and planning stages and most frequent during the land-acquisition and construction stages.
- *Cultural appropriateness:* Take into account specific cultural and traditional mechanisms for raising and resolving grievances.
- *Accessibility:* Ensure clear communication and ease of use. Consider literacy and education levels, local languages, gender issues, locations for receiving complaints, and access by vulnerable and marginalized groups.
- *Transparency and accountability:* Ensure that all complaints are taken seriously and treated fairly. In the case of allegations of GBV,[24] sexual exploitation, and abuse, ensure all allegations are treated ethically and in line with a survivor-centered approach. Provide clarity on roles and responsibilities; distribute information widely and regularly; incorporate stakeholder input into the design and implementation of the GM process; commit to a certain timing to respond to grievances; and monitor, measure, and share grievance resolutions, agreements, and commitments.
- *Appropriate protection:* Encourage use of the GM, provide assurance that there will be no retribution for participation, protect the identity of complainants, and communicate the rights of stakeholders to use remedies such as external mechanisms, third parties, or the judicial system. IFC does not tolerate any retaliatory action against those who voice their opinion regarding the activities of IFC or IFC's clients, as outlined in the *IFC Position Statement on Retaliation Against Civil Society and Project Stakeholders*.[25]

IX.C. Establishing a Grievance Mechanism

The following are key aspects to address when establishing a GM:

- Assign staff to implement and be responsible for the management of the GM. For small projects it may be possible to assign this task to one person, but for larger projects a team may be required. If local government officials,

[24] For additional guidance on identifying and mitigating GBV in private-sector projects, see IFC. 2020. *Addressing Gender-Based Violence and Harassment: Emerging Good Practice for the Private Sector*. Washington, DC: IFC. www.ifc.org/addressinggbvh.

[25] IFC. 2018. *Position Statement on Retaliation Against Civil Society and Project Stakeholders* is available at https://www.ifc.org/wps/wcm/connect/ade6a8c3-12a7-43c7-b34e-f73e5ad6a5c8/EN IFC Reprisals Statement 201810.pdf?MOD=AJPERES. Washington, DC: IFC.

community leaders, or representatives are involved in the implementation of the GM, ensure that their roles and responsibilities are clearly defined. Local community and family conflicts and disputes over land ownership, land-use rights, and the use of natural resources may be best resolved by these officials and local leaders.

- Make adequate resources (people, systems and processes, budget, time, leadership, and management) available to implement the GM, especially at times when land grievances concerning acquisition are likely to peak (during asset surveys, compensation negotiations, and physical relocation to resettlement sites).
- Ensure that adequate procedures are in place to receive grievances and that these are well understood by the affected community. Maintain active interaction with the local authority who may also receive land-acquisition grievances that need to be addressed by the project.
- Ensure that the GM is transparent, responsive to gender issues, and protected against political and other types of influence. A robust GM will ensure that all grievances are treated impartially, objectively, and confidentially, especially, where necessary, to protect complainants from possible retaliation or reprisals from other parties.
- Ensure consistency of the GM with the RAP database, particularly in terms of the identification of the grievance, which must relate to and be consistent with the identification of plots or households in the overall RAP database.
- Ensure that decisions taken to resolve grievances are supported by project management. The project manager should chair GM team meetings to agree on corrective actions to address grievances, so that decisions can be readily confirmed and resources allocated to implement the agreed actions. This is particularly important where corrective actions involve third parties beyond the RAP team—for example, government authorities or contractors.
- Ensure that all project staff, contractors, and government officials involved with the land-acquisition process and implementation of the RAP are fully aware of the GM.
- Ensure that the community affected by land acquisition is fully aware of the GM and the channels and process to address grievances.
- Make provision in the GM to address the risk of sexual harassment, exploitation, and GBV, which can be exacerbated in the resettlement process. The presence of workers and contractors involved with construction of the resettlement site infrastructure; an influx of entrepreneurs providing facilities and services to workers (petit commerce, restaurants, bars, transactional sex workers); new neighbors; and other people associated with the relocation of a community can lead to a breakdown of existing social contracts and norms.

- Ensure that the GM staff has training to manage allegations of GBV, sexual harassment, exploitation, and abuse linked to the resettlement process. This may mean the establishment of a separate process to ensure such allegations are addressed with a survivor-centered approach that can guarantee confidentiality in reporting. Such a process should be managed by a team member or members designated and trained to address these issues, and specialized external assistance may be required to establish and monitor this component of the GM.
- Ensure there is a process in place to provide feedback on results of the GM to internal and external stakeholders.
- Make provision in the GM for a recourse mechanism in the event that a complainant is not satisfied with the RAP implementation team's proposed corrective actions. This should include independent arbitration to attempt to find a solution acceptable to both parties and to avoid recourse to the judicial system. However, the project must not impede access to judicial redress.
- Ensure that project-affected parties are aware of the role of IFC's Compliance Advisor Ombudsman in IFC-funded projects and, if they believe that their grievances have not been adequately addressed by the project GM, independent recourse mechanisms, or IFC, ensure that they know how to contact the Compliance Advisor Ombudsman.

The following sections summarize the structure and operation of a GM. (Refer to IFC's "Good Practice Note: Addressing Grievances from Project-Affected Communities"[26] for more details on grievance management techniques.)

IX.D. Grievance Management Committees

It is critical that communities and individuals have easy access to the GM. This can be especially challenging on linear projects such as a road or a pipeline where the distance from an affected community to project offices, community liaison center, or a grievance submission box can be lengthy. Creating grievance management committees (GMCs) comprising local leaders or representatives selected by the communities is one way to improve access. These committees liaise with the project community relations and grievance management staff and can undertake the following: (i) receive and record grievances, (ii) review and refer grievances to the appropriate project GM staff, and (iii) receive, document, and provide feedback on the status of grievances to the person submitting the complaint. As with the resettlement committees, it is crucial that the members be representative of the communities and include trusted leaders and other members of the community—both men and women. Box 3.6 presents an example of establishing GMCs, taking into consideration the project characteristics and its context.

[26] IFC. 2009. *Good Practice Note: Addressing Grievances from Project-Affected Communities.* Washington, DC: IFC. www.ifc.org/GPN-Grievance.

Box 3.6. Kampala Jinja Expressway Project, Uganda National Road Authority

Kampala Jinja Expressway (KJE), a limited access toll expressway, is the first public-private partnership road project in Uganda. It has a total length of 95 kilometers and will link Kampala with Jinja, traversing both densely populated urban sections (through Kampala center) and peri-urban and rural areas. The objective of the KJE is to enhance the road network as part of the main export/import route from Kenya to Uganda, Rwanda, Burundi, and the Democratic Republic of Congo.

UNRA (Uganda National Road Authority), the project lead, has a harmonized grievance redress mechanism (GRM), which lays down the guiding principles for submitting grievances, scope of the GRM, communication channels, and grievance handling. In line with UNRA's overall GRM, KJE established a tailored GRM for affected persons to be able to register complaints.

The GRM requires that, depending on the population of a given area, grievance management committees (GMCs) should be proactively established at three-kilometer intervals to receive, register, escalate, and resolve grievances. Recognizing the challenges associated with receiving and managing grievances along an extensive linear corridor in an urban setting, the KJE RAP team adopted an innovative approach in the establishing of the GMCs. Several of these were established at less than the three-kilometer intervals to ease accessibility and encourage reporting. The GMC members were trained to receive, sort, record, escalate, and resolve different types of grievances. While they can resolve grievances related to local property ownership, family, and boundary disputes, more complex grievances are escalated for review and resolution.

During the establishment of GMCs, the KJE RAP adhered to the guidance of the harmonized GRM and guided community members on the need for equitable representation. The GMCs included opinion leaders, women, elders, youth, persons with disabilities, as well as the chairpersons of the local councils. The committees were elected by the community members, with an assurance that at least one-half of the committee be comprised of women.

The role of the GMC is to:

- Receive and record all grievances from PAPs.
- Hear/arbitrate PAPs' grievances and provide a rapid solution for those grievances they are able to resolve.
- Bring any serious matters to the attention of UNRA's community liaison officers.
- Escalate grievances that they are not able to resolve or that are outside their jurisdiction.
- Inform the aggrieved parties about the progress of their grievances and the decisions made by the GMC.

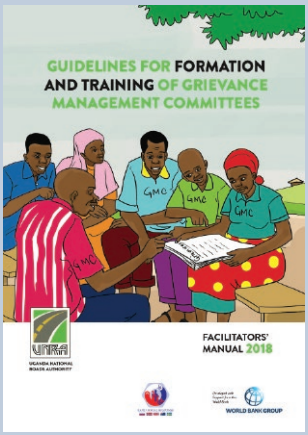
In addition to having either a full-time community client care officer or UNRA community liaison officer, the centers also have phones for PAPs to submit complaints. The complaints are all recorded, tracked, and reported by UNRA's community relations team.

The GMCs have been an essential tool for UNRA's RAP team to provide easy access to grievance submission and resolution for all PAPs (see photos and the figure in this box).

(*Box continued on next page*)

Box 3.6. *(Continued)*

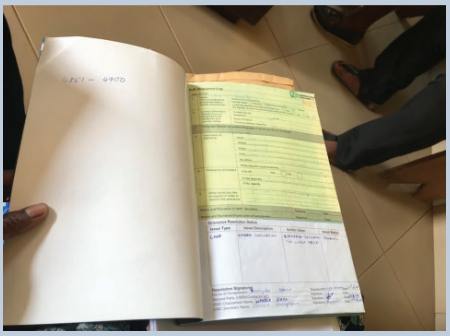
Members of a newly formed GMC log book.



Training modules for establishing grievance committees.

Members of a grievance committee receiving a grievance log book from UNRA.

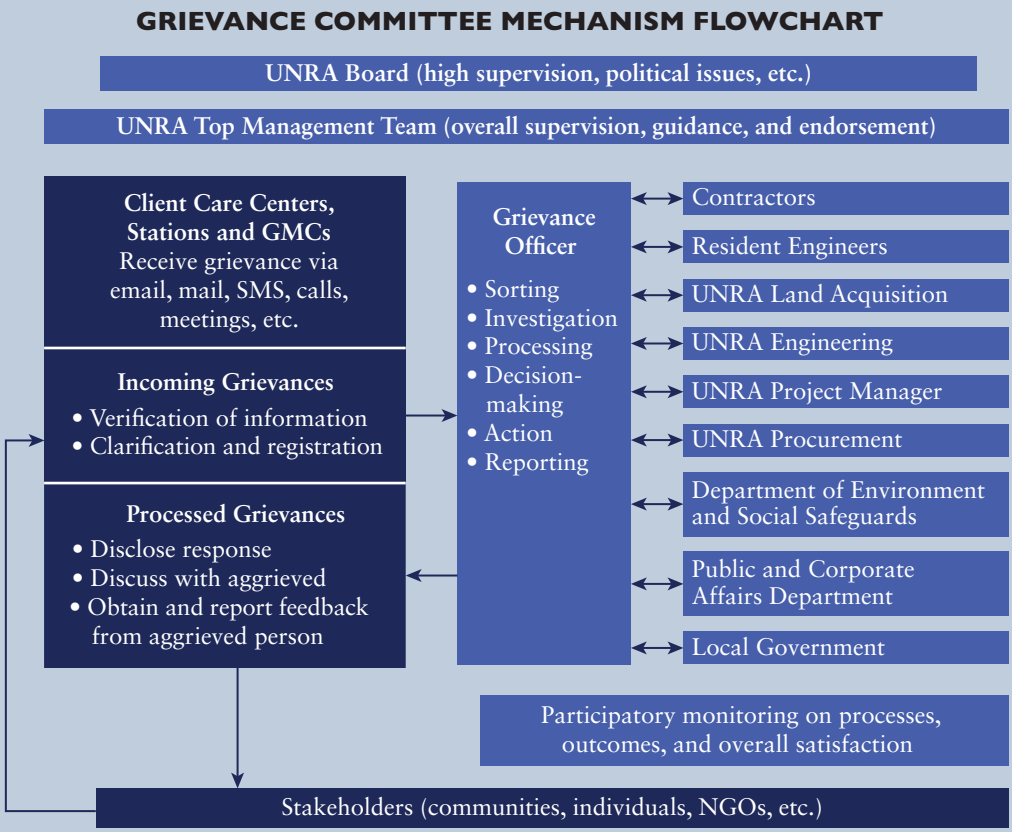
UNRA team facilitating a mediation meeting for one of the grievances escalated by the GMC.



Example of a grievance committee log book.

(*Box continued on next page*)

Box 3.6. *(Continued)*



Source: Uganda National Roads Authority, Land Acquisition and Resettlement Framework, October 2020.

IX.E. Key Implementation Steps

Key steps to implement a GM should include the following:[27]

1. *Publicize GM procedures:* Promote awareness through stakeholder meetings, focus group discussions, pamphlets, handouts, radio announcements, cell phone messaging, and so forth.
2. *Receive and track grievances:* Ensure accessibility to all stakeholders affected by land acquisition and log all complaints into a database. (This can range from a simple spreadsheet to complex data management systems.)
3. *Make a preliminary assessment of the grievance:* Categorize complaints and decide how and who will be responsible to address the complaint.
4. *Give an initial response to complainant:* Communicate (written or verbally) how the grievance will be addressed, including a timeline.
5. *Investigate the grievance and develop solution options:* Discuss possible solutions with the complainant.
6. *Implement and follow up on the agreed solution:* Seek sign-off from the complainant and record and file documents.
7. *Follow up with further action if necessary:* Deepen community or independent third-party engagement to strengthen trust and find solutions.
8. *Monitor, evaluate, and report on the GM:* Monitor numbers of grievances received and whether they are resolved or outstanding. Monitor trends and systemic issues and report results. Refer to Module 7. Monitoring for more information on grievance monitoring and how to involve the affected community in monitoring the operation of the GM.

If government measures to address grievances do not meet the PS requirements in cases where land acquisition and resettlement are the responsibility of government, the project must engage with the responsible government agency, to the extent permitted by the agency, to achieve outcomes that are consistent with the PS. This could include such measures as in-depth discussions with senior government decision-makers; workshops and skills training to build awareness and capacity to resolve land disputes and grievances; secondment of project staff and consultants; and provision of temporary office accommodation, equipment, computers, and so forth. Such measures to close any gaps in meeting the PS requirements of an effective GM must be addressed in a Supplemental Resettlement Plan (PS5, paragraph 31).

[27] Some of the steps may differ for grievances that relate to sexual exploitation linked to the resettlement process.

IX.F. Independent Recourse Mechanism

Table 3.8 lists options for independent recourse mechanisms. Use of such mechanisms are good practice, especially in large and complex resettlement projects.

Table 3.8. Independent Recourse Mechanisms

RECOURSE MECHANISM	APPLICABILITY	KEY ISSUES TO CONSIDER
Independent third-party moderator or mediator acceptable to both community and project, such as a trusted NGO member or other notable and impartial person	Resolution of complex grievance issues such as conflict over land ownership, valuation, inheritance, and so forth	Independence and impartiality of the moderator (entirely independent of the affected community and project)
Independent consultant or specialist	Small-scale resettlement projects with few households and a limited number of grievances Independent technical assessment of a specific issue, such as recourse to an apiculture specialist concerning project impacts on a household's or community's honey production	Useful in providing independent assessment of grievances concerning technical issues (e.g., technical defects at replacement houses) Provides a means to bridge the gap in technical knowledge between project and complainants
External independent panel (e.g., experts with experience in land acquisition, land valuation, other specialists, and trusted and respected notable persons)	Large-scale projects with complex land-acquisition grievance issues and large numbers of affected households	Core panel should remain the same, even if specialists are brought in to address specific issues. Panels can be expensive and time consuming to organize.

X. Content of a Stakeholder Engagement Plan

As mentioned in Module 1. III.E. Engaging with Stakeholders a SEP is a living document that will need to be updated periodically, particularly to guide engagement efforts to address the process of land acquisition, resettlement, and livelihood restoration. Depending on the scale and complexity of physical and economic displacement, it may be necessary to employ additional staff dedicated to stakeholder engagement to address land-acquisition issues, similar to the management of grievances as discussed in section IX.A. Differences in the Grievance Mechanism to Address Overall Project and RAP Implementation Issues in this module. There may be a need to establish two teams, one focusing on resettlement issues and the other addressing broader issues concerning implementation of the overall project. However, there should be one SEP for public disclosure that clearly states the plan for overall stakeholder engagement. In framing the SEP to address land-acquisition issues, consider the following points:

- Identification of key stakeholders for resettlement planning, livelihood restoration, and implementation
- Appropriate methods of SE
- Representation of affected persons (committees or other), including vulnerable and marginalized groups
- GM
- Disclosure of key information and documentation
- Meeting schedule and calendar
- Implementation arrangements and resources

XI. Do's and Don'ts

Robust SE is essential to enable constructive engagement and to build strong relationships among project proponents, affected households and communities, government authorities, and other concerned parties in the process of planning and implementing the RAP. Table 3.9 summarizes the do's and don'ts in engaging stakeholders.

Table 3.9. The Do's and Don'ts of Stakeholder Engagement

DO'S	DON'TS
Be aware of community expectations, appreciate them, and manage them. Be aware of rumors. Ensure that SE complies with national legislation and regulations and IFC PS requirements. Establish clear SE objectives with measurable indicators. Undertake a comprehensive stakeholder mapping exercise disaggregated according to various key stakeholder characteristics (occupation, gender, age, vulnerability, and so forth). Verify the legitimacy and assess the influence of stakeholder representatives. Understand and respond to the difficulties and risks that women and vulnerable groups may face in providing information. Provide training or capacity building for community representatives, specifically including gender-awareness training. Commence the SE process early and tailor it to the stage of the project and/or land-acquisition process. Ensure that the SEP addresses the provision of adequate resources for specific engagement activities in the land-acquisition process. Disclose project documents in an accessible location, language, and format that are culturally appropriate and in advance of meetings.	Make promises that you cannot keep. Provide false or inaccurate information. Apply a one-size-fits-all approach to SE. Focus only on the most vociferous stakeholders. Neglect engagement with government. Forget to engage regularly with internal project management, planning, designing, engineering, and construction teams. Forget to engage with women and vulnerable groups. Forget to engage with contractors. Forget to engage with seasonal or temporary users of communal resources affected by the project. Avoid interaction with civil society and advocacy groups. Forget to establish and maintain a log to track stakeholder meetings, topics addressed, agreed follow-up actions, and any commitments made. Disclose details of the project footprint until this information is reasonably certain or before being prepared to undertake a census and asset inventory to establish a cutoff date for eligibility for compensation (avoidance of speculation).

(*Table continued on next page*)

Table 3.9. *(Continued)*

DO'S	DON'TS
Ensure that SE is free of interference, manipulation, intimidation, or coercion. Ensure that PAPs are fully informed and actively participate in the discussion and selection of resettlement options, including means to avoid or minimize displacement. Establish an effective GM to address land-acquisition issues and also receive and respond to allegations of sexual exploitation and abuse. Staff the SE team according to the expected workload. Select and appoint CLOs to the SE team who have an interest and aptitude to transition to the community development team at a later stage of the project (in order to retain institutional knowledge and maintain and build on established relationships). Publicly disclose outcomes of the SE process.	Assume that community views are homogenous. Underinvest in SE with affected persons (both time and labor).

MODULE 4

BASELINE DATA COLLECTION

I. Overview of Baseline Data Collection

Baseline data collection is the process of collecting a set of data to describe the socioeconomic conditions, living standards, and livelihoods of project-affected communities and their potential hosts before any resettlement intervention. It defines who is affected by a project and what losses they are expected to experience in terms of land, assets, and livelihoods. Baseline implies that the data will be used as a reference to define pre-resettlement conditions for future monitoring of impacts and the effectiveness of measures to improve living standards and livelihoods. A resettlement completion audit will also refer to baseline data as the benchmark for assessing achievement of RAP objectives.

The purpose of resettlement baseline data collection is to provide resettlement planners with a comprehensive understanding of socioeconomic conditions, land and asset ownership, and livelihood resources, as well as the systems of production and social networks upon which displaced communities and their hosts depend prior to project impacts. The baseline provides the foundation for predicting project impacts, assessing risks, designing appropriate mitigation measures, monitoring their effectiveness, and implementing corrective actions until completion.

Baseline data are also used to describe project-affected households' pre-resettlement living standards and livelihoods. IFC PS5 defines as one of its key objectives "To improve, or restore, the livelihoods and standards of living of displaced persons." Baseline data provide a reference against which the project's effectiveness to restore and improve household living standards and livelihoods can be monitored. In designing baseline data collection, a simple, robust, and easily measurable set of key performance indicators (KPIs) should be selected that will define household living standards and livelihood levels for the baseline, subsequent monitoring surveys, and the resettlement completion audit. For more information on selecting indicators, refer to Module 7. Monitoring.

The most common unit of measure for resettlement baseline surveys is the household. Various definitions of *household* are used for statistical and socioeconomic studies. Most include elements of the *Oxford Dictionary of Sociology* definition: "A group of persons sharing a home or living space, who aggregate and share their incomes, as evidenced by the fact they regularly take

meals together."[28] A definition specific to the living arrangements prevailing in the project area should be adopted and used consistently for census, socioeconomic surveys, and the asset inventory. It might be useful to align the project definition with that used for a national census or Living Standards Measurement Surveys.

By convention, if the livelihood of one member of a household is affected by a project (e.g., as a farmer or a fisherperson), then all members of his or her household are counted as part of the project-affected population. This is because the household's shared income will be reduced due to any individual member's livelihood loss.

Baseline data collection should be tailored to the scale and complexity of expected displacement impacts. A common mistake is to not spend enough time defining a project's baseline data needs, especially during the scoping stage (refer to Module 1. Scoping of Land-Acquisition Impacts). This can result in an unnecessary expenditure of resources and time gathering voluminous amounts of data that add little value to resettlement planning and decision-making. Baseline data collection should cover some or all of the topics listed in box 4.1, as appropriate. (Refer to Appendix A. Scoping-Stage Checklist which provides a comprehensive checklist of questions to address in scoping and baseline data collection.)

[28] Marshall, G., and J. Scott, eds. 2014. *A Dictionary of Sociology*. 4th ed. Oxford, ULK: Oxford University Press.

Box 4.1. Checklist of Topics for Baseline Data Collection

Following is a checklist of the kinds of baseline data that should be collected for resettlement-planning purposes:

- History of site occupation and land use
- Land tenure arrangements: statutory, customary, formal and informal, seasonal, third-party arrangements such as tenancy or sharecropping, and gender aspects of land tenure
- Demographic characteristics: age, gender, socioeconomic circumstances, local livelihoods, and occupations
- Total number of physically and economically displaced people (sex disaggregated)
- Inventory of land and other assets that will be lost or altered due to the project
- Land valuation data
- Local and regional market price data for crops
- Household composition and characteristics
- Household health and nutrition (sex disaggregated)
- Household land and ownership of assets (sex disaggregated)
- Economic activities of the household (productive activities for cash and subsistence, including use of natural resources, common property, and seasonal activities)
- Household income, expenditure, savings, and indebtedness (sex disaggregated)
- Household access to and use of services (e.g., schooling, health care, markets, and public transport)
- Access to infrastructure (e.g., water, electricity, heating, cooking fuel, and sanitation)
- Local administrative and community organizational structures
- Assessment of poverty and vulnerability within the context of resettlement
- Conflict analysis
- Common property, ecosystem services, and natural resource use: inventory of what will be lost due to the project
- Social networks and safety nets (including those that work to prevent and respond to GBV)
- Cultural heritage
- Displaced people's aspirations, preferences, and concerns about resettlement, including voices of both men and women
- Attitudes and preferences for relocation and livelihood restoration

II. The Objectives of Baseline Data Collection

Baseline data provide the foundation for predicting the impacts of project displacement, designing appropriate mitigations, and monitoring the effectiveness of mitigation measures in sustainably improving, or at least restoring, displaced people's standards of living and livelihoods.

The objectives for undertaking baseline data collection include the following:

- Identify who will be displaced and, subject to verification, who will be eligible for compensation and resettlement assistance.
- Identify households that may be particularly vulnerable during the resettlement process and any other subgroups that may be differentially impacted and need targeted assistance.
- Provide an in-depth, gendered understanding of community organization and leadership and specific issues such as poverty, livelihood systems, community leadership, and organization.
- Develop an inventory of losses (rights to land, assets, access to resources, etc.) that households, enterprises, and communities will experience because of the project, as the basis for valuation and calculation of compensation.
- Record preproject livelihood resources, division of labor, production systems, and yields as the basis for designing measures to restore and improve livelihoods.
- Provide measures of displaced households' preproject living standards and livelihoods and establish a baseline or reference point for monitoring displacement impacts and the effectiveness of measures to restore and improve living standards and livelihoods.
- Provide the starting point for predicting resettlement impacts, designing mitigation measures, developing a compensation framework (eligibility, entitlements, valuation approaches), and monitoring their effectiveness.
- Identify preliminary preferences of displaced people in terms of forms of compensation.
- Gauge the views of displaced people regarding livelihood activities in transition and post-resettlement period.

III. Guidelines on Baseline Data Collection

For resettlement purposes, baseline data collection is typically divided into the following:

- Census (see section IV. The Census of this module)
- Land and asset inventories (see section V. The Land and Assets Inventory of this module)
- Socioeconomic surveys, both qualitative and quantitative (see section VI. Socioeconomic Research and Surveys of this module)
- Livelihood baseline studies (see section VII. Livelihood Baseline Research and Surveys of this module)

The purpose and objectives of each of these activities are summarized in table 4.1. The level of baseline data to be gathered should be tailored to the type and magnitude of displacement impacts. Projects that require acquisition of small areas of low productivity land that do not involve physical displacement require much less data collection than those involving large areas of land and significant physical displacement.

Table 4.1. Purpose and Scope of Data Collection Activities

DATA COLLECTION ACTIVITY	PURPOSE	SCOPE
Census	The census defines who is affected and who is entitled to receive compensation and resettlement assistance. The census can be used to determine the cutoff date. The census defines the population (sample) that will be subject to household socioeconomic surveys.	The census covers the following: • All households within the footprint that own or use assets (land, structures, crops, etc.) • Migratory and seasonal users • Affected persons regardless of their legal rights (informal users as well as legal owners) • Owners and all employees (full- and part-time) of potentially displaced enterprises • Households and individuals that are potentially vulnerable
Land and assets inventory	The land and assets inventory records what will be lost (land, assets, and access to resources) and provides the basis for valuation of losses and determination of compensation. It verifies the tenurial status of displaced landowners, occupants, and users. Its inventories establish the boundaries of each affected landholder's plots. It surveys, measures, counts, and records the land and assets that each household, enterprise, or community will lose due to the project. It collects and records all parameters needed for the valuation of land and assets. It identifies and delimits common property and natural resources that may be lost or subject to restrictions of access.	The inventory should cover the following: • land and assets of all affected persons, households, and enterprises • community land and assets • services and infrastructure • ecosystem services and natural resources • cultural heritage, sacred sites, and graves that will be displaced or subject to restrictions of access, including identification of owners or custodians[a]

[a] The survey of cultural heritage may be addressed through the ESIA and a cultural heritage management plan, or as part of the RAP—this should be defined during the design of the ESMS.

(*Table continued on next page*)

Table 4.1. ***(Continued)***

DATA COLLECTION ACTIVITY	PURPOSE	SCOPE
Socioeconomic research and surveys	Provide an understanding of displaced households' living standards, livelihood resources, social networks, and access to services and infrastructure prior to impacts. Establish a baseline for RAP design, future monitoring and completion audit. Establish an understanding of displacement impacts and subsequent progress toward living standards and livelihood restoration. Provide detailed information about gender roles, status, and social networks in communities. Gather preliminary information about household preferences for relocation and livelihood restoration. Provide an understanding of types of vulnerable people to develop protective measures.	The socioeconomic surveys should include the following: • All households within the footprint • Migratory and seasonal users • Affected persons regardless of their legal rights (informal users as well as legal owners) • Owners and all employees (full- and part-time) of potentially displaced enterprises • Households and individuals that are potentially vulnerable Quantitative household surveys ensure equal inclusion of men and women. Qualitative research should include key groups such as women, vulnerable or marginalized groups, farmers, fisherpeople, and business groups and be tailored to local circumstances and project impacts.
Livelihood baseline studies (e.g., agriculture, foraging, fisheries, businesses and employment, urban livelihoods)	Define PAPs' livelihood resources, systems of production, current yields, and levels of production. The extent and scope of livelihood surveys should be tailored to address the specific circumstances of the project-affected population (e.g., if livelihoods include fishing, surveys of fisheries will be necessary).	Livelihood baseline studies cover all PAPs' livelihood activities, resources, systems of production, current yields, and levels of production, including the following: • Assessment of crop types and varieties, cultivation techniques, yields, opportunities, and challenges

(*Table continued on next page*)

Table 4.1. *(Continued)*

DATA COLLECTION ACTIVITY	PURPOSE	SCOPE
	Provide the information used to develop livelihood-restoration measures. Document daily and seasonal calendars of activities of household members, including those of women and children so that mitigation measures will not differentially impact them. Identify barriers to accessing livelihood opportunities for women and vulnerable groups. Identify ecosystems and natural resources on which displaced communities are reliant and determine their importance for livelihoods.	• Assessment of land requirements for rotation, fallow, and grazing of livestock • Seasonal and daily calendars • Affected persons livelihoods' regardless of their legal rights (informal users as well as legal owners) or legality of activity • Business activities (formal and informal) • Natural resource use • Seasonal or transient use of land and natural resources (e.g., nomadic pastoralists) • Assessment of household livelihood resources and division of labor • Establishment of locational interdependencies among dwellings, agricultural land, occupations, enterprises, and markets (particularly for urban resettlement) • Assessment of value chains: secondary processing, arrangements for barter or sale, and downstream parties that may be impacted by loss of supply

Upon completion of data collection, it is good practice to present a summary of findings to the project-affected communities and to provide them with copies of any summary reports that do not contain private and confidential information. This has the following benefits:

- Communities can validate findings and correct any factual inaccuracies.
- Communities and their leadership have access to the information for their future reference and use.
- Community members can see a tangible output for their time and effort invested in participating in baseline data gathering activities, and thus may be more willing to participate in future survey and monitoring activities.
- Women and vulnerable groups can see that their contributions are being recognized.

III.A. Coordination with Environmental and Social Impact Assessment and Alignment with Other IFC Performance Standards

Where possible, PS5 baseline data gathering should be coordinated with ESIA data collection (PS1 on Assessment and Management of Environmental and Social Risks and Impacts). As mentioned in Module 1 (see section III.C. Understanding the Role of the Government), the scoping stage will have identified the areas where coordination between the ESIA and the land-acquisition and resettlement process are required and possible. Data collection should be managed to avoid unnecessary replication of engagement and surveys with displaced communities, as this can give rise to mixed messages, frustration, and survey fatigue among respondents. Resettlement baseline data must be based on surveys of project-affected households specifically, not generic socioeconomic data gathered from the wider project area of influence, which is often used in project ESIAs.

IV. The Census

IV.A. Overview

The census is a complete enumeration of the project-affected population (physically and economically displaced) with names of affected persons and their basic demographic data.

The purpose of the census is to:

- Identify and record the people, households, and enterprises displaced by the project and, upon verification, to define who will be eligible for compensation and resettlement assistance.
- Develop a register of households and individuals that are potentially vulnerable.
- Define the population to be sampled for household socioeconomic surveys (see section VI.B. Quantitative Surveys of this module for details on the sampling).

The census is tied to a cutoff date, which is usually established once the census is completed (see Module 2. V.B. Cutoff Date). The census establishes a list of the people and enterprises present in the project footprint at the cutoff date, that is, those who will be eligible for compensation or other forms of resettlement assistance. It provides the basis for excluding speculative claims from those settling in the project footprint after the cutoff date and claims by local households for new structures built or crops planted after the cutoff date.

The census involves a small team of trained enumerators visiting each household and recording basic information about household members, such as name, age, gender identity, occupations, and relation to the household head. Information should be gathered for project-affected enterprises (see section IV.D. Census of Enterprises of this module). Following are key aspects of a census exercise:

- One or more respected village or local government officials who can verify bona fide local residents should accompany the enumerators. It is good practice for the census enumerators to also take photographs of the household head, any household members present, and the principal household buildings.
- Global positioning system (GPS) recording of the location of the household's dwelling(s) can also be useful to confirm the completeness of census and for follow-up meetings.
- Depending on the nature of project impacts, the census team may also need to register natural resource users such as hunters, fisherpeople, intertidal zone collectors, foragers, or pastoralists.

- Care should be taken to ensure that women's voices are represented in the census. This may mean selecting the woman instead of the male head of household to respond to the census survey in some situations.
- Care should be taken to account for seasonal users (e.g., fisherpeople, herders, pastoralists, and artisanal miners), who may reside well outside of the project area of influence.
- Satellite or aerial photography, ground photography, and videos should be taken to make a record of dwellings, assets, trees, and crops corresponding with the time of the census, and asset surveys should be taken to aid with counts and measurements and provide a basis for refuting opportunist claims based on development after the cutoff date.
- It is important to include informal or illegal residents (squatters) if they are residing on the land at the time of the census, even in cases where owners do not sanction their presence.

In order to identify the affected population quickly, before there is any influx of outsiders, the census may be undertaken as a stand-alone activity. Alternatively, it may be more practical to complete the census, socioeconomic surveys, and asset inventory at the same time. The latter approach is more suitable where the population to be recorded is dispersed and difficult to reach, or in high density urban settings where it may be logistically challenging to arrange multiple meetings with large numbers of working households. Table 4.2, at the end of the census section, describes the "do's and don'ts" to consider when conducting a resettlement census.

IV.B. Household Census

The household census should record the following:

- Name, identification, and contact details of the household head
- Ethnicity and religious affiliations of household members
- Languages spoken in the household
- Name of each household member, with age, gender, educational attainment and level of literacy, relation to the household head, and occupation
- Names of household members normally resident in the dwelling but who may be absent at the time of census for reasons such as study, hospital confinement, military service, imprisonment, or seasonal work
- Location of the dwelling (e.g., address, GPS coordinates, or location within a predetermined grid)
- Self-reported tenurial status of the household (e.g., owner, lessee, tenant, or informal dweller)

- Assessment of the vulnerability of the household or individuals living within that household (e.g., very poor, elderly, physically or intellectually impaired, chronic illness, ethnic minority or otherwise socially marginalized—see box 4.2)
- Brief description of the dwelling (e.g., type, materials, number of stories, approximate floor area, condition, and type of finishes and furniture)
- Photo of the household head
- Collective photo of household members
- Photos of the dwelling and associated structures

An example of a household census form is given in Appendix B. Example of a Census Form.

IV.C. Using the Census to Identify Vulnerable Individuals and Households

Disadvantaged or vulnerable people are those on whom project impacts may fall disproportionally, who may be challenged accessing project development benefits and opportunities, or who may have difficulties recovering from physical or economic displacement. Vulnerability may stem from an individual's or group's race, color, sex, language, religion, political or other opinion, national or social origin, property, birth, or other status. Other factors such as gender and gender identify, age, ethnicity, land tenure status, culture, literacy, sickness, physical or mental disability, poverty or economic disadvantage, and dependence on unique natural resources may also contribute to vulnerability.

For projects displacing many households, it can be very difficult and time consuming to develop a register of vulnerable households or individuals. This process is best commenced as part of the census. See box 4.2.

Box 4.2. Identifying Vulnerability for Resettlement Census Purposes

Identifying vulnerable individuals and households in a resettlement context is an iterative process. IFC PS1 offers some generic criteria for vulnerability, but these provide only a starting point for assessing what constitutes vulnerability within a project-specific and resettlement-specific setting. Vulnerability is also a dynamic condition. Households can become more or less vulnerable due to resettlement processes and external factors not related to the project, such as deaths in the family, ill health, loss of employment, crop failures, and so forth. Be particularly aware of any groups that might be disadvantaged in terms of asserting their interests or rights to use land and assets within the context of baseline studies.

- Use PS1 (paragraph 12) generic vulnerability criteria as a starting point.
- Assess other potential sources of vulnerability specific to the project context and the resettlement program.
- Incorporate vulnerability screening criteria in the census and surveys—use this to develop a working list of vulnerable households.
- Assess each household on the working list to validate vulnerability and determine the support needed—involve government social welfare officers, NGO specialists, and vulnerable people representatives in the assessment, as appropriate.

Some specific baseline collection measures might include those that follow. (See also Module 3. VI.D. Vulnerable Groups for engagement with vulnerable groups). Before designing baseline surveys, do the following:

- Conduct some focus groups and interviews with resource persons (ideally during the scoping stage) to learn about criteria local communities use to distinguish a household that is well off versus one that is vulnerable or marginalized.

(*Box continued on next page*)

Box 4.2. *Continued*

- If appropriate, use these consultations to develop a preliminary list of vulnerable, affected households.

As part of the baseline census and surveys, do the following:

- Develop a simple checklist for census enumerators to assess household vulnerability in the field (e.g., household demographics, dwelling characteristics, indicator assets, access to land).
- Ask household heads to self-appraise their household's welfare (example: considering your household's current circumstances, would you describe yourself as rich/comfortable/manage to get by/never have quite enough/poor/destitute?) Be aware that such a self-assessment is subjective and may be either exaggerated or underestimated to gain additional compensation.
- Use household income or expenditure quintiles to identify poorest households.
- Develop a household welfare index based on the household's ownership of selected assets, such as televisions, bicycles, materials used for housing construction, and access to water and sanitation.

Monitoring: Throughout resettlement implementation, monitor for cases of hardship or changed household circumstances that may indicate a need for additional support.

Box 4.3 describes an approach that used a committee composed of local government, community, project, and vulnerable people representatives to screen and identify vulnerable individuals and households.

Box 4.3. Vulnerable Peoples Assessment in Mozambique

A project in Mozambique convened a Vulnerable Peoples Committee to screen and identify displaced vulnerable individuals and households for special project assistance. The Vulnerable Peoples Committee included representatives from the District Social Welfare Office, the affected community, vulnerable people, and the project resettlement team. The Vulnerable People's Committee developed criteria for eligibility to assistance to the vulnerable and then consulted key informants and groups of villagers to develop a working list of potentially vulnerable people. The committee then screened each potentially vulnerable individual or household to determine which were eligible for vulnerable assistance.

Each vulnerable individual or household was then consulted to determine their specific needs. The types of assistance offered were wide ranging and included assistance to understand and sign household agreements; modifications to replacement housing to accommodate disabilities; delivery of food packages; access to health care; access to a nearby garden area; or opportunities for project employment. During delivery of assistance, the Vulnerable People's Committee monitored the vulnerable individual's or household's progress, adjusted assistance where necessary, or agreed with the participant when vulnerable assistance was no longer needed. Through its involvement in the process, the District Social Welfare Office was able to provide ongoing assistance once the project resettlement program was completed.

IV.D. Census of Enterprises

Project implementation can cause temporary or permanent impacts on a wide range of businesses and enterprises, from factories, mills, workshops, and shops to roadside or market stalls. Some businesses are licensed, return taxes, and prepare audited accounts. Others may be informal with little or no record keeping. PS5 prescribes certain types of compensation for impacts on commercial structures affected by project land acquisition or restrictions of use (PS5, paragraph 27). Information to be gathered during the census of a business might typically include the following:

- Name and gender identity of owner(s) (and operators, if these differ)
- Type of business or enterprise
- Type of ownership (sole proprietor, partnership, company, cooperative, registered, or informal)
- Land title details or nature of rights to land
- Description of commercial structures and any fixed plant and equipment
- Monthly or annual income
- Monthly expenses
- List of employees with details of their gender identities, employment basis (full-time, part-time, casual), and typical earnings
- Locational requirements
- Degree of expected impacts (fully displaced, temporarily displaced)

Enumerators will need clear instruction about the types of evidence to be gathered to support estimates of enterprise income and expenditure. With registered businesses, these are likely to consist of tax returns and audited accounts. Informal businesses may be required to produce evidence of receipts for expenditures, or the enumerator may need to make some estimate of turnover based on the value of stock and the operator's reported frequency of replenishment. Where possible, information gathered in this way should be assessed against comparative data from other sources (e.g., national or regional small business studies or other resettlement projects). It is not uncommon in government-led resettlement for informal businesses to be left out of the census. Project proponents may need to develop supplemental measures to ensure that these businesses are both considered and their losses compensated.

To avoid double counting, clear rules need to be developed to address home-based businesses, shop-houses, or rental units for both residential and business, which are common in many countries with emerging markets. These either need to be addressed as part of the household census or enterprise census, but not both. It is important to ensure such businesses are accounted for in the census. Failure to do so may result in omission of significant data relevant to the income-generating activities

of women, many of whom may need to run their businesses from home due to lack of freedom of movement, lack of access to financial resources, or because of their concurrent responsibilities to care for children and other family members.

IV.E. Census of Natural Resource Users

In undertaking a census, resettlement practitioners must identify users of natural resources who rely on ecosystems for their livelihoods both inside and outside of the project site where the project might impact those natural resources. Such users may be active year round, or they may use the area seasonally. Examples of such users may include the following:

- Transhumance pastoralists
- Livestock herders
- Hunters and trappers
- Foragers (undertaking subsistence activities such as gathering firewood, charcoal, fruits, berries, herbs, mushrooms, honey, and/or medicinal plants)
- Fisherpeople
- Intertidal and nearshore gleaners
- Artisanal and small-scale miners
- Artisanal sand diggers
- Collectors of NTFPs for trade or self-consumption

Careful investigation is required to identify such users and record their names for census purposes. Typical steps might involve the following:

- Interview resource users to gain an understanding of the range of natural resource users who utilize the project site, the nature and timing of their activities, and where they can be contacted.
- Develop a preliminary list of user groups and decide on the approaches that will be used to expand this into a census.
- Approach government land or resource managers to identify licensed users or draw on their knowledge of resource users active in the project area of influence.
- Talk to surrounding village leaders or elders who may be able introduce key users.
- Talk to local NGOs or women's organizations that may have information on the use of resources by women.
- Approach user associations—for example, hunting or fishing associations and rubber tapper and medicinal plant collectives—to obtain information about members.
- Conduct field observations and interviews to substantiate the quantity of resources being used. For example, enumerators could wait where fishing

boats off-load or at known paths into natural resource areas where they can gather, weigh, and record the type and quantity of resources being harvested or collected and the names and details of those utilizing the area.

- Install a GPS device on potentially affected fishing boats for several days to identify fishing boat routes and fishing grounds.
- Attend markets on days when NTFP buyers and sellers are known to be in town.
- Telephone or travel to locations of known herders or pastoralists to record their details.
- Triangulate information from the above sources to form a comprehensive census of users.

In some instances, natural resource users with no legally recognized claim may be solely reliant on these for their livelihood. Such uses may be customary or have been undertaken for long durations. While a project sponsor must not condone illegal activity, such users may experience hardship and an increased risk of poverty as the result of impacts of a project development and can be persistent in their claims for support. Others may experience hardship but because the illegality of their work cannot access compensation, thereby increasing their risk of poverty. These groups are project-affected and should be recognized in the census so that the project will include those affected in a plan to address how these risks and impacts will be avoided, minimized, mitigated, or compensated. If an accommodation cannot be negotiated directly with such users, consideration should be given to engaging a third party trusted by the users (such as an NGO) to consult, establish the users' circumstances, and broker appropriate support on their behalf.

IV.F. Third-Party Property Interests: Tenants, Renters, and Sharecroppers

In addition to households that have direct rights to land, it is also important to identify and record those with third-party interests. At their simplest, these may include people who have entered into either formal or informal agreements with the landowner, such as renters, lessees, tenants, or sharecroppers. Under some circumstances, third-party interests may also include mortgagees. In urban settings, there can be many variations in the third-party arrangement. Identifying third-party property interests and designing appropriate compensation measures for both tenants and landlords can be one of the more complex challenges facing resettlement practitioners. It is not unusual for landowners to evict renters once they know that a census will be undertaken, out of fear that having a renter will dilute their compensation package. Many countries have complex arrangements for lessees and lessors where payment

may include a share of crops, seasonal payments, or annual rent. Often, to support people who are vulnerable, landowners allow people to live on their land rent-free. In places like Uganda, there are formal relationships between landowners and long-time lessees, in which the lease right (*kibanja*) can be sold with permission from the landowner. It is critical for the practitioner to understand the complexities of these relationships and be guided by local authorities. The full range of third-party arrangements in the project footprint should be identified as part of resettlement scoping (refer to Module 1. Scoping of Land-Acquisition Impacts and Appendix A. Scoping-Stage Checklist) and prior to the design of census forms. See box 4.4.

Box 4.4. Census of Tenants in Guinea

In the Guinea Alumina Corporation (GAC) project in the Daprass area of the Kamsar industrial town, it was identified early at the scoping stage that potentially displaced houses were home to numerous tenants, and that they sometimes had been designed and built specifically to accommodate tenants (multiple one-room and two-room dwellings). It was also observed that tenants would be significantly affected by the loss of their rented homes, as there was a shortage of dwellings suitable and affordable for tenants in the central areas of the city, and that rents were high and landlords very demanding as a result (e.g., charging high down payments).

Identifying tenants eligible for compensation was therefore critical. When asked whether they had tenants, landlords were not necessarily forthcoming with a full identification of tenants, as they may have perceived that this would be detrimental to the calculation of their compensation. In addition to asking landlords, the project employed a combination of methods to properly identify tenants, including the following:

- Asking the census committee (community members that were established as a committee to facilitate the census and surveys in early stages of resettlement planning) whether they were aware of any tenants in the building subject to the census
- Asking individuals (other than the landlord) found to occupy the building whether they were tenants
- Checking on the parts of the building actually occupied by the owner and asking people found in other parts whether they were tenants
- Revisiting and repeating tasks when there were doubts
- Understanding a pattern that is common in West Africa for shops: namely, that the shop structure and the shop operation often belong to two different individuals, with the shop operator renting the building from a landlord. (Compensation for the loss of the shop structure and compensation for the loss of business income were therefore provided to two different individuals.)

IV.G. Resources for Undertaking the Census

The census should be undertaken by a team of trained enumerators. The team should represent the diversity of people in the communities. This can be the same team that undertakes the socioeconomic survey or the land and asset surveys. Depending on the scale of resettlement, the census could be undertaken by the project resettlement or community relations team, local government staff, a local university, a local NGO, or specialist consultants. The field team will need to receive practical on-the-job training from their supervisors or consultants. A pilot census should be undertaken with a small sample and cross-section of households and then reviewed to ensure that the approach and questions asked are appropriate and relevant, and if not, revised. Each census team might consist of one or two members accompanied by a local leader or other person very familiar with the community. Census team tasks may include the following:

- Interviewing the household members and completing a census questionnaire
- Photographing the household head, other household members present, and the household's principal fixed assets
- Taking GPS readings on the thresholds of the principal household buildings

Typical equipment for each team might consist of a handheld GPS unit and camera, a camera with in-built GPS, or electronic tablets with camera and facility to complete the census form digitally, for subsequent transmission to a central database.

Where accuracy of measurements is critical (dense urban settings), the use of differential GPS should be considered.[29]

Table 4.2 describes the "do's and don'ts" to consider when conducting a resettlement census.

[29] A differential GPS uses one or more ground-based reference stations to provide improved location accuracy for data received from satellites. Best implementation of differential GPS provides locational accuracy +/– 100 millimeters compared to +/– 5 meters for standard GPS. Differential GPS is commonly used for topographic and engineering surveys.

Table 4.2. The Do's and Don'ts of the Resettlement Census

DO'S	DON'TS
Align project census definitions (e.g., household definition, occupation categories) with those used for the national census or other national statistical surveys if practicable and appropriate. This enables project survey findings to be correlated with wider statistical information to provide insight into what makes project-affected communities common or distinctive. Ensure that census enumerators are trained to consistently and correctly to apply terms such as *household*, *family*, *landowner*, *user*, and *occupant*. Obtain aerial photography or satellite imagery that corresponds as closely as possible with the cutoff date—this can provide a snapshot of all structures, crops, and land improvements eligible for compensation and can be used to identify speculative planting or construction occurring after the cutoff date. Use GPS to record locations of dwellings and businesses as part of the census. These can be correlated with up-to-date orthophotographs[a] or satellite imagery. Ensure eligible households have some form of unique identification (e.g., either a national identity card or a project-issued registration card) once census findings have been validated. Consider using fingerprint scanners (where appropriate or available) to identify eligible parties and to avoid confusion where names are spelled inconsistently or where many people or families have the same name. For linear projects, consider establishing cutoff dates by section based on the project construction schedule (e.g., one cutoff date for each section or construction phase) and/or by administrative boundaries (e.g., one cutoff date for each district).	Divulge private or confidential personal and household information. Rely only on information about quantity of fish caught or resources harvested from utilizers of natural resources. Proceed with a census without a robust grievance management mechanism in place. Overlook seasonal or transient site users who may not be present at the time of census, such as herders, transhumance pastoralists, foragers, hunters, and fisherpeople. Overlook informal users, including squatters and third-party users (renters, tenants, sharecroppers).

[a] An orthophotographs is an aerial photograph or image that has been corrected ("orthorectified") such that the scale is uniform. Unlike an uncorrected aerial photograph, an orthophotographs can be used to measure true distances or areas.

V. The Land and Assets Inventory

The land and assets inventory[30] involves the survey and measurement of household, enterprise, and community assets that will be subject to loss (or loss of access) as a result of a project. Assets can include (but are not limited to) rights to land, land improvements, dwellings and associated structures, other immovable property, trees and crops, community assets and access to natural resources, and cultural and spiritual property.

The purpose of the land and assets inventory is to define what will be lost (e.g., land, assets, and access to resources) due to the project. This will be the basis for valuation of losses and determination of compensation. Other objectives and tasks of the land and asset inventory include the following:

- Identifying displaced landowners, occupants, and users and verifying their tenurial status
- Surveying and establishing the boundaries of each affected landholder's land plot(s)
- Surveying, measuring, counting, and recording the land and assets that each household, enterprise, or community will lose due to the project
- Collecting and recording all parameters needed for the valuation of land and assets
- Identifying and delimiting common property and natural resources that may be lost or subject to restrictions of access
- Mapping and recording cultural heritage that will be displaced and establishing its owners or custodians

Coupled with the census, the inventory supports establishing a cutoff date.

As a precursor to any land and asset inventory, all involved parties should be briefed and receive training on IFC PS5 and, in particular, on any areas where PS5 requirements may be more extensive than those under national legislation. Government land officers, local surveyors, and lawyers will typically have well-established procedures for undertaking land and asset inventories and will revert to these unless they understand the rationale and requirements for any

[30] The terminology may vary. This exercise has been called *inventory* in this handbook; however, the terms *asset survey* or *measurement survey* are also used in some jurisdictions or in certain standards to describe the same concept.

additional measures. Areas where PS5 requirements are often more extensive than national law include the following:

- Obligations related to providing information and engagement with affected households and host communities before embarking on land and asset inventories
- The need to widely publicize a cutoff date
- The obligation to make affected persons aware of avenues for making a complaint
- The need to recognize certain categories of informal or extralegal land use and occupation that might be excluded from official land and asset surveys
- The need to recognize displacement of common property and natural resources users
- The need to recognize informal and ambulatory businesses

Land and asset inventories may be led by government, supervised by government, or undertaken entirely by a project land or resettlement team or project consultants and contractors. The approach is sometimes dictated by national legislation or by responsibilities defined in host government agreements, concession agreements, or as part of license conditions. Whichever approach is adopted, the division of responsibilities between project and government should be clearly defined. It is not unusual for there to be gaps between the requirements of PS5 and national law. One typical conflict involves including squatters or informal land users in land and asset surveys. Often it is against national policy for governments to compensate squatters out of fear that such measures will only serve to encourage illegal settlements. Resolving this conflict can be challenging. One option is for the project to undertake the survey (and compensation process). Where land and asset inventories are government led but where the project sponsor is required to pay for compensation, procedures for quality assurance and validation should be agreed to at the outset. Such procedures may include one or a combination of the following:

- Asset inventories implemented by a government agency, with participation (and sign-off, if possible) of company representatives
- Asset inventories implemented by a company (or a contractor appointed by the company), with government representatives participating and signing off
- Asset inventories implemented by a third party (private contractor) based on a mutually agreeable scope of work, with government and company representatives signing off on inventory sheets

Where roles and responsibilities in legislation or project agreements are unclear, it may be desirable to develop a joint project-government land-acquisition and resettlement MoU at the scoping stage. Such an agreement should clearly define

standards, steps to be followed, time frames, and the roles and responsibilities of each party (refer to Module 1. III.J. Scoping Field Visit and Review).

Depending on the scale of the project, activities to be undertaken during the land and asset inventory may include tasks and components, as outlined in the following lists.

V.A. Before Survey

- Define rights to land (permanent acquisition, temporary occupation, and restrictions such as easement rights for transmission and pipeline corridors) necessary for the planning, construction, and operation of the project.
- Carefully research the types of land tenure arrangements existing on the project footprint—pay particular attention to any customary and/or informal rights that may coexist (or conflict) with statutory land titles and understand how these are established and formalized (see box 4.5).
- Understand the types of third-party property usage rights that might exist in the area, including renters, sharecroppers, and so forth.
- Research land titles specific to the project site as well as any other kinds of landownership or land-use rights records in state, regional, and district land cadastres, as well as village-level land allocation records.
- Conduct research to understand women's ownership rights and which assets women typically own. (It is not unusual for ownership of assets to be split among spouses: for example, men owning the trees but women owning the fruit.)
- Determine national legislative requirements for undertaking land surveys and measurement, valuation, compensation, and resettlement. Make a plan to bridge the gap between the national requirements and PS5 if needed.
- Determine the respective roles of government and the project sponsor—and formalize this in an MoU, if needed.
- Agree with government on the standards that will be applied for land acquisition and resettlement—make specific reference to the need to comply with IFC PS5 as well as national legislative requirements in any government/project MoU.
- Identify the responsible government departments and officers and any other key stakeholders.
- Establish mechanisms for government-project coordination, such as regular meetings or formation of a joint project-government land and resettlement steering committee and/or working group (see also Module 3. VI.A. Government).

Box 4.5. Example of Urban Tenure Types in the Philippines

Urban land and property tenure can be complex. In Manila, the Philippines, for example, there are seven basic tenure combinations, with many variations on these. These include hybrids of formal and informal property rights and occupation. All tenure types are regularly transferred between owners for cash payment.

- Titled ownership of house and lot (private title)
- Rent house or room including lot
- Own house, rent lot
- Own house, rent-free lot with consent of owners (e.g., so-called backyard dwellers)
- Own house, rent-free lot without consent of owner (e.g., informal settlement on public land)
- Rent-free house and lot with consent of owners
- Rent-free house and lot without consent of owners

Before conducting resettlement census and surveys in this context, stakeholder engagement is necessary to reach consensus on the categories of tenure types that will be recognized for compensation and the procedures that will be used for validating ownership or land-use and/or property rights.

- Define the expertise needed to complete the land and assets survey, including any licensed professionals that might be required by law (e.g., valuers, surveyors, and lawyers).
- Assemble a team with such licensed professionals as mandated under local legislation and other required expertise (e.g., members with training in legal, resettlement, land surveying, valuation, forestry, agriculture, animal husbandry, building survey, and GIS practices). Try to ensure the team includes men and women.
- Conduct a pilot test to ensure consistency of responses and recording.
- Prepare communication activities as part of the overall Stakeholder Engagement Plan (refer to Module 3. VIII. Communication and Information Disclosure) for the rollout of the land and assets survey, to include relevant levels of government, local leadership, and communities.
- Visit the project footprint and do the following:
    - Identify any existing survey monuments or markers and, if necessary, place new ones to clearly delineate the project site.
    - Determine whether cadastral and land parcel information is complete and up-to-date and accurately reflects current ownership and occupation, or whether additional land parcel surveys will be required.
    - Develop a typology of affected land and assets that will need to be measured and recorded as part of the land and assets inventory.

- Identify the extent of any customary rights to land and any informal land occupation or usage.

- Develop a land and asset inventory recording form (see Appendix C. Example of a Land and Asset Inventory Form). This should take into account the parameter and units that will be used for asset valuation and be in a format that will allow easy inputting into the database.
- Conduct training with the land and asset inventory teams on national legislative and PS5 requirements and field procedures, use of equipment (GPS, camera and video, PC/tablet), and data recording; role play typical field situations that the land and asset inventory teams may encounter.
- Understand the mechanisms for resolving land ownership disputes. (What kind of disputes can and cannot be resolved by the land and asset inventory team? What are legislative avenues for resolving land disputes and conflicts? When must these avenues be used and what parties must be involved?)
- Conduct meetings to brief regional, district, and village leaders on the steps that will be followed for the land and asset inventory.

V.B. During Inventory

- Conduct a meeting or meetings with PAPs (men and women) to explain the land and asset inventory purpose and process and avenues for making a complaint.
- Verify land parcel boundaries on the ground with affected owners, users, occupants, and neighbors—where necessary update land-parceling plans to reflect current ownership and use.
- Promptly resolve any boundary discrepancies or landownership conflicts with adjacent landholders in the field or refer them to the relevant statutory processes or RAP grievance management system.
- Concurrently with the land parcel verification, carry out a process of landholder identification—verify tenurial status and owners and users of each land parcel.
- Where possible, when incidence of informal occupancy is high, register each landholder's interest in land at least at the village or district level.
- Prepare a compensation dossier for each eligible landholder (electronic with paper back-up), to include the following:
  - Identity information and copy or scans of identity documents
  - Copy or scans of original field asset survey forms
  - Signed-off asset summaries and compensation agreements (to be included at a later stage)

- With the participation of each affected landholder or land-right user, survey, measure, count, and map assets (land, trees, crops, livestock, structures, and improvements) belonging to each landowner or land user and record all information spatially (with GIS) in tabular form and with photographs and video.
- Enter land information into the project database, identify any discrepancies, and immediately return to the field to resolve these with the landholder (and neighboring landowners, if relevant, such as in boundary disputes) so that such grievances do not escalate by being left unattended for long periods.
- Once complete, the landholder, a project representative, and a third-party witness (e.g., government representative, trusted village leader, or legal NGO) should sign an asset summary. (See Module 6. IV. Task 1: Defining Compensation and Resettlement Entitlements and Obtaining Sign-Off.)

V.C. After Inventory

- Prepare a summary tabulation of affected land and assets and share with the affected household in an asset summary (see example in Appendix E. Example of an Asset Sheet).
- Apply compensation rates (see Module 2. VII.B. Valuation and Compensation Rates).
- Determine compensation budget (see Module 2. VII.B. Valuation and Compensation Rates and Module 2. X.B. RAP/LRP Budget).
- Prepare compensation agreements (household, enterprise, and community).
- Facilitate households assembling of documents, notarizations, and the like for the purposes of entering into compensation agreements.

Consider locally disclosing the completed land parcel map and list of verified owners. This ensures the transparency of the process and gives community members one final opportunity to ratify or challenge the land survey, ownership, and land-use rights.

Community and government infrastructure and assets should also be surveyed by the land and asset team, with representatives from the responsible authority or owning entity. These assets should be surveyed and recorded even when the intention is to replace them in kind. Care should be taken to identify the right custodian. Religious buildings, for example, may be the property of the community, a religious organization, or even a family or individual. Roads, wells, other water sources, or other village infrastructure could variously be private, property of a village or community, or local or higher levels of government. Agreements should be put in place with each custodian describing how these assets will be compensated for or replaced.

Table 4.3 outlines key points to remember when conducting land and assets inventories to ensure a fair and transparent compensation process and to prevent disputes before and after project impacts to land and assets.

Table 4.3. The Do's and Don'ts of the Land and Assets Inventories

DO'S	DON'TS
Use low-level orthophotos where available as a time-saving tool to map land parcels and identify affected assets. Specify comprehensive aerial photography coverage (to anticipate potential replacement housing and agricultural sites and adjacent host communities, as well as areas that may be subject to in-migration or other project uses such as borrows, camps, laydown areas, and so forth—it pays to cover a wider area than the project anticipates it will need, as the marginal cost of wider coverage is generally minimal compared to contracting additional aerial photography later). Investigate avenues to regularize or otherwise formally recognize informal users and occupiers and their property rights, such as through a certificate from the local government. It is much easier to conduct transactions where rights have some kind of official recognition. Place survey markings that clearly delimit the project land and make clear to occupants which land and assets are affected and which are not. Take copious photographic and video records of property and structures that will be lost or may be potentially affected by project construction works or vehicles. Often disputes or claims for compensation can arise after a site or corridor has been cleared. In such cases, earlier air photos (including photos taken from aerial drones), ground photos, and videos can be invaluable for verifying site conditions, trees, crops, and assets prior to project impacts. Systematically record by survey, photographs, and videos the condition of existing roads, culverts, bridges, river crossings, drains, and irrigation systems that may be potentially impacted by project construction works or vehicles—these will be invaluable if there are later disputes about the preproject condition or operability of community or local government infrastructure or claims relating to damage.	So far as possible, survey or measure land and assets of households or enterprises that are not affected by a project—the act of measurement creates expectations of compensation that can be difficult to manage. Overlook customary or traditional rights to land (which may, in some cases, conflict with statutory rights to land). Overlook the need for independent governance checks and oversight as corruption, collusion, and fraudulent practices during land and asset surveys are common.

(*Table continued on next page*)

Table 4.3. ***(Continued)***

DO'S	DON'TS
Actively involve the property owner and users (house owner, landowner or user, crop owner) in the survey and measurement process. Actively involve local women in the survey and measurement process. Help landholders to regularize or otherwise certify their interests in land. Involve specialists, particularly in measurement and valuation of land, productive trees, and timber species. Measure and record, as far as feasible, size and condition of structures, and undertake careful counts of individual trees and perennial crops—the tendency to roughly count, estimate, or round up in favor of the landowner can become a liability if there are disputes about numbers, quantities, or valuations afterward. It can also lead to jealousy and requests for recounts by neighbors if they think they can obtain an inflated estimate. Results should be replicable if there is a need to check them later. Use overlays on orthophotos or use GIS maps to show the spatial distribution of land and assets. This improves transparency and reduces risks of overlaps, double counting, or fraudulent overcounting of assets. Have a record of the completed inventory signed by the affected property owner or land-right user. Have a trusted third-party witness and sign off on the survey and inventory field summary (e.g., village officer or elder, district office representative). Measure and record all assets that will be lost, including those that will be replaced in-kind. Agree with government (e.g., through an MoU), on a system for validation of data prior to commencement of a government-led land and asset survey process, particularly if the project sponsor is to cover the cost of land acquisition and compensation.	

VI. Socioeconomic Research and Surveys

Socioeconomic research and surveys are meant to generate a baseline that will be used throughout the project's life to assess whether resettlement objectives are met, and livelihoods are, at a minimum, restored. They involve the application of quantitative and qualitative research and survey tools to develop a set of data that describes the socioeconomic conditions, living standards, and livelihoods of project-affected communities and their potential hosts prior to resettlement. The research and surveys should yield results that are reliable, sensitive, and valid and should be designed consistent with monitoring requirements and indicators.

Techniques used for a socioeconomic survey should meet the criteria of reliability, validity, and sensitivity as defined in box 4.6.

Socioeconomic surveys designed for resettlement should follow social research good practice. Survey and research designs should include a mix of quantitative methods (e.g., household socioeconomic questionnaires) and qualitative research methods (e.g., PA techniques, including interviews with resource persons, focus group discussions, and case studies). See Module 3. IV.C. Focus Groups and IV.H. Participatory Appraisal Techniques.

It is important to select a set of KPIs early on that will be used throughout project implementation and monitoring to measure the restoration and improvement of livelihoods.

Box 4.6. Criteria for Socioeconomic Survey Techniques

To have value for future monitoring of progress toward restoration of living standards and livelihoods, socioeconomic survey techniques need to yield results that are reliable, valid, and sensitive.

- *Reliability* is the extent to which the survey instrument produces the same results when used repeatedly to measure the same thing. Socioeconomic surveys used to collect resettlement baseline data need to be replicable for monitoring purposes.
- *Validity* is the extent to which the survey measures what it is intended to measure.
- *Sensitivity* refers to whether the survey instrument is sensitive enough to measure key changes resulting from a resettlement intervention.

Household socioeconomic questionnaires are useful for generating one-dimensional quantitative indicators to measure resettlement impacts and outcomes. They are less useful for understanding complex, multidimensional, and dynamic constructs such as poverty, livelihoods, community organization and support networks, gender roles, and leadership. Mixed-method survey and research designs introduce qualitative indicators that help the resettlement team understand the meaning and processes that underlie the statistical indicators derived from quantitative household questionnaires.

VI.A. Review of Published Statistics

The starting point for socioeconomic design should be a review of published social reports and statistics relevant to the project area of influence. Although general and not necessarily entirely applicable to the specific context of the affected households, these can provide some preliminary characterization of the local population that needs to be sampled and prevailing socioeconomic conditions. Sources of information include the following:

- National statistical offices: providing, for example, census results and special study reports
- Local government and village-level statistics for population, education, health, agricultural production, and the like
- World Bank Living Standards Measurement Surveys database
- Demographic and health surveys
- World Food Program Comprehensive Food Security and Vulnerability Analysis
- Integrated Demographic Surveillance System
- Project ESIA reports, if these have been completed

The World Bank's Living Standards Measurement Study website is an invaluable resource, not only for detailed household socioeconomic survey data, but also for survey questionnaire modules that can be readily adapted for resettlement use.[31]

VI.B. Quantitative Surveys

The most common quantitative survey method utilized for resettlement data gathering is the household socioeconomic questionnaire (see example in Appendix D. Example of a Livelihood Questionnaire).

[31] Find the World Bank's Living Standards Measurement Study at https://www.worldbank.org/en/programs/lsms.

Quantitative surveys are useful for obtaining empirical measures of household living standards and livelihoods before displacement. Where possible, survey indicators should be aligned with national census data or other statistical indices so the socioeconomic status of displaced groups can be correlated with regional or national measures. Surveys undertaken for the ESIA are not generally sufficiently focused or detailed enough for resettlement-planning purposes. But such surveys can be useful for informing the development of resettlement survey instruments and sampling design.

Terms of reference should be developed for the consultant or institution that undertakes the household socioeconomic survey. The terms of reference should cover the following steps:

- Design of the survey instrument (and encoding for data entry)
- Sampling design
- Training of the survey team
- Pilot testing and refinement of the survey instrument and sampling protocols
- Survey implementation
- Data encoding and entry into a database
- Data cleaning and quality review
- Data analysis
- Report preparation

There are many innovations that can facilitate the conduct of socioeconomic studies. Box 4.7 describes the benefits of using electronics tablets for surveys.

The pilot test is a critical step to refine and finalize the questionnaire, but pilot test results should be discarded. The pilot should be conducted by the core team that will implement the actual survey, and the team should conduct the following:

- Check that the sampling method (and protocol for selecting replacements where a household is not available or cannot be interviewed for other reasons) works in the field.
- Verify that questions are straightforward, unambiguous, and meaningful to a diverse sample of interviewers and respondents—and that they are correctly translated and in appropriate languages.
- Confirm that technical terms and units of measurement are familiar to enumerators and respondents.
- Check the duration of interviews.
- Check the consistency of understanding questions and recording among the enumerators and respondents.
- Test and refine encoding (or software and data management systems, where tablets are used).

Box 4.7. Benefits of Tablet-Based Electronic Survey and Data Entry

Increasingly, electronic tablets are being used for carrying out household surveys in developing countries. Tablets can be programmed with survey questions and enumerator instructions and can incorporate consistency and completeness checks to ensure that the enumerator satisfactorily completes each questionnaire.

The major benefit of tablet-based interviews is that they eliminate the need for data encoding and entry—a time-consuming process and significant source of errors. Other benefits of tablets include the following:

- Lower cost per completed survey (eliminating time spent in encoding and data entry)
- Reduced survey and data-processing time
- Elimination of data entry errors
- Incorporation of consistency and completeness checks
- Ability to capture photos and GPS coordinates

Potential disadvantages include the following:

- The need of a power source for overnight recharging
- The lack of a paper record, and so no back-up if a technical malfunction occurs—surveys that have not been uploaded to a central server will need to be repeated

The socioeconomic survey instrument should be designed by experienced social specialists familiar with (i) conducting resettlement surveys to meet international standards and (ii) the living conditions and livelihood systems of the displaced population. Ideally, the design should be done by a specialist experienced with international standards and a local specialist working as a team.

The survey design should cover all affected groups. Household questionnaires should have in place clear procedures for recording absentee households and those that decline to participate.

For resettlement- and livelihood-planning purposes, the quantitative survey should encompass the broad topics summarized in table 4.4.

The household socioeconomic survey should take no longer than 1 to 1.5 hours to administer. While people's tolerance to being interviewed varies between countries and settings, surveys longer than this can lead to diminished attention and responsiveness. Also, longer surveys may represent a significant opportunity cost in terms of household members' productive time and add significantly to the cost of undertaking the survey. Ensure that the focus of the survey is on obtaining information pertinent to land acquisition and resettlement and avoid collecting other social information that may be of general interest but of no relevance. Too much irrelevant information can lead to distraction, confusion, and "analysis paralysis."

Table 4.4. Checklist of Household Data Requirements for Resettlement Questionnaire (rural setting)

TOPIC	PARAMETERS
Household identification (correlate with census data)	Household ID, name and gender identity of household head, address/location details, identification number, contact details
Household members and demographic characteristics (if not captured in the census)	Age, gender, ethnicity, religion, languages, relationship to the household head, educational attainment, occupation of each household member
Dwelling	House tenure status, rental amount, area, number of rooms, construction materials, level of finishes (these can be captured in the asset survey as well)
Household access to land (for all household members)	Summary of household land area, types, and locations; distance of agricultural parcels from current residence; tenure or basis for use; land disaggregated into project-affected and not affected; use of land in the previous year or growing season (It is important to capture household land located outside of the affected area to ensure that households can still access it after resettlement.)
Trees and perennial and annual crops	Perennial and annual crops planted in the past year, inputs, self-consumed production, production sold
Household ownership of livestock	Number and types of livestock, use, by-products
Self-employment	Nature of business, months of operation, gross income, principle business expenditures, number of employees, average monthly income, fixed buildings, plant and equipment
Household assets	Ownership of assets and household items such as TVs, computers, electrical appliances (to be adapted depending on the local context)
Economic activities of the household	All productive activities for cash and subsistence, use of natural resources and common property, seasonal activities, secondary processing, crop storage, barter and exchange, use of markets and middlemen
Household income	Household annual income range, household income sources (all members)

(*Table continued on next page*)

Table 4.4. *(Continued)*

TOPIC	PARAMETERS
Household consumption and expenditure	Household self-consumed production and expenditure on food and nonfood items (sex disaggregated)
Savings, indebtedness, and access to credit	Household savings and savings vehicles, household loans and debts, sources of credit used by household members, purpose of loans, household total indebtedness
Food security and nutrition	Months in the past year household has experienced insufficient food, reasons for insufficient food, coping strategies during periods of food hardship
Health	Visits to health care provider in prior four weeks, type of health care provider, type of illness or injury, selected questions on women's and young children's health, household expenditure on health care in previous weeks
Natural resource use	Household's use of natural resources (including foraging, fishing, hunting, grazing)—list of seasonal activities, locations, products gathered for self-use and sale, member's time spent in foraging and other resource-based activities (ensure that women's natural resource use is included)
Access to infrastructure	Water (sources of water, quality, amounts paid), energy (cooking fuel, lighting, heating), sanitation (type of toilet, disposal system, costs), rubbish disposal, and time spent in gathering water, fuelwood, and so forth
Access to social services and social networks	Childcare, primary school and secondary school, markets, public transport, health clinic, hospital—travel times, quality of service
Outside assistance and trusted groups	Household members' participation in outside groups and development programs, outside assistance received, groups or individuals turned to for advice or assistance
Household's self-assessment of household welfare	Household's own assessment as to whether household is very rich/rich/comfortable/can manage to get by/never quite have enough/poor/destitute; levels of satisfaction with health, financial situation, housing, access to health care, access to education, and law and order—can be complemented by questions on the same topic to other members of the household

(*Table continued on next page*)

Table 4.4. *(Continued)*

TOPIC	PARAMETERS
Recent shocks to household welfare	Shocks to household welfare over past five years and impact on household income or assets
Attitudes and preferences for resettlement	Preferences for self-relocation or project-directed resettlement, criteria for replacement site selection, any preferred locations for housing and/or farmland, other livelihood preferences
Attitudes toward the project	Anticipated benefits and concerns—assess status of project's social license to operate (see: Module 3. Stakeholder Engagement)
Skills available in the household	Available skills that could be mobilized for project direct or indirect employment in the project (can also be collected in the livelihood surveys, see section VII.H. Skills Base of this module)

It is common practice in socioeconomic surveys to select the head of household, in most cases a man, to answer the questions for the household. The practice introduces a degree of bias as it is unlikely that the male spouse is able to answer questions accurately about the female spouse's income-generating activities, nor her concerns about and expectations for the project. With increased gender sensitivity, enumerators can and should include questions for the female spouse to answer to increase the accuracy of the surveys.

Household questionnaires are not generally suitable for gathering reliable information about tree or crop yields. Such information is time consuming to record within a household questionnaire format, and unless the enumerator has agricultural training and can probe in-depth, it is likely to result in data of dubious reliability. Refer to section VII.A. Agricultural and Livestock Production Baseline Data Collection of this module for recommendations on gathering agricultural data.

VI.C. Qualitative Research

Qualitative research techniques are useful for understanding in greater depth the relationships, networks, actors, and processes that contribute to community standards of living. It can be purposive, targeted to reach affected population subgroups and resource persons. Interviews are typically carried out by a skilled social researcher or community development specialist rather than a quantitative survey enumerator. Commonly, the researcher will seek to gather

views from multiple sources with differing perspectives to cross-verify and broaden understanding of issues. Women's knowledge and views are typically underrepresented in baseline studies. Qualitative research approaches provide an effective way to bridge the gap. The following are typical uses of qualitative techniques in a resettlement context:

- Understanding gender and power relations among displaced communities, local government, traditional leaders, and other authority figures
- Targeting specific groups (e.g., vulnerable households, women or absentee landowners, youth, or elders) that may be too small or difficult to address through socioeconomic surveys
- Collecting information on sensitive topics (e.g., domestic violence, drug and alcohol abuse, sanitary practices, illegal business activities) or interviewing difficult-to-access groups (e.g., sex workers, artisanal miners, people engaged in poaching or illegal activities, and other marginalized groups)
- Eliciting information from indigenous groups or other specialist resource users whose subsistence activities may not be readily captured through standard socioeconomic quantitative questionnaires, or whose participation in surveys may be limited by marginalization from mainstream communities, language, or cultural factors
- Developing a deeper understanding of a household's daily and seasonal calendar of economic activities, the different roles of household members, and critical links with resources, suppliers, and markets
- Developing an understanding of nonmonetary, subsistence activities and common property use that may involve nonmonetary benefits or values that are difficult to capture in a socioeconomic questionnaire
- Exploring perceptions, attitudes, and concerns of affected and host communities
- Exploring areas of potential conflict or tension within groups to be displaced or with outsiders
- Understanding household or community responses to change or hardship, the strategies they use, the risks of increased domestic violence, and social safety nets available to them
- Engaging with communities such as indigenous groups who might have a preference for group discussion or communal decision-making

PA techniques are highly applicable for initial livelihood investigation, particularly for defining agricultural and common property resource use. These include participatory community and resource mapping, transect walks, development of seasonal calendars, and group activities to prioritize the importance of various sources of livelihood or other needs.

Techniques to be used for socioeconomic studies should be determined by a social specialist that understands the strengths and weaknesses of each approach. (See Module 3. Stakeholder Engagement for more information on PA techniques, particularly section IV.H. Participatory Appraisal Techniques) Common qualitative research techniques include the following:

- *Community and resource mapping*. Participants are given paper and drawing materials to enable them as groups or individually to prepare maps of their community and resources. In a resettlement context, three types of maps maybe useful: (i) maps showing the organization of a village or community (as a tool for understanding key social and functional relationships for replacement settlement planning), (ii) maps showing the spatial pattern and organization of livelihood resources (e.g., agricultural lands and common property resources), and (iii) maps indicating sacred sites and cultural heritage. Mapping is important both as a process tool for fostering participation and communication and for generating discussion about existing and future priorities.
- *Interviews with resource persons (often called "key informant interviews")*. One-on-one interviews are conducted with individuals selected for their knowledge, experience, or insight into a particular topic. Interviews are semistructured and typically based around an interview guide that lists topics or questions to be covered.
- *Transect walk*. This information-gathering technique involves a skilled researcher taking a two- to three-hour walk through a community with community or interest group representatives for direct observation, community interaction, and diagramming of key activities and land uses.
- *Focus group discussions*. Eight to 10 participants, selected based on background or particular characteristics, participate in a guided discussion. A facilitator typically uses a set of questions or probes to focus the discussion on topics of interest. Sessions may be recorded, and transcripts prepared for detailed analysis. Recorders other than the facilitator may note comments and make observations on the behavior of the participants. Single-sexed groups or groups defined by age can be useful if some of the topics that need to be discussed are sensitive or are likely to yield different responses.
- *Case studies*. A researcher may use a combination of interviews, discussions, and direct observation to develop a multidimensional profile of a household's or group's livelihood activities, adaptive strategies, economic networks, use of social services, and the like.
- *Household, gender, or enterprise diaries*. Either a researcher (or the household, individual, or enterprise) maintains a daily diary on subjects of interest. This could be daily income and expenditure of a household or enterprise, a family's agricultural and livelihood activities, or fishing or

hunting activities. This technique can be particularly useful for gathering information about natural resource–reliant families or a community's livelihood activities and range.

- *Group interview.* This involves asking a series of questions and facilitating discussion in a meeting open to all community members. The interviewer may follow a structured or semistructured set of questions.
- *Direct observation.* This entails a detailed observation form to record what is seen and heard at a program site. The information may be about past land acquisition and resettlement, ongoing activities, processes, discussions, social interactions, and observable results.

Some do's and don'ts for socioeconomic research and surveys are summarized in table 4.5.

Table 4.5. The Do's and Don'ts of Socioeconomic Research and Surveys

DO'S	DON'TS
Use mixed methods research and survey designs. Use qualitative methods to obtain complex information, such as details on traditional land tenure arrangements, calendars, or respective responsibilities and roles in households of men and women. Use local language speakers to facilitate discussions and participatory involvement. Consider engaging a statistician for a sampling design and to help analyze results for larger and more complex projects. Disaggregate all quantitative data by sex and apply a gender analysis to the data. Use gender-sensitive qualitative methods (such as separate focus groups). Design surveys consistent with monitoring indicators. Aim for 100 percent coverage of households in socioeconomic quantitative surveys while recognizing that it may be impossible to achieve a 100 percent monitoring survey of the same households due to deaths, absences, or lack of interest in participating.	Force vulnerable groups to discuss issues that could place them at risk of harm. Draw conclusions from quantitative data unless differences are statistically significant. Use parametric data analysis methods when data are not normally distributed. Rely on information gained from qualitative research without cross-checking and triangulating information.

VII. Livelihood Baseline Research and Surveys

Improving (or at least restoring) livelihoods in accordance with PS5 requirements is the most challenging aspect of any resettlement program. A key starting point for livelihood planning is a comprehensive understanding of affected households' pre-resettlement livelihoods and the suite of resources that households rely on to achieve them. For rural livelihoods, particularly where there is significant subsistence production, it is important to fully account for production and income that may come from multiple ecosystems and niches.

Types of livelihood activities can typically be categorized as follows:

- Land-based
- Wage-based
- Enterprise-based
- Common property—and/or natural resources—based

Categorizing urban livelihoods can be relatively straightforward where the majority of those affected rely on businesses or wage-based employment, but it is much more complex where the affected persons are poor, informal dwellers. Such households may be reliant on multiple income sources, including scavenging, recycling, or providing services or transport in inner-city locations. In the latter case, there is strong interdependency between the dwelling location, population density, and access to sources of income and markets. Households may have little or no capacity to absorb the additional costs for housing, public transport, or energy that may result from a resettlement site situated away from their inner-city origins and sources of livelihood.

Livelihood specialists should be selected based on their familiarity and expertise with the livelihood systems of those affected. Where multiple specialists are used, it is important to coordinate and synthesize findings to understand the full range of income sources and resources utilized by households. Case studies are a useful technique for developing a holistic understanding of urban household livelihoods, the contributions of each member, the division of labor, and the daily activities of household members.

The objectives of livelihood baseline studies are to accomplish the following:

- Identify the sources of livelihood and resources used by all members of the displaced households.
- Describe systems of production, inputs, storage, and handling as well as the seasonal calendar of activities and division of household labor.
- Identify any secondary processing or value adding.[32]

[32] "Value addition" in agriculture refers to the process of adding value to a product (and increasing the return to the producer) by processing, packaging, or branding it so that it commands a higher price. Examples might be processing wheat into flour or taking fresh mangoes and drying and packaging them.

- Quantify production and calculate the value of self-consumed production, products bartered or exchanged, and products sold.
- Identify suppliers and buyers, value chains, and markets used by producers.

VII.A. Agricultural and Livestock Production Baseline Data Collection

An agricultural scientist, agronomist, and livestock specialist familiar with local agricultural and animal husbandry activities should be engaged to undertake livelihood baseline studies. The specialists should undertake field investigations using PA techniques, including observations, key informant and focus group discussions, and farmer case studies to collect baseline data on the following:

- Prevailing types of cropping and grazing land tenure (including customary land) and other arrangements, such as sharecropping
- Criteria used by local farmers to select cropping locations and land-use patterns
- Local soil and land capability conditions
- Typical household types of land use and total landholding, cultivated area, pastures, and/or rangeland
- Calendar of livelihood, agricultural, and animal husbandry activities
- Tree and crop varieties and cultivation techniques
- Level of inputs (hired labor, fertilizers, pesticides, etc.) and use of improved varieties
- Typical average yields (and best yields) achievable on the project site and in any proposed replacement agricultural areas
- Crop, pasture, and/or rangeland rotation and use of fallow land
- Gender roles and division of labor
- Amount of time invested in agricultural and animal husbandry activities versus other activities
- Agricultural risks and coping strategies: for example, drought; fire; insect infestations; theft; losses to pests such as insects, rodents, or baboons; low-input, low output, and low-risk agricultural practices; suitability for introducing high-input and high-output but high-risk agricultural practices as a potential mitigation measure; and so forth
- Methods of crop handling and storage
- Any secondary processing that occurs within the household or community
- Subsistence activities versus cash earning
- Livestock-raising practices and any limiting factors

- Modes of transportation (and costs)
- Markets where produce is sold
- Buyers of produce and pricing arrangements and extent of barter
- Use of common property resources (e.g., for grazing, fuelwood, gathering, fishing, and hunting)
- Participation in any cooperatives, farmer's organizations, and other networks for support
- Access to agricultural and livestock production expertise and extension services

Based on this gathered information, the team should do the following:

- Conduct a field validation and review of resettlement options and communities where displaced households and their activities might be accommodated.
- Recommend a rule-of-thumb farm area (based on land-use types plus fallow land) to provide for household food security—for use in identifying and planning replacement agricultural and grazing land needs.
- Coordinate with other livelihood specialists to develop an understanding of the relative importance of agriculture and livestock production relative to other livelihood activities for household subsistence, cash income, and nutrition.
- Summarize agricultural livelihood opportunities and constraints.

Part of the agricultural specialist's role should be to gather information about crop prices (e.g., at farm gate and local and regional markets at various times of the season) and input costs as the basis for developing compensation rates for tree and crop losses.

VII.B. Foraging Baseline Data Collection

Recent studies show that foraging activities can be significant in rural household incomes. This component of household income is often incompletely described in resettlement projects, leading to underestimation of household losses and significant undervaluation of project impacts on their livelihoods. Foraging activities can be diverse and, in some contexts, may require specialist expertise to help describe, quantify, and value them. For example, communities living adjacent to rainforests in Sumatra, Indonesia, have been found to collect many different kinds of NTFPs. Foraging baseline studies should differentiate the activities of men, women, and children. The surface area of each land-use type should be estimated and mapped.

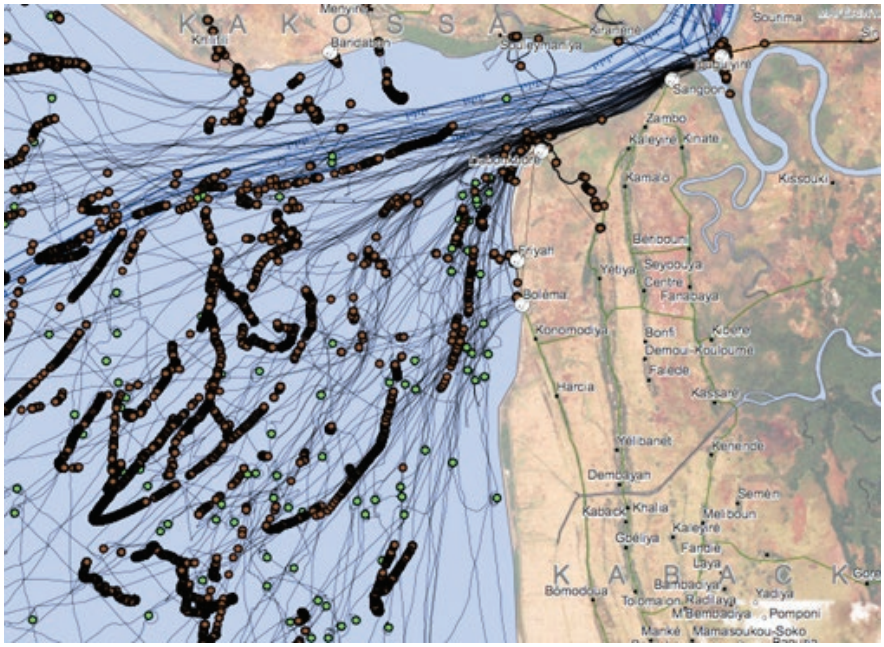
VII.C. Fishing and Gleaning

VII.C.i. Fishing

Fishery baseline studies are difficult to undertake, and artisanal fisheries expertise should be enlisted from the start. The right level of interaction between social and fisheries specialists is critical. The two key issues are (i) the identification of fishing grounds and (ii) the estimation of fish catches. Not all fisherpeople are eager to disclose to strangers where they fish and how much they catch, and when asked directly they tend to answer vaguely. Building trust and explaining the purpose of the surveys is critical to the success of the investigation and may require time. Fishing grounds should be mapped to the extent possible and their size estimated. One simple solution is to equip fishing boats with a GPS device to track boats' movements for a few days, paying attention to seasonality aspects (see map 4.1), subject to the fisherpeople fully understanding the purpose of the survey and consenting to the tracking exercise. Bias is not to be excluded and outcomes must be triangulated—for example, in focus groups, where preliminary results of GPS tracking can be discussed to check their validity and qualify the results. Recognize that the variety of fishing methods is hugely varied—from shoreline line fishing to large-scale, offshore boats.

Measuring fish catches by artisanal fisherpeople is generally done at the landing or port by weighing the catch of each boat. Assessment methods need to be discussed with specialists and the fisherpeople themselves.

Map 4.1. Results of GPS Tracking of Fishing Vessel Movements, Guinea



VII.C.ii. Intertidal or nearshore gleaning

A definition of intertidal gleaning is provided in box 4.8.

Intensity of gleaning activities and location can vary by tide, phases of the moon, weather conditions, and seasons. Absence of gleaners in the intertidal zone on any given day should not be assumed to indicate that gleaning is not an important economic activity.

For intertidal gleaning, the extent of any surveys should consider the likely area affected, duration of project impact, and availability of alternative intertidal gathering areas. For short duration impacts (e.g., the installation of a pipeline landfall), the area affected may be quite small. In such cases, coastal gatherers may be able to straightforwardly access alternative locations, so project activities may have a negligible impact. Other types of projects (e.g., port construction and liquefied natural gas terminals) may result in the permanent loss of access to intertidal gathering areas due to reclamation or engineering works, severing access paths, or the imposition of exclusion zones. In this case, the following should be undertaken:

- A census of regular users of the affected intertidal, near-shore area
- Interviews to learn about the collectors' place of origin map the locations they use for gathering, the frequency with which they use the project-affected area, the kinds of species collected and typical catch quantities and values, and how the catch is utilized or marketed
- Identification of any interdependencies (e.g., access paths, proximity to housing or transport, access to buyers or markets, safety and security)

Box 4.8. Intertidal Gleaning

Intertidal gleaning refers to the collection of intertidal marine resources by hand or hand tools in shallow water, not deeper than one can stand in. It is widely practiced by coastal communities, often by women and children. Gleaning can target a diverse range of shellfish, crustacea, worms, squid, octopus, rays, and fish for self-consumption, barter, giving away, or sale. Unlike other forms of fishing, gleaning can reliably deliver food and so can be important for family food security and as a safety net in times of shortage. Gleaning is sometimes undertaken to service specialty markets such as for sea cucumber, chitons, seaweed, or mother of pearl for the button industry. Gleaning can provide an important social networking opportunity for women, who can also pass on marine-based livelihood skills to their children.

Vii.C.iii. Associated activities

In developing countries, activities associated with fishing are often carried out by close relatives of the fisherpeople, particularly their wives and/or children. They include fish mongering and fish preserving, typically drying or smoking. These activities may be affected where fishing itself is affected, particularly near hydropower projects (HPPs) in freshwater and port projects in marine waters. It is therefore important that surveys of fishing activities extend to these associated activities to understand their baseline conditions and more generally the social and economic circumstances of the people involved, the importance of fishing-related activities in their overall livelihood streams, and the magnitude of impacts. Questionnaires used for fisherpeople may need to be tailored to the specifics of the activity, and focus groups with persons in these categories are a particularly powerful tool.

VII.D. Illicit Activities

A specific issue arises where a project affects illicit activities and the livelihoods that are derived from such. Typical examples include catching species banned from fishing or hunting (such as sturgeon in the Caspian Sea) or various extractive activities carried out in violation of local law (such as sand winning from beaches or river bottoms and subsurface mining by artisanal miners).

This raises several difficult issues:

- Surveying these activities may entail personal security risks for surveyors.
- Concerned individuals will obviously not be prepared to share information about an activity that is illegal and may lead to arrest and prosecution.
- Surveying this illegal activity may be perceived by various stakeholders, including local authorities, as a tacit recognition of its existence and its legitimacy.

Despite these issues, the impact from the cessation of illicit activities can be significant and result in impoverishment as a direct result of the project. As with fishing and fish processing, impacts to illegal activities can have broad and sometimes invisible impacts. For example, artisanal miners may hire women and children to crush rock in exchange for food or money.

Where such situations arise, integrating environmental and social considerations into an overall identification of risks and impacts for the project should enable project proponents to articulate the overall risks and benefits and inform possible ways forward in consultation with government authorities (Ministry of Agriculture, Ministry of Natural Resources or Fisheries, Ministry of Environment, as the case may be), local authorities, and NGOs or other organizations potentially involved in converting illicit livelihoods to alternate legitimate ones.

VII.E. Informal Businesses

Land acquisition can impact a variety of informal businesses—from charcoal or brick making to home-based stores to ambulatory food sellers. Most of these businesses do not keep formal bookkeeping records nor are they registered with the relevant government entities. Households may rely on a range of these small businesses without which they might become impoverished. Women are heavily represented in informal business activities, both as owners and as workers.

Socioeconomic surveys and interviews are critical to understand the importance of these businesses for the households, the interdependencies involved, how location dependent they are, and the type of incomes that they generate. Through these surveys, the project can determine the ease with which a particular business may be able to relocate (for example, an in-home neighborhood store), average income and projected income loss, approaches to mitigate impacts, and ways to enhance livelihood restoration.

VII.F. Formal Businesses

Formal businesses are typically registered with the relevant government entity and keep detailed income and expenditure records. However, surveys are needed to determine the best ways to mitigate impacts, identify relocation options, measure potential impacts, and determine ways to enhance livelihoods. Formal businesses can be highly location dependent, and their relocation can affect populations that are not relocated—day care centers, for example, or schools or a grocery store.

Construction of some projects, particularly linear projects (water pipelines, for example) can temporarily affect both formal and informal businesses. Surveys

are needed to determine the impact a temporary business closure may cause—the effect on a restaurant, for example, closing for three months or experiencing a reduction in customer traffic.

For both formal and informal businesses, surveys could cover the following information:

- Census of all businesses
- Description of business activities
- Review of bookkeeping records if available
- Categorization as formal or informal
- Daily/monthly income and expenses
- Number and type of employees (full time and part time)
- Supply chain and interdependencies

VII.G. Urban Livelihoods Data Collection

Poor, informal, inner-city dwellers often have livelihoods, childcare, and social safety nets that are closely tied to their location, membership incohesive communities, and densities of living difficult to replicate in replacement settlement sites and housing designs. In such circumstances, care should be taken to unbundle all sources of a household's livelihood and support networks. Attention should be paid to interdependencies and distances between dwelling locations, livelihood activities, and markets.

Baseline data collection should also collect information about household recurrent expenditures and goods and services that may be available free (child minding, water, fuelwood, electricity, and transport). The viability of such livelihoods may be undermined by even minimal changes in household costs (e.g., for transport, water, or electricity and for changes to municipal rates and taxes) that result from relocation.

VII.H. Skills Base

Basic information about the skills available in each household should be gathered in view of potential project direct or indirect employment (see also Module 5. VI.A. Access to Project Employment).

VIII. Common Property and Natural Resource Use

Common property may include forests, woodlands, lakes, rivers, rangelands, pastures, hayfields, wetlands, coastal intertidal zones, and areas used for hunting, fishing, or foraging. Many subsistence-based communities are reliant on multiple ecosystems for deriving their livelihoods. Common property resources may contribute significantly to a household's subsistence production. Common property resources also provide a safety net for households in times of hardship, such as when crops fail or livestock perish because of droughts, inclement weather, or disease. Communities often take for granted their access to common property resources and do not comprehend their value until after they are lost to a project. Project proponents also often have difficulty understanding or appreciating the value of common property resources.

A common oversight in resettlement baseline studies is failing to fully account for the contribution of common property or natural resource use to households' livelihoods. This results in an incomplete understanding of those communities' livelihood basis and undervaluation of their losses. This can lead to later community dissatisfaction with compensation measures, ongoing opposition to the project, and a loss of social license to operate.

Where foraging or harvesting of NTFPs forms a significant part of household subsistence or income-earning activities, specialists with foraging or NTFP expertise should be involved in the survey process. Consider the following when determining baseline data needs for an assessment of natural resource use:

- Provide for multiple methods of valuing or determining the significance of the activity (estimating the value of produce from foraging).
- Estimate the average area of forest, woodland, or pasture utilized by a household (to provide a guide to what replacement area may need to be sought) and map where possible.
- Understand the significance of these resources for household diet and nutrition.
- Ascertain the proportion of time household members spend on foraging relative to other productive activities.

Under some circumstances, it may be prudent to also undertake an assessment of the condition and biological productivity of the supporting ecosystems. Community utilization is often not at sustainable levels, and the underlying systems can be overused and depleted, especially if there is an intensification of resource use as a result of resettlement or an influx of outsiders attracted by perceived opportunities associated with the project.

The baseline survey of common property and natural resources should delimit resources used by affected communities and their neighbors, so areas to be lost or subject to restrictions of access (whether temporary or permanent) can be readily mapped and identified. Some countries have statutorily defined processes for defining common property resources, but where these do not exist, a participatory mapping process that involves some or all of following steps is often effective:

- From oral accounts and drawing on knowledge of elders or other resource individuals, each affected community prepares a history of its occupation of its land and resource use area.
- Together, community members describe their community leadership structure and how rights to common property and resources are allocated, managed, and transferred.
- Each community maps the features of its territory that are culturally important, environmentally significant, and/or utilized for livelihoods, and these are subsequently ratified by community members.
- Community representatives walk and define the boundaries of their common property resource areas, and these are confirmed with neighboring communities.
- Where provided for by national legislation, the project can assist communities to formally register their common resources interests and area.

For each of these approaches, ensure that women and minority groups are included in the process.

Such community mapping should be facilitated by community development specialists that are experienced in PA processes and resource or village mapping. The project sponsor might provide a surveyor or GIS technician to map and record the boundaries and features described by each community.

Once existing common property and natural resources have been mapped and defined, there is an empirical basis for assessing communal impacts and losses caused by the project.

IX. Cultural Heritage

Where a project affects critical cultural heritage, or where cultural heritage impacts are significant, the project may need to prepare a Cultural Heritage Management Plan under PS8. The requirement for such a plan would be determined as part of the ESIA. Where cultural heritage impacts are relatively minor, or only of local significance, they may be addressed in the RAP. Such impacts are typically associated with the following:

- Objects, sites, or structures that have local archaeological, historical, cultural, and/or religious value
- Sacred sites (such as trees, groves, springs, hills, rocks, lakes, or waterfalls that embody local cultural, religious, or spiritual values)
- Graves and cemeteries

The RAP should describe all measures that will be undertaken by the project to avoid, protect, relocate (where possible), and minimize adverse impacts on tangible cultural heritage. Compensation and relocation will be considered where loss is unavoidable. Procedures should be in accordance with national laws and IFC PS8.

Typical steps to address impacts on cultural heritage sites may include the following:

- Reviewing ESIA cultural heritage findings and other relevant research findings
- Consulting with affected communities to identify cultural heritage and to obtain community views on how it should be managed
- Surveying, mapping, and categorizing tangible cultural heritage objects and sites
- Developing project strategies for managing tangible cultural heritage, including avoidance, protection in situ, and relocation, and where these are not feasible, compensation for loss of tangible cultural heritage
- Consultation and agreement with communities, customary owners, custodians, or next of kin on measures to manage cultural heritage
- Obtaining any necessary permits and approvals
- Signing agreements and paying any agreed compensation and supporting any ceremonies that may be required, for example, to relocate graves or to appease spirits or help relocating them where physical cultural heritage features are affected
- Carrying out relocations, exhumations, and reinterment with any agreed ceremonies (see also Module 2. VIII.J. Graves and Graveyards)

Relocation of graves and cemeteries is a common resettlement activity. Reference should be made to any national laws pertaining to grave relocation and to any local government or municipal regulations. Good practice procedures for grave relocation entail many of the same steps as resettling the living: surveys, mapping, identifying next of kin, consultation, reaching agreement, and carrying out the relocation. Grave relocation planning should be undertaken with appropriate specialist input (e.g., from an anthropologist, local religious leaders, or an undertaker, depending on the circumstances) to determine appropriate social, cultural, and religious requirements. The work should be done by a trusted local undertaker or company specializing in the exhumation, handling, and reinterment of human remains.

X. Indigenous Groups

It is usual for indigenous groups to own land communally and to make decisions as a group. When projects may involve impacts on lands or to natural resources that are subject to traditional ownership or customary use by indigenous peoples, and particularly where such people do not have legal title to their land, it is necessary to have an indigenous people's specialist work with the indigenous community to describe and document the indigenous people's use of lands and resources (including seasonal or cyclical use) for livelihoods and cultural, ceremonial, and spiritual purposes (see PS7). The previously described, qualitative methods are effective in this situation. Sufficient time should be allowed for such baseline research. This could range from a few months to more than one year, depending on the magnitude of impacts.

XI. Data Management

For any project, the sponsor should establish and maintain a robust data management system. This serves multiple business functions:

- Maintaining records, legal agreements, and evidence of compensation payments
- Providing a basis for responding to complaints or legal challenges
- Providing evidence of compliance with national standards to satisfy regulators and permitting conditions
- Providing evidence of compliance with lender standards to support project financing applications
- Facilitating preparation of regular reports to project management, regulators, lenders, and other stakeholders
- Ensuring baseline data are stored for application in monitoring

Resettlement-related records may include some or all the following:

- Maps, aerial photography, and satellite imagery
- Land titles, certificates, and cadastral information
- Census records
- Socioeconomic survey and monitoring results
- Land and assets register
- Resettlement and compensation agreements (household, community)
- Compensation payments and receipts
- Minutes of meetings, engagement activities, and consultations
- Monitoring and evaluation reports

- Tracking of standards compliance reviews and resultant corrective actions
- Complaints and grievances (including tracking)

The data management system should be established early so that census, socioeconomic survey, and land and asset survey information can be systematically stored. It is also important that records of all resettlement-related consultations, meetings, and agreed follow-up actions and commitments be collated from the commencement of the resettlement. These will be needed to demonstrate that the project has followed a robust consultation process. Such records are difficult to compile accurately long after the event.

It is important to determine the type of data management software needed for resettlement planning and implementation. A simple Microsoft Excel- or Microsoft Access-based system may be adequate. More sophisticated proprietary software systems are also available. Limitations imposed by internet bandwidth at project sites should be considered when selecting an appropriate system.

Resettlement projects involve handling and disbursing of cash for compensation. There are many potential avenues for theft or fraud. The data management system, especially elements related to land and asset inventories, compensation calculation and agreements, and payments, should be secure and provide for controlled levels of access.

Large resettlement projects, particularly linear projects, may involve hundreds or even thousands of compensation and resettlement agreements. Such projects may warrant a dedicated legal or paralegal contract administrator to ensure that agreements are systematically registered and that commitments contained in such agreements are tracked and delivered promptly.

XII. Tools Needed for Data Acquisition: Remote Sensing, Aerial Photography, and Unmanned Aerial Vehicles

Satellite imagery, aerial photography, and imaging from UAVs (i.e., drones) can provide cost-effective and time-saving tools for resettlement data acquisition (see table 4.6). Satellite imagery can be straightforwardly ordered and purchased over the internet, with high resolution available for many locations. Satellite imagery is invaluable for initial site selection and routing studies at the scoping stage (see Appendix A. Scoping-Stage Checklist), for asset and livelihood surveys, and for making preliminary assessments of affected land use and dwellings at the baseline stage. It is also useful for local and regional monitoring.

Table 4.6. Tools for Remote Sensing

PLATFORM	CHARACTERISTICS	RESETTLEMENT APPLICATIONS
Satellite imagery	The images are impeded by clouds (except for side-looking airborne radar). Data sets and imagery at varying resolutions are available on the internet. Regular overflights are ideal for monitoring. Resolution down to 0.5 meters is commercially available.	Scoping affected land uses and structures Understanding land-use history and landscape change (time-sequential images) Site selection and routing studies Creating base maps where cartography is not available Selecting replacement housing and agricultural sites Monitoring at local and regional scales (e.g., land-use change, landscape rehabilitation, in-migration and settlement patterns, cropping)
Aerial photography	This technique needs a cloud-free sky and high sun angles. It is useful for capturing large areas. Air photo resolution in the range of 25–150 millimeters is available. It can be augmented by light detection and ranging for digital terrain modeling. It can be augmented by infrared imaging to aid tree and crop identification.	Detailed resettlement surveying and planning Cost-effective development of accurate digital terrain modeling and site contours (with or without light detection and ranging) Creating base maps for field work and consultations via high-definition orthophotos (1:2,500 or 1:5,000) Facilitating cadastral survey and boundary mapping Creating the basis for rapid land, tree, crop, and asset inventories

(*Table continued on next page*)

Table 4.6. ***(Continued)***

PLATFORM	CHARACTERISTICS	RESETTLEMENT APPLICATIONS
Unmanned aerial vehicles	UAVs operate below clouds. They are cost-effective for small areas (smaller than 1,000 hectares) and for frequent monitoring. They provide a quick turnaround for analysis and results. Because they are unmanned they provide safer operation than, for example, site walks. They can be stationed onsite. They are flexible and adaptable for a broad range of tasks and quick deployment. Their use presents the potential for skill and technology transfer to local communities.	Small area mapping Cadastral and property surveys in urban and rural settings Digital terrain modeling (contours) Vegetation mapping Land, tree, crop, and asset inventories Aerial surveys of fisherpeople and other natural resource users Replacement site assessment Monitoring of replacement agriculture (clearing, cultivation, crop establishment, yield estimates) Construction progress monitoring Monitoring of in-migration, speculative development, uncontrolled vegetation clearing, land-use change, and land rehabilitation Tool for managing community natural resources

Aerial photography can provide higher resolution images than commercially available satellite imagery. It can be used for multiple purposes: (i) preparing draft land and asset inventories for verification on the ground; (ii) developing a digital terrain model and accurate contours for resettlement planning, project engineering, and replacement village site selection and engineering; and (iii) preparing orthophotos (1:2,500 or 1:5,000) that make ideal base maps for fieldwork and consultations.

Costs of satellite imagery and aerial photography have steadily declined. Data from both platforms can be secured in digital form and can be readily used in GIS. Data from the two platforms is complementary.

UAVs are an emerging platform for resettlement data acquisition and monitoring. They are relatively low cost and allow for rapid deployment and availability of results. UAVs have potential for site and route selection, replacement site assessments, land and asset inventories, snapshot of areas as of the cutoff date, and monitoring. Innovations include training communities to operate UAVs both for their own natural resource management and potentially to provide commercial services to projects. Ensure that communities are informed prior to any flyovers to mitigate any concerns they may have.

XIII. Protecting the Privacy and Confidentiality of Resettlement Data

Resettlement research and surveys collect information that is private and sensitive. Resettlement teams must be aware of applicable laws and standards governing the privacy and confidentiality of personal data in the country where they are working. Team members should declare any potential conflicts of interest and be required to recuse themselves accordingly. Information collected should not be shared with third parties unless required by law or specifically authorized by the respondents. All information must be held in confidence, secured safely, and destroyed when no longer needed. If data privacy laws are weak or absent, the project sponsor should consider developing its own privacy and confidentiality policy and procedures that cover matters, such as the following:

- Explaining to respondents the purpose of the data collection and the measures that will be taken to protect the confidentiality of data provided
- Obtaining informed consent of individuals or households prior to their participation in any data collection activities
- Ensuring information collected is adequate, relevant, and not excessive for resettlement purposes
- Encoding or encrypting respondents' names so their identities are protected
- Sharing information in the project team on a need-to-know basis only

XIV. Do's and Don'ts of Baseline Data Collection

Table 4.7 summarizes some key takeaways with respect to baseline data collection.

Table 4.7. The Do's and Don'ts of Baseline Data Collection

DO'S	DON'TS
Where feasible, align PS5 data needs and collection with other ESIA data needs, especially those relating to vulnerable people and groups (PS1), ecosystem provisioning services (PS6), indigenous peoples (PS7), and cultural heritage (PS8). Ensure that census enumerators are trained to consistently and correctly apply such terms as *household*, *family*, *landowner*, *user*, and *occupant*. Disaggregate all quantitative data by sex and apply a gender analysis to the data. Ensure that women are fully integrated in all aspects of data gathering, both as enumerators and as respondents. Obtain aerial photography or satellite imagery that corresponds as closely as possible with the cutoff date to provide a snapshot of all structures, crops, and land improvements eligible for compensation, one that can identify speculative planting or construction after the cutoff date. Ensure eligible households have some form of unique identification (e.g., either a national identity card or a project-issued registration card) once census findings have been validated. Consider using fingerprint or retinal scanners to identify eligible parties to avoid confusion where names are spelled inconsistently or where many people or families have the same name. Be aware that emerging technology may prove useful, but it should be used with caution where people are not familiar with it and with due consideration for privacy implications. Agree with government (e.g., through an MoU), prior to commencement of a government-led land and asset survey process on a system for gathering and validating data, particularly if the project sponsor is to cover the cost of land acquisition and compensation.	Overlook seasonal or transient site users who may not be present at the time of census, such as herders, transhumance pastoralists, foragers, hunters, and fisherpeople. Overlook informal and illegal users and third-party users (tenants, sharecroppers). Overlook customary or traditional rights to land (which may, sometimes, conflict with statutory rights to land). Proceed with a census without a robust grievance management mechanism in place. Survey or measure land and assets of households or enterprises that are not affected by a project—the act of measurement creates expectations of compensation that can be difficult to manage. Overlook the need for independent governance checks and oversight as corruption, collusion, and fraudulent practices during land and asset surveys are common. Force vulnerable groups to discuss issues that could place them at risk of harm. Overlook the need to protect the privacy and confidentiality of personal and household information.

MODULE 5

LIVELIHOOD RESTORATION AND IMPROVEMENT

I. Overview of Livelihood Restoration and Improvement

Livelihood refers to the full range of means that individuals, families, and communities utilize to make a living, such as wage-based income, agriculture, fishing, foraging, other natural resource–based livelihoods, petty trade, and bartering.

It encompasses subsistence (self-consumed) production, natural resource utilization, non-cash-based transactions such as bartering, as well as cash-based and wage income. The unit of production can be an individual, a household, an enterprise, or a community.

Livelihood restoration applies to both temporary and permanent economic displacement. Projects that may involve temporary displacement include pipelines, transmission lines, construction camps, laydown areas, and the like. For temporary displacement, livelihood-restoration measures commensurate with the duration, magnitude, and complexity of impact should be planned and implemented.

II. The Importance of Livelihood Restoration and Improvement

II.A. Characteristics of Livelihoods

Livelihood restoration is the most challenging aspect of any resettlement program. There are many reasons for this:

- *Livelihoods are complex*. They are shaped by social and gender norms, customs, access to resources, local knowledge of natural or urban environments, and the larger systems of government, economics, and politics.
- *Livelihoods often draw on a suite of activities and social or ecological niches*. Displaced households may be reliant on multiple activities and resources to meet their livelihood needs. Livelihood-restoration interventions must be based on an understanding of the full web of resources, including those that may be drawn on only to survive periods of extreme hardship.
- *Livelihood systems are dynamic*. Activities must frequently change and adapt in response to an individual's or household's changing access to labor, access to resources, fluctuations in rainfall patterns, natural disasters, conflict, setbacks, and failures.
- *Livelihood systems are subject to exogenous systems and shocks*. These are outside the influence and control of a project or displaced people and include, for example, changing market conditions, high inflation or recession, government changes in fiscal settings or policy, local conflicts, or war.

- *Individuals and households have differing capacities to take advantage of livelihood opportunities and adapt to changes*. Some seize the opportunities offered by a resettlement program and significantly improve their circumstances. Others take longer to adjust, but eventually reestablish themselves. Still others, who are often poor and vulnerable, may be left worse off if they do not receive targeted assistance.
- *Displaced individuals and households are often conservative and resistant to livelihood change*. Subsistence farmers, in particular, tend to eschew innovation in favor of traditional methods, because the consequences of taking risks can mean hunger and extreme hardship. New livelihood opportunities for women can help promote gender equality and women's empowerment but can also be met with resistance and increase risks of GBV for women.
- *Sustainable livelihood restoration takes time and requires ongoing adaptive management*. Provision must be made for adequate personnel, budgets and resources for the duration of livelihood programs. This support often must extend beyond the project construction period. Budgets and schedules should include some contingency for setbacks.

Much has been learned in the past years regarding livelihood restoration, not all of it related to resettlement. This module provides guidance and examples of current good practice. Those undertaking livelihood-restoration programs should refer to the online resources provided in the handbook's Resources section to stay current on the latest developments in this evolving field.

II.B. Defining Livelihood Restoration and Improvement

Household livelihoods are multidimensional and dynamic. Some characteristics that might indicate restoration or improvement of livelihoods are summarized in box 5.1.

KPIs for measuring progress with livelihood restoration should be selected early in the resettlement-planning process and carried into the baseline surveys (see Module 4. VII. Livelihood Baseline Research and Surveys and VIII. Common Property and Natural Resource Use). These need to be tailored to the specific livelihood circumstances of those displaced. It is preferable to have a few indicators that can be reliably measured, rather than a large number captured only intermittently. Project sponsors must be able to track the progress of displaced individuals and households in restoring or improving their livelihoods and income levels until the livelihood program is deemed complete see Module 7. Monitoring.

Box 5.1. The Characteristics of Livelihood Restoration and Improvement

A successful livelihood program should result in a household experiencing improvements across several areas. It should be noted, however, that improvements in one area (e.g., standard of housing) do not necessarily offset a deterioration in another crucial area (e.g., reduced income levels). Livelihood restoration and improvement may be characterized by some combination of the following:

- Restored or improved income levels
- Restored or improved household food security
- Restored or improved security of tenure
- Restored or improved household health and nutrition
- Improved gender equality in livelihoods opportunities
- Restored or diversified income sources
- Restored or improved access to markets
- Restored or increased yields
- Restored or improved consumption and diet
- Fewer households living below the poverty level
- Improved safety in carrying out livelihood activities
- Restored or improved resilience to natural or economic shocks

II.C. The Importance of Livelihood Improvement

Livelihood improvement, rather than just restoration, is important to offset the opportunity costs borne by displaced households as a result of undergoing a resettlement process.

The process of resettlement can decapitalize households, leaving them with less land and reduced livelihood resources. Many factors can contribute to this decapitalization:

- Compensation paid at below replacement cost
- Protracted delays, including in payment, leading to devaluation of compensation
- Replacement property price escalation
- Deductions from compensation to pay debtors
- Lack of replacement land of adequate potential
- Dissipation of compensation to meet living costs during the move

- Failure to consider gender issues in livelihood planning, including the contributions women make to the household income through their domestic responsibilities
- The opportunity cost imposed in the period after a cutoff date is announced, when an affected household is deprived of opportunities for improvement of their living standards, relative to their unaffected neighbors, particularly when this period of personal and economic uncertainty is longer than expected, which is often the case in complex projects

A period of improved livelihood and income is necessary for a resettled household to recoup its losses and opportunity costs and to catch up with the living standards of those who are not affected.

In addition, where affected persons live in poverty or in poor conditions before resettlement (e.g., vulnerable people, slum dwellers, and people affected by chronic food insecurity), it is not sufficient for livelihood activities to focus on *restoration* only; there is no point in restoring affected persons into poverty. In such situations, livelihood activities must clearly target improvement such that the resettlement project provides a development opportunity out of poverty. This development opportunity out of poverty needs to work alongside improvements in gender equality in livelihoods.

II.D. Key Challenges of Livelihood Restoration and Improvement

Some of the key challenges that need to be addressed in designing and implementing a livelihood-restoration program include the following:

- *Defining success*. What constitutes sustainable livelihood restoration? When can livelihood restoration be deemed complete?
- *Collecting adequate livelihood baseline data*. This is needed so that the full suite of activities that contribute to household livelihoods and income streams can be understood.
- *Accounting for nonmonetary livelihood activities*. These may be from subsistence production, natural resource use, and goods exchanged through barter.
- *Finding suitable replacement agricultural land*. Is land available within a reasonable proximity of dwellings that has suitable agricultural characteristics or that can be straightforwardly improved?
- *Overcoming resistance to change*. Rigid adherence to traditional practices, especially gender roles, may make it difficult to achieve livelihood improvements.

- *Achieving sustainable access to agricultural inputs*. These may include improved seeds, higher yielding cultivars, fertilizer, herbicides, pesticides, veterinary services, and improved postharvest technologies.
- *Improving food security*. This is true especially in contexts where, prior to resettlement, few households enjoyed year-round food sufficiency.
- *Managing expectations*. This is especially important concerning demands for employment.
- *Managing gender risks*. Opportunities for women to engage in new livelihoods should be considered alongside increased risks of GBV, especially if livelihoods security and opportunities do not also improve for men.
- *Managing intergenerational differences in livelihood aspirations*. Younger people can have different livelihood and employment aspirations than their elders. Changes in relative affluence induced by the flow of wages from project-related employment can lead youths to challenge the traditional authority of their elders.
- *Overcoming low educational skills*. These may include low-grade attainment and poor literacy and numeracy skills and will require equipping displaced people for wage employment.
- *Offsetting increased household expenditures post-resettlement*. There may be a need to cover costs of cooking fuel, water, or transport, which were often free or cheap prior to resettlement.
- *Unbundling project procurement tenders*. This can provide opportunities manageable for local enterprises.
- *Building capacity of local businesses*. They may need assistance to meet project standards and needs.
- *Identifying specific needs and opportunities for women*. This may require intensive work with community leaders and women to identify new opportunities. See box 5.2 on gender considerations.
- *Assessing changes to social networks, social capital, and social safety nets that are critical to livelihoods and household resilience*. These are not easily measured or quantified in terms of determining whether they have been restored or replaced.
- *Managing urban livelihoods*. This entails recognizing locational dependencies.
- *Managing failure*. This can include, for example, crop failures, livestock setbacks, or employment rejections.
- *Supporting livelihood programs for a sufficient duration*. The goal is to make them sustainable.

Box 5.2. Gender Considerations in Livelihood Restoration

A project in Africa economically displaced over 200 commercial vegetable gardeners who sold their produce in the capital. The income derived from these sales represented the primary source of livelihood for most of these farmers. The socioeconomic studies did not recognize that the men owned the boreholes, irrigation systems, and machinery. When the male gardeners used their compensation money to acquire replacement land, they installed replacement irrigation systems. The majority of women were unable to find replacement land and install adequate irrigation systems. In some cases, the men allowed the women to share their equipment. Many of the women who were not able to partner with male gardeners were impoverished by the project's oversight of the gender differences in production systems.

III. Key Principles of Livelihood Restoration and Improvement

Following are some key learnings from resettlement livelihood programs. Some of these may seem self-evident, but they are nonetheless often overlooked.

III.A. Planning

Careful planning is required to ensure sustainable livelihood restoration. Some factors to consider include the following:

- Take a holistic view of livelihood systems that encompass not only the main economic streams but also those that may appear secondary or are critical only to small groups of affected persons.
- Pay attention to gender dimensions: livelihood activities of females and males are often different, as are their formal educational levels and their expectations and aspirations. Both men and women may underestimate the capacities of women to engage in livelihood activities that can benefit families and communities.
- Use multidisciplinary input, knowing that experienced specialists familiar with local conditions should be retained to undertake livelihood baseline studies, assess impacts, and recommend appropriate activities. Appropriate expertise will lead to better targeted and more cost-effective livelihood programs and more rapid livelihood restoration.
- Check that there are sustainable and accessible markets for the skills imparted to workers as well as resettled people.

- Include consideration of opportunities for women to engage in new and safe livelihood opportunities in this market analysis. This may involve presenting ideas to community members for discussion.
- Examine the value chains of locally produced goods and look at opportunities for secondary processing and ways to improve handling, storage, transport, and marketing to add value.
- Offer multiple and multifaceted livelihood programs. Recognize one size does not fit all and that some programs will flourish, some will work for phases of livelihood restoration, and others will fail.
- Engage with in-country bilateral and multilateral donors and development NGOs. Look for funding and synergies whereby effective donor livelihood programs and initiatives can be extended into the project area of influence.
- Train affected persons in skills that relate to real opportunities (e.g., do not train people as motorcycle mechanics when they live in a village that has no motorcycles).
- Look beyond construction employment. It is a transitional support measure, not a sustainable livelihood activity. However, classroom and on-the-job training that delivers nationally certified trade qualifications can equip affected persons to compete more effectively in the job market beyond the temporary construction jobs provided by the project.
- Consider integrating livelihood restoration of affected persons into broader development initiatives that target the wider area where the project is taking place.
- Coordinate closely with local and higher levels of government. Many aspects of livelihood restoration overlap with responsibilities of government, and interaction with government is key.
- Obtain records of local livelihood activities and statistics of production levels.
- Consult local and higher-level government officers (e.g., in agriculture, fisheries, and forestry) in the design of livelihood programs and their monitoring.
- Find and facilitate access to replacement agricultural land.
- Align project livelihood programs with government socioeconomic policies and initiatives, including implementation of local and regional development and land-use plans.
- Register unemployed workers and facilitate job placement.
- Recognize that livelihood restoration can often take three to five years to accomplish, and plan and budget accordingly.

III.B. Implementation

Some lessons learned from implementing livelihood programs include the following:

- Use experienced delivery partners to design and deliver livelihood-restoration programs that are based on proven in-country and local experience.
- Use multiple delivery partners on relatively short duration contracts (12–18 months), so that the best performers receive repeat work and poorer performers are replaced (i.e., promote healthy competition).
- Where possible, leverage delivery partners to augment project-funded programs with matching funds or in-kind contributions.
- Consider bringing in access to capital, for example, rural banks or microfinance institutions that can fund the establishment of small and medium enterprises once training is done, and ensure equity in availability for women.
- Leverage key project construction contractors and suppliers to provide training, skills development, work experience, and employment opportunities, with first preference being extended to PAPs.
- Unbundle project procurement and supply contracts to provide opportunities for local businesses. Establish a local content champion to facilitate making opportunities for local businesses and to encourage employment of women in those businesses that secure contracts.
- Explore opportunities for government capacity building (e.g., involving local government officers in relevant trainings or seeking government commitment to recruit or second an agricultural extension officer).
- Provide continuity of agricultural extension and livelihood support once project responsibilities have been fulfilled.

III.C. Monitoring and Review

Monitoring and mid-term reviews add value by improving the effectiveness of livelihood programs. Very often, livelihood programs need to be refined or even significantly adjusted in response to unforeseen exogenous factors or delays in construction or to better tailor them to the interests, aptitudes, sociocultural factors, or availabilities of participants.

- Conduct internal, and independent, mid-term and completion reviews of each livelihood program. These are critical to allow for adaptive changes to be made to improve program effectiveness and identify which programs should be continued and which should be discontinued.

- Design all programs with a logical framework analysis, including defined goals, inputs, outputs, and monitorable outcomes.
- Use participatory monitoring to capture the views and evaluations of displaced people.

IV. Tasks to Undertake Livelihood Restoration

IV.A. Task 1: Livelihood Baseline Studies

Carry out baseline studies and engagement activities as described in Module 4, particularly section VII. Livelihood Baseline Research and Surveys and define KPIs from the baseline stage for measuring the progress of livelihood restoration and improvement. As part of this, do the following:

- Identify all livelihood streams, including those that may seem relatively marginal and do not appear in usual household and asset surveys, particularly those linked to the use of communal resources and seasonal ones.
- Identify poverty and vulnerability issues and specific livelihood and coping strategies of the poorest and vulnerable.
- Develop a register of displaced people of working age with information about their educational attainment, skills, prior work experience, and any preferences for future employment or small business.
- Assess options for new livelihood opportunities for women and assess risks (including GBV risks) linked to these.
- Assess options for replacement of agricultural land.
- Assess the capacity of national agencies, local government, and other potential livelihood delivery partners (including development NGOs, microfinance institutions, and banks) to support project livelihood initiatives.
- In urban settings, understand the site dependency of livelihoods prior to displacement (e.g., presence of a market, access to certain types of jobs, or suitable locations for certain types of enterprises).
- Ratify findings with displaced communities (and their hosts, where applicable) using participatory consultation techniques such as focus groups.

IV.B. Task 2: Livelihood Impact Assessment

Assess what livelihood resource losses might be after relocation and define impacts to the following:

- *Different types of land use*. Agricultural, forestry, and grazing land, among others on which local livelihoods are based, may change after resettlement. Differences in size are important, but qualitative analysis is also necessary for each category of land use, as soil and land capability characteristics will change between the pre-and post-resettlement situations, making certain types of crops on which pre-resettlement livelihoods were based impossible in the post-resettlement setting. Inputs from an experienced soil scientist, agronomist, livestock specialist, forester, or land-use planner may be necessary.
- *Natural resources*. These are important to certain livelihood streams and include arable land, pasture, forest, water bodies, access to fishing or hunting grounds, NTFPs, and the like.
- *Enterprises*. Clients may face potential losses following relocation, including difficulty in retaining employees or finding clients after relocation and the subsequent transition. Impacts can be temporary or permanent.
- *Livelihood streams*. Again, it is important to note that marginal or hardly visible streams in the overall economic picture (gathering, fishing, grazing, and the like) could be critical to certain categories of affected persons, including vulnerable or marginalized groups, women, fisherpeople, informal settlers and squatters, and indigenous people.
- *Social and gender systems*. Livelihoods are often segregated according to gender. Participation in livelihoods helps define social and gender norms. When livelihoods are disrupted or halted, the roles of men and women are affected. These changes in gender roles can have positive impacts, such as increased economic empowerment opportunities for women and decreased pressure on men to provide all the family's income. These changes can also have negative impacts, such as an increasing risk of GBV against women who have to work in unsafe locations or who are seen by their husbands to be challenging the "normalcy" of masculine dominance in the family.
- *Access to opportunity and services*. In urban settings especially, impacts to livelihoods are usually related to access to employment, markets for enterprises and artisans, and public transport (see box 5.3).

Box 5.3. Urban Livelihoods and Resettlement Site Selection

An urban highway project in Africa affected about 1,000 slum dwellers who had erected nonpermanent houses on unused state land within a wealthy area of the city. When investigating their livelihoods, it appeared that most of the affected persons were employed as housekeepers, gardeners, and watchmen in the nearby villas. Those employed as security guards were often working on night shifts. In line with their policy for slum relocation, the authorities initially proposed a site located about 15 kilometers away from the original location in the city's fringes, with poor or nonexistent public transport services. Relocating to this site would have jeopardized the affected persons' livelihoods, and the location of the proposed resettlement site was revisited. Another, much closer site was eventually selected, allowing people to keep their jobs.

IV.C. Task 3: Livelihood Strategy Formulation

When formulating the livelihood-restoration strategy, closely involve displaced people and key stakeholders in developing a vision, defining objectives, considering options, and determining preferences for livelihood restoration. Seek broad participation as well as the views of subgroups (women, youth, the elderly, vulnerable people, and ethnic minorities), whose views may differ from the majority (see box 5.4).

In addition, systematically consider livelihood opportunities, constraints, and risks, asking questions such as the following:

- Are displaced people experiencing full or partial livelihood loss?
- Will it be possible for rural households to continue their livelihood activities post-relocation (e.g., agriculture, animal husbandry, fisheries, and foraging)?
- Will urban households be able to continue their existing occupations?
- Is suitable replacement land available to achieve full or only partial land-for-land replacement? Is the quality of such land adequate for crops that were farmed prior to displacement?
- How many displaced people will be able to continue their existing occupations, and how many will need to be trained and assisted to develop alternative livelihoods?
- How does the loss of or changes in livelihoods affect the risk of GBV given the existing GBV context and existing gender norms in communities?
- What are existing skills and aptitudes of displaced people?

Box 5.4. Elements of a Livelihood Improvement Strategy

Defining a livelihood improvement strategy should consider several key questions:

- Is livelihood loss full or partial? Are certain livelihood streams lost while others can be maintained?
- Can land be replaced in full with land of similar or better potential? What is the extent of the loss of land?
- What agricultural extension services are available locally from government or NGOs? Are there agricultural research institutions nearby that can support the agricultural improvement effort? Is there room for the project to support and enhance extension or research?
- Are there quick-win improvements available to local agriculture and animal husbandry at limited cost and within a short time: for example, short-cycle crop varieties to handle droughts better, small-scale irrigation for production of dry season vegetables or fruits, animal health improvement, or better access to water to mobilize new grazing resources?
- Are there longer-term improvements to the agricultural systems that the project can help kick-start: for example, shifting from slash-and-burn and fallow systems to more intensive land use, or introducing mechanization, fertilization, artificial insemination, or greenhouses?
- What are the main market-related bottlenecks to agricultural development: for example, postharvest losses, poor vehicular access, overproduction during some periods and shortages at others, monopolistic behaviors of buyers with manipulation of prices to the detriment of producers, or detrimental subsidies? Which bottlenecks can reasonably be influenced? Can farm-to-buyer or farm-to-market links be improved, and how? Are farmer cooperatives or similar groupings an option to improve market access and access to inputs?
- Is credit readily available at reasonable terms for agricultural improvements? If not, are there banks or microfinance institutions that might be willing to offer such services?
- What project-based opportunities are open to affected persons: for example, unskilled or semiskilled employment or procurement of services such as security, catering, cleaning, vehicle rental, or accommodation? Is there an opportunity to provide training to women in nontraditional positions?
- What training institutions are available in the project area of influence to help prepare PAPs (both men and women) take advantage of these opportunities?
- Are there income-generating activities that could be introduced with reasonable chances of success once support stops?
- Are there institutions (governmental or not) to support enterprise development with training and management assistance during the first years of enterprise establishment?
- Is credit readily available at reasonable terms for the establishment and development of small and medium enterprises? If not, are there banks or microfinance institutions that might be willing to open such services?
- Will women be able to take advantage of the above opportunities? Should specific activities be developed for them? What are the opportunities and risks for women associated with new activities?
- Will vulnerable people be able to take advantage of the above opportunities? Should specific activities be developed for them? What are the opportunities and risks for vulnerable people associated with new activities?
- Are there longer-term educational activities that should be put in place for children and youth?

- What are the possible new skills and aptitudes that displaced people could acquire as a result of the relocation?
- Are some groups of displaced people better equipped to adapt to new livelihoods than others? Which groups are particularly vulnerable to changes in livelihood? Are men and women affected differently?
- What types of training and vocational skills do displaced people need, and what resources are available to provide them? What needs to be done to ensure both men and women have access to these training opportunities?
- What livelihood or wage-earning opportunities could be provided through the project, its contractors, or its suppliers for both men and women?

Taking into account opportunities, constraints, and risks, determine what mix of the following will need to be provided:

- Land-based livelihood strategies (see section V. Addressing Land-Based Livelihoods of this module)
- Non-land-based livelihood strategies (see section VI. Effective Non-Land-Based Livelihood Improvement Strategies of this module), including employment (see section VI.A. Access to Project Employment) and enterprise development (see section VI.C. Enterprise-Based Livelihoods)
- Supporting activities such as agricultural training, vocational skills development, access to credit, and business management training
- Additional activities to ensure changes in livelihoods can promote gender equality

Define the project approach to procuring the services needed to deliver training and livelihood-restoration programs. Determine what will be provided in-house, from NGOs, or through government programs, projects, or agencies.

- Determine the project organization for livelihood programs delivery: consider organizational structure and reporting lines, personnel, resources, budget, and schedule.
- Project construction and operation can provide an opportunity for community members to earn income, develop skills, and become certified in these new skills. Develop recruiting, training, and employment management plans for inclusion of community members in construction contract bid documents. This involves coordinating with the project operations team and possibly government vocational training programs. Establish employment opportunities for project-displaced households and host communities as the first priority and ensure the inclusion of women.
- Initiate replacement site selection, with the participation and involvement of the displaced population; select preferred sites and ratify them with communities (see also Module 2. VIII.A. Resettlement Site Selection). When considering resettlement sites, ensure that suitability of livelihood restoration (availability of land, markets, etc.) is weighed.

IV.D. Task 4: Documenting the Livelihood Strategy in a Resettlement Action Plan or Livelihood Restoration Plan

The livelihood strategy should be documented in the RAP or LRP (see also Module 2. IX. Task 6: Preparing RAP/LRP Documentation).

- The RAP/LRP should describe the project organization and human resources that will be deployed for managing livelihood program delivery and make clear which activities will be taken in-house and which will be contracted to implementation partners.
- For RAP/LRP purposes, the following information should be provided on each component livelihood program:
    - Purpose, objectives, targeted outcomes
    - Implementation tasks
    - Implementation roles and responsibilities
    - Resources (personnel, equipment, facilities)
    - Schedule
    - Budget
- The RAP/LRP should include a comprehensive risk assessment that identifies factors that could potentially adversely affect livelihood outcomes and how the project will respond to these.

- If available, detailed livelihood implementation plans should be provided as an appendix to the RAP/LRP.

IV.E. Task 5: Procurement of Delivery Partners and Detailed Planning of Livelihood Program

IV.E.i. Livelihood implementation partners

In private-sector projects, livelihood-restoration activities are often delivered through experienced in-country development NGOs. This is a proven formula, and many development NGOs have experience with similar arrangements: for example, working for a private-sector company, typically under the banner of corporate social responsibility activities. When procuring such a partner, these factors should be considered:

- The NGO's presence in the country and its track record with similar developmental activities in the same area or under similar conditions elsewhere
- Acceptability to all stakeholders, especially the affected persons and the government
- Availability of experienced field and management staff to effect implementation
- Adequacy of suggestions about activities that can work, including implementation models
- Evidence of gender sensitivity in work
- Adherence to project policies, including the PSs (particularly PS2, PS4, PS5, and PS7, if applicable)
- Cost and implementation schedule

Bidding documents should allow for some flexibility in the responses so that partners can suggest approaches, activities, and implementation models that they are comfortable with and have used successfully:

- Based on consultations with displaced people, define the livelihood programs that need to be delivered; prepare terms of reference that outline program needs.
- Call for expressions of interest from suitably experienced potential delivery partners (e.g., development NGOs, consultants, and institutions). Make sure that there is room in bidding requests for candidates to suggest improvements in methodologies and delivery approaches, especially gender considerations.
- Tender, evaluate, and award livelihood program contracts (livelihood program bidders should put forward detailed program designs as part of their proposals). Ensure the tender process is accessible to women and vulnerable groups.

- Define KPIs, self-monitoring, and reporting requirements applicable to implementation partners.

It is also possible to call for ideas or design a competition approach, whereby, in a first stage, partners are invited to submit their views and suggestions for the livelihood-restoration program (with possibly a reward to all competitors to offset their proposal and design cost), including the technical description of activities, a detailed costing, and an implementation model and schedule.

IV.E.ii. Working with government

Project livelihood programs often overlap with the responsibilities of local, regional, or national levels of government in areas such as land-use planning, education, vocational training, labor and employment, agriculture, fisheries, forestry, and natural resource use. Engagement with the government about its programs and capacity to assist with livelihood restoration should happen early in planning. Sometimes, it may be desirable to enter into an agreement with the government in order to provide clarity of roles and distribute responsibilities at the stages of planning, implementation, and monitoring.

Depending on the scale of a project's livelihood activities and the governance systems in the local jurisdiction, the government potentially has a role in the following:

- Providing statistical information about local livelihood activities, production levels, and statutory compensation rates
- Assisting with finding and facilitating access to replacement agricultural land
- Supporting the project in managing encroachment and squatters
- Registering unemployed workers and facilitating job placement
- Extending government training, employment, and livelihood programs to project-displaced people
- Guiding the sponsor to ensure that livelihood schemes are complementary and aligned with government policy and programs
- Providing planning and construction approvals
- Providing continuity of agricultural or other assistance and livelihood support once project responsibilities have been fulfilled, which is part of the project exit strategy. (See section X. Planning an Exit Strategy of this module.)

Where local government capacity needs to be strengthened, sponsors should consider inviting relevant government officers to observe or participate in key training activities and progress evaluations. A recent NGO innovation has been to second an agricultural manager from a project livelihood program to a funded two-year posting with local government once the livelihood program is complete. In return, the local government commits to create an agricultural

position and fund extension of the role once the two years are over. This provides an exit strategy, maintains a reduced level of service to the livelihood program beneficiaries, and increases the local government's agricultural capacity.

IV.E.iii. Involving other stakeholders

Depending on the context, other stakeholders may need to be involved, including the following:

- Local CBOs, self-help groups, local initiative groups, and youth or women's organizations
- Bilateral or multilateral donors, which may be able to leverage some activities to the benefit of affected persons, but also, and more generally, offer experience in some of the areas involved in livelihood restoration
- United Nations agencies such as the Food and Agriculture Organization, the UN Environmental Program, the UN Industrial Development Organization, and the International Fund for Agricultural Development
- Development NGOs, including those not selected as implementation partners
- Business organizations, such as local and national chambers of commerce or employers' unions in relevant sectors

IV.F. Task 6: Livelihood Program Execution

A common mistake is to initiate livelihood-restoration programs long after compensation and displacement has taken place. To increase the opportunity for success, initiate the process early and do the following:

- Mobilize the resettlement implementation field team, including a livelihood manager and sector leads as needed: for example, for agriculture, animal husbandry, fisheries, and non-land–based livelihood initiatives.
- Mobilize livelihood-restoration delivery partners; carry out site, gender-smart health and safety,[33] and environment inductions.
- Coordinate delivery of livelihood-restoration partner contracts; monitor progress, schedules, and budgets.
- Coordinate with project operations for staging of livelihood-restoration measures and prepare progress reports for management.
- Maintain the GM.

[33] A workplace safety approach that takes gender-related risks into account.

IV.G. Task 7: Monitoring

Define and implement a monitoring and reporting framework (see Module 7. Monitoring) based on livelihood indicators identified during the baseline stage with some supplemental indicators if required:

- Develop indicators for internal monitoring (by project and resettlement team) and indicators for external monitoring (by independent third parties).
- Ensure the monitoring indicators include specific indicators for women and vulnerable groups.
- Define frequency of all monitoring efforts.
- Conduct internal review of livelihood-restoration programs and make provision for independent mid-term and final assessment of livelihood programs; initiate changes to programs to improve effectiveness as warranted.
- Prepare and disclose regular monitoring reports to keep affected communities and interested stakeholders informed about livelihood-restoration progress.
- Engage independent specialists to conduct a resettlement completion audit with an assessment of livelihood-restoration outcomes as an important component.

V. Addressing Land-Based Livelihoods

V.A. Land for Land

IFC PS5 prescribes as follows:

> "For persons whose livelihoods are land-based, replacement land that has a combination of productive potential, locational advantages, and other factors at least equivalent to that being lost should be offered as a matter of priority."

Where there is abundant, vacant, and suitable agricultural land, the most straightforward livelihood strategy is full land-for-land replacement. Unfortunately, in many parts of the world, unused agricultural land is increasingly rare. Often a project must accept land smaller in area than what is required for full replacement, or that has a less convenient location, or that needs improvement to achieve productivity restoration. In such cases, resettlement planners will need to assess alternative strategies. Strategies that involve agricultural intensification or introduction of new crops or production techniques are usually a much higher risk and require greater project investment in agricultural support over a longer duration (i.e., higher budgets).

The project could screen out households that do not need land-for-land replacement. These would be households whose incomes are not land based, those who have an aptitude to be trained for permanent wage employment, or those that can demonstrate sustainable access to land or other livelihoods (such as fishing or an artisanal activity) outside of the project footprint, so that they need less or no replacement land. The project might provide agricultural training to help households improve productivity to offset the challenge of cultivating a smaller area (this is addressed in further detail in section V.C. Agricultural Intensification of this module). The project could provide sustained agricultural training and support to effect changes in agricultural practice—such as converting swidden farmers to fixed agriculture—or provide training as well as inputs and equipment to dryland farmers to enable use of irrigation systems.

Land-for-land replacement can be achieved by (i) individual households securing their own replacement land by paying for it from the compensation received, with the project and local authorities in a facilitating role rather than intervening directly, or (ii) the project securing replacement agricultural land sites or individual plots, which are then allocated to displaced households.

The first of these two options has the advantage of less disruption to usual land markets and/or land allocation mechanisms, particularly where these are based on customary processes and administered by traditional land chiefs. It may be slower in attaining the desired outcome, and more attention will need to be paid to the most vulnerable, who may be left behind in the process.

Typical steps for selecting a suitable replacement agricultural area are listed in box 5.5. The site selection must involve agricultural specialists to assess the suitability of the land for replacement agricultural purposes and specify any site preparation requirements (such as vegetation clearing, deep plowing, or initial fertilization). As far as possible, replacement sites should be unoccupied. If there are existing dwellings and uses, it is important that compensation for loss of these assets can be readily integrated into the RAP and replacement land-use plan. Displaced households and host communities should be closely consulted and participate fully throughout the site selection process, especially during these steps:

- Determining site selection criteria
- Evaluating and visiting alternative sites and expressing preferences
- Selecting the preferred site or sites

Host communities and/or host landowners should be consulted about their willingness to accept resettlers and be kept informed about site selection progress.

The final site selection is inevitably a trade-off among multiple factors. Sometimes displaced communities may be unable to reach agreement on a single site. One group committed to agriculture may prefer a relatively remote site that offers

Box 5.5. Steps in Identifying Replacement Agricultural Land

Consider the following when determining how much and what kind of replacement agricultural area is required:

- Number of households to be displaced
- The agricultural and/or grazing area required for food sufficiency for an average household in an average year, using conservative assumptions about agricultural practices—make provision for fallow, if this is part of normal agricultural practices
- Addition of any common or natural resource areas needed for activities: pasture and grazing, foraging and gathering firewood, access to fishing or hunting area, housing or settlement sites, and so forth
- Different uses of the land by men and women

Define site selection criteria with affected communities and work with local governments to develop a long list of potentially suitable sites. Assess the strengths and weaknesses of each site and develop a short list of three to four preferred sites.

Consult with any host communities and ascertain their willingness to accept displaced people. Present the short-listed options to the affected community or households and discuss the strengths and weaknesses of each site, conduct site visits, and agree on a preferred site. Finally, carry out detailed site investigations (land tenure investigations and title searches, soil sampling and mapping, water supply investigations) to confirm the suitability of the preferred site(s).

better agricultural potential, while another prefers a site close to the project with the potential for jobs, enterprise development, or letting of houses to project workers. In such cases, it may be preferable to select two sites rather than push for a consensus on one. It is critical that displaced communities be given reasonable time to reach a consensus on the preferred site or sites and that their final decision be captured in an MoU with the project or in the final RAP.

The project might be exposed to land speculation activity during the replacement land selection process. Often it is necessary to be circumspect during potential site inspections and to move rapidly to secure rights to replacement sites once a decision on a preferred site or sites has been reached. Depending on the scale of a project and the prevailing land tenure regime, it may be possible to do one of the following:

- Enter into an option-to-purchase agreement with the owner(s) of the preferred site to reserve the site while detailed site investigations are undertaken or to cover the period until a project decision to proceed is reached.

- Request the government put in place a moratorium on land transactions, rezoning, and development approvals ahead of major project execution.
- Declare a specific cutoff date for replacement land and undertake a census and asset inventory of the replacement area.
- Incorporate replacement agricultural areas in the areas covered by cutoff date announcements (rarely possible, however, due to timing issues).

V.B. Reestablishing Subsistence Production and Food Security

For households reliant on subsistence production, the initial focus of livelihood programs should be on reestablishing food security using proven, low-risk production systems and crops familiar to the displaced population. The limiting factor in improving farm livelihoods may be the capacity of farmers to accept change in their agricultural practices, which may be driven by the minimization of risk rather than the maximization of production.

Assumptions about yields that can be achieved should remain conservative. No significantly new sophisticated techniques should be sought (e.g., no large-scale irrigation systems where this would be new, no hybrid varieties, no new mechanization, no use of sophisticated pest control techniques, etc.). Advisable technical improvements will usually be limited in scope (but effects may be critical) and should avoid innovations that may be difficult to introduce and integrate with traditional production systems. They typically include the following:

- Better integration of agriculture and animal husbandry to mobilize organic fertilization, including, for example, introducing a few zero-grazing animals and better animal sheds to recover organic matter generated by animals
- Improved local plant varieties (no hybrids), usually with slightly shorter cycles to improve drought resilience and reduce water needs, a better grain-to-straw ratio, or better resilience to diseases and pests
- Possible introduction of animal traction where labor is mostly manual and traction animals are available
- Introduction of *conservation agriculture* techniques: Conservation agriculture is a widely adopted concept in both developed and developing countries. It is particularly suited to traditional farmers with limited capacity to mechanize soil preparation. It is a set of soil management practices that minimize the disruption of the soil's structure, composition, and natural biodiversity. Despite high variability in the types of crops grown and specific management regimes, all forms of conservation agriculture share core principles:

- Maintenance of permanent or semipermanent soil cover, using either a previous crop residue or purposely growing a cover crop, such as nitrogen-fixing plant species
- Minimum soil disturbance through tillage (just enough to get the seed into the ground) and avoidance of plowing
- Regular crop rotations to help combat the various biotic constraints
- Utilization of green manures, avoidance of burning of crop residues, integrated disease and pest management, and limited mechanical traffic over agricultural soils where possible
- Reduction in fossil fuel use with associated economic and environmental benefits, which is a major advantage

Once basic food production systems are reestablished and self-subsistence is achieved on the replacement land, the project can look at augmenting household production with components that diversify household production and introduce cash income.

V.C. Agricultural Intensification

If there is insufficient land for full land-for-land replacement, the project sponsor will need to look at methods for intensifying agricultural production on a reduced land area. Agricultural intensification may involve some or all the following:

- Shift to sedentary agriculture from shifting or swidden methods
- Introduction of mechanization
- Consolidation of plots to facilitate mechanization and economies of scale
- Greater use of agricultural inputs: fertilizers, herbicides, and pesticides
- Shift from rainfed to irrigated agriculture
- Introduction of greenhouses
- Introduction of hydroponic growing methods
- Introduction or intensification of animal husbandry: for example, use of artificial insemination, improved livestock breeds, and/or supplementary feeding

Agricultural intensification should not be undertaken lightly. It will involve longer and more intensive training and assistance for displaced farmers, and also entails higher risks of setbacks or failures. There are always reasons why agricultural systems are extensive, and changing to more intensive ones is a long and difficult path (see box 5.6).

Box 5.6. Why Are Agricultural Systems Often Extensive and Why Is It Difficult to Intensify Agriculture?

Farmers the world over are risk averse. Traditional agricultural systems have been based, sometimes for centuries, on minimizing risks rather than maximizing production. For example, in some relatively dry areas of West Africa where most agricultural work is done manually, farmers will sow more land than they are able to weed. It seems to make little sense at first, but it allows the farmers to check the areas of their fields where the young plants have grown best and weed those only, as manual weeding is the most labor-intensive operation. Similarly, slash-and-burn systems seem to contradict "modern" agronomic science for a whole range of reasons, but they are (or rather were when land was largely available) a proven risk avoidance strategy in the social settings where they are practiced.

Risk aversion makes intensification difficult. Farmers know that by intensifying they will be more exposed. They have spent more in agricultural inputs and sometimes in labor and are therefore more vulnerable to economic hardship if drought or pest attacks occur and the crop fails, while in an extensive system, farming cash expenses are close to nil, and they would only lose the value of their own labor.

Other factors also make intensification difficult:

- Low educational levels that make it difficult for farmers to conceptualize the advantages of new agricultural techniques
- Poorly understood economic or social indirect effects of intensification: for example, slash-and-burn systems in West Africa typically allow herders to use fallow land or regrow grass after fire
- Poorly understood agronomic effects of intensification: for example, introducing plowing into systems that were based on direct sowing may accelerate soil erosion and mineralization of organic matter
- Beliefs or cultural values associated with certain agricultural practices or certain crops,[a] which are important to understand before engaging into intensification activities
- The "my grandfather and my father did that and there is no reason I should change" attitude

This is why attempts to intensify must be carefully studied, with qualified and experienced agronomists and social scientists looking into all technical, economic, social, and cultural implications of the changes. Pilots are also useful to refine techniques and provide a demonstration example and basis for training.

[a] Rice and various tubers such as yam and taro are typical of crops that are believed to have a "soul" in some cultures. Sometimes certain crops are associated with a particular gender and should not be cultivated by the other. Similarly, sacrifices or other rituals may be associated with certain cropping activities such as sowing, weeding, harvesting, threshing, or pounding. Understand whether these underlying cultural values may affect willingness to accept or resist change.

This handbook is not intended to provide detailed technical guidance on these approaches. Guidance should be obtained from sources such as local agronomic research institutes, the United Nations Food and Agriculture Organization, and local agricultural development initiatives carried out by governments or NGOs. Such advice should be locally specific. In the context of resettlement, failure is not an option, and project schedules do not allow for specific research and lengthy trials. Only proven techniques and practices should be used, with the involvement of experienced specialists and organizations. Where possible, pilot trials over one to three years are advisable before crops or techniques are scaled up for the affected population. There are no miracles in agriculture: a slash-and-burn farmer or a transhumant herder will not instantly turn into a high-tech drip-irrigation farmer simply because the technology works elsewhere.

V.D. Small-Scale Gardening

Small-scale gardening is often an effective way to diversify and improve food sources, provide an alternative to seasonal out-migration during the dry season when the main crops are already harvested, and improve livelihoods and cash incomes. This is often particularly beneficial to groups such as women and youth.

Key factors to consider prior to promoting small-scale gardening are presented in table 5.1.

Table 5.1. Factors to Consider in Small-Scale Gardening

LAND	Is land with the right potential available (soils and land capability, security)? Is it accessible? Can it be protected from animal intrusion and theft? Is it safe for both men and women to work there? Should it be fenced? Is it free from other uses or will it require secondary displacement? Should it be acquired and compensated for? Do new access roads need to be constructed?
TECHNICAL CONSIDERATIONS	Does the soil need improvement? Is water available at the site during the whole period when gardening will be conducted? If not, can it be made available (drilled or hand-dug wells, pumping) at a reasonable and sustainable cost of investment and operation? Can ongoing maintenance costs be sustainably covered? How will watering or small-scale irrigation be conducted? What crops should be selected, considering factors such as the agricultural calendar; nutritional benefits; availability of seeds, seedlings, fertilizer, pesticides, irrigation equipment, and other inputs; technical and social acceptability; and availability of a market if the harvest is to be sold?
TECHNICAL CONSIDERATIONS	What cultivation techniques will be employed: for example, soil preparation, fertilization, nurseries and transplanting, weeding, and so forth? Is there potential for integration with animal husbandry to provide organic fertilization? What calendar will be followed, considering both farming and marketing opportunities and constraints?
ORGANIZATION	Who will benefit: individuals, whole communities, groups of certain categories of residents? Are people willing and able to organize collective tasks such as clearing, fencing, and providing for the cost of collective infrastructure and irrigation pumping (if applicable)? Are they willing to farm some plots in common to accommodate collective expenses, or do they prefer to contribute in cash? Is there sufficient management capacity? Does it need to be strengthened? Should the organization of producers be registered? If so, under what status? Is there potential for linking with project workforce catering? Are there specific quality, quantity, and sanitary requirements applicable to food used for project catering? Will local producers be able to meet these in reasonable conditions? If not, can some standards be lowered to allow for more local procurement without jeopardizing food safety or overall food procurement? What happens when construction is finished and workers are demobilized?
IMPLEMENTATION	Are there implementation partners with successful experience in organizing small-scale gardening? Do these implementation partners know how to address gender issues in undertaking this work? What is the desirable duration of support? Can local trainers be identified and trained? What is the exit strategy when support stops? Is there a government agency with the ability to take over some support and monitoring?

V.E. Addressing Postharvest Losses through Improved Handling and Storage

V.E.i. Loss prevention

In most developing and emerging economies, postharvest losses are in the range of 10–20 percent and may account for up to 40 percent. Losses are mainly caused by insects, rodents, mold and other microorganisms, and technological deficiencies when separating grain from husks. Vegetables and fruits are particularly sensitive, but significant losses can also affect grains and tubers.

The minimization of postharvest losses should be considered as an aspect of improving agricultural productivity. Improvements to drying are usually straightforward and effective (although losses—caused by birds and rodents particularly—can occur during the drying process itself). Improving storage is usually more complex, as several factors come into play. Small-scale elevated storage facilities and the use of bags typically have good potential, but possibilities of improvement will always be context specific and, again, this should be studied by experienced specialists. Costly or unproven technologies should be avoided.

V.E.ii. Value chain

Where fruits and vegetables are introduced, the whole value chain should be considered, as these items are usually intended mainly for sales. Areas to examine include storage, transport and marketing, and associated organizational and technical constraints.

V.F. Animal Husbandry

Similar to gardening, small-scale animal husbandry has good potential to support the diversification of livelihood and income streams. Poultry for egg or meat production is usually a preferred option, as it entails limited investment and can build on existing practices. In Asia, practices that combine duck raising with aquaculture have also succeeded. Goat and cattle fattening for dairy or meat and putting aside a few animals in a zero-grazing system are also popular for the same reasons and have been reasonably successful in countries where they are part of national rural development policies (e.g., Rwanda). Zero-grazing allows easy collection of organic matter as a fertilizer, which can improve agriculture, particularly where market gardening is concurrently introduced. However, certain precautions and factors must be considered (see table 5.2). Also see IFC's "Good Practice Note on Improving Animal Welfare in Livestock Operations."[34]

[34] IFC. 2014. *Good Practice Note: Improving Animal Welfare in Livestock Operations*. Washington, DC: IFC. www.ifc.org/GPN-AnimalWelfare.

Table 5.2. Factors to Consider in Poultry, Goat, and Cattle Fattening and Zero-Grazing

CHOICE OF SPECIES AND BREEDS	Use local species and breeds to the extent possible, as they are usually more resilient to morbidity and better adapted to climatic and other local conditions. Where practical and proven, cross existing breeds with improved stock to benefit from improved productivity without losing the resilience of the local stock. For cattle, where the organizational, technical, and economic environment is conducive, artificial insemination of local stock with imported semen can yield interesting results. Avoid species and breeds that are unknown locally or unproven at the national level.
ANIMAL HOUSING	Give preference to low-cost systems. Use specialist experience to design animal pens, taking particular care for morbidity risks, cleaning, and collection of waste. Consider and prevent intrusion of predators such as foxes, raptors, or snakes.
ANIMAL FEED	Are there permanent and cheap sources of animal feed locally? What are the risks of a shortage of animal feed? Can animal feed be purchased without jeopardizing the sustainability of the venture? If new crops are required to feed animals, are these technically acceptable and economically sound in the local context?
DISEASES	Assess the capacity of local veterinarian services to deliver animal-health-related services, including immunization, prevention advice, and curative care.
ORGANIZATION	Who will benefit: individuals, whole communities, subgroups of the community? If the activity requires some tasks to be done collectively (such as building sheds), are people able and willing to organize for such? Will women benefit? Is there sufficient technical and management capacity available? Should it be improved? Should the organization of producers be registered? Under what status? Is there potential in a link with project worker catering? Are there specific quality, quantity, and sanitary requirements applicable to meat, milk, and eggs used for worker catering? Will local producers be able to meet these in reasonable conditions? If not, can some standards be lowered to allow for more local procurement without jeopardizing food safety? What happens when construction is finished and workers are demobilized?

(*Table continued on next page*)

Table 5.2. *(Continued)*

MARKETING	Is there a market for the produce? Is it accessible to local producers? What is the competition? Are there acceptable slaughterhouses? Is a specific form of organization required or desirable to access the market?
IMPLEMENTATION	Are there implementation partners with successful experience in organizing and implementing livestock production systems? What is the desirable duration of support? Can local trainers be identified and trained? What is the exit strategy when support stops? Is there a government agency with the ability to assume responsibility of some support and monitoring?

V.G. Agricultural Insurance

Agriculture is an inherently risky venture, and significant crop losses are always possible, even in mature agricultural landscapes. In many parts of the world, the onset of climate change is exacerbating the risk of unseasonal or extreme weather that can adversely affect farmer yields or livestock production. Resettled farmers who are establishing agriculture in new areas or using new or improved varieties are particularly at risk.

Where resettlement livelihood schemes promote credit assistance for the use of higher value inputs (e.g., improved seed, fertilizer, and chemicals), project-affected farmers can be encouraged to buy crop, livestock, or fisheries insurance, where this is available (see table 5.3). Where a farmer is reliant on credit or making an unfamiliar investment in livestock, improved seed, or fertilizer, they can be left irrevocably worse off if they experience crop or livestock losses. Some governments and agricultural credit providers offer subsidized insurance programs.

Table 5.3. Examples of Agricultural Insurance

INSURANCE TYPE	TYPICAL COVERAGE
Crop	Period from seeding until harvest Loss from natural calamities, plant diseases, or pest infestations or accidental fire Cover for cost of inputs, value of farmer's labor (including household members), labor of hired workers, and proportion of expected yield
Livestock	Death from disease, accidental drowning, strangulation, or snakebite Additional cover for loss due to fire, lightning, typhoon, or floods
Poultry	Catastrophic loss due to disease or epidemic (subject to birds having been vaccinated or inoculated)
Fisheries	Period from stocking up to harvest Loss of stock due to natural calamities Cover for cost of production inputs and value of labor

Source: Adapted from Food and Fertilizer Technology Center for Asian and Pacific Region website, http://ap.fftc.agnet.org.

VI. Effective Non-Land-Based Livelihood Improvement Strategies

Livelihood improvement strategies that are not based on land and agriculture can include access to project and other employment, nonagricultural income-generating activities, and support for the establishment and operation of small businesses associated with project procurement.

VI.A. Access to Project Employment

VI.A.i. Challenges

Project sponsors and contractors must anticipate the challenges associated with employing PAPs who may have limited exposure to wage-based employment and no exposure to large construction projects, particularly in terms of occupational health and safety. Even for those who gain employment and work well, there are challenges. For example, for most projects, employment opportunities are

numerous during the construction phase and fewer (or even nonexistent) in operations. The transition from construction to operations is difficult and may result in social tensions. Other challenges include the following:

- Mismanaged expectations ("everybody will get a job"), sometimes fueled by poor project communication or employment procedures, which result in frustration and anger when affected persons realize that not everybody actually gets a job
- Poor communications around and understanding of the screening and recruitment procedures, which can cause frustration for those screened out
- Failure to consider ways to provide solid opportunities for women, including in nontraditional roles, because of the culture factor and therefore discrimination against women in recruitment
- Misunderstanding the required job skills: for example, persons with a light vehicle driving license mistakenly thinking they can drive a 150-ton mine dumper
- Unfamiliarity with work discipline and regular hours, productivity lower than seasoned construction workers, and lack of familiarity with administrative aspects such as wage slips, allowances, and employer tax deductions
- Failing employment screening tests: large contractors will typically undertake preemployment screening to test hearing, eyesight, literacy, presence of infectious diseases (e.g., tuberculosis), and drug and alcohol status. Many job applicants may fail such screenings,[35] which can make it difficult to recruit significant numbers of PAPs.[36]

VI.A.ii. Benefits

If properly managed, employment has the potential to be the first benefit of a project to neighboring communities and the one that is most expected by stakeholders in countries where poverty and unemployment are widespread and job opportunities scarce. Employment can achieve the following benefits:

- Provide a regular source of cash income.
- Integrate workers in the cash economy.
- Allow workers to benefit from social security systems or pensions.

[35] It is important that failed job candidates be provided with access to treatment (e.g., opportunity to buy glasses, obtain medication for tuberculosis, or be sensitized about substance abuse issues and, once treated, be given the opportunity to reapply).

[36] In a project in West Africa, a large number of young applicants failed the cannabis test. However, testing positive does not necessarily denote frequent and recent consumption (which these youth could not afford), because the active substance in cannabis (THC) is detectable for a long time after consumption. Significant frustration occurred (resulting in site blockages) when young people that denied frequent consumption realized that they had failed the test and would not be employed.

- Provide opportunities for training and skill enhancement.
- Help create gender equality in families and communities that can bring economic and social benefits to both.
- Reduce the risk of GBV.
- Create a sense of common objectives between the project and affected communities.

VI.A.iii. Employment preparation

For direct and indirect project employment approaches to succeed, it is essential to provide training, mentoring, and support. Where affected communities have limited understanding of project employment requirements or low educational attainment, the project sponsor should help affected persons improve their chances of being employed by creating early awareness on these topics:

- Project organizational arrangements (who is who among sponsors and contractors) and project workforce needs, including types of positions, locations, and the duration of the different phases
- Management of expectations and clarity that not everyone will be employed; the project has certain needs and will put in place selection processes
- Literacy, numeracy, and language training
- Capacities of women and business, including community benefits of employing women
- Workplace rules and disciplinary procedures: working hours, hierarchy, assessments, violations, and so on
- Awareness of recruitment procedures: including processing of applications; health, drug and alcohol screening; and the like
- Essentials of health and safety for both men and women
- Environmental management principles
- Skills required for the project, including the fact that some or many skills needed may not be available in the affected communities
- GMs available to communities and workers
- Rules of conduct, such as zero tolerance for harassment, including sexual harassment and bullying, and sexual exploitation and abuse

Awareness can be achieved through community meetings, workshops, and focus groups with community representatives, including youth and women.

VI.A.iv. Identification of key employment needs

As part of the ESIA or RAP baseline surveys, the project should identify the skills among affected persons and key employment categories where affected persons may be able to find jobs (see Module 4. VII. Livelihood Baseline Research and Surveys). Assessing the skills base requires that some questions about degrees, professional qualifications, experience, artisanal and vocational training, and so forth be asked of affected household heads. These pertain to the qualifications of all working-age household members at the time of the socioeconomic or livelihood baseline surveys (see Module 4. VI.B. Quantitative Surveys and VII.H. Skills Base).

The project should assess the jobs needed during construction and operations and understand how the project workforce needs will be filled. For the construction phase, project sponsors need to encourage contractors to develop precise breakdowns and establish accurate estimates of the number of unskilled and semiskilled jobs that can be offered to affected persons. A gender breakdown of jobs and gender targets should also be established, and efforts should be made to ensure that access to these jobs and targets are not thwarted by cultural factors. Good practice includes planning ahead and developing vocational training programs to provide skill training for local communities to enhance their chances for employment.

VI.A.v. Development of recruitment procedures

Recruitment procedures can lead to confusion and community discontent. There is no universal approach, and procedures will be highly context specific. Projects are often insufficiently prepared, and procedures may not be effectively implemented. Procedures for recruitment of affected persons into project employment should comply with requirements of IFC PS2 and address these questions:

- How and where can people apply (project employment centers, national employment agency, community liaison personnel, or other option)?
- What screening tests will be used, and how can people be helped to cope with rejection (see section VI.A.i. Challenges of this module)?
- How does the project identify beneficiaries (for project-related benefits such as employment) and eligibility criteria?
- Are all affected persons eligible, or just one individual per affected household? In the latter case, will elderly households be able to allocate their employment entitlement to another extended family member?
- How does the project address unaffected persons staying in affected communities?

- How will residency in a community be verified: project census or other criteria, including verification by local chiefs?
- Is eligibility for a job permanent or for a given duration?
- How are jobs distributed among different communities: quota by communities or other method?
- How can women and vulnerable groups access jobs?
- How are jobs distributed within each community: lottery or other method?
- How will contractors comply with the project's local recruitment procedures?

VI.B. Education, Training, and Scholarships

Allocating scholarships to students from affected households in primary, secondary, higher, or vocational training provides effective and relatively inexpensive benefits to communities, individuals, and the project.

- From a livelihood-restoration perspective, it enhances the employability of those receiving training.
- It generates a sense of pride and enhances community goodwill toward the project and its sponsor.
- It can help with the training of future employees.
- It can help promote inclusion of women and vulnerable groups in the economy.

The number and type of scholarships should be adapted to the context. Scholarships should cover a significant part (but not necessarily all) of the education expenses incurred, including tuition and accommodation, where applicable. Criteria for eligibility and award of scholarships should be transparent and fair. Criteria should also be adapted to ensure women and vulnerable groups have equal chances of success in securing scholarships. Authorities and communities should be consulted about how scholarships will be awarded and about monitoring measures to avoid misuse. Part of the scholarship might be paid directly to the educational institution. Managing scholarships and mentoring beneficiaries can be onerous and are often best achieved by using a suitably experienced implementing partner, such as a development NGO specializing in education. See box 5.7 for an example of a scholarship program.

Vocational training programs, particularly when they are initiated significantly prior to the start of construction, can provide opportunities to affected communities, and, when properly designed, for women in nontraditional positions. Successful examples include training women as operators of large mining trucks as stevedores in commercial ports, and villagers starting in unskilled work and being elevated to supervisors.

Box 5.7. Vishnugad-Pipalkoti Hydropower Project, Uttar-Akhand, India: Long-Term Investment in General and Vocational Education and Scholarships

The Vishnugad-Pipalkoti hydropower scheme is being built by a public power company, THDC India Limited, on the Alaknanda River in the Himalayan state of Uttarakhand, India, with support from the World Bank. Although the project is a run-of-river scheme, about 558 households were affected by potential impacts during construction (acquisition of private land), and 155 are being relocated.

Within its livelihood-restoration efforts, the project embarked on various training programs that included the following:

- Scholarships for primary and secondary education, with three target groups: affected households, meritorious students, and children with a vulnerable background, with about 1,150 children benefiting
- Vocational training in electricity, plumbing, masonry, operation of heavy equipment, and so on in existing training and educational institutions, with about 60 young people from affected households benefiting
- Specific training activities for affected women, including training in producing clothes (knitting and tailoring), dairy promotion, backyard poultry, and agriculture activities, with about 250 women benefiting

See photos in this box for examples.

Also noteworthy is the fact that the project is on a very popular pilgrimage route, and affected persons are being encouraged to utilize their resettlement and rehabilitation grants for pilgrim hospitality by providing clean and safe accommodations and management of this activity.

Young people from the affetcted area being trained as electricians.

Young man from an affected household being trained as an excavator operator.

(*Box continued on next page*)

Box 5.7. *(Continued)*

A female student supported by the project's scholarship program receives her certificate.

A woman from an affected household being trained in knitting.

VI.C. Enterprise-Based Livelihoods

VI.C.i. Project opportunities

Projects typically provide numerous opportunities for local procurement in which PAPs can benefit if the right conditions are in place and there is a strategy to establish and enhance links between local enterprises and project procurement (see table 5.4), including preferential sourcing from local suppliers.

Table 5.4. Factors to Consider in Project Procurement from Local Enterprises

Identifying local content areas	Identify areas within the project company that have potential for local procurement involving PAPs, including, for example, catering, cleaning offices and accommodation, building maintenance, small construction works, information technology (IT) services, transportation, security, landscaping, waste management, and community liaison. Work with contractors (and their subcontractors, if needed) to identify areas where there is potential for local procurement. Define quantitative objectives (in terms of value of local procurement per year) based on the PAPs' skills, information on which was collected at the baseline stage. Have these objectives sanctioned by project senior management and ensure that associated instructions are given to the procurement department within the project or company.
Identifying local content areas *(continued)*	Ensure procurement personnel and contractors understand the importance of and how to apply gender equality.
Strengthening existing local businesses and supporting the emergence of new businesses	*Existing businesses* Provide preliminary awareness of project procurement needs and requirements, and ensure this information is made accessible to both male and female business owners. Provide management, technical, and administrative training, particularly in areas needed to meet project requirements (e.g., labor standards; health, safety, and the environment, including environmental management). Provide support in establishing commercial, technical, and financial offers to the project or its contractors. Establish links with larger contractors hired by the project. Facilitate links with existing national or regional business support agencies and business organizations, such as chambers of commerce. Facilitate links with NGOs and donors working in the area of small and medium enterprise support, especially for working with women and vulnerable groups. Facilitate links with financial institutions, such as commercial banks and microfinance lenders. Encourage the recruitment of PAPs, possibly through a positive discrimination system, such as a partly subsidized position, if it is legally permissible in the jurisdiction. Use project leverage where such exists, via banks, national government agencies, and contractors.

(*Table continued on next page*)

Table 5.4. *(Continued)*

Strengthening existing local businesses and supporting the emergence of new businesses	*New businesses* Where project business needs may be satisfied by a PAP business, identify individuals or groups willing to embark on business creation. Provide guidance and training on business establishment (legal forms, registration, legal documentation, business planning, equipment, recruitment, etc.) until the business is established. Provide long-term support for women and vulnerable groups to strengthen chances of success for their new businesses. Monitor business activity for any issues and provide regular refreshment training. Implement points listed under *Existing businesses*.
Making sure local procurement benefits PAPs	Consider prioritizing enterprises managed by PAPs or employing PAPs in project procurement: give specific support in the bidding and contract implementation processes. Consider gender aspects of hiring: quota, priority, specific support to enterprises managed by women, and so on.
Establishing project standards and terms of purchase	Consider unbundling large contracts into smaller ones to allow local enterprises to compete. Simplify bidding procedures to accommodate the lower administrative and financial capacity of local enterprises. Support local enterprises to improve health and safety standards. Establish reasonable payment terms with an initial down payment without bond or other guarantee. Provide training and capacity building to local enterprises on subjects such as tender and proposal preparation; health, safety, and environmental requirements; and administrative, technical, and financial procurement requirements. Include women and vulnerable groups in this training. When faced with administrative issues raised by procurement departments, do not take no for an answer, and seek a reasonable compromise.

VI.C.ii. Nonproject opportunities: Income-generating activities

Income-generating activities have been given considerable attention by various development organizations in most developing and emerging countries (see box 5.8). These activities can allow people to develop nonagricultural income to diversify household income sources. Many government agencies and NGOs supported by donors have developed methodologies to create income-generating activities, sometimes with specific targets for women, youth, and vulnerable people. These methodologies are usually based on the following sequence of actions:

Box 5.8. Examples of Income-Generating Activities for Developing Countries

With a little research, many income-generating activities can be identified to supplement or expand household incomes. Sometimes activities can be designed to target the project procurement needs or the needs of its employees. Examples of income-earning opportunities include the following:

- Textile and garment production, including knitting, weaving, dyeing, and tailoring
- Breeding of small animals (poultry, rabbits, guinea pigs, etc.)
- Production of mushrooms or hydroponic vegetables or fruits
- Food processing, packaging, and marketing, including production of butter and cheese, production of flour or semolina from grain or tubers, drying or canning of fruit, and production of oil
- Personal services (laundry, barbers/hair dressing, make-up)
- Transport services for goods or passengers
- Beekeeping and production of honey
- Soap and cosmetic production
- Handicrafts, including embroidery, basketwork, and jewelry
- Fish farming, production of mollusks or shrimp, drying, smoking, salting, and packaging
- Efficient stove or drum oven fabrication
- Battery charging (solar, small generators)
- E-load for mobile phones
- Purified water refilling stations
- Briquette manufacture
- Production of salt
- Digital printing
- Room rental

- Identification of activities combining economic potential, environmental sustainability, and social acceptability, based on information typically available from local development agencies, NGOs, and donors
- Consultation with economically displaced people on these activities and selection of a few preferred, viable, and sustainable activities
- Provision of functional literacy and numeracy courses
- Provision of technical courses on each of the selected activities
- Provision of long-term assistance to develop new income-generating activities for men and women, and in which men and women can work together
- Development of links to markets
- Establishment of support to groups implementing, monitoring, and evaluating these activities

VI.D. Fisheries

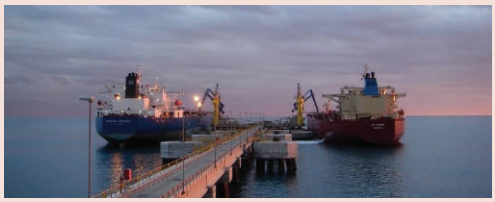
The creation of reservoirs in hydropower developments provides opportunities for the enhancement of fishery activities through the development of better and safer landing sites and enhancement of marketing and the cold chain. Transitioning from river fishing to lake fishing may be necessary. In Africa, it has been observed in several HPPs with large reservoirs that fishing in the reservoir tended to benefit migrants better equipped for this transition, while local fisherpeople, lacking training and support, could not benefit. This is a potential obstacle that must be assessed based on the experience of other projects in neighboring areas and managed in cooperation with local communities, fisherpeople representatives, and local authorities.

An example of activities intended to enhance fisherpeople's livelihoods is presented in box 5.9. For a more comprehensive treatment of fisheries livelihood baseline assessment and livelihoods restoration planning, reference should be made to IFC's *Good Practice Handbook: Addressing Project Impacts on Fishing-Based Livelihoods*.[37]

Box 5.9. Compensating Fisheries and Enhancing Livelihoods in Turkey

Ceyhan Marine Terminal is the end point of the Baku-Tbilisi-Ceyhan crude oil pipeline. It comprises two sets of facilities (see first two photos in this box):

- Seven crude oil storage tanks, associated receiving and process facilities, loading lines, administration, and control buildings
- A two-and-a-half-kilometer jetty capable of berthing two tankers simultaneously



Jetty at the Ceyhan Marine terminal.

Overview of the terminal with tank farm and jetty.

(*Box continued on next page*)

[37] IFC. 2015. Addressing Project Impacts on Fishing-Based Livelihoods—A Good Practice Handbook: Baseline Assessment and Development of a Fisheries Livelihood Restoration Plan. Washington, DC: IFC. https://commdev.org/publications/addressing-project-impacts-on-fishing-based-livelihoods-a-good-practice-handbook-baseline-assessment-and-development-of-a-fisheries-livelihood-restoration-plan/%20

Box 5.9. *(Continued)*

In a context of depleting fish stocks and catches and high community expectations, the extension of the restriction areas associated with vessel maneuvering led to conflict with local fishermen. (See third and fourth photos in this box.) Local Turkish legislation was not detailed on compensation and livelihood restoration for fishermen. With advice from IFC, the project sponsor embarked on preparing a livelihood restoration plan specifically targeting affected fishermen. This included the following activities:

- Verification of the geographic extent of the impact and affected persons (household questionnaires, mapping exercise, "on-the-water" survey of fishing grounds with fishermen, consultation with other regional stakeholders—including coast guard, port authority, fish traders, village leaders, and so on—and a control group survey)
- Clarification of eligibility criteria for fishermen (holding a fishing license and residing in Gölovası Village, active participation in fishing activities as a full-time crew member, and not being involved full-time in any other activity than fishing) and declaration of cutoff date
- Baseline survey to determine household and fishing income of each affected person (literature review, consultation with stakeholders and experts, and household income surveys: 74 questions to 48 fishermen and 26 members of a control group, as well as registration of fish catches at different periods)

Fishing boats.

Fish catch.

- Calculating the impact on fishing income, using a net present value formula over the 20 years average life of a fishing boat, and excluding other income streams
- Identification of sustainable livelihood compensation packages for those who elected to stop fishing (about 20 percent of the active fishermen, proportionate to the lost fishing area due to the project marine facilities), including a social security package, health insurance, property (purchase of structures), purchase of vehicles and tractors, debt repayment, and support to the business establishment
- Compensation and implementation of livelihood-enhancement activities as well as community development activities at the community level (training, support to tourism development, etc.)

Complaints were numerous, particularly from individuals deemed not eligible, but robust catch monitoring and an effective grievance management system helped to avoid escalation.

VII. Urban Livelihoods Considerations

There is growing recognition that resettlement programs based on moving inner-city households to peri-urban locations often have a detrimental impact on household livelihoods. Such programs have proven problematic for informal dwellers, in particular. There is an emerging preference for resettlement based on rehousing people and businesses and helping them maintain or reestablish existing livelihoods within inner-city areas. Inner-city resettlement is likely to increase project acceptability to displaced families and offers more sustainable livelihood opportunities.

VII.A. Characteristics

Developing and implementing livelihood programs in an urban setting are usually far more complex than in a rural context. Contributing factors include the following:

- Urban areas tend to be administered by multiple government and municipal agencies that need to be involved in planning, approving, and implementing resettlement and livelihood programs. This can make it challenging to achieve alignment and obtain approvals, but it can also offer resources and technical support.
- Urban residents are often much more knowledgeable, resourceful, and assertive than their rural counterparts. This can be an asset when channeled through constructive participation or a liability when there is conflict or litigation.
- Urban livelihoods are far more diverse than those in rural contexts. Livelihood-restoration and enhancement measures need to be tailored to meet the needs and locational requirements or dependencies of multiple groups: salary and wage earners, business owners, retailers, informal stallholders, formal and informal service providers, artisans, home businesses, and so on.
- Urban projects can involve displacement of significant numbers of informal dwellers whose livelihoods often rely on very localized demands for services (e.g., street stallholders, pedicab drivers, domestic workers, and casual labor) or access to resources (e.g., waste for recycling).
- Land for reestablishing businesses and livelihoods is more often than not scarce, expensive, and occupied.
- Urban environments are dynamic, with multiple projects occurring simultaneously and involving complex vested interests. This can lead to opportunities and synergies for livelihood development or challenges if there is an absence of forward-looking urban planning.

VII.B. Organization

Planning and delivery of livelihood programs in an urban context often require bringing together multiple municipal agencies, community interest groups, and those displaced:

- Establish resettlement and livelihood steering and working committees with substantial PAP representation to ensure effective coordination, alignment, and information transfer among all key stakeholders, including relevant government and municipal agencies.
- Design livelihood working groups to represent the full range of livelihood interests displaced by the project: wage and salary earners, different types of businesses, informal service providers, informal and formal stallholders, artisans, transport workers, and women and youth representatives.
- Where feasible, work with existing business organizations, artisan groups, and associations that have established networks and bring detailed knowledge about their sectors and members.
- Consider utilizing suitably experienced urban-focused CSOs to broaden the reach of engagement, mobilize displaced communities and businesses, and coordinate participation.

VII.C. Factors to Consider

Critical success factors for managing urban livelihoods include the following:

- Understand the degree of impact for each type of livelihood, including whether impacts are permanent or temporary and the ease or difficulty of reestablishing the business.
- Establish a strong steering group to oversee the urban livelihood program delivery. The group should meet regularly, be informed by independent midpoint and final livelihood program monitoring, and be prepared to adapt programs in response to arising opportunities and constraints—adaptive management is critical.
- Use qualitative and quantitative baseline studies with broad engagement to gain an in-depth understanding of the formal and informal social and economic networks and resources that displaced households and businesses rely on for their livelihoods. Understand the various locational dependencies and requirements of affected households and businesses.
- Use skilled and experienced implementing partners (development NGOs and municipal or other government teams) to mobilize displaced households and businesses so they can express preferences and participate fully in all decisions about livelihood opportunities.

- Assist displaced people so they can take advantage of vocational training and livelihood programs offered by the government or other local or regional institutions. Ideally, these should result in nationally recognized qualifications or skills certification.
- Integrate urban resettlement and livelihood programs with wider municipal planning and economic strategies. For example, if a municipality is planning to develop a new market, examine ways for project-displaced formal and informal stallholders to be accommodated within those plans.
- Understand the diverse and often less visible means and networks that women use to create livelihoods.
- Where impacts are geographically extensive or occur over a protracted period, break the resettlement process, including livelihood programs, into defined stages. This results in a more focused and effective use of resettlement personnel and resources and limits the period of disruption on displaced households and business.
- Pay particular attention to meeting the needs and facilitating participation of vulnerable households, including informal dwellers.
- Understand the risks of GBV connected to changes in social and gender systems as a result of the loss of urban livelihood activities.
- Recognize that government agency and municipal budgets are typically established annually. If these bodies are to form part of project livelihood initiatives, they need time to provide a budget and resources.
- Maintain a GM that is accessible and transparent and provides timely redress.

VIII. Transitional Support for Lost Livelihoods

Transitional support should be provided as necessary to all economically displaced persons in addition to other forms of compensation, based on a reasonable estimate of the time required to restore their income-earning capacity, production levels, and standards of living (PS5, paragraph 29). As the name implies, transitional support is typically provided to cover the period from the time a displaced household's original livelihood is dismantled (when they physically relocate or when their land and assets are relinquished to the project) until their new incomes start flowing or sustainable harvests are achieved from replacement agricultural lands (e.g., upon completion of the first successful crop cycle). With urban resettlement, transitional support may take the form of allowances to cover additional costs of food and transport when a displaced worker must commute.

Transitional support may be provided in the form of a cash allowance, vouchers, in-kind support, or through payment for work. For households, cash or in-kind allowances should be calculated on a per-household-member basis to account for the differing subsistence needs of large or small households. Provision should be made for inflation. Some examples of different kinds of transitional support are summarized in table 5.5. In each case, the type of support has been designed in response to the nature of the livelihood that has been affected and the period required to restore or reestablish replacement income or production.

Table 5.5. Examples of Project Transitional Support

PROJECT	TYPE OF SUPPORT	DURATION
A gas pipeline project passing through household gardens in the Papua New Guinea highlands	Monthly delivery of a food package designed to meet household nutritional needs	Six months: the period it would take a reasonably diligent household to clear forest, cultivate beds, and plant and harvest a crop of sweet potato sufficient to meet household needs
Informal stallholder displaced for trenching works in Ghana's capital, Accra	Flat-rate cash allowance meant to offset the disturbance created by the trenching work (digging, laying the water pipeline, and closing the trench)	Three months, paid in one installment
A small roadside enterprise in Azerbaijan demolished for laying of gas pipelines before construction of replacement premises could be completed	Enterprise owner was paid rent for his land and premises until replacement building was completed. Rental payment covered the owner's lost profit. Enterprise employees were employed as temporary cleaners by the project construction contractor	More than 12 months
A petrochemical project requiring rural-to-urban resettlement in China	Monthly cash allowance calculated for each household member, equivalent to the urban minimum wage	Twenty-four months: the estimated period for household members of working age to register as urban unemployed, complete skills training, apply for and obtain city jobs, or establish small businesses

IX. Other Avenues for Livelihood Restoration and Improvement

IX.A. Benefit Sharing

Benefit sharing seeks to distribute a share of project benefits back to PAPs, communities, or local governments, that is, to those that lose land and assets or otherwise bear the social and environmental costs of a project. Benefits may be monetary, such as through sharing equity, royalties, or project revenues, or nonmonetary, such as through improved infrastructure or long-term business opportunities.

Benefit sharing does not replace the need for compensation for lost individual assets and livelihood restoration, but it can be used as a means to compensate for loss of access to natural resources, with a focus on supporting sustainable, long-term livelihood improvement. Benefit sharing can contribute to a life-of-project revenue stream that can be used for ongoing improvements in the standard of living and livelihood. It can also foster trust and mutual interests between the project developer and local communities, that is, it can strengthen a community's sense of ownership in a project and the project's social license to operate.

Benefit sharing is sometimes a requirement of national law, or it may be negotiated with the project developer as part of a benefits package. Depending on the prevailing legislative regime or project agreements, monetary benefits received by a community might be retained for community development or distributed to individuals or households.

Benefit sharing mechanisms may include the following:

- *Long-term lease of land*. Land for a project is leased from communal or individual owners (rather than purchased), and owners receive ongoing lease payments for the life of the project.
- *Equity share*. PAPs or communities are granted equity in the project.
- *Direct transfers of a fraction of revenues as royalties*. Communities are granted a percentage of the revenues or royalties generated by the project.
- *Contribution to a development fund or funds*. The project contributes to a trust or development fund that can be drawn on by local government, affected communities, or individuals for prescribed purposes.
- *Levying of property taxes by local government*.

Benefits may also be nonmonetary, such as the following:

- Sponsor commitment to establish a community development fund that can be accessed by communities for socioeconomic development purposes
- Allocation of fishing rights to resettlers in a newly created reservoir or aquaculture rights within a project's marine exclusion area

- Access to improved infrastructure, enabling affected persons to utilize project roads, access health care, or receive water for domestic use or irrigation
- Preferential electricity rates or reduced water-related fees
- Preferential hiring of affected persons during project construction or operations
- Preferential opportunities for affected persons to supply services

Where benefit sharing is voluntary and not a requirement, it is good practice for project sponsors to negotiate a community agreement with affected communities. A negotiated benefits agreement has advantages because communities have some ownership over the process and can seek benefits best aligned to their needs.

IX.B. Facilitating Retirement and Pensions

Older workers affected by displacement may experience greater difficulty than others in developing replacement livelihoods. This may be due to their inability to undertake the hard labor necessary to break in new land for agriculture, or because they are considered too old for placement in wage-based employment. Older workers are also less likely to be able to take advantage of construction-based employment or training programs.

The preference is always that capable people of working age be given opportunities for productive employment, and that retirement not be forced, but under some circumstances the option for pensions or early retirement might be offered. In China, for example, it is not uncommon for resettlement plans to make provision for men over 55 years and women over 45 to be granted retirement pensions as part of livelihood compensation. In such cases, programs should meet the following criteria:

- Pensions plus compensation for loss of productive assets should be adequate for the individuals or households to maintain their previous living standard.
- Pensions must be sustainable, that is, guaranteed by the project sponsor or government implementing agency.
- The pension program should be equitable and accessible regardless of gender or ethnic background.
- Ideally, pensioners should have access to supplementary livelihood opportunities through access to land or part-time employment.

IX.C. House Rental

Several completion audits of resettlement programs have shown that resettled people may find it profitable and easy to rent out part of their resettlement house, as their new houses are often of a better standard than what is otherwise locally available. This is a simple and relatively cheap way to provide a livelihood-restoration avenue. Houses simply need to be designed to provide one or two rental rooms in addition to the resettled household's own needs. However, issues concerning the presence of outside workers in the community, such as a possible increase in social ills (e.g., sexually transmitted diseases, GBV, alcohol and drug abuse), and the loss or reduction of rental revenue upon completion of project construction, need to be discussed and addressed with affected households, community leaders, and representatives. In small communities it is not advisable to house workers in local houses. Also, in areas with the potential for tourism, renting rooms to tourists or pilgrims can provide a useful income complement.

X. Planning an Exit Strategy

Project support to reestablish livelihoods will necessarily have an end. A common challenge of livelihood-restoration programs is the significant preparation required to discontinue support.[38] It is advisable to prepare the exit strategy at the design stage of the program, so that all activities are planned and all communication with PAPs includes the perspective of the eventual exit. This is not as straightforward as it seems, in part because implementation partners are not necessarily keen on preparing for their own discontinuation with the project. In some cases, projects have integrated livelihood-restoration measures with social investment programs to build on the efforts already started. In a project in Peru, for example, farmers were supported to replace land and reestablish farming. Once livelihoods were restored, affected farmers were included in the master farmer program to help them diversify their crops and learn new techniques. Exit strategy considerations are presented in table 5.6.

[38] The issue of how to assess completion, and particularly whether livelihood restoration programs have been successful, is addressed in Module 7. III.B.iii. Defining 'Completion'.

Table 5.6. Factors to Consider in the Livelihood-Restoration Exit Strategy

SUSTAINABILITY OF ACTIVITIES	Have the activities been designed to be technically and economically sustainable: business planning, contingency plans, and adequate technologies that can be maintained locally at affordable cost, and so on? Do local communities have the technical, financial, and organizational capability to maintain any facility created by the livelihood-restoration program? If not, have adequate training provisions been put in place, or could local NGOs provide ongoing support as part of their programs? Are the activities contributing to improved gender equality and a reduction of GBV in communities? What happens if there is an incident: for example, an epidemic that affects livestock provided under the program, or an unanticipated technical breakdown? What is the contingency plan for managing such unforeseen events? Has attention been paid to transferring support for vulnerable households' livelihood initiatives to host community, local government, or other CSO? Has sufficient time passed since impacts occurred and have livelihood-restoration measures been initiated to be able to demonstrate sustainability?
TRAINING, EXTENSION, AND MONITORING	Is there a government agency with the capacity to continue training and extension work initiated or enhanced by the project? Should the project enhance the capacity of this agency: technical abilities, human and material resources, vehicles, and IT? Will this agency also be able to carry out monitoring tasks and provide ad hoc advice where and when needed? Does this agency show gender sensitivity in its work? If government is not present, are there NGOs with such ability? Under what budgetary conditions could they include PAPs in their normal activities?
COMMUNICATION AND ENGAGEMENT	Has it been clearly communicated to PAPs and stakeholders that the program would have an end and that support was only a temporary measure to be discontinued after a defined period? Has the target end-date been communicated and emphasized to PAPs and stakeholders? Have the objectives of self-reliance and long-term sustainability been consistently communicated to PAPs from inception through all activities?

XI. Gender Considerations

Resettlement can result in significant changes between genders in terms of the livelihood burden, with women remaining responsible for certain expenses even though resources for these have been altered. Studies demonstrate that women's earnings largely go toward their families' basic needs such as food, school tuition, and clothing. Impacts to women's livelihoods can have devastating impacts for the family. This can be the case where the livelihood streams that allowed women to care for these family needs have been eliminated by the relocation, such as where those streams are associated with natural resources that are no longer accessible—salt extraction, intertidal gleaning, or NTFP gathering, for example (see box 5.10). Programs that specifically target restoring or diversifying women's incomes can be significant in improving family health and nutrition, the welfare of children, and children's participation in education.

Relocation can put an additional burden on women's livelihoods by affecting their work calendar and daily timetable, which often results in unavoidable stress. Strains can result from settling the new household, establishing new routines, breaking in new fields, and gathering fuelwood or water in unfamiliar settings. Women might lose social networks for child minding or will "lose" a partner employed by the project or engaged in a time-consuming new livelihood. If women are unable to carry out their normal responsibilities to care for children or complete household chores, they may be at increased risk of domestic violence.

The livelihood-restoration activities proposed for women must take these constraints into consideration. Experience indicates that, in many cultures, women's groups can be cohesive around a common objective and are effective in implementing activities that require collective management. Women tend to manage collective property better than men, and risks of embezzlement are often lower. Women's microsavings and microcredit groups often work well, as collective discipline and compliance with rules are often better than in men's groups. When presenting income-generating activities, scholarship availability, employability enhancement, or small business support, women's groups success stories can be a useful catalyst for the whole community, including men. There are several examples of men applying to join successful women's groups.

Box 5.10. Gender-Specific Priorities for Livelihood Restoration: An Example from Northern Russia

In an extractive project in northern Russia, when asked what should drive the selection of a resettlement site, women older than 60 years almost unanimously mentioned access to forests for berry picking and mushroom gathering as their key criterion, while men were interested in proximity to project employment opportunities. This is because in this area women older than 60 years tend to be widows with limited pensions and must complement their pensions with additional cash income, which gathering, preparing, and canning berries and mushrooms can provide. This livelihood stream was critical to women.

XII. Duration of Livelihood Support

XII.A. Duration of Transitional Support

As detailed in section X. Planning an Exit Strategy of this module, it must be made clear up front to all stakeholders, including the affected persons, that livelihood support will have an end.

The duration of transitional support must be assessed on a case-by-case basis (see also section VIII. Transitional Support for Lost Livelihoods of this module). For wage-based employees in urban resettlement, sometimes, it may be sufficient to cover a few days or weeks of downtime during the moving period. Support may need to be extended to cover initial difficulties with transport from the resettlement site to places of employment. For rural farmers, one or two crop cycles may need to be covered.

XII.B. Duration of Livelihood Programs

This is again very context specific. Often, livelihood-restoration programs need to be extended, as objectives are not met within the anticipated period. While rules of thumb inevitably do not fit all contexts, land-based programs often need an implementation period of three years, at a minimum, and more time may be needed where changes in practices (intensification, irrigation) are required and in order to demonstrate sustainability.

XII.C. Follow-up Support for Those Needing Additional Time

Some people may take more time to adapt. Completion audits often find that a sizable proportion of households have not reestablished their livelihoods within the anticipated period. However, when this is identified only at the completion audit, it is often already too late, implementation partners have been demobilized, and the cost of supporting these households becomes higher. Regular monitoring (see Module 7. Monitoring) well ahead of the completion audit (see Module 7. III.B. Completion Audit) should help identify households that struggle, and timely supplemental support should be provided.

XIII. Do's and Don'ts

The livelihood do's and don'ts are summarized in table 5.7.

Table 5.7. The Do's and Don'ts of Livelihood Restoration

DO'S	DON'TS
Create links with government and nongovernmental initiatives that target the same groups, the same area, and similar activities.	Work in isolation from other, similar initiatives.
Create links with the project procurement needs.	Use unproven techniques.
Create links with the project community development strategy.	Expect traditional subsistence farmers to quickly embrace new techniques or completely change their activity.
Adopt an individualized approach to livelihood restoration, particularly where numbers of affected persons are small.	Expect results over a short period of time.
Develop a sound exit strategy during the planning stage and communicate up front that the transition support will have an end.	Miss the increase in risks entailed by more intensive activities.
Start early, possibly even before the displacement takes place, to test methods and win goodwill.	Miss gender-specific livelihood streams and provide only for the training and support needs of affected males.
Define completion objectives clearly per the RAP.	Miss assessing livelihoods that might be affected beyond the project footprint.
Look at gender implications of proposed livelihood-restoration activities.	End livelihood-restoration programs before restoration has taken place.
Conduct ongoing monitoring to be able to redirect efforts if needed.	Wait for the completion audit to monitor and review livelihood-restoration programs.

MODULE 6

IMPLEMENTATION OF THE RESETTLEMENT PROGRAM

I. Overview

This module is the culmination of all the planning and data collection activities described in the previous modules that enable establishing and delivering compensation and entitlements; construction of resettlement villages and resettling affected persons; and implementing livelihood restoration measures. The implementation tasks, principles, and objectives are defined in the RAP or LRP.

II. Objectives and Tasks of the Implementation Phase

While many projects invest significant resources in planning land acquisition and resettlement, it is as important to resource and budget the implementation phase adequately, even though project permits and financing have typically already been secured.

Key tasks in the implementation phase include the following:

- *Task 1:* Define compensation entitlements for each affected entity and obtain sign-off (see Module 2. Task 4: Developing and Negotiating Compensation Packages.)
    - Process compensation entitlements for each affected entity (households, individuals, businesses, communities) based on the data gathered in the asset survey.
    - Negotiate and formalize compensation agreements with each affected entity and obtain sign-off.
- *Task 2:* Deliver entitlements.
    - *Physical displacement.* Get affected households to make a final resettlement option choice (resettlement site or self-relocation); prepare resettlement sites and replacement housing, including procurement, construction, supervision, and commissioning; organize and support self-relocation; organize moves to resettlement housing; organize demolition of structures in original settlement areas; and hand over resettlement sites and structures.
    - *Economic displacement.* Deliver compensation entitlements, including both in-cash and in-kind compensation.

- *Task 3:* Organize and implement livelihood-restoration activities (addressed in Module 5. Livelihood Restoration and Improvement).
- *Task 4:* Organize and implement resettlement monitoring (addressed in Module 7. Monitoring).

III. Challenges and Success Factors of the Implementation Phase

Poor implementation may result in increased stress on impacted households, grievances, delays in accessing land and constructing the project, increased costs, and tension and conflict, which can lead to litigation and reputational harm, among others.

Success factors in the implementation phase include the following:

- *Adequate resourcing* of the resettlement implementation team in terms of staff and equipment
- *Good, solution-oriented, continuous interaction with the project design and construction team* to ensure alignment of schedules between resettlement and compensation, on the one hand, and project construction, on the other
- *Realistic scheduling* to allow sufficient time for resettlement and avoid delays to the project and stress on impacted households
- *Easy access to baseline data, particularly asset data,* so that valuation and compensation information is readily available, grievances can be processed swiftly, and sign-off and compensation procedures can be registered and implemented easily and quickly
- *Thorough internal (across project teams) and external communication* of the resettlement and compensation process with both internal and external stakeholders
- *Adequate contracting and technical supervision processes* for construction of the resettlement housing, with appropriate prequalification and quality control mechanisms
- *Proactive and thorough planning of the handover* of resettlement infrastructure to local government and/or local communities
- *Provision of transitional support and assistance where needed,* particularly to vulnerable people
- *Proactive and thorough planning* of the initiation of livelihood-restoration activities to avoid income and food shortages after resettlement
- *Inclusion* of all demographic groups in the communities

RAP implementation requires the mobilization of experienced managers and staff to ensure that the objectives are met and the standard of living of the impacted households is restored or improved. Resettlement is a complex process, even for a small number of households, and requires adaptive management, including contingencies, so that resources are available to resolve unforeseen problems.

IV. Task 1: Defining Compensation and Resettlement Entitlements and Obtaining Sign-Off

Entitlements will typically have been defined in the planning stage at the community level. The entitlement matrix then needs to be applied to every affected household or person to define individual entitlements.

The key steps in defining compensation and resettlement entitlements are as follows:

- Obtain overall agreement from the affected community on compensation rates and resettlement entitlements during the RAP negotiations and finalize the entitlement matrix (see table 2.1 in Module 2). This will typically involve the following:
    - Presentations of resettlement entitlements to the resettlement committee, which may require several discussion sessions, visits to resettlement sites, visits to model or demonstration housing or similar housing built elsewhere, provision of details on allowances and cash compensation calculation and rates (e.g., Module 3. IV.D. Guide to Land Acquisition and Compensation for Disclosure), and so forth
    - Discussions in focus groups (with diversity of people) to refine details of entitlements, particularly in terms of house design and resettlement site community infrastructure (e.g., water, electricity, sanitation, and community facilities)
- Establish an asset database (refer to Module 4. Baseline Data Collection) to produce clear and understandable asset summaries for each household, with photographs, outlining the breakdown of assets recorded in the surveys, including land (arable, nonarable, pasture, and residential), crop area and count, type and maturity, house size and materials, and data on other assets with photos and maps where appropriate. An example of such a summary is provided in Appendix E. Example of an Asset Sheet.

- Give the owners of the assets an opportunity to verify asset data, with an appropriate review time (e.g., two weeks). The format of asset summaries should be explained to each individual, household, or enterprise affected to facilitate the verification process. It can be good practice for the project, along with the resettlement committee, to identify a trusted third party paid by the project to help affected households, individuals, and enterprises understand how compensation rates were derived and describe their entitlements. This can build community trust in the process. Affected persons should also be given the opportunity to call on an independent expert of their choosing to verify their asset information.
- Provide access to the GM in case any discrepancies are noted between the proposed asset summary and the affected landowners' claims. Verify asset surveys (including field verifications if needed) and address grievances accordingly.
- Obtain sign-off of the verified asset summary (obtain a thumbprint if the household member cannot write), with a witness signing as well (e.g., local chief or elder, representative of local authority, or independent third party as appropriate). Ensure the households receive a printed copy of the asset summary and valuation.
- Prepare a template compensation agreement that meets both national legal requirements and is written in a simple, easily understandable manner. Avoid complicated legal language and lengthy clauses or disclaimers of limited practical significance. In countries with more than one official language, use the recognized language for the area (or possibly use bilingual agreements if necessary). Where there is economic displacement, the compensation agreement should include the livelihood-restoration package offered and selected by the households. An example of a compensation agreement is provided in Appendix F. Example of a Compensation Agreement.
- Explain the details of the compensation agreement to the relevant resettlement or community committee and amend if warranted.
- Apply the entitlement matrix, including in-kind and in-cash compensation entitlements and rates, to the assets of each household, community, or enterprise to determine the overall package of resettlement benefits, cash compensation, and livelihood-restoration benefits the household, business, or community will receive.
- Generate household-level compensation agreements. Where displacement is significant, the compensation database should be designed to generate these compensation agreements in an automated manner.
- Provide individual compensation agreements to affected households, communities, and enterprises for review. Allow a reasonable review time (e.g., two weeks). At this stage again, the project, in consultation with the

resettlement committee, can provide affected households, individuals, and enterprises the opportunity to consult with an independent expert, paid by the project, to verify the valuation and overall compensation entitlements.

- Present and explain compensation agreements to each affected household and to all members within each household. Presentations should consider the following:
  - Where options are given (between different sites, between different types of houses, etc.), guide both spouses and any other decision-makers in the family through these options so that they make a fully informed decision.
  - Use visual illustrations of resettlement housing where several housing options are available, and wherever possible provide model houses and apartments to enable affected persons to make a fully informed decision. Ensure that both spouses access relevant information.
  - Explain to both spouses any additional allowances, such as for transport, moving, or disturbance, together with any conditions attached.
- Obtain household sign-off on these entitlements after a reasonable review period of a minimum of two weeks.
- Digitally scan signed asset summaries and signed agreements and record them in the resettlement database. Ensure each household has a copy of the signed agreements.
- Make sure that the process is inclusive and understandable to people with lower levels of literacy (e.g., provide detailed verbal explanations in the local language, or illustrations, at each relevant step).
- Provide specific measures (such as dedicated individual visits at home and detailed explanations in the local language) for vulnerable people such as the elderly or disabled.
- Ensure that women are equally involved with men in the asset survey, verification, and sign-off processes and fully participate in planning and decision-making around the compensation and resettlement issues. Unless explicitly not permitted under national legislation, ensure that signatures on compensation agreements are received from both spouses and ensure the female spouse receives all explanations relevant to her decision and signature. Address the specific case of polygamous households if relevant. Apply the same approach in situations where the cohabiting persons are not married.

It is useful to prepare a guide to land acquisition and compensation/resettlement (see Module 3. Stakeholder Engagement) in advance of the preceding exercise so that households can understand what rates they will be paid and what resettlement benefits they will receive.

On smaller projects, or where displacement impacts are benign (e.g., in the case of some linear projects), some of the steps can be combined. For instance, the asset summary and compensation agreement can be combined in a single document and a single step.

This exercise is very resource intensive, as it requires considerable interaction between the project and affected persons, both at community and individual levels. It is therefore important that it be adequately resourced.

Having a thorough operational household and asset database is also a key success factor of this task. Projects should consider developing or acquiring dedicated IT systems that can process asset and social surveys, generate asset summaries and compensation agreements automatically, and archive all relevant legal information (such as signed agreements, signed receipts of payments, etc.). These systems also typically enable logging and monitoring of grievances, and in the most sophisticated versions are supported by useful mapping utilities. Several companies offer such systems, which will facilitate implementation of the land-acquisition process in a timely and transparent manner. However, they typically require some adaptation to the specificities of the project (particularly the entitlement matrix). If such systems are implemented, staff should be trained, and security of access should be carefully managed. For projects that displace fewer than 100 households, using readily available commercial software is usually sufficient.

Being gender sensitive at this stage is not only about the formality of obtaining a spouse agreement. Some difficult situations may arise that need to be considered in a gender-sensitive manner, as in the example in box 6.1.

Box 6.1. A Gender Issue at Implementation Phase

During the sign-off stage, a mining project in West Africa found that the male owner of a structure identified one year earlier during the census had passed away. The household ownership had also included his wife from a second marriage and several children from his marriages with both the first and second wives. The adult elder son of the first wife, who did not live there, provided the resettlement team with an inheritance certificate according to which he was the sole inheritor of his father's assets. As he no longer lived in the village, he claimed cash compensation to be able to strengthen his business in the capital city. This, however, would have left the second wife and her children homeless. A mediation was attempted with the help of the local authorities and the resettlement committee, to little effect. The project eventually provided cash compensation to the son as his inheritance certificate was legally sound. However, in addition, with the agreement of the resettlement committee and the local authority, the project provided a resettlement house of the simplest model to the second wife as well as a moving allowance, so that she and her children would not become homeless.

V. Task 2: Physical Displacement—Preparing Resettlement Sites and Building Replacement Housing

Site development and house design are very context specific, and therefore this handbook will provide guidance on principles rather than on the details of design. Emphasis is placed on the following aspects of the process:

- Models for organizing site development and housing construction
- Participatory design of dwellings by both men and women
- Procurement process[39]
- Detailed design process and bidding documents
- Supervision and commissioning

[39] See also IFC. 2017. *Good Practice Note: Managing Contractors' Environmental and Social Performance*. Washington, D.C.: IFC. www.ifc.org/ESContractorManagement.

V.A. Models for Organizing Site Development and Housing Construction

Different models for resettlement site development and housing construction can be used:

- Self-relocation and self-build, whereby affected households receive cash compensation and either identify and purchase a replacement property or build a replacement house themselves at a location of their choosing
- Project-organized relocation with self-build of houses, whereby the project develops one or several resettlement sites, with affected households building houses themselves on these sites
- Project-organized relocation and project-organized construction of houses

Table 6.1 describes the advantages and disadvantages of each of these models.

In the latter two models, more or less priority can be given to local procurement and community participation of affected and host communities, depending on local skills and the overall construction schedule. Consider the following in order to maximize opportunities associated with construction for local communities and businesses:

- What are the available local skills, and are there existing local businesses that can support the construction process?
- Are there risks arising from local procurement with respect to health and safety, construction quality, and the delivery schedule?
- What training and support can be offered to local businesses to enable them to meet project requirements and building standards?

Construction schedules should be reasonable to minimize construction defects (e.g., leaking roofs, defective plumbing, and cracked walls), which tend to multiply when construction is rushed. In many areas, seasonal and climatic constraints have to be considered (cold winters or a rainy season).

Table 6.1. Comparison of Site Development and House Construction Models

MODEL	DESCRIPTION	ADVANTAGES	DISADVANTAGES	KEY CONDITIONS FOR SUCCESS
Self-relocation and self-build	Payment of cash to the affected households to construct or purchase their own replacement dwelling at a location of their choice Not applicable to apartment blocks	Usually cheaper for the project Can be quick depending on context Can be beneficial to small local contractors Results in fewer housing-related grievances Housing can be tailored to each household's needs The household may end up with residual cash if they manage the work well or do some themselves Avoids the environmental and social impacts of large greenfield resettlement sites	Some households can make unwise investment decisions and end up in a substandard accommodation or even no accommodation at all. In remote areas, supply of construction materials can be problematic and may result in shortages or inflation. There is no assurance that water, sanitation, and power will be provided at self-relocation site. There is no assurance that basic social services will be available at self-relocation site. If compensation is based on the existing structure and it was in poor condition, the household may end up with insufficient funds to self-build a replacement house. Quality control and construction standard compliance are more difficult to manage and ensure.	Provide technical assistance at the household level for site selection, house planning and design, construction permit, and works supervision and commissioning. Make sure that compensation is sufficient to build a house with at least minimum standards that can be measured by quality, safety, size, number of rooms, affordability, habitability, cultural appropriateness, accessibility, security of tenure, and locational characteristics. Make sure that there is sufficient construction capacity and skills locally. Make sure that there will be no shortages of construction materials and prices will remain under control. Pay compensation in installments as construction progresses. Consider using standard designs that can be easily permitted. Consider using certified material retailers selling building materials at agreed prices to minimize shortage and inflation risks.

(*Table continued on next page*)

Table 6.1. *(Continued)*

MODEL	DESCRIPTION	ADVANTAGES	DISADVANTAGES	KEY CONDITIONS FOR SUCCESS
Self-relocation and self-build			It may have detrimental gender impacts (women and children becoming homeless if the male head of household misuses the cash compensation). Vulnerable people may find it difficult to reconstruct their houses themselves. There are potential building permit issues. There is increased risk of domestic violence and intimate partner violence if the money is misused. It is often more onerous on the project in terms of construction organization and monitoring of PAPs. It may impact livelihoods as people spend time on construction and may not be able to focus on livelihood activities.	Consider introducing contractor certification to ensure quality. Look into gender implications and risks. (What safeguards are needed for women and children?) Ensure that vulnerable people are adequately assisted to build their houses or that the project will build for them. Ensure that affected persons are helped to secure building permits. Ensure all discussions about method of delivery if compensation includes both men and women. Provide support with titling of land.
Project-organized relocation with self-build	Provision of a plot in a project-developed resettlement site where the household self-builds its own house or employs a contractor to build the house	Same as above Can provide a solution where residential plots are difficult for affected persons to identify and acquire	Same as above	Same as above

(*Table continued on next page*)

Table 6.1. *(Continued)*

MODEL	DESCRIPTION	ADVANTAGES	DISADVANTAGES	KEY CONDITIONS FOR SUCCESS
Project-organized relocation and project-organized construction	Development of a resettlement site where houses are constructed, with or without the participation of the impacted households Required for apartment blocks	Usually results in better quality and more sustainable infrastructure, housing, and social services Usually results in better occupational health and safety performance at the worksite	This model is complex to plan and organize. Typically, this is costly, particularly if a short timeline requires use of large contracting firms with high mobilization costs. It requires standardized houses, hence less scope for tailoring houses to household needs. It may exclude local contractors unless contracts are unbundled into smaller lots. Usually only a few resettlement sites are developed for any one project, which can limit PAPs' choices about where to locate. Standardized housing designs could include materials that are difficult or costly to find locally, making repairs or replacements a challenge. It may fail to consider needs of women and vulnerable persons in design of housing.	Devise a sound procurement strategy to minimize cost and enhance local contractor participation and skills. Avoid construction technology that is unproven in local conditions. Provide for construction of a model house as part of the consultation and information exercise. Consider modular design for easy addition of supplemental rooms. Increase design consultation efforts to ensure that the house design works for all affected persons, and ensure that women are included in these discussions. Provide a warranty against defects.

V.B. Participatory Design of Dwellings

It can be challenging to get feedback on proposed house design options, as affected persons may find it difficult to read and understand design documents such as maps and plans. Notions of volume and area can sometimes be distorted, and using numbers is not a great help in communities with limited numeracy proficiency. Using models and, even better, real-size model houses is a great help and should be developed for any project involving significant physical relocation.

As it is difficult to discuss technical aspects, such as the location or size of kitchens with a whole community, the use of focus groups is recommended. Such groups should be designed to represent a cross-section of the affected community, and discussions should address the needs of different groups in the community, including vulnerable and marginalized groups, women, youth, the elderly, and physically disabled people.

Beyond the house size and general layout, some specific aspects will need special attention and discussion with affected persons, particularly the following:

- *Ventilation, ceiling height, and temperature*. Resettlement often involves a shift from traditional building materials (e.g., earth walls and thatch roofs) to modern ones (concrete walls and metallic roofs), and in warm climates this shift could result in much warmer houses that cause discomfort to residents if no proper attention is paid to thermal insulation (ceilings) and ventilation (this usually requires specialist advice).
- *Heating*. In cold climates, this can become a very significant expense if structures and systems are not properly designed and if the thermal performance of the building is poor. Also, where displaced people's houses were previously heated by a municipal centralized system (common in former Soviet states), shifting to individual heaters may be problematic, for economic and technical reasons (cost increase and lack of technical experience with individual heating systems).
- *Bedroom layouts*. The arrangement of bedrooms in the house must accommodate the respective needs of men, women, and children. Changing the way people organize their sleeping space may have strong cultural and gender implications, including an increased risk of sexual violence.
- *Domestic shrines*. In some cultures, the house design will need to accommodate a dedicated space for one of these.
- *Kitchens*. Their design often has a strong economic, practical, and cultural significance for women.
    - Outside or inside kitchens, the selection of cooking fuel, the position women adopt to cook, the safety of the locations, the specific requirements

of the preparation of certain dishes (e.g., pounding), and access to water in relation to cooking are all important design factors that must be discussed with women.

  - Sometimes, particularly where women tend to cook outside of the main building, it may be better to encourage residents to design and build their own kitchens. If this is the case, the cost and time needed for kitchen construction must be accommodated in the compensation amounts as well as in the moving schedule. Ensure that women are not left to construct outdoor kitchens from scraps.

- *Bathrooms and toilets.*
  - This issue often has more significance for women and should be discussed mainly with them.
  - Privacy and visibility are important cultural and gender factors that should be understood when proposing the design and location of toilets, particularly where these are proposed to be located outside of the main house (e.g., dry latrines).
  - Safety is also a concern and should be considered with respect to both the locations of the latrines and bathrooms and the design of the facilities. The risk of sexual violence increases if the safety concerns and experiences of women and adolescent girls are not taken into account.
  - Accessibility and affordability of a private water source or connection are key factors of bathroom and toilet design. Where a private water connection will not be accessible and affordable in the long term, proposing a bathroom with running water and flush toilets makes little sense.
  - Design and location is an important factor for effluent disposal. Consider the following:
    - Is it technically possible and permissible to dispose of effluent in situ (e.g., septic tank and drain)?
    - Will the plot size and soil characteristics permit in situ disposal?
    - Or should a reticulated sewerage system be considered, which may have cost and affordability implications at both construction and operation stages?
  - Accessibility of elderly and disabled people to bathrooms and toilets must be discussed with communities, households, and the affected persons.
  - Where dry latrines are considered for toilets, they should not be used as shower areas, as this negatively impacts the latrine's life span. A separate showering area should be built, with proper drainage to avoid sanitary hazards.
  - There has been abundant work on hygiene and sanitation techniques in many countries, and this experience should be used. Poor bathroom and

toilet design can generate many complaints and much discomfort for residents of resettlement housing.

- *Outside space*. Verandahs, yards, and balconies can be important to social and family life in many cultural contexts. Sometimes an outside prayer space or a dedicated location for a family shrine should also be accommodated. Shade is an important design factor for outside space, and the planting of shade trees should be planned well in advance.
- *Fences*. Whether each land plot should be fenced or not should be discussed with the affected community and individual households ahead of the move. It may be more convenient to compensate such features as fences in cash so that affected persons can build them themselves, using traditional materials. If this is the case, compensation should be accommodated both in the cash moving allowance and in the moving schedule.
- *Storage space*. A rural way of life often requires significant storage space (for grain, fruit or potato, forage, animals, agricultural equipment, etc.). Size and location of this storage space (granaries, sheds) must be discussed with the affected community and individual households in focus groups and household interviews so that mutually acceptable solutions are found and agreed.
- *Parking space*. This may be important in urban and suburban settings and may be paramount to certain livelihoods (e.g., cab, minivan, and truck drivers).
- *Commercial space*. This may be needed, particularly where the establishment of small enterprises is envisioned by the livelihood-restoration strategy.

V.C. Establishing Minimum Housing Standards

Minimum housing standards should be defined, communicated, and enforced, particularly where the self-build option is going to be implemented. Such standards can be defined by quality, safety, size, number of rooms, habitability, accessibility, security of tenure, and locational characteristics. In situations where people live in substandard housing of inadequate material and size, compensation amounts should be adequate to enable construction of a replacement house of at least minimum standards.

V.D. Procurement of Construction and Implications for Local Procurement and Hiring

The development of a greenfield resettlement site usually involves significant earthmoving and other works and will typically have to be allocated to sizable contractors with the ability to mobilize heavy equipment and associated staff. This

will require both unskilled and skilled work and can provide opportunities for local employment, including the recruitment of PAPs themselves.

Building individual houses provides interesting opportunities for local subcontracting, capacity building, and local employment. Two main procurement options can be considered:

- One turnkey contractor for all housing, with potential subcontracting of smaller lots to local enterprises (either smaller batches of houses or specific pieces of work, e.g., foundations, roofs, electricity, plumbing)
- Several smaller contractors being allocated batches of houses on a turnkey basis and working concurrently at the resettlement site, potentially with support from the client (see box 6.2)

Community infrastructure (schools, clinics, and water and electricity supply) can be contracted separately (often preferable for scheduling reasons) or as part of one of the main contracts.

Box 6.2. Newmont Ghana Resettlement House Construction

Newmont Ghana Gold Limited implemented a "local-local" contractor policy for the construction of the resettlement houses for its Amoma expansion project at the Ahafo South Mine in Ghana.

Thirteen local contractors were assisted by Newmont's Local Business Support Unit to prepare tenders for the construction process. Once the tenders were submitted, Newmont negotiated a fixed-price contract for the resettlement house construction with the local contractors. Each contractor was allocated one house each to construct. Those contractors that were deemed to have a lower capacity were allocated resettlement houses to construct that were not on the critical path of the mine construction schedule, so that any delays would not slow down the project.

Newmont established a block-making yard and engaged a local contractor to make all the blocks for the resettlement houses, using local labor. Newmont engaged construction managers to oversee the local contractors' work and ensure standards were maintained, and bulk-purchased all building materials in order to keep costs down and then allocated these to the local contractors. Those contractors that completed their houses to the required standard were then allocated additional houses, rewarding the best-performing companies.

Newmont constructed a market area on the resettlement construction site, which allowed local women to earn an income from preparing and selling food to the workers. The contractors were required to use labor from Newmont's local labor pool. Each mine area village was allocated an employment quota, and ballots were held for each round of employment opportunities to ensure a fair process. Using this model, Newmont maximized the local labor involvement in the resettlement construction process while meeting international standards.

Where apartment blocks are to be built, this usually requires a sizable turnkey contractor, with certain components of the work potentially subcontracted (e.g., plumbing, electricity, or roofing). This is more demanding from an occupational health and safety perspective than building individual houses, and therefore suggests the use of experienced contractors.

Procurement departments in large projects tend to impose demanding requirements that are not necessarily related to safety or quality issues and which cannot be met by small local contractors. Where possible, entry barriers for small contractors should be addressed with a focus on the beneficial social impacts and potentially lower cost of using smaller, local contractors. Top management involvement helps in addressing these barriers. A prequalification process can be useful so that only reasonably sound local contractors are allowed to participate in tenders. Key prequalification criteria should include awareness of essential occupational health and safety and environmental management measures.

V.E. Detailed Design Process and Bidding Documents

Once key design principles (such as size of dwellings, number of rooms, level of finish, heating systems, cooking systems, location of bathrooms and toilets, etc.) have been decided in a participatory manner, detailed bidding documents must be developed. The following factors should be considered in this process:

- Bidding documents should be developed by persons with experience in local building standards (e.g., fire and electrical safety, heating, seismic requirements, etc.) and in building materials and techniques available locally. Local construction standards can be complex and differ significantly from those applying in the country of origin of the project sponsor, ergo, local specialists are needed. Otherwise, securing building permits may be a long process.
- Consistent with good industry practice, IFC's PSs should apply to resettlement construction work and should be included as part of applicable standards in the bidding documents, particularly PS2 and PS4.
- Similarly, environmental issues at construction sites (e.g., runoff water and erosion management, post-earthmoving reinstatement, and construction waste management) should be addressed to conform with the PSs.
- Selection of the successful bidder should give adequate weight to contractor experience and reference, and to quality assurance systems. Opportunities for women to benefit from the construction should also be considered.

V.F. Supervision, Commissioning, and Guarantee

Construction of resettlement housing must be properly supervised by experienced, onsite building supervisors. This is particularly the case where small, local contractors are used; they may require significant support and supervision. Resettlement committees should be given the opportunity to visit the construction site at regular intervals.

Commissioning is the verification at the end of construction that completed work complies with standards and specifications in the bidding documents. Experience in developing countries indicates that the quality of the following should be given particular attention during work supervision and commissioning:

- Foundations, materials, and concrete
- Electrical installations
- Carpentry, roofing materials, and the installation of those materials
- Plumbing and fittings
- Heating systems (where applicable) and their compliance with national industry standards

It is recommended, where projects are responsible for contracting the construction of resettlement houses, to offer resettled people a guarantee on aspects of the house. Guarantee periods required of building contractors should be in line with national standards and no less than two years. The guarantee typically covers the soundness of the walls, windows, doors, floor, and roof.

V.G. Preparing Resettlement Sites and Housing

Table 6.2 shows key factors to consider when preparing resettlement sites and building resettlement dwellings.

Table 6.2. Factors in Preparing Resettlement Sites and Building Resettlement Housing

ACTIVITY	DESCRIPTION
Procurement and construction	Make sure that buildings meet applicable national standards and use experienced national consultants to achieve these. Develop the procurement strategy during preparation of the RAP. Consider unbundling the works into smaller lots to maximize local procurement and to encourage bids from female entrepreneurs. Consider associating small local contractors as subcontractors to a larger turnkey contractor to build capacity. Provide assistance to smaller contractors in the form of technical supervision, assistance in procuring building materials, and administrative support. Maximize local employment for men and women, including PAPs. Seek compliance with IFC's labor, occupational health, and safety, environmental, and community safety requirements (PS2, PS3, and PS4). Implement protections against sexual exploitation and abuse in the procurement process. For example, ensure this is specified in a procurement policy. This might include establishing a code of conduct and ensuring that outside workers are not housed within the community.
Supervision	Ensure close technical supervision by construction specialists with regular presence at the worksite. Check quality of materials and concrete. Check compliance to standards. Check quality of foundations. Check electrical safety and all other relevant technical aspects. Make sure that resettlement committees visit the site(s) at regular intervals. Involve relocated households in monitoring the construction process so that they have a role in ensuring the quality of building and are willing to take over their new houses and accept responsibility for maintenance.
Commissioning and guarantee	Establish an inspection and commissioning procedure with lists to review all aspects of the work. Make sure that any gaps identified during the commissioning inspection are addressed and fixed before affected persons move into their new dwelling. Put in place a procedure to log and review with PAPs and the contractor(s) all grievances pertaining to technical defects occurring during the guarantee period. Ensure that technical defects for which the contractor is found liable are fixed before the end of the guarantee period.

VI. Task 2: Physical Displacement—Organizing Moves

The move will typically involve handing over the keys to houses or apartments and the associated administrative and legal procedures, plus organizing the moving process. Steps and factors to consider are presented in table 6.3.

Before and during the move, it is important to start building relationships between the resettlers and the host community. This can be done by developing joint programs involving social, religious, cultural, sports, and business activities to foster partnerships between the two groups. These activities will demonstrate to the host communities that there are benefits to welcoming the resettlers, and they will promote a faster integration process.

Table 6.3. Factors in Organizing Moves

ACTIVITY	DESCRIPTION
Handover of resettlement housing	Provide an opportunity for affected households to conduct an inspection once the house has been constructed and compile a list of any final adjustments and improvements that need to be made prior to the handover. Ensure women and vulnerable groups participate in these inspections. Once these issues have been addressed, obtain sign-off of a final inspection form confirming agreement by the resettled household that the house meets the agreed standards. Ensure that, in addition to the beneficiary household, this form is signed off by a witness such as government and/or community representatives, as well as project representatives. Hand over keys and any relevant technical documentation as well as a tentative allocation certificate established to allow further application for a title. The final ownership title will typically not be available at the time of move—see section XII. Other Important Elements of the Implementation Stage of this module.
Move	Plan the timing of physical moves to ensure minimal disruption to the communities in terms of seasonal farming cycles, school years, disruption to businesses, and access to employment. Plan the move of the entire community over a relatively short period to maintain social cohesion. Provide resettling families with advance notice of relocation dates so that they can prepare their belongings. Engage all members of the affected community through their committees on plot allocation within the resettlement site (by lottery or otherwise) to allow relatives and friends to group together and resettle in the same part of the site. Subject to consultation outcomes, consider giving preference to businesses to relocate in the main market streets and time their move with the majority of the community so that they can maintain their customer base.

(*Table continued on next page*)

Table 6.3. *(Continued)*

ACTIVITY	DESCRIPTION
	Provide resettlers with a disturbance or settling-in allowance to help them buy the basics for their new house, help reduce stress, establish subscriptions to utilities, update identification documents, and build goodwill. Engage PAPs and the host community in choosing the moving date(s). Moves are typically organized in several successive waves so that assistance can be provided as moves take place. Do not move households until the supporting community infrastructure, including roads, drainage, water, education, health, and so forth, are substantially in place. Provide assistance to enable resettlers to move to the new site. Provide vehicles to transport household belongings and salvaged assets to the new house and a team to assist with loading and unloading; these should be locally employed people, preferably PAPs. Provide additional assistance to vulnerable people in the process of salvaging their materials from old houses, reregistering their new address with authorities, obtaining new identity documents, establishing subscriptions with utility companies, and so forth. Consider having medical services on hand during the moving process to support any resettlers who have chronic illnesses or otherwise require medical attention. Involve local people who have local knowledge and good relationships with the PAPs in the transportation process and in the relocation teams, as they will be more sensitive to local attachments to the place and enable people to move at their own pace. Engage with any households that may be reluctant to move and alleviate their concerns, using third-party mediation where appropriate. Ensure that there is a process to celebrate, formally open the resettlement site, and welcome the resettlers to the area. This will help to establish connections between the host community and resettlers and may take various forms depending on the cultural context.

VII. Task 2: Physical Displacement—Salvage and Demolition

The ability to salvage materials from their affected house can be a useful bonus to affected persons and should be considered, as long as basic safety rules can be respected. The final demolition can also be an employment opportunity for local people, including affected households themselves. Lastly, the preparation of a photographic memory of the old settlement before the move is also generally appreciated by affected persons.

Key steps and factors to consider are presented in table 6.4.

Table 6.4. Factors in Salvage and Demolition

ACTIVITY	DESCRIPTION
Salvage	In consultation with the affected community, develop a salvaging policy. The policy should articulate whether it is permissible and over what duration, taking into account relevant legislation and regulations. Where expropriation is used, the state typically mandates that materials of expropriated properties become the property of the state, but salvaging to the benefit of affected persons is often tolerated. Communicate the salvaging policy clearly to resettling households. Where feasible, permit resettlers to salvage materials from their houses before demolition and provide transportation for these materials to the resettlement site. Ensure that reasonable safety and environmental provisions are in place during salvaging. Where salvage is permitted, provide support to vulnerable households.
Demolition	If there is a risk of squatting by newcomers in vacated houses, consider demolishing structures quickly, possibly as each resettled household is moved. When there will be a long time between the start and end of relocation, consider delaying demolition to avoid having the remaining households living in the middle of a demolition site. Access to houses may need to be restricted by boarding up doors and windows. Where houses are demolished, remove all debris to make the site safe. Ensure that demolition and disposal of demolition waste take place in conformity with reasonable occupational health and safety and environmental standards, particularly where hazardous materials may be found (e.g., asbestos-containing materials).

VIII. Task 2: Physical Displacement—Handover of Resettlement Sites and/or Apartment Buildings

It is a common problem in resettlement that the long-term management and maintenance of infrastructure, such as water supplies and sanitation, access roads, and education and health facilities is not adequately planned and managed. This usually involves government and/or municipal agencies that need to be engaged well ahead of the move, during the planning process and early implementation phase (see table 6.5). It also includes the communities themselves, which need to be adequately prepared and trained in view of the handover of facilities they may not necessarily have been familiar with in their previous settlement. For convenience and consistency, the discussion of handover issues has been placed in this implementation module. However, it is important to note that many of these elements are actually relevant to both the planning and implementation phases.

In apartment blocks, collective space needs collective management of tasks (e.g., cleaning, lighting, and security). Where the height of the buildings requires lifts, this makes collective management even more complex. Box 6.3 provides an example of establishing a collective management organization in such complex apartment buildings.

Table 6.5. Factors in the Handover of Resettlement Sites and Apartment Blocks

ACTIVITY	DESCRIPTION
In the planning and implementation stages	In the planning and design process, involve state and municipal agencies that will be expected to manage the infrastructure and services, possibly through a dedicated handover committee allowing regular liaison. Comply with the requirements of government agencies with regard to design and operations. Seek clear and formalized commitments from these agencies to provide full resources for education and health facilities (e.g., staff, maintenance of facilities, recurrent costs, inputs such as schoolbooks, supplies, medicine, fuel). Ensure education of girls and boys is given equal attention and weight. Establish a handover committee comprising representatives of the community (men and women from both resettler and host communities), government, and the project at of the planning stage. Involve the handover committee in selecting the resettlement site, agreeing on the physical infrastructure, and defining management and maintenance requirements. Verify that budgets have been put in place at the adequate level of government (central, regional, or local, as needed). Where communities depended on free access to communal resources such as wells, springs, or rivers for water; local woody vegetation for firewood; and local disposal of waste, assess willingness and ability to pay for water, fuel, and waste disposal if these resources and facilities will no longer be freely accessible. Where communities will have to take responsibility for water supply or solid waste collection, assess capacity to manage these services and provide capacity-building support and training where required. Make sure the principle of payment-for-service is accepted. Seek specific and appropriate arrangements for vulnerable people to pay for services. Consider gender aspects of service delivery and management (e.g., water supply is often best managed by women).
In the implementation stage	Develop formal memoranda of understanding for the handover of each major element of infrastructure between the project and the responsible government or municipal agency, approved and witnessed by all members of the handover committee. Establish a management committee at the resettlement site to take care of waste management, water supply, and associated cost recovery. Communicate clearly on fees, ongoing maintenance activities, organizational systems and processes, and any constraints. Consider initial subsidization of user fees, with a clear exit strategy.

Box 6.3. Establishing Condominiums for Building Management

As part of the expansion and reconstruction of Zvartnots International Airport at Yerevan, the capital of Armenia, all residential properties within the airport perimeter were to be removed to conform with the terms of the concession and international airport safety practices. This required the demolition of four Soviet-era buildings, with a total of about 170 households (510 people) needing to be displaced as a result. More than one-half of the households were rent-free occupants of 10–20 square-meter (m^2) rooms in two government-owned hostels. For many years these families had endured living in rundown buildings in a state of significant disrepair, with no heating facilities; common toilets and kitchen facilities were shared. A smaller group of households, who had titles, were resident in two Soviet–era apartment buildings.

After extensive consultations that spanned more than three years, the project sponsor, Armenia International Airports (AIA), decided to finance the design and construction of six apartment blocks from its own funds to resettle all affected households in the Malatya Sebastya district of Yerevan. AIA allocated $17.5 million of its internally generated funds to undertake the relocation project, which was equivalent to approximately 10 percent of the total project construction cost ($166.75 million). In accordance with the RAP agreed with the project lenders, (European Bank for Reconstruction and Development, Asian Development Bank, and Deutsche Investitions und Entwicklungsgesellschaft [DEG]), 96 nontitled households were given, free of charge, one- to two-bedroom apartments with a minimum size of 40 m^2 for a family with one to three members; 50 m^2 for a family with four or more members; and 64 m^2 for those who had occupied two rooms of more than 20 m^2.

In addition, 67 titled households were given, free of charge, apartments of 67 m^2, 80 m^2, and 100 m^2, which were bigger than the apartments that families had been occupying. The resettlement of all households came with titles of ownership under the names of all family members, thereby not only improving their living conditions but also giving, to those who had previously been nontitled occupiers, legal security of tenure to the condominium property.

The actual move took place in two waves, in December 2014 and December 2015. AIA also agreed with the project lenders to provide support to the resettled community during and after the move and help the resettlers to take responsibility for the management and maintenance of the new buildings, including lift maintenance, cleaning of collective spaces, and so on. This was particularly challenging, as the household-incurred costs of the old buildings had been minimal. To support the householders' adjustment to the new facilities, AIA therefore also agreed to provide a 15-month grace period from the date of the move, during which time it would continue to manage maintenance and related payments. The resettled households were expected to assume full responsibility by the end of the grace period. A team of consultants, funded by DEG Business Support Services, provided technical and legal support for about two-and-a-half years, helping the resettled community establish two condominiums in accordance with Armenian law and preparing their bylaws and operational procedures (budgeting, general assemblies, documentation, fee collection, record keeping, accountability and transparency mechanisms, etc.). Contracts were established with specialists for lift maintenance, and part-time employees were hired for general management, cleaning, and recordkeeping, and some improvements were made (such as a playground for children).

(*Box continued on next page*)

Box 6.3. (*Continued*)

Meanwhile, some of the associated infrastructure (access roads) built by the project sponsor was transferred to the responsibility of the municipality for maintenance. By the end of the program, the vast majority of households were paying the required community fee. Importantly, retail spaces established on the ground floor were transferred to condominium ownership and were rented out (see photos in this box), which allowed a regular stream of income. In addition, one of the condominiums also signed an agreement with a cell phone company that established an antenna on one of the roofs, also generating regular rental income.

One of the resettlement buildings.

One of the shops that generate rental revenue for the condominiums.

IX. Task 2: Delivering Compensation Entitlements

Once compensation entitlements have been defined, there are key steps and factors to consider prior to delivery of cash compensation, as presented in table 6.6.

Table 6.6. Delivering Cash Compensation: Key Factors

ACTIVITY	DESCRIPTION
Payment	Ascertain the identity of entitled individuals, using fingerprinting if acceptable to all parties, or reliable official identity documents (passports, identify cards, electoral cards, birth certificates). Where identity cannot be ascertained, require the presence of several witnesses, including administrative officers and/or community elders, and obtain their sign-off. Pay cash compensation by check or bank transfer wherever possible. Consider telephone banking where available and proven to be secure, as it is often the method of choice for cash payments in rural areas. Encourage and assist affected persons to open bank accounts preferably in the name of both spouses. Where the banking system is not perceived as reliable by affected persons, seek to educate them to the benefits of banking. Consider using microfinance institutions, which may be beneficial to affected persons in the long term. Seek the cooperation of a reliable bank in the payment process. Consider banks with a local presence and a good track record, including providing support to women. Once one or several banks have been selected, work with them to streamline the payment process and sensitize employees to the specific needs of affected persons. Require the bank to open a specific window for affected persons when payments are made. Monitor the payment process at the bank to ensure that compensation reaches the intended recipients. Provide training in cash and budget management to the recipients of compensation where significant amounts are paid in cash to people that may be unfamiliar with the management of such amounts. This can be done by banks or microfinance institutions, as well as consumer associations or similar CSOs. It should be offered to be both men and women. Consider paying cash compensation in installments where this is acceptable to affected persons—this avoids a sudden inflow of cash that people may find difficult to manage properly.

X. Task 3: Organize and Implement Livelihood-Restoration Activities

See Module 5. Livelihood Restoration and Improvement.

XI. Task 4: Organize and Implement Monitoring and Review

For more detailed guidance, see Module 7. Monitoring.

XII. Other Important Elements of the Implementation Stage

XII.A. Security of Tenure

PS5 and other similar international standards require that resettlers be provided with adequate security of tenure. Activities required at the planning stage to achieve this objective are described in Module 2. VIII.B. Security of Tenure.

A resettlement site offers security of tenure if it protects, to the greatest extent possible, the resettled persons from forced evictions. Obtaining a full title can be a lengthy and cumbersome process in many jurisdictions but provides the highest level of protection for resettled people. This process will typically be handled by a government land agency with which the project may have limited leverage. However, it remains the responsibility of the project that no burden occurs to affected persons as a result of resettlement, and the project should therefore facilitate the process and bear its cost (box 6.4).

Security of tenure can be obtained through a variety of means, depending on the local land legislation and the context (e.g., rural land with customary ownership being predominant):

- A perpetual ownership title is the ideal outcome, but it is not always achievable for legal or practical reasons.
- A long-term, renewable lease (e.g., 30 to 99 years), of which there are many legal forms depending on jurisdictions, may be the only practicable outcome in the many developing or emerging economies or countries where land is vested in the state.
- In some jurisdictions, temporary occupation permits granted by the land administration agency or municipality can constitute an interim stage in the process toward obtaining full and perpetual ownership. Attention should be paid to the duration of such permits and what happens after they expire.

Box 6.4. Security of Tenure: Factors to Consider

Make sure that resettlers hold a valid occupancy document for their new home prior to the move. Start the process of obtaining full ownership titles or long-term leases as soon as possible (where possible, before the move or immediately thereafter).

To enhance outcomes associated with the gender and vulnerability aspects of security of tenure, do the following:

- Establish titles in the names of both spouses wherever legally possible.
- Review and address specific cases such as polygamous households.
- Review risks of GBV, including threats to women and vulnerability of women should the situation for women change, especially in situations where women are not allowed to hold legal ownership over property.
- Provide extensive support to vulnerable households (particularly with facilitation of paperwork and complex administrative processes that they may be unfamiliar with).
- Provide assistance to affected persons in registering their resettlement property (e.g., negotiate a one-stop process with the relevant authority, with logistical facilitation by project).
- Where cash compensation is provided (versus replacement housing), supervise the acquisition of replacement land to ensure security of tenure.
- Cover all costs of providing titles to resettled people, including indirect costs such as transport and time lost. (This can be done via the lump-sum distribution or moving allowance mentioned in section V. Task 2: Physical Displacement—Preparing Resettlement Sites and Building Replacement Housing of this module.)

- Also, the site and its residential and/or agricultural occupation should be officially sanctioned by spatial planning documents (such as municipal general plans, town plans, and regional plans).
- Another option is for the company to purchase resettlement land and then hand it back to resettlers under various forms of ownership or occupation (free occupation, lease).

XII.B. Expropriation: Practical Issues and How to Address Them

There are several possibilities when a government can apply compulsory measures, or expropriation, to a project. For example, projects can be fully responsible for the land acquisition and resettlement and work toward negotiated settlements with all affected households. Should affected persons reject initial compensation offers that were aligned with PS5, and, as a result, expropriation or other legal procedures are initiated, the project should explore opportunities to collaborate with the responsible government agency and apply the compensation measures defined in the RAP to the expropriated property if the outcome of expropriation is less favorable than the initial offer.

Triggering expropriation on a private-sector project will often result in a government agency taking over land acquisition according to processes and procedures established in local expropriation legislation. In such cases and, if permitted by the government agency, the project should play an active role in resettlement planning, implementation, and monitoring. For more guidance on government-led resettlement refer to Module 8. II. Government-Led Land Acquisition.

In many countries, expropriation laws involve a two-stage process, which could be triggered after a first attempt by the project to reach a negotiated settlement has failed:

- The first is an administrative stage, in which a commission of representatives of different administrations (e.g., land, urban planning and housing, agriculture, etc.) seeks to reach a negotiated agreement based on set rates usually maintained by a given governmental agency. The rates may be based on the "cadastral value" of land, usually considering depreciation of structures and therefore not meeting the full replacement-cost requirement. Cadastral values may not always be up-to-date or reflective of the current market.
- The second is a judicial stage, in which the expropriation claim is processed by a judge, who would usually mandate an independent expert valuation of the property, summon a hearing of the expropriated party, and rule on (i) the validity of the expropriation for public needs and (ii) the compensation (sometimes in two separate proceedings). This first instance ruling can usually be appealed, with successive appeals potentially triggering a lengthy process. In recognition of this long process, many jurisdictions allow the expropriating agency to take possession of the property at the end of the administrative stage once the expropriated party has rejected the initial compensation offer, subject to the corresponding amount being deposited by the expropriating agency in an escrow account held by the treasury.

Such processes raise a number of practical issues in terms of compliance with IFC's PS5. Details of such issues and potential actions to address them are presented in table 6.7.

Expropriation may result in protracted judicial processes in a number of jurisdictions. It is therefore in the project's best interest to reach amicable negotiated settlements in as many cases as possible. Where expropriation is unavoidable, addressing the issues it raises according to the guidance in table 6.7 will usually result in smoother processes and limit the potential for undesirable evictions (see the following section C. Evictions).

Table 6.7. Expropriation Issues and How to Address Them

ISSUE	KEY QUESTIONS	HOW ISSUES CAN BE ADDRESSED
Legal advice to affected persons	Does the expropriated party have access to legal advice? Is there a risk of excessive pressure on the expropriated party to accept the proposed compensation offer? Are gender norms influencing power relations in delivery of the legal advice?	Consider facilitating access to legal advice for the affected party and supporting the cost, subject to this being agreeable to the government expropriating agency.
Compensation rates	Are rates offered by the government adequate? Do they meet the PS5 full replacement cost criterion?	If expropriation rates are not adequate, consider whether the project can come back to its initial full replacement cost offer and settle the case on an amicable basis even after expropriation has been triggered or provide a top-up to ensure that compensation is at full replacement cost, even after expropriation has been triggered.
Inventory of assets	Are all structures and features of the property taken into consideration, even those that may be informally erected?	If not, can the project offer a top-up to cover the assets that were not included? Can the project influence the government to compensate informally erected assets?
Cost of independent expert valuation mandated by court	Who supports the cost of the independent valuation?	Consider having the project cover the cost.

(*Table continued on next page*)

Table 6.7. *(Continued)*

ISSUE	KEY QUESTIONS	HOW ISSUES CAN BE ADDRESSED
Other costs	Who pays other costs, such as legal advice and transport?	Consider having the project cover these costs.
Compensation offer	Does the final compensation offer meet full replacement cost according to PS5?	If the cost is not supported by the expropriating agency, can the project offer to support the cost through a top-off?
Taking possession of land	Can the expropriating agency take possession of the land without paying compensation if the expropriated party rejects the compensation offer made in the administrative stage?	Determine whether the initial compensation offer could be paid by the project prior to the government taking possession of the land. Can the compensation be paid into an escrow account? What is the mechanism to retrieve compensation once the process is complete?
Project timeline	Is the time required for the expropriating agency to process the expropriation cases compatible with the project schedule? Can the project lawfully enter land even if the expropriation ruling is appealed?	If there is a timeline issue, consider providing support to the expropriating agency in reviewing and closing cases. Direct involvement of the client in resettlement activities, if permitted by the agency, can result in more cost-effective, efficient, and timely implementation of those activities. Explore legal remedies and other options to protect the expropriated party's right to fair and prior compensation.
Appeals	Is there a possibility for the expropriated party to appeal the first instance expropriation ruling? How can this impact the project schedule?	Ensure the project is adequately informed of expropriation law and factors the possibility of appeal into the project timeline.

XII.C. Evictions

Avoiding any forced eviction[40] is the one of the key objectives of PS5. Forced eviction can pose a risk to affected persons and can create reputational risks to projects. Proponents should minimize risks associated with forced eviction by providing opportunities for genuine consultation, seeking to reach a reasonable agreement with affected persons to avoid forced eviction. However, eviction may sometimes be unavoidable. In such cases, eviction should conform to all the relevant requirements of PS5, including provision of and access to appropriate forms of legal or other protection. It should not be undertaken except in alignment with the national law and the requirements of PS5. Box 6.5 describes the factors and measures for consideration during implementation of the process.

[40] The term *forced eviction* is defined as "The permanent or temporary removal against the will of individuals, families, and/or communities from the homes and/or lands which they occupy without the provision of, and access to, appropriate forms of legal and other protection." IFC. 2012. *Guidance Note 5 on Land Acquisition and Involuntary Resettlement*. Washington, DC: IFC.

Box 6.5. Lawful Evictions: Factors and Measures to Consider

Project proponents should avoid direct involvement in evictions and rather focus on the development and implementation of measures to prevent the need for evictions. These include the following:

Prior to eviction

- Increase engagement with those involved before eviction is considered, providing genuine opportunities for dialogue with no pressure or coercion exerted.
- Properly document all engagement and attempts at reaching a reasonable agreement prior to eviction.
- Avoid changing the compensation entitlements established in the RAP/LRP and negotiated with other affected persons, which would raise a risk of unfairness and increase the risk of conflict with others.
- Provide full information on legal avenues available to those affected, best conveyed by an independent party, and mediation services and legal aid to those in need of it to seek redress. These could include use of a mutually agreeable NGO with experience in land acquisition or an independent lawyer, at no cost to those affected.
- Prior to eviction, ensure adequate and reasonable notice to all affected persons.
- Ensure that reasonable temporary accommodation is provided to those evicted should they not have an alternative place to stay.

During the eviction

- Project proponents should avoid direct involvement in implementing evictions and should exercise caution and monitor the process to avoid reputational and operational risks. Government officials or their representatives should be present. All individuals carrying out the eviction should be properly identified.
- The proponents should engage with public security forces to agree and ensure that there is no use of disproportionate force.
- Evictions are not to take place in bad weather or at night.
- Specific care must be taken of vulnerable people, particularly disabled or sick individuals, pregnant or lactating women, young children, the elderly, and those that are at risk of GBV, with provision of medical assistance if necessary.

After the eviction

- Those who are evicted must continue to be monitored and their circumstances documented, preferably by a third party, in order to manage the associated social, reputational, and operational risks.

XII.D. Transition Support

Support for resettled households does not end when the occupants move into their new houses. As described in earlier sections, it can take weeks and sometimes months for affected persons to adjust to their new residence. Project planning and support can make all the difference between a smooth and a difficult transition period. Box 6.6 describes factors to consider when planning and implementing transition support and duration.

Frequent follow-up visits to the community and each relocated household should continue for at least six months after the move to help resolve issues and ensure that the community and government agencies take responsibility for the management and maintenance of the social infrastructure. The follow-up process needs to be undertaken together with government health and social welfare providers so they can provide the support required to the families.

Box 6.6. Transition Support: Factors to Consider

Rural resettlement

Will people be able to harvest their crops? How will their normal agricultural cycles be disrupted? If there is a disruption, transition support must be calculated to offset the loss.

What is the general food security situation in the area? If there is food shortage at the time of the displacement, transition support may have to be delivered in food rather than in cash.

Are there specific transition issues for vulnerable people that may require additional support (e.g., medical, GBV protection) and/or food or cash?

Urban resettlement

If transportation services to work areas are not immediately available at move-in time, cover the additional cost in the transition support.

Cover any other interim costs that arise from the move and establishment process.

Are there specific transition issues for vulnerable people that may require additional support and/or food or cash support?

Gender aspects

Will the childcare facilities that were previously available be open at move-in time?

Are the new schools functioning? Or are the old schools ready to receive new students? Can the kids walk or is there transport for them?

Do women feel safe in the new house and settlement?

XII.E. Land Acquisition by Contractors

Contractors responsible for project construction may be involved in some land acquisition, such as for temporary construction camps, laydown and storage areas, access roads, quarries or borrow pits, and so forth. It is key that contractors are kept under strict control by the project to avoid any deviation from project land-acquisition policies. Project land-acquisition and compensation policies must also accommodate the temporary character of such land occupation through specific rates, processes, agreements, and land reinstatement and hand-back policies.

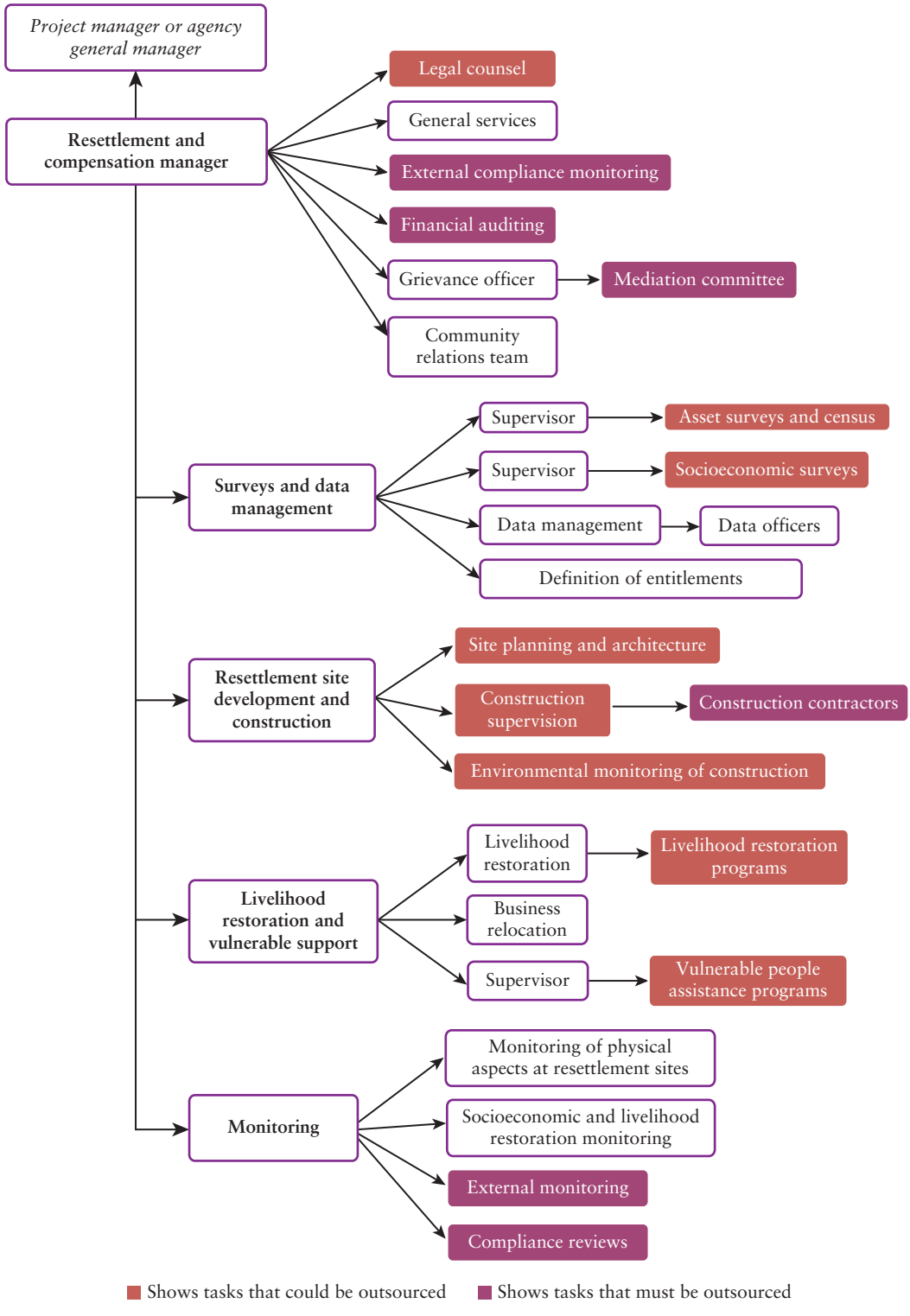
Contractor compliance must be monitored to avoid any violations of such policies. It is generally better for the project to keep direct control of all land acquisition, including any land required for contractor's needs. Contractors are not necessarily well equipped to manage the demands of land acquisition, associated social issues, and grievance management and often lack the staff and experience to address these in a compliant manner. Where contractual arrangements dictate that land acquisition required for a contractor's temporary land be paid for by the contractor, the project sponsor can still take responsibility for managing the process and back charge the cost to the contractor at the time of project commissioning.

XIII. The Implementation Team

Successful implementation of resettlement activities requires teams with a broad array of skills. Implementation arrangements must provide for sufficient material resources (computers, office and survey equipment and materials, vehicles, office accommodation, and so on), an adequate organizational structure with clear lines of reporting, and budgetary and financial autonomy of resettlement implementation units. Flexibility in decision-making and implementation are priorities.

The size of the resettlement implementation team will depend on the scale of the land acquisition and resettlement and the complexity of the project context. For small projects with limited complexity, a team consisting of a manager, community liaison staff deployed in key communities, and supporting consultants could suffice. For more complex projects, resettlement should be considered as a project within the project, and the best option will usually be to establish a dedicated unit within the project-implementing organization under a resettlement project manager with a direct line of reporting to a senior manager in the organization (e.g., general manager; deputy general manager; health, safety, environment, and communities manager; or external affairs manager). The resettlement unit should be based close to affected areas and be easily accessible to affected persons. Figure 6.1 presents an example of the organizational structure of a resettlement implementing unit, in which the following positions are required:

Figure 6.1. Example of a Resettlement Team for a Complex Project



- *The resettlement manager* should have excellent project and people management skills, a thorough understanding of social and livelihood issues underlying the resettlement process, and the ability to communicate with both authority and empathy with affected persons. One important aspect of his or her tasks will be to seek internal alignment and to create internal awareness of resettlement-related risks and the benefits of aligning with best practice.
- *Engagement and grievance management officers* should have excellent interpersonal and communication skills, empathy for local communities, and knowledge of local languages and the local context. The team should have both women and men and ensure that women and vulnerable people are equally consulted. The team should be trained in how to respond to grievances linked to allegations of sexual exploitation and abuse.[41]
- *The survey, census, mapping, and data team* will collect, record, and analyze all baseline and compensation data. It will have a role in verifying assets and will conduct resurveys where grievances are lodged. It is important that the project have a database to securely manage data, preferably with GIS functionality. For larger projects, a dedicated data management system may be necessary to record data in an organized manner and generate the large number of asset summaries, grievance reports, compensation agreements, and so forth. The team should have both women and men and ensure that women and vulnerable people are equally consulted.
- *The monitoring team* will have to liaise with the survey, census, and data team (or potentially be integrated with it), as monitoring will primarily be based on numerical indicators generated by the resettlement database.
- *The resettlement design and construction team* should consist of in-house staff and consultants with skills in architecture, planning, engineering, and construction supervision and management. It is common for women to be excluded from this kind of work due to social norms and so-called cultural barriers. Efforts should be made to ensure inclusion of women.
- *The livelihood-restoration and vulnerable people team* should consist of specialists in agriculture, forestry, animal husbandry, business development, and microcredit, as needed, and social welfare workers with experience in identifying and assisting vulnerable people. This team should also include a GBV specialist.
- *Specialist resettlement consultants* should be used to review and assess the RAP and the capacity and experience of the resettlement team and provide specialist support and training as required.

[41] For additional guidance on identifying and mitigating GBV in private-sector projects, see IFC. 2020. *Addressing Gender-Based Violence and Harassment: Emerging Good Practice for the Private Sector.* Washington, DC: IFC. www.ifc.org/addressinggbvh.

- *A team of in-house or outsourced lawyers* is typically needed to handle the legal aspects of land acquisition and titling. Frequently the acquisition and titling teams operate in isolation from each other. If the legal land-acquisition team is not embedded with the resettlement team, it is critical that the two teams coordinate closely.
- *Support services* include administrative, financial, procurement, logistics, and transport support.

For a project involving hundreds of affected persons, depending on the time frame, a typical implementation team at peak could include 50 or more full-time individuals. Linear projects that involve a multitude of land transactions over a large area can be particularly demanding in terms of number of staff (albeit over a shorter period of time). Finally, there is no point in having a sufficient number of staff if they are unable to move—an adequate fleet of good quality vehicles is a critical factor of staff efficiency. Bureaucratic tasks should be streamlined, and financial operational arrangements should be flexible while safeguarding integrity.

Resettlement implementation is physically and psychologically demanding on personnel. Remuneration policies must reflect these difficulties. Performance should be taken into consideration, with annual reviews of quantitative and qualitative delivery indicators. Unethical behaviors should be immediately and severely sanctioned.

Where resettlement is implemented under the responsibility or with the participation of a government agency, it is essential that at the planning stage administrative procedures be reviewed to ensure timely disbursement and effective decision-making processes. It is not uncommon, for example, that compensation disbursement requires sign-off at different levels of government or that procurement of basic goods or services requires lengthy bidding and contracting procedures. Such potential obstacles must be identified beforehand and handled through adequate project operational procedures and accommodated in the overall scheduling.

It is also important to establish a good balance between the use of project staff and consultants to retain the institutional memory of the resettlement process after completion. There will be ongoing issues to resolve, and project staff must have established knowledge and relationships with the community from the commencement of the planning stage to resolve issues going forward.

The cost of implementing resettlement must not be underestimated: adequately resourced implementation teams typically cost between 12 to 20 percent of the total cost of the resettlement and compensation program, and sometimes more for particularly complex and difficult projects.

XIV. Typical Unit Costs

Unit costs for resettlement are very site specific and vary considerably depending on the nature of existing housing, municipal services, community aspirations, government requirements, and local construction costs. Typical ranges of unit costs are provided in Module 2. X.B. RAP/LRP Budget.

One important factor to achieve a successful resettlement is the provision of a contingency budget of between 10 and 20 percent of the overall cost of resettlement to resolve unforeseen issues that arise during implementation.

XV. Time Frames for Completing Resettlement

Time frames for completing resettlement vary widely depending on the local context, local experience, precedents, and the national regulatory framework. As a general guide, a typical resettlement process might take between two to five years from the time scoping is conducted, through planning, stakeholder engagement, asset surveys, compensation, land acquisition, design and construction of infrastructure, and moving of households and communities to the new settlement site. Livelihood restoration is much more complex and can take from three to ten years to fully achieve.

XVI. Management of Change

Notwithstanding the quality of planning, changes to the initial plans will invariably be required during implementation. They may involve one or several of the following:

- Changes in selected resettlement sites due to technical or permitting issues or land disputes
- Changes to the design of resettlement housing due to technical reasons or as a result of consultation with affected persons
- Additional land requirements or expansion of footprint
- Updates to compensation rates due to macroeconomic changes
- Updates to asset surveys, potentially including consideration of new categories of eligible people, or because a cutoff date has expired (see Module 2. V.D. Validity of Cutoff Date and Subsequent Changes)
- Changes to the original overall project schedule, with resulting changes for the resettlement schedule

It is important to have a process that manages such changes. This will typically entail the following:

- Periodic review of initial RAP documents to ensure the approach still applies and to check the need for updates
- Internal coordination across relevant project teams to inform all internal stakeholders of upcoming changes, particularly those who are influential and in contact with communities
- Community engagement to validate the changes
- External engagement with various stakeholders, including consultations with government and proactive engagement with lenders
- A mechanism to update the RAP or LPR, with associated disclosure, to be discussed with lenders and described in the initial RAP (usually done through updates or addenda to the initial RAP or LRP)

XVII. Do's and Don'ts

Table 6.8 lists the do's and don'ts of resettlement implementation.

Table 6.8. The Do's and Don'ts of Resettlement Implementation

DO'S	DON'TS
Keep the focus at all times on affected persons. Be mindful of impacts of any implementation decision on women and the vulnerable and include them in discussions and decision-making. Look closely at reconstruction and construction procurement models that best fit the project schedule and available skills in the area. Be mindful of the long-term sustainability and safety of all facilities created in the resettlement program. Start planning handover of resettlement sites and houses as of their design and construction. Start planning ways to ensure security of tenure by commencement of the implementation phase. Maintain ongoing engagement started during the planning process with affected persons and other stakeholders. Rigorously document all implementation processes and expect subsequent scrutiny of documentation, for example, in legal proceedings. Liaise with government on a regular basis and not only when problems arise. Maintain control of any aspects of contractor activities that may impact land or people.	Underbudget RAP implementation. Understaff RAP implementation. Underequip RAP implementation staff (vehicles, IT, field gear). Work against an unrealistic time schedule. Rush resettlement activities or skip steps based on construction schedules. Create bureaucratic processes that are incompatible with the resettlement and compensation schedule. Take shortcuts; these surely will backfire later. Initiate impacts to land without completing the compensation process.

MODULE 7

MONITORING

I. Monitoring Overview

In the context of resettlement, monitoring is the regular (e.g., weekly, monthly, quarterly, or yearly) assessment of ongoing activities and their outcomes. Monitoring provides project management and affected persons with timely information about whether compensation, livelihood restoration, resettlement, and other measures are being delivered in accordance with RAP or LRP commitments, and whether key outcomes are achieved. Monitoring identifies where adjustments are needed and recommends corrective actions. Monitoring is usually conducted both internally by the project resettlement team, and externally by independent parties.

Internal monitoring looks at resettlement progress and performance. It is an essential implementation and risk-management tool and a key component of the ESMSs mandated by PS1. It provides information to check progress, delays, cost, and efficiency, and it reveals errors, thereby offering opportunities for correction, improvements, and learning. Internal monitoring also generates information that contributes to internal accountability and external transparency with stakeholders.

External monitoring assesses performance and compliance with applicable standards, such as PS5 or similar international requirements, and is typically mandated where external stakeholders require an independent assessment of compliance. Beyond demonstrating compliance to external parties, external monitoring is also critical for assessing the effectiveness of the resettlement process, particularly whether livelihoods have been improved or restored. External monitoring generally includes (i) regular compliance reviews throughout the resettlement-planning and implementation period, which provide unbiased advice to the resettlement team to swiftly identify and fix potential noncompliances, and (ii) a completion audit meant to confirm that commitments in the RAP or LRP have been met, particularly those pertaining to livelihood restoration.

II. Internal Monitoring

II.A. Key Objectives

Internal monitoring is a recurring task that begins at resettlement planning and involves measurement through time of specific indicators to assess ongoing activities and progress including the following objectives:

- Actions and commitments defined in the RAP or LRP are implemented fully and delivered on time.

- RAP actions and compensation measures are effective in helping affected persons in restoring their homes and in sustaining/improving preproject living standards.
- Complaints and grievances are being followed up with appropriate corrective actions and tracking of outcomes.
- PAPs are informed about project impacts and mitigations and have a say in the design of mitigation measures.
- Vulnerable persons are tracked and assisted as necessary.
- Recurrent or systemic problems that require correction are identified and fixed.

II.B. Internal Monitoring Indicators

Internal monitoring measures, on a regular basis, a set of indicators that need to be identified during the planning phase and included in the RAP or LRP. Table 7.1 provides examples of such indicators. These are context- and program-specific and need to be tailored to the nature and magnitude of displacement. Some of these indicators can be used as KPIs for project management and external stakeholders.

Table 7.1. Examples of Internal Monitoring Indicators

INDICATORS	MEASURED HOW	FREQUENCY	KPI?
Overall spending on resettlement activities	Financial records	Quarterly	Yes
Distribution of spending on relevant items (examples): • Planning and surveys • Cash compensation or in-kind compensation • Resettlement site development and housing • Livelihood restoration • Vulnerable groups • General implementation services, including engagement and grievance management, and overhead	Financial records	Quarterly	No
Number of full-time and part-time staff and consultants (gender disaggregated) dedicated to resettlement, compensation, and livelihood-restoration activities	Human resources	Quarterly	Yes
Number of vehicles, computers, GPS units, and other equipment as applicable	Count	Quarterly	No
Number of affected households and/or people by categories and gender (particularly where there are changes from the initial RAP/LRP)	Census, grievance management records, compensation records	Quarterly	Yes
Number of replacement dwellings: construction commenced, completed, and delivered in the period	Construction	Monthly	Yes

(*Table continued on next page*)

Table 7.1. ***(Continued)***

INDICATORS	MEASURED HOW	FREQUENCY	KPI?
Number of households moved into their replacement dwelling in the period	Data management system	Monthly	Yes
Number of households and/or people that received cash compensation in the period, with distribution by purpose and by classes of amounts	Data management system	Monthly	No
Community facilities built	Construction team	Quarterly	No
Number of households replacing land and acreage of replacement land actually secured by affected households	Data management system	Quarterly	Yes
Number of households and/or people (sex disaggregated) that received livelihood-restoration–related training or other assistance in the period, with distribution by type of training (agriculture, business, fisheries, etc.)	Data management system	Quarterly	No
Average time for grievance processing	Time between grievance registration and closure	Quarterly	Yes
Number of open grievances at the end of each quarter and trends over time	Grievance log	Quarterly	Yes
Number of grievances opened and closed in the period and trends over time	Grievance log	Quarterly	No
Categories of grievances and trends over time	Grievance log	Quarterly	No
Gender of aggrieved individuals	Grievance log	Quarterly	No

(*Table continued on next page*)

Table 7.1. ***(Continued)***

INDICATORS	MEASURED HOW	FREQUENCY	KPI?
Number of ongoing court cases and trends over time	Grievance log	Quarterly	No
Average (mean and/or median) time for payment of compensation	Time between signing of compensation agreements and payment	Quarterly	Yes
Has compensation been paid at full replacement cost? Is compensation updated to take account of value increases in real estate or crops?	For programs spanning several years: check the real estate market yearly. Investigate whether recipients of cash compensation were able to purchase similar properties. Monitor agricultural produce markets. Update compensation rates accordingly.	Yearly	Yes
Use of compensation	Conduct yearly survey of compensated households and/or yearly focus groups with selected layers of project-affected persons. Check on use of compensation and gender aspects.	Yearly	No
Satisfaction with allocated dwellings	Conduct satisfaction survey one year after the move. Look at house layout, materials, heat regulation, ventilation, sanitary facilities, and any other aspects relevant to the particular site and house design; make sure that opinions of youth and women are considered.	One year after move	No
Satisfaction with community facilities (drinking water, power, community center, school, health clinic, recreational facilities, access roads, etc.)	Conduct satisfaction survey looking at accessibility and affordability of services, making sure that opinions of youth and women are considered.	One year after move	No

(*Table continued on next page*)

Table 7.1. *(Continued)*

INDICATORS	MEASURED HOW	FREQUENCY	KPI?
Technical and construction quality issues	Identify technical and construction quality problems in the first few months after resettlement and address them through contractor guarantees, if relevant.	Two to six months after move	No
Sanitation and waste management	Observe cleanliness of public spaces and disposal of wastes. Check on effectiveness of organizational arrangements for maintenance and cost recovery.	Quarterly, until systems are working effectively	No
Renters	Monitor renters to ensure they have found replacement housing.	Quarterly	No
Agricultural land replacement	Is land of equivalent size and potential available to resettlers? Have resettlers been supported in preparing this land for cultivation?	Initially quarterly then yearly	No
Business reestablishment	Have businesses been successfully reestablished? Survey a sample of businesses and compare with baseline.	Yearly	Yes
Business employees	Are employees still employed in the relocated businesses? Survey employees over a sample of businesses and compare with baseline.	Yearly	No
Income	Are household incomes restored? Survey occupations and income over a stratified sample of resettled households and compare with baseline or undertake qualitative interviews in focus groups.	Yearly	No

(*Table continued on next page*)

Table 7.1. ***(Continued)***

INDICATORS	MEASURED HOW	FREQUENCY	KPI?
Fisheries	Have affected fisheries been reestablished? Survey fisherpeople and associated workers (driers, smokers, fishmongers) and compare with baseline or undertake qualitative interviews in focus groups.	Yearly	No
Vulnerability	Have some households become vulnerable (e.g., due to illness or death of the main wage earner or loss of their support networks)? Have any households previously identified as vulnerable improved their status?	Yearly	No

II.C. Implementation of Internal Monitoring

Internal monitoring tools and indicators should be designed to be consistent with the methods and initial indicators used for baseline data collection. The LRP and/or RAP must describe internal monitoring methods and implementation arrangements, and demonstrate consistency between monitoring indicators and baseline data. Indicators should preferably be developed as part of the baseline data gathering process to ensure this consistency.

It is better to have 10 indicators that are fully relevant, consistently measured, and used than to have 40 indicators that are measured sporadically, have limited relevance, or are not used.

Monitoring should be a specific function allocated to designated individuals within the resettlement unit of the project. Monitoring is often allocated to people also dealing with resettlement databases and GISs, which makes sense, as much of the work has to do with generating numerical indicators.

III. External Monitoring

III.A. Compliance Reviews

Compliance reviews conducted by external experts check whether the implementation of the program complies with the RAP or LRP and with the government's and lenders' standards. Compliance reviews of the resettlement and livelihood programs may be undertaken on a stand-alone basis or as part of a broader project social and environmental compliance review. Involvement of resettlement specialists is critical, particularly for high-risk projects with large-scale resettlement. Compliance reviews are based on the internal monitoring activities, particularly indicators and surveys, developed and conducted by the project.

Compliance reviews usually start with a review of the ESIA as a whole, including the RAP or LRP. Ideally, external compliance reviewers should be involved early in the planning process, so that they can review and provide input to the draft RAP or LRP before it is finalized. Compliance reviews are undertaken regularly throughout resettlement planning and implementation. The reviews continue until a completion audit is undertaken (if there is one), or until the compliance reviewers declare that resettlement and livelihood restoration are complete, if no completion audit is required. The scope of compliance reviews should include liaising with government representatives and agencies at national and local levels during their audits, as government activities are often critical for the long-term sustainability of resettlement sites and livelihood-restoration activities. Reviews should also include engagement with affected communities and other relevant stakeholders, including local NGOs and CSOs, local leaders and other key resource persons.

The scope of work of compliance reviews for resettlement and livelihood restoration should include the following:

III.A.i. General

- Assess overall compliance with RAP and/or LRP objectives and commitments as well as government and lender policies and standards on land acquisition and involuntary resettlement.
- Verify progress on the recommendations that the external compliance reviewer made during previous visits.
- Interview a representative cross-section of affected households and enterprises to
    - Gauge the extent to which the standards of living and livelihood of displaced households for men and women have been improved or restored.
    - Measure whether men and women in households have been sufficiently informed and consulted with.

- Gather their opinions on entitlement delivery, resettlement housing, livelihood-restoration measures, and grievance management.

- Use panel surveys (visiting the same households once a year over the entire resettlement period).
- Assess the ongoing level of project support or social license to operate in the affected groups.

III.A.ii. Resettlement and compensation process, delivery of entitlements

- Review whether entitlements were delivered and implemented on time (as set out in the RAP/LRP implementation schedule).
- Assess whether compensation is at full replacement cost.

III.A.iii. Livelihood restoration

- Review any livelihood-restoration programs and the extent to which they are assisting in improving or restoring livelihoods for affected households with consideration of gender equality.
- Verify implementation of measures to improve or restore the quality of life and livelihoods of displaced households and assess their effectiveness.
- Assess the extent to which the quality of life and livelihoods of men and women in affected communities are being improved or restored.

III.A.iv. Internal monitoring

- Review internal monitoring and reporting procedures for conformity with the RAP/LRP.
- Review internal monitoring records and identify any potential areas of noncompliance, systemic or recurrent problems, or any vulnerable groups or households that may have not received adequate assistance.

III.A.v. Grievances

- Review grievance records for evidence of any significant noncompliance or recurrent poor performance in resettlement implementation or grievance management.
- Engage with a sample of complainants to review generic grievances (if applicable) and to obtain their views on the fairness of the grievance management process and resolution.

III.A.vi. Vulnerable people

- Appraise systems to identify, track, and assist vulnerable people, and assess compliance with the RAP/LRP.

III.A.vii. Implementation

- Assess whether there are adequate resources to implement the RAP/LRP and any training or capacity-building requirements.
- Assess the data management system and its outputs and outcomes.
- Compare progress against the initial schedule.
- Review any situations of corruption, extortion, or other unethical behavior, and how they have been managed.

The terms of reference of compliance reviews should be included in the RAP/LRP, with a description of implementation arrangements (level of effort, frequency of reviews, and disclosure of reports). A template is presented in Appendix K. Resettlement Compliance Reviews: Template for Terms of Reference.

III.B. Completion Audit

Completion audits assess whether a resettlement program is complete, objectives have been met, commitments delivered, and any corrective actions are needed to achieve targeted outcomes. Completion audits are usually undertaken from one to five years after physical relocation has been completed to ensure sufficient time has passed for livelihood restoration to have been sustainably achieved.

The completion audit is conducted by a resettlement specialist or group of specialists that have not been previously involved with the project that is being audited. The completion audit draws on the data generated by ongoing internal monitoring and the findings of the external compliance reviews. The RAP/LRP must define clear, measurable, and realistic completion indicators. Baseline and completion audit surveys gather data pertinent to the completion indicators as the basis for assessing completion.

III.B.i. Objectives

Key objectives of the completion audit are to undertake the following:

- Assess the effectiveness of all measures to avoid and minimize displacement impacts by comparing final project impacts on land and people against those anticipated in the RAP/LRP.
- Verify that all entitlements and commitments described in the RAP or LRP have been delivered and verify that delivery of compensation and livelihood-restoration measures was transparent, equitable, and prompt.
- Determine whether RAP/LRP measures have been effective in restoring or enhancing affected persons' living standards and livelihoods, including both men and women and vulnerable people.

- Check that resettlement-related grievances and court cases have been satisfactorily resolved (or that adequate provision has been made for their resolution in the near future).
- Check that gender barriers have been effectively challenged to ensure improved livelihood opportunities for women.
- Identify any corrective actions to achieve completion of RAP/LRP commitments and prepare a corrective plan if warranted.

III.B.ii. Scope and methodology

The completion audit should focus on livelihood restoration, since this is usually the most difficult aspect of resettlement, and it should build on previous internal and external monitoring to assess other aspects, such as satisfaction with housing or compensation adequacy. It will generally be based on a comparison of the post-resettlement economic situation of affected households with the baseline data. Where many households have been affected, a representative sample can be used, based on the same sampling strategy used at the baseline stage.

An alternative strategy to the previous method compares affected persons' livelihoods with those of an unaffected control group living in similar conditions and with similar sources of livelihoods. These two methods can be combined (pre-resettlement/post-resettlement and with resettlement/without resettlement). Inputs from a statistician may be needed to verify that comparisons are statistically sound. There is considerable benefit to using household survey questionnaires for monitoring that are identical or at least substantially similar to those that were used for baseline data collection. Identical coding and data management systems are desirable, so that data can easily be compared between the pre- and postimpact situations.

In addition to quantitative household surveys, the completion audit should also include qualitative and participatory approaches (such as focus groups and participatory rural appraisal) to learn about displaced households' level of satisfaction with their standards of living, livelihoods, level of integration with host communities, and other concerns. Particular attention must be paid to assessing the impact of RAP and/or LRP interventions on the circumstances of vulnerable households.

The pre-resettlement/post-resettlement comparison should usually be made over a period of three to six years, and therefore macroeconomic factors must also be considered: inflation and currency fluctuations, changes in real estate values, general growth of the economy or recession, market price for key agricultural products, pandemics, and so forth.

The completion audit report should present conclusions on livelihood improvement or restoration and identify any corrective measures necessary to achieve livelihood restoration (as a minimum) for displaced households.

The completion audit should also focus on whether physically displaced people have been successfully resettled, have security of tenure, and have similar or improved living standards. Particularly where cash compensation is offered, it is critical to verify that compensation was at full replacement cost and that people invested their compensation in replacing their homes and/or other assets, particularly those critical to livelihoods, such as agricultural land.

The scope, timing, and implementation arrangements for the completion audit should be presented in the RAP/LRP.

III.B.iii. Defining "completion"

There are several challenges in assessing the completion of livelihood-restoration measures:

- Accounting for macroeconomic factors (currency fluctuations, inflation, etc.) can be complex, and the comparison between the pre- and post-resettlement circumstances of affected households could very well be inconclusive. (Hence, there are benefits of comparing affected households to a control group in addition or as an alternative method.)
- Some resettled households may experience a decline in their livelihood activities and income as a result of misfortune that has nothing to do with the resettlement process (illness, injury or death of a breadwinner, theft, fire, etc.). Sometimes it may be difficult to clearly distinguish the impacts of misfortune from those resulting directly from resettlement. Such situations should be tracked, and people affected by them should be taken care of as vulnerable.
- The duration of the period between the occurrence of the displacement and completion assessment must be considered carefully.
    - Affected households must be well reestablished in their resettlement location (if they have been physically moved) and their economic activities must also be reinstated.
    - Where agricultural activities have to be reinstated on new, previously unused farming land, it may take several seasons to reach normal yields (usually three as a minimum and possibly up to six may be needed). The completion audit must also wait until the project is no longer providing transitional support or inputs, such as fertilizers or improved seeds, to be able to determine the sustainability of livelihood restoration.
    - A longer observation period can eliminate the effect of unusual natural fluctuations (droughts, locusts, etc.).
- Measuring income is never easy, as interviewees are reluctant to disclose their real earnings, and official tax returns are not always available or reliable. Statements on income should always be complemented by proxy indicators

(such as household expenditures, availability of certain assets and household items, level of indebtedness, etc.). Such proxy indicators should also be captured in the baseline to allow for comparison of the post-resettlement situation to the pre-displacement circumstances.

- In communities where subsistence activities are predominant, consideration of cash income alone is insufficient to describe the economic situation of a household. Self-consumed agricultural produce must be considered, although this is always difficult to appraise and value.
- Some households are impossible to track (especially those that move outside of the resettlement site). Similarly, some households may not want to enroll in livelihood-restoration activities proposed by the sponsor, or they may drop out after a while.

Achieving improved or restored livelihoods for 100 percent of affected households will usually be impossible. The issue is therefore to define a percentage of success that is both achievable and acceptable to communities, project sponsors, government authorities, and lenders, where applicable. This target percentage should be discussed and clearly committed to in the RAP/LRP and fine-tuned during the ongoing monitoring exercise as needed.

If a percentage, such as 90 percent, has been established as the target, then it should apply not only to the entire group of affected persons, but also to individual subgroups such as landowners, formal or informal land users, squatters, women-headed households, vulnerable people, and so forth. It would not suffice to achieve 90 percent of livelihoods restored if only 30 percent of a subgroup have their livelihoods restored, particularly if this group is vulnerable.

Appendix L. Resettlement Completion Audit: Template for Terms of Reference provides an example of terms of reference for a completion audit.

Box 7.1 provides an example of internal and external monitoring.

Box 7.1. Arrangements for Monitoring in the Ahafo South Mining Project

Newmont Ghana Gold Limited established a strong internal monitoring unit for its resettlement project affecting about 8,000 Ghanaian households, of whom 685 were physically displaced. The monitoring unit generated periodic reports as well as all related numerical and qualitative indicators, and commissioned studies on specific themes (e.g., a perception review and/or specific evaluations of certain livelihood-restoration activities) through local consultants.

In addition, two consultants carried out external reviews (on a biannual basis during the implementation phase of resettlement and later yearly). These reviews appraised compliance, outlining any aspect that was in potential or actual noncompliance with the requirements of PS5, and assessed performance against good practice.

Reports of the external reviewers were made public while internal monitoring reports were not. Three years after resettlement was complete, completion surveys were undertaken, and a completion audit report was produced on this basis. This process was reiterated for further phases of displacement related to the same mining operation.

IV. Gender in Monitoring

All socioeconomic information should be disaggregated by gender to capture differential impacts. In complex cases, consider differential impacts on household members by gender and age (not only at the level of household heads). For example, the impacts of household food shortages often fall disproportionately on women and young children. Long distances to a well, or scarcity of firewood at a resettlement location, can increase the burden on women and children.

Specific gender circumstances, such as a change in the status of different wives in polygamous households, gender-based violence and harassment (GBVH), or an increase in the occurrence of polygamy or divorces where cash compensation is paid exclusively to males, should be carefully monitored. This type of monitoring should be based on an initial risk assessment presented in the RAP or LRP, which is usually best achieved through qualitative methods, including separate focus groups with women of different ages, marital status, and social and economic status. Discussions on GBVH are especially sensitive and can place group discussion participants at further risk of violence. Such discussions should therefore be carried out by people with expertise in this area.

The assessment of gender dimensions relating to access to land is also important where agricultural land is affected. While traditional land rights and allocation systems often accommodate married women's access to land through specific mechanisms, this is not always the case, and the situation of single, divorced, or widowed women may be more problematic.

Similarly, there may be specific gender aspects to access to natural resources. For example, women may be more affected than men by impacts to forests: loss of fuelwood that they cook with; loss of NTFPs such as herbs, berries, or mushrooms that they may gather and market; loss of access to ponds for fishing; or increased distance to water sources.

Land-allocation mechanisms and access to natural resources can be disrupted by the resettlement process, resulting in hardship for women. A clear understanding of these mechanisms must be incorporated in the RAP or LRP so interventions can be made if impacts to women are evidenced by monitoring survey techniques that examine intrahousehold roles, and gender dynamics may need to be employed.

V. Arrangements for Implementing Monitoring

V.A. Overview

Resettlement monitoring should be conceived as a specialized component of the broader social and environmental monitoring that must be undertaken as part of the project ESMS.

All projects that entail displacement of any magnitude should organize and undertake internal monitoring as soon as displacement impacts occur. In addition, wherever economic displacement is significant and for most projects with physical displacement, external compliance reviews and a completion audit should be undertaken to check compliance independently, provide an external perspective to planning and implementation teams, and enhance credibility. Monitoring must be clearly defined in the RAP or LRP, including the following:

- Frequency of internal monitoring reports and disclosure arrangements[42]
- Frequency and scope of external compliance reviews and number and profile of independent specialists involved
- The scope of the completion audit, including the livelihood-restoration target (as detailed in section III.B.iii. Defining "completion" of this module), and its timing, indicative methodology, and the level of effort involved
- Disclosure arrangements (which reports to be disclosed to local communities, other local stakeholders, and the general public, and if so, via what avenues)
- Stakeholder engagement related to monitoring and the extent and scope of any participatory monitoring involving affected persons or other stakeholders

[42] Ideally, internal monitoring reports should be produced on a predetermined frequency (e.g., biannually during implementation and yearly afterward), and the frequency of external reviews should ideally be consistent with that of internal monitoring reports.

In projects with less significant displacement impacts, monitoring will typically be internal and allocated to staff also responsible for information management. Ideally, some level of internal auditing of data quality should be undertaken regularly (annually) as provided by internal quality assurance systems and standards per the ESMS.

V.B. Participatory Monitoring

Holding periodic focus groups with representatives of displaced people (including groups such as women, youth, the elderly, businesspeople, etc.) is invaluable, as it allows concerns to be voiced and considered as part of a monitoring or completion audit.

NGOs often take a significant interest in resettlement, and involving them in the monitoring process from the design stage (including selecting indicators) can help build local capacity and better relationships with the project. A simple way to involve NGOs in monitoring is to hold periodic information and consultation workshops to share and discuss outcomes of monitoring with stakeholders. Such workshops can target government agencies, NGOs, and civil society representatives in joint or separate sessions. Some projects have also successfully involved NGOs in more substantial monitoring, with regular visits and capacity-building workshops. Box 7.2 provides an example of a participatory monitoring program.

Box 7.2. Peru LNG Participatory Monitoring

The Peru LNG (PLNG) project consists of a liquefied natural gas (LNG) plant, associated marine facilities, and a 408-kilometer (km) natural gas pipeline. The LNG plant and marine facilities are located on the Pacific coast of Peru. The pipeline traversed 36 highland Andean communities that owned land communally.

PLNG committed to restore vegetation along the length of the pipeline right of way (RoW) with a focus on communal land affected by land take. PLNG recognized the extreme difficulty of monitoring contractor behavior, managing environmental impacts including erosion and rehabilitation of the pipeline RoW—especially at 12,000 feet—and the risks associated with a failure to restore livelihoods. To address this challenge, PLNG partnered with a nonprofit environmental foundation to design and implement a participatory monitoring program.

The program entailed the following elements:

- The program trained over 70 community members to act as monitors of environmental impacts and vegetation restoration along the RoW.
- Each year 37 monitors are enrolled in capacity-building programs.
- The monitors represented 35 highland communities, as well as eight associations of private landowners.
- The monitors were trained to identify and register nonconformities with management plans, such as contractor behavior that posed a reputational risk, delays, or negative impacts to vegetation restoration and construction impacts such as erosion.
- The monitors also provided an early warning system for the company on community grievances.
- The monitors were provided uniforms, personal protective equipment, digital cameras, and GPS units to record nonconformities.

The participatory monitoring program demonstrated that it (i) reduced social conflict by providing an effective way to submit concerns; (ii) strengthened the leadership capabilities of the monitors, who became recognized as community leaders; (iii) improved the company's and contractor's environmental performance; (iv) helped develop creative solutions for revegetation at extreme altitudes; and (v) built trust between the communities and the company. The program has become identified as a best practice in complex projects.

V.C. Reporting and Disclosing Monitoring Findings

Monitoring reports, whether internal or external, should be short and concise, with a summary of findings and a clear set of recommendations and corrective actions. Numerical indicators should be presented in a simple, preset format so comparisons can easily be made from one report to another. Trends between periods should be clearly shown.

To enhance transparency and facilitate stakeholder interest and involvement, the reports produced for each external compliance review, as well as completion audit reports, can be made public while maintaining the confidentiality of participants. Where needed, user-friendly summaries in local languages can be prepared to provide feedback to local communities. In addition, where stakeholders raise issues that require independent review and response, workshops with selected stakeholders (CBOs, representatives of affected persons, local resettlement committees, local municipal councils, NGOs, government officials, etc.) can provide an additional layer of transparency.

Table 7.2 provides a template for monitoring reports and disclosure. An adaptation of this table to each specific resettlement program should be provided in the RAP or LRP.

Table 7.2. Monitoring Reports

REPORT	TYPE OF MONITORING	PRODUCED BY	FREQUENCY	DISCLOSURE
Internal activity report	Input-output/activity monitoring (mainly quantitative)	Resettlement team	Weekly to quarterly	No
Internal monitoring report	Input-output/activity monitoring (mainly quantitative)	Resettlement team	Quarterly to yearly (or more during resettlement implementation)	No
Compliance review reports	Compliance reviews	External reviewer(s) or independent environmental and social consultant	Yearly (or more frequently during resettlement implementation)	Yes, company website and interested stakeholders
Completion audit report	Completion audit	External consultant	Upon completion	Yes, company website and interested stakeholders
Specific survey reports	Mid-term livelihood surveys, specific satisfaction surveys, as provided for in the RAP/LRP Completion surveys	Local survey company	As specified in RAP/LRP and before completion audit	No

V.D. How to Monitor and Evaluate Smaller Projects

Where a few households are affected, monitoring can be done internally for the most part. While regular external compliance reviews may not be needed, an external, independent perspective is often useful from time to time to provide "fresh eyes" to the implementation team.

The monitoring system should focus on the most critical indicators, such as those presented in table 7.3.

Table 7.3. Monitoring Indicators for Smaller Projects

INDICATOR	FREQUENCY
Overall spending on resettlement activities	Quarterly
Number of staff (sex disaggregated) dedicated to resettlement, compensation, and livelihood restoration	Quarterly
Number of households that received cash compensation	Quarterly
Number of resettlement dwellings completed	Quarterly
Number of households that moved	Quarterly
Number of open grievances at the end of each quarter and trends over time	Quarterly
Number of grievances opened and closed in the period and trends over time	Quarterly
Categories of grievances and trends over time	Quarterly
Gender of aggrieved individuals	Quarterly
Satisfaction with allocated dwellings	Quarterly
Satisfaction with community facilities (drinking water, power, community center, school, health clinic, recreational facilities, access roads, etc.)	Quarterly
Land replacement	Biannually or yearly
Agriculture restoration	Biannually or yearly
Business reestablishment	Biannually or yearly

V.E. Special Monitoring Considerations in Government-Led Resettlement

Where a government agency leads resettlement for a private-sector project, the private project sponsor should collaborate with the government agency to provide for monitoring of the government resettlement program. Governments' monitoring systems generally focus on accountability related to public spending. Seldom do such systems provide the type of social and livelihood monitoring required by PS5 and as described in this handbook. The project's private sponsor will therefore have to agree on monitoring and reporting arrangements that can both meet the objectives of PS5 and be acceptable to government agencies. Experience indicates this is usually possible if it is discussed early in the process, and monitoring objectives as well as plans with respective responsibilities are clearly defined in a RAP or LRP, or through a resettlement MoU. The private sponsor may have to cover the cost of specific monitoring arrangements not required by local legislation.

VI. Do's and Don'ts

Table 7.4 summarizes the do's and don'ts of monitoring.

Table 7.4. The Do's and Don'ts of Monitoring

DO'S	DON'TS
Link baseline and monitoring information, particularly in terms of livelihood restoration. Livelihood indicators used to evaluate the program completion must have been gathered as part of the baseline assessment. Combine quantitative and qualitative measurement methods. Establish clear completion objectives with measurable indicators in the RAP or LRP and communicate these clearly to all stakeholders. Report progress and outcomes to key stakeholders, including government, affected persons, and lenders. Introduce layers of external monitoring, particularly in terms of assessing outcomes, in addition to internal monitoring. Staff the internal monitoring unit according to the expected workload. Seek integration of resettlement monitoring into the overall ESMS required by PS1. Include all methodological and implementation details related to monitoring in the RAP or LRP. Make sure there are mechanisms to budget for corrective actions identified as a result of monitoring.	Use too many indicators that will not necessarily be collected in time or may not be particularly meaningful. Rather, make sure that the monitoring program is commensurate to the impacts. Place people at risk during the monitoring process, such as by exposing them to retaliation for criticizing or exposing corruption; for their involvement in extra-legal livelihoods; or through disclosing information that could be used for identifying informants. Change monitoring or survey methods and indicators during the course of the program. Produce lengthy reports with unprocessed quantitative information. Produce reports late or at loosely defined frequency. Use monitoring teams that lack gender diversity.

MODULE 8

SPECIFIC CIRCUMSTANCES

I. Postconflict Situations

This guidance addresses displacement caused by projects in areas previously affected by conflicts, not resettlement of people displaced as a direct result of conflicts.

Private-sector investment and its role in creating sustainable livelihood opportunities are recognized as important catalysts for peacebuilding following conflict. Undertaking land acquisition and resettlement in such environments can present significant challenges (see example in box 8.1) and as such needs careful planning and implementation (see table 8.1 on key aspects to consider in postconflict situations). Some common characteristics of postconflict situations relevant to resettlement planning and implementation include the following:

- Widespread dislocation and separation of people from their legal or customary dwellings, land, and property, and in their absence, the emergence of conflicting claims or occupation by others
- Destruction or disturbance of property and physical traces of occupation and ownership on the ground making it difficult to discern property boundaries
- Disruption of formal state property rights systems and capacity to provide cadastral information or resolve property grievances; lost or destroyed land tenure records
- Social rearrangement, including weakened local government; changes in local institutions, authority, and legitimacy; and presence of newcomers such as demobilized former combatants, refugees, and IDPs
- Occurrence of special types of vulnerability among women and children, but also political and ethnic minorities, IDPs and refugees, and those traumatized or experiencing loss of identity
- Increased risk of GBV in affected communities
- Complex grievances, claims for restitution, and competing claims for land and property
- Presence of unexploded ordnance (UXO) restricting safe access to land
- Risk that the processes of verifying property ownership and providing compensation and assistance to some, but not others, will reignite conflict
- Residual law and order challenges; security for displaced people, resettlement teams, and those building replacement housing or delivering livelihood programs
- Refusal of victorious powers to contemplate land claims from people claiming to have been displaced by conflict
- Layers of ownership claims to land

Box 8.1. Montelimar Identification of Replacement Land

Montelimar Sugar Plant (henceforth Montelimar), owned by Corporación Montelimar S.A., has been in operation for nearly 50 years. Two small communities, with a total of 33 houses, were located next to the sugar production plant comprising 26 and 7 houses, respectively. The communities lacked basic sanitation and running water, and the houses were in poor condition. A small number of the residents were employed as workers at the sugar plant, and some were seasonal workers on the farms, who supplemented their income with fishing and other kinds of temporary work.

Montelimar's expansion plans created potential health, safety, and security risks for the residents due to the communities' proximity to the plant. In addition, the communities' only access route to the school and other services traversed the industrial plant's operations. After consultation with the communities and evaluating various mitigation measures, it was agreed that the households would be relocated to a safer area. Montelimar contracted HABITAR, a local firm with resettlement expertise, to conduct socioeconomic studies, consult with community members to identify the resettlement site, design the replacement houses, and plan the resettlement process.

Identification of replacement land for the resettlement site proved challenging due to the impact of the Nicaraguan civil war on land ownership and titling. The conflict and its aftermath resulted in successive waves of nontitled users being allocated land in a guns-for-land exchange. This led in some cases to different people being offered the same piece of land, creating multiple users claiming ownership. A World Bank titling project was underway with the government but had not reached the area of the project. The process of land titling still has challenges due to the continued political situation and now exacerbated by COVID-19.

Finally, a site (Nueva Jerusalén) was located that had clear title, in close proximity to the old community (as a result livelihoods would not be affected) and had good access to electricity, water services, and social services (such as health and education), as well as public transportation.

In partnership with the municipality of San Rafael del Sur, Instituto de la Vivienda Urbana y Rural (Institute of Urban and Rural Housing), and ANF (American Nicaraguan Foundation), Montelimar built 37 replacement houses on land with security of tenure. Additional improvements included the following:

- Housing constructed with durable material, on plots with sufficient land for residents to have kitchen gardens and raise chickens
- Access to electricity, water, and sanitation services
- Proximity to primary and secondary schools and health centers
- Proximity to mill, farms, and cogeneration facility site to access existing employment

Montelimar partnered with ANF to develop livelihood-improvement programs for some of the relocated people that were chronically unemployed. The programs included the establishment of chicken raising and capacity building in small-scale farming. Through robust resettlement planning in partnership with the affected persons, Montelimar improved the standards of living and economic situation of these communities. (See photos in this box.)

(*Box continued on next page*)

Box 8.1. *(Continued)*

Original housing conditions.

Visit to the new resettlement site with affected communities.

Community consultation with residents.

Building a new house in Nueva Jerusalén.

A new house with a garden in new resettlement site.

Community school in new resettlement site.

Table 8.1. Key Aspects to Consider in Postconflict Situations

STAGE	SPECIFIC ASPECTS
Scoping	Engage specialists to complete a robust conflict analysis. Look at interethnic and intercommunity relations, particularly where there are IDPs or refugees in the project's area of influence. Look at implications of conflict on land tenure: • Are registries of land still in place and up-to-date; is there a state- or United Nations (UN)–sponsored program to update land registries to account for forced displacements? • Is there significant illegal or informal occupation of abandoned properties? • What is state mid- to long-term policy in regard to refugees or IDPs (relocate or repatriate when circumstances allow or seek to accommodate them where they are)? • What is the current security situation in the area? Will an MoU with public security forces be required? Is it safe for project staff and community members to move about freely? • What is the land tenure status given by the state to IDPs or refugees, if any, for both residential and agricultural lands? • Is there a state or UN program to compensate displaced people for the properties they abandoned? • What is the government's policy with regard to long-term security of tenure for IDPs and refugees? • Is the judiciary system functional to address ownership disputes resulting from the conflict and from forced displacement or haphazard IDP/refugee settlement? Look at socioeconomic and livelihood implications of conflict: • Vulnerability associated with conflict and its aftermath (child-headed households, woman-headed households, physical disabilities, mental health issues, etc.), including food insecurity and implications of any emergency aid packages being or having been delivered • Specificities of livelihoods in the transitional period for IDPs and refugees • Specific issues associated with demobilized soldiers or militiamen • Risk of violence, including GBV • Governmental or nongovernmental livelihood programs supporting conflict-affected persons in the project's area of influence • Implications of conflict on long-term community governance and cohesiveness, as well as on family structures

(*Table continued on next page*)

Table 8.1. *(Continued)*

STAGE	SPECIFIC ASPECTS
Planning	Where relevant, have an UXO specialist undertake a hazard assessment over all lands required for the project and for resettlement purposes (including agricultural livelihood replacement). Make budget and schedule provision for UXO clearance.
Stakeholder engagement	Pay attention to information dissemination, inclusiveness in discussions, and transparency in all project transactions, taking into account recommendations of the conflict analysis. Set up robust grievance and dispute resolution systems that are demonstrably independent and impartial and that include parties trusted by affected persons. Ensure the stakeholder engagement team is inclusive of different ethnic, political, or tribal groups, as relevant.
Baseline collection	Carefully reconstruct land and property ownership; take extra care to validate the legitimacy of land and property ownership claims.[a] Pay special attention to vulnerable groups; be prepared to provide individual legal assistance, counselling, and psychological support to enable them to participate fully in resettlement consultations and surveys.
Implementation	Plan for additional time in schedules for establishing legitimacy of land titles, resolving completing claims, and undertaking UXO clearance.
Livelihood restoration	Allow more time in project schedules and the completion audit timeline for livelihood restoration. For any agricultural programs, consider the land tenure situation and potential for further evictions.
Monitoring and review	Monitor per the normal RAP/LRP process but allow enough time for timeline of completion audit and ensure that vulnerable people are adequately monitored over sufficient time for potential hardship.

[a] Conflict over the same parcel of land can go back several decades as waves of IDPs, returned soldiers, and refugees occupied land. While the project may not be able to solve the conflict over land, failure to understand and attempt to resolve the issue can result in an inability to obtain a social license to operate and may present a reputational risk. Creative considerations to compensate for historical losses can include community development programs, scholarships, or training to improve livelihoods.

II. Government-Led Land Acquisition

IFC PS5 (paragraph 30) requires that "Where land acquisition and resettlement are the responsibility of the government, the client will collaborate with the responsible government agency, to the extent permitted by the agency, to achieve outcomes that are consistent with this PS. In addition, where government capacity is limited, the client will play an active role during resettlement planning, implementation, and monitoring."

In many jurisdictions, there are gaps between local legislation and IFC PSs, including one or several of the following:

- Acquisition of land by the state usually involves limited consultation—there will generally be prior disclosure in various forms of the state's plans but no consultation on entitlements and other aspects as required by international standards.
- Public interest and expropriation may be triggered without prior attempts to reach negotiated settlements.
- With a few exceptions, compensation for structures is at market or depreciated value rather than full replacement cost.
- Compensation for land may be at the cadastral value (or similar mandatory requirements), which is generally lower than the market or full replacement cost.
- Government annual and perennial crop compensation rates are often out-of-date and hence not at market value.
- Provisions for compensation of businesses generally fall short of international requirements.
- People cannot choose between several compensation options—compensation is typically in cash only, although some jurisdictions have provisions for resettlement, replacement properties, or property exchange.
- Informal users are typically excluded from compensation—it can even be illegal to compensate informal land use.
- Evictions may have taken place with limited safeguards or due process.
- Livelihood restoration is usually not required, and livelihood or other socioeconomic baseline information is not gathered as a result.
- There are usually no provisions for vulnerable people in land-acquisition legislation, although other legislation addressing vulnerable people generally exists.
- Forced eviction may be practiced.
- Gender-related risks are rarely considered.
- Planning documents (RAP/LRP) are generally not required.
- Monitoring is not required.

Even where land acquisition is the responsibility of the project proponent, the government may have to intervene (through expropriation) to provide a legal avenue to address difficult cases (absent or deceased landowners, people refusing to negotiate, people refusing to vacate land after they have been compensated, etc.).

Where local law or specific project legal arrangements require the government to lead land acquisition, these gaps may be difficult to overcome unless addressed specifically by the project proponent early in the process of developing the project, with a legal formalization in project agreements or other legal documentation.

Government agencies may be reluctant to provide better treatment to PAPs affected by a specific project and invoke a "precedent effect" that they believe will make further land acquisition per usual government conditions difficult or impossible.

Government agencies may be legally prohibited from providing better treatment for PAPs where such treatment exceeds local legal requirements, because such "generosity" can be interpreted as unnecessary and illegal use of taxpayers' resources.

Scoping these issues as early as possible is essential, so that mitigations can be developed and legally formalized. This typically requires long negotiations with government and should be factored in the project schedule.

Table 8.2 illustrates key aspects that particularly apply to government-led land acquisition.

Table 8.2. Key Aspects to Consider in Government-Led Acquisition

STAGE	SPECIFIC ASPECTS
Scoping	Check the legal background for government-led land acquisition and identify gaps through a gap analysis process (see Module 1. Scoping of Land-Acquisition Impacts). Engage government and provide capacity building if required: hold a workshop with relevant officials on PS5 and good practice, and present the business case of PS5 for the state, for the project, and for the affected population (reducing claims, expediting project, mitigating human rights and impoverishment risks, reducing overall cost, enhancing bankability of further government projects, etc.). Seek formal agreement from government on key areas where regulations are not aligned with PS5, with particular focus on the following: • How to effect compensation at full replacement cost and related valuation methodologies (detailed analysis of gaps in government valuation methods against replacement value required) • How to effect in-kind compensation (e.g., resettlement, land-for-land) rather than cash only • Consultation and negotiation prior to compulsory procedures being triggered • Rights of informal users • No forced evictions • Baseline studies • Livelihood-restoration programs • Formalization of government commitments in an agreed supplemental RAP/LRP or a resettlement framework (RF) or livelihood restoration framework Check at what level of government the RAP/LRP will have to be approved (ministerial, cabinet, etc.). Understand any legislative changes that may be needed to support RAP/LRP implementation, how they can be enacted, and expected timing. Benchmark other projects benefitting from international finance institution (IFI) support in the country. It is not unlikely that other IFI-backed projects have been faced with similar difficulties in aligning government practice with PS5 (or other similar IFI standards), and their experience should be used.

(*Table continued on next page*)

Table 8.2. *(Continued)*

STAGE	SPECIFIC ASPECTS
	Check the acceptability to government of a "top-up" approach, whereby government takes care of compensation per their requirements, while project-specific top-up measures are developed and paid for separately by the project. Where cash top-ups are not acceptable to government, look at the possibility of implementing in-kind top-ups. Look into cost-sharing arrangements whereby the government provides the funds for compensation per local legislation, while the private project proponent finances supplemental costs arising from the application of IFC PSs (compensation top-ups, livelihood restoration, compensation to informal users). Look into fund channeling and government money disbursement issues (channeling processes and approval procedures from the central budget to the affected person or household) and make sure funds can be available in time before land is required (compensation to be paid or effected prior to land entry).
Planning	Seek demonstration in the RAP/LRP or RF that proposed supplemental measures do not violate local legislation and do not trigger a precedent effect that might disturb further government efforts in other, non-IFI-backed projects. Where national law or policy does not provide for compensation at full replacement cost, or where other gaps exist between national law or policy and the requirements with respect to displaced people detailed in PS5, the client should apply alternative measures to achieve outcomes consistent with the objectives of PS5. Engage government on the RAP/LRP or RF (via workshops) to seek buy-in. Do not neglect local authority levels in government engagement efforts, as often they are designated to implement compensation measures. Seek final approval of RAP/LRP or RF by government at the required level to ensure enforceability. Where government approaches do not account for replacement cost, the client should develop supplemental mitigation measures and packages. Where the project ascertains that the outcome of the government-managed resettlement is unlikely to meet the requirements of PS5, and the client is unable or not permitted to fill the gaps required to meet those requirements, consideration should be given to the risks associated with proceeding with the project.

(*Table continued on next page*)

Table 8.2. *(Continued)*

STAGE	SPECIFIC ASPECTS
Stakeholder engagement	Use best efforts approach to implementing the RAP/LRP process (see Module 3. IV. Do's and Don'ts). If relevant, seek to ensure that traditional government "top-down" engagement approaches are mitigated by additional, more conducive stakeholder engagement. Ensure that there is a level of independent scrutiny in the grievance management system. See the preceding planning guidance in this table. Government is the most critical stakeholder. Government engagement efforts may take significant time and need to be factored in the project's overall development schedule.
Baseline collection	Take into consideration mandatory government requirements for asset surveys and include such in the survey strategy. (For example, mandatory survey forms may be required and will have to be used, certain commissions will have to be established involving government representatives, or certain sign-offs from government representatives will have to be obtained on asset surveys). Check that land held under informal regimes and unregistered structures (and associated owners and/or users) are included in asset surveys. Make sure that vulnerable people are properly identified (and particularly that all forms of potential vulnerability are included). Where certain groups may be marginalized as a direct or indirect result of certain government policies, ensure that such groups are not excluded from baseline surveys and engagement. This may apply to certain ethnic groups or to communities held by an opposition party. Involve local authorities in the design and planning of survey campaigns so they are not taken by surprise when teams are deployed in the field. Check whether they need to be represented in the field together with project survey teams. Propose project logistical support where local authorities' resources are insufficient to perform their mandatory tasks in a timely fashion.

(*Table continued on next page*)

Table 8.2. *(Continued)*

STAGE	SPECIFIC ASPECTS
Livelihood restoration	As mentioned under the planning guidance in this table, additional livelihood-restoration packages (including in-kind items such as agricultural equipment) may be a way to offset compensation paid below full replacement cost.[a] Livelihood restoration is typically not considered by land-acquisition legislation. It is best in most cases to seek links with existing agricultural or other economic development initiatives and to ensure that affected persons can benefit from these. Such initiatives may include the following, among others: • Government-led agricultural or rural development programs • Government-run vocational training centers and schemes • Government-led employment plans, including making sure that affected persons can register for monetary support and training measures meant for unemployed or underemployed people
Implementation	It is critical to define the respective roles of government and the project clearly where implementation responsibilities are shared between parties. Seek to define clearly which government agencies are involved and engage them all.
Monitoring and evaluation	Always seek to provide a layer of independent monitoring, including compliance reviews and completion audit. Ensure that this is captured in the supplemental RAP and agreed upon up front by relevant government agencies. Independent completion audit obligations arising from PS5 remain applicable.

[a] The project could achieve outcomes consistent with PS5 using this approach if livelihoods are restored or improved. Examples of this could include provision of agricultural inputs, fishing gear, or additional replacement land.

(*Table continued on next page*)

Table 8.2. *(Continued)*

STAGE	SPECIFIC ASPECTS
Documentation	A supplemental RAP meant to address gaps in government practice against PS5 should include, at a minimum, the following: • A summary of impacts supported by a brief project description • A legal and institutional review, with the identification of key gaps • A detailed description of measures meant to address gaps in key areas of compliance (compensation and resettlement, livelihood restoration, grievance management, support to vulnerable people, stakeholder engagement, and monitoring, with an evaluation of gender sensitivity of these measures) • The identification of any residual deviations against PS5 • Identification of past land acquisition and resettlement • A detailed description of institutional and financial arrangements to implement these measures, as well as roles and responsibilities, including a budget and identification of sources of funding and an implementation schedule • A demonstration of endorsement of the plan by both the sponsor and the government

III. Public-Private Partnership Projects

In many projects (and particularly in public-private partnership [PPP] projects), the contractual agreement with the developer obliges the granting authority to deliver land required for establishment of the project to the concessionaire "free of encumbrances," meaning in practice that the granting authority carries out land acquisition prior to the concessionaire taking possession of the land.

If the concessionaire seeks finance from an IFI applying international resettlement standards such as IFC PSs, a contradiction may arise because the concessionaire is obliged to meet such standards while the granting authority is not. However, the involvement of a private concessionaire generally provides more flexibility in aligning with the requirements of PS5 than in a strictly government-led land acquisition in which the government may face legal constraints with PS5 alignment.

For key aspects to consider in land acquisition for PPP, projects see table 8.3.

Table 8.3. Key Aspects to Consider in Public-Private Partnership Projects

STAGE	SPECIFIC ASPECTS
Scoping	See section II. Government-Led Land Acquisition of this module and Module 1. Scoping of Land-Acquisition Impacts Define who will handle land acquisition—the granting authority or the concessionaire? Review in-country PPP legislation if available and/or the PPP agreement and other relevant legal documentation pertaining to respective responsibilities of both. Experience shows that in some cases, and notwithstanding the principles in the initial PPP agreement, the granting authority may be amenable to letting the project fund the land acquisition and take most related operational responsibilities. Where possible, this solution will offer more flexibility, and it is always advisable to explore it up front with the granting authority. If the granting authority is responsible for land acquisition, consider the following: • What standards will it adopt? Local regulations and IFC PSs? Is it prepared to adopt any higher standards than required locally, such as IFC's PSs? How can this be legally formalized? • What is its track record of past land acquisition for similar projects? • Has land acquisition already started? Is it possible to carry out an audit against IFC PSs of past activities? • Will expropriation be used? Is it possible to seek negotiated settlements with landowners prior to expropriation being triggered? • Is there a significant risk of forced evictions should some individuals refuse to move? • What are the potential gender implications? • Can a RAP or a supplemental RAP be prepared? Can government endorsement of such be sought? • Can a cost-sharing arrangement be devised and legally sanctioned whereby the granting authority funds costs per local legislation while the concessionaire finances supplemental costs arising from the application of IFC PSs? See also section II. Government-Led Land Acquisition of this module for focus areas. If the concessionaire is responsible for land acquisition, consider the following: • Is the granting authority comfortable with the concessionaire undertaking land acquisition and resettlement in accordance with IFC's PSs, or are there issues (such as the precedent effect) invoked by the granting authority to oppose the application of IFC PSs? • Can the nonobjection of the granting authority to the application of IFC's PSs by the concessionaire be legally sanctioned, whether in the PPP agreement or otherwise?

(*Table continued on next page*)

Table 8.3. *(Continued)*

STAGE	SPECIFIC ASPECTS
Planning	See section II. Government-Led Land Acquisition of this module and Module 2.
Stakeholder engagement	See section II. Government-Led Land Acquisition of this module and Module 3.
Baseline collection	See section II. Government-Led Land Acquisition of this module and Module 4.
Livelihood restoration	See section II. Government-Led Land Acquisition of this module and Module 5.
Implementation	See section II. Government-Led Land Acquisition of this module and Module 6.
Monitoring and evaluation	See section II. Government-Led Land Acquisition of this module and Module 7.

IV. Past Land Acquisition and Resettlement Issues

Addressing past land issues is one of the most challenging problems in resettlement. Past land acquisition and resettlement issues stem from a wide variety of causes: from armed conflict to agrarian reform to government or private-sector development. In most cases, records of the resettlement and location of the displaced people are inaccurate, the land-acquisition sponsors are not available, and reconstructing events is a challenge. Experience has shown that failure to address these issues, even when they stem from events that are half a century old, can continue to cause grievances and unrest.

Finding solutions is rarely straightforward. Some cases involve finding housing for a few households, whereas other cases involve physical and economic displacement of entire villages. The following table offers guidelines for addressing these issues. But as with resettlement in general, each situation is case specific (see table 8.4).

Table 8.4. Key Aspects to Consider in Past Land Acquisition and Resettlement

STAGE	SPECIFIC ASPECTS
Background	It is not uncommon for a private sponsor to have to address past resettlement issues under the following circumstances: • Where a government agency (see table 8.2) has taken responsibility for land acquisition prior to the involvement of the private sponsor, for example, in a PPP context (see table 8.3). • Where a previous project sponsor (or a cosponsor) has handled land acquisition prior to the acquisition of the project by the current sponsor (often the case in mining, where a first company takes responsibility for exploration and the first phases of design and construction before selling its interest in the project to another company that finalizes construction and takes charge of operations). In such situations and if past land-acquisition and resettlement activities have been significant, the project sponsor may require an independent audit of past land-acquisition and resettlement activities (see box 8.2). Where deficiencies are observed, a Corrective Action Plan may be warranted to address past gaps and mitigate ongoing impacts. • Past land acquisition and resettlement can be recent (several years earlier) or distant—decades prior to the current project. There is no time-based criteria for determining how recent a land acquisition/resettlement is. Instead, in assessing such in assessing such issues issues, the client should consider the residual as well as current risks and impacts associated with such historical land acquisition and develop appropriate mitigation measures that are commensurate to such risks and impacts. • In some cases, an addition or a change to a preexisting venture (such as an expansion or a privatization) or a dramatic political change (such as the end of a dictatorial regime) will awaken old grievances (e.g., compensation that was never paid or poor quality resettlement). Where the project is taken over by a private sponsor, it is good policy to identify and proactively manage these grievances up front, as they may otherwise jeopardize all further activities with the aggrieved communities.

(*Table continued on next page*)

Table 8.4. *(Continued)*

STAGE	SPECIFIC ASPECTS
Scope of the audit of past land acquisition and resettlement issues	What was the scope of past land-acquisition, expropriation, and resettlement exercises in terms of footprint, communities, and people affected? The following should be considered when determining the scope. Available information: • When did the past land acquisition and resettlement take place—when did it start and when did it conclude? What were the circumstances? Is land acquisition continuing? On the same or different terms? • Was a planning document prepared? When? By whom? Is it available? Was it disclosed? When? To whom? Was it prepared to PS5 requirements? How close is it to complying with PS5 requirements? Can it be reused, and how significant are the update requirements? • Were monitoring reports prepared? Are they available? Are they adequate? Do they contain information on the whereabouts and circumstances of displaced people? Do they contain information on specific groups (informal users, women, vulnerable people, etc.), including risks to these groups? Was a completion audit prepared, and if so what are its conclusions? Were measures recommended by the completion audit implemented? By whom and when? Were they evaluated? • Can affected persons be contacted? How? Census, cutoff, and surveys: • Are there still people living in or using the area in spite of the past land-acquisition and resettlement exercise? Did they settle after or before the land-acquisition and resettlement exercise? If a cutoff was declared, did these people settle after the cutoff? Are they aware of the cutoff and is the cutoff still relevant or has too much time passed? How does the local administration consider them: Will they have to be compensated; are they illegal but tolerated at this point; or are they squatters to be evicted as soon as possible? How do these people themselves and neighboring communities consider their occupation rights (e.g., do they accept that they have no rights and are prepared to leave, or do they consider themselves rightful occupants)? • Was there a census of affected persons? Are the results still available? Are there files, whether paper or electronic? Who keeps them? Are these files accessible?

(*Table continued on next page*)

Table 8.4. *(Continued)*

STAGE	SPECIFIC ASPECTS
Scope of the audit of past land acquisition and resettlement issues *(continued)*	• If no census was done or its results are not available, is it possible to obtain lists of affected persons from the local authorities or from affected persons? Can most people's whereabouts be traced, or are there significant numbers of people whose whereabouts are unknown? • Has a cutoff been established? Through what legal mechanisms? How was it communicated to affected persons? Is it known by affected persons? • Was a socioeconomic baseline prepared? How adequate is it to properly assess impacts and risks to people and livelihoods? • Was an asset survey carried out? How adequate is it? Did it include input from women in affected communities? What opportunities were affected persons given to review the outcome of this survey and to lodge claims if warranted? Expropriation and forced evictions: • Was expropriation (or similar compulsory acquisition procedures) used to acquire land for the project? Did this generate tension in the communities? Was the process followed legally sound? Has it been challenged in court? Are there ongoing open expropriation cases or other litigation? • Was any forced eviction carried out? How did it happen? Was there use of public force, and if so, was that documented? Were there any incidents of GBV as a result? • Were there protests or other forms of public discontent regarding the land-acquisition process? Valuation and full replacement cost: • How were the valuation of affected assets and calculation of compensation carried out (methodology, benchmarks)? Were fixed cadastral values, market values, or replacement values used? Was the valuation carried out by professional valuers? • How close were the proposed values to full replacement cost? Was the valuation based on centrally set rates that may be outdated or inadequate? Were current market values used in the calculation of full replacement cost or outdated market values? Was depreciation included in the calculation?

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Table 8.4. *(Continued)*

STAGE	SPECIFIC ASPECTS
Scope of the audit of past land acquisition and resettlement issues *(continued)*	Eligibility and entitlements: • Did the entitlement matrix consider all types of impacts? • Was the cutoff principle reflected in eligibility rules? • Were informal users taken into consideration and have they been compensated and/or assisted to restore livelihoods? Are there lists of such beneficiaries? • Were users of community resources considered (women, fisherpeople, users of NTFPs, herders, etc.)? • Were tenants and other occupants holding no ownership rights considered? • Were businesses and their employees considered? • Were gender issues considered in the establishment of the entitlement matrix? • Were unregistered land and structures considered? How? • What are affected persons' views of the adequacy of entitlements and eligibility rules? Stakeholder engagement activities: • Has a plan for SE been devised regarding land-acquisition and resettlement activities? Has it been implemented and monitored? • Are there records of past SE? Were outcomes of engagement considered in devising entitlements? • Was a gender-diverse committee (or several committees) established? Is it still in place? Can members be contacted? • Were specific documents prepared to support SE activities? Are they available? • Were grievances (including allegations of sexual exploitation and abuse) managed? How? Are there statistics available? • Are there outstanding grievances? What are they about? • Is there ongoing litigation? What is it about? Payment of compensation: • Was compensation effected prior to impacts taking place? • Was compensation in cash paid directly to affected persons, or were intermediaries used?

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Table 8.4. *(Continued)*

STAGE	SPECIFIC ASPECTS
Scope of the audit of past land acquisition and resettlement issues *(continued)*	• Where needed, was any training on cash management provided to recipients of cash compensation? • Where compensation was paid in cash, is there any indication of what it was used for? Are there differences with respect to gender in use of compensation? Have people restored their livelihoods? • How do affected persons perceive the adequacy of cash compensation? Delivery of resettlement packages: • Are houses adequate? Do they meet local standards? Are they safe for women and girls? • Are houses large enough to accommodate all types of households in decent conditions? • What are general structural soundness and temperature issues, quality of roofing material, quality of finish, and so forth? • What is the level of satisfaction with house design, size, and construction, taking into account opinions of both men and women? • What is the level of satisfaction with site planning (streets, location of public infrastructure, plantations, etc.), taking into account the opinions of both men and women? • What is the level of satisfaction with community infrastructure (schools, health centers, places of worship, etc.), taking into account the opinions of both men and women? Are they adequately located, designed, and built? Look at use and condition. Gender: • Were specific gender issues and sensitivities considered in the planning and delivery of resettlement packages and compensation? Was local legislation complied with in terms of spousal agreement (if applicable)? If spousal consent is not envisioned by local legislation, is there another way to obtain spousal consent and ensure that interests and wishes of women are safeguarded in the compensation decision process at household level? • Did women have a say at the planning stage? How was their opinion recorded and considered? • Were women represented in committees representing affected persons? Were they able to provide their inputs?

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Table 8.4. *(Continued)*

STAGE	SPECIFIC ASPECTS
Scope of the audit of past land acquisition and resettlement issues *(continued)*	Livelihood restoration: • What livelihood-restoration activities were implemented for men and women? Over what period of time? With what resources? • Has the effectiveness of livelihood restoration been measured? How? What is the outcome? Are there significant gaps in livelihood restoration that would require correction, that is, for certain categories of affected persons such as informal users, fisherpeople, gatherers, and herders that may have been missed, or for vulnerable people or women? • Was the promotion of gender equality actively applied and successful in livelihood-restoration work? Monitoring: • Are any monitoring reports or data available? • What are the outcomes of any available monitoring documentation in terms of gaps, complaints, livelihood restoration, satisfaction with resettlement packages, use of compensation, potential for homelessness, or joblessness?
Scope of the corrective action plan	Where corrective actions are limited in number and scope, the corrective action plan can be integrated into the project environmental and social action plan (ESAP). For situations where corrective actions are many and broader, it may be more convenient to separate the corrective action plan from the ESAP and prepare a stand-alone document. The corrective action plan should be structured similar to an ESAP, as follows: • Background (project description and sponsor, requirements, key results of audit, period of execution, and authors) • Results of any supplementary baseline information recommended by the audit and pertaining to the pre-displacement situation: for example, additional socioeconomic baseline surveys, additional livelihood surveys, and additional asset surveys • Results of any investigations recommended by the audit and pertaining to the postcompensation and resettlement situation, that is, surveys of resettled households in resettlement sites, surveys of compensated people, surveys specific to certain groups that may have been missed in the initial land-acquisition and resettlement exercise, and so forth

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Table 8.4. *(Continued)*

STAGE	SPECIFIC ASPECTS
Scope of the corrective action plan *(continued)*	• Results of any technical investigations recommended by the audit, such as assessment of certain services (e.g., water and power) at a resettlement site, or assessment of the quality of housing or site development • Outcomes of SE carried out for the development of the corrective action plan, including consideration of specific gender issues The action plan may be in tabular form, as follows: • Gap, issue, and audit recommendations • Description of activity meant to bridge the observed gap • Timing of activity • Success indicator and responsibility, timing, and method for measurement of indicator • Responsibility for the activity • Cost and responsibility for funding • Further SE activities, including specific gender issues and consideration of vulnerable people in SE activities • Monitoring, including closure and/or completion requirements

Box 8.2. An Audit of Past Resettlement in a West-African Country

When appraising a large market project in a major West African city, Agence Française de Développement (AFD) realized that prior to contacting AFD for project funding, the local municipality had evicted a significant number of informal traders from the site earmarked for the market development in an exercise locally known as *déguerpissement*. AFD therefore required an audit of past displacement and resettlement and hired independent consultants (one international and one local) to undertake it. The first condition for the success of this audit was to obtain some buy-in from the municipality so that the consultant could interview municipality staff that undertook the *déguerpissement* and obtain access to lists and other information collated by the municipality.

The consultants established a detailed history of the site using a chronological sequence of publicly available satellite images to identify that there had been other evictions and reoccupations in the past, which interviews confirmed. The municipality and local knowledge allowed the consultants to identify a few representatives of affected persons (usually by occupational categories, such as mechanics, welders, scrap-metal collectors, food sellers, etc.). Interviews with these representatives, usually in focus groups to avoid one-on-one interaction, allowed the consultants to establish reasonably accurate lists of affected persons.

The municipality had sought to engage with affected persons, and they had been informed beforehand of the upcoming site clearance. However, the affected persons' input (particularly on resettlement sites) had not been properly considered.

While the municipality had provided resettlement sites to some (but not all) of the categories of affected businesses, these sites were typically inadequate (too distant, too small, difficult to access, poorly developed, with no sanitation or water, etc.) and were not used by affected persons.

No additional compensation was provided, and the affected businesses were not prioritized or otherwise considered in the design of the new market.

On the positive side, no disproportionate force was used. In fact, a police force was present and monitored the operation, which was carried out by municipal personnel, and there was no violence.

A corrective action plan was developed with several key recommendations. The new project would provide for the proper development of resettlement sites (access, sanitation, water) so that they become more attractive to affected businesses. The action plan would consider activities (e.g., mechanics or scrap metal collectors) in the location and design of resettlement sites. Finally, it would ensure that the new market could accommodate some of the affected businesses (such as food or garment traders).

MODULE 9

SECTORAL GUIDANCE

I. Hydropower

Large and medium-size HPPs are usually high-visibility projects that receive considerable scrutiny from international and national NGOs, which may require a specific engagement strategy.

Even if there is a private sponsor, land acquisition in these projects will typically involve the government and often include compulsory acquisition (expropriation) procedures.

Sometimes HPPs adversely have a very large footprint with significant physical and economic displacement, which may adversely affect the economy of an entire region.

The project may have complex hydrological impacts, during both construction and operations, which makes the delineation of affected areas and livelihood impacts difficult. These include, for example, variable water levels (with daily or seasonal fluctuations for facilities with large storage capacity and peaking plants) both in the reservoir and downstream. This may make the determination of the affected footprint or impacts to livelihoods, including agricultural land and grazing systems and fishing, difficult as a result.

Reservoirs typically impact the best and most intensively cultivated land in the bottom of river valleys, making agricultural livelihood restoration extremely challenging in some cases when the most productive land is inundated.

HPPs often take a very long time to develop, and communities may have been told they would be moved decades earlier, thereby finding themselves in limbo of a never-ending pre-displacement situation, with many negative effects.

Lastly, HPPs often entail various associated facilities (diversion of roads and transmission lines, etc.) placed under the responsibility of other agencies upon which the project sponsor will have limited leverage (see table 9.1).

Table 9.1. Key Aspects to Consider in Hydropower Projects

STAGE	SPECIFIC ASPECTS
Scoping	Footprint delineation and optimization: • An iterative optimization of the dam height can help avoid and minimize physical and economic displacement as well as other adverse impacts, such as loss of biodiversity due to inundation. It should always be included in the resettlement-scoping exercise and often requires lengthy interaction with the project sponsor and its engineers. Maximum energy-generating capacity should not be an objective if it is unsustainable from a social perspective. Similarly, alternative sites or routes should be considered for ancillary facilities, such as workers' camps, switchyards, or transmission lines. • Similarly, the operations condition of the reservoir should be assessed as of the scoping stage, as this may entail an additional footprint, particularly for peaking plants. • Exceptional hydrological conditions need to be taken into account when delineating the footprint, particularly downstream. Areas that are not inundated in most hydrological conditions may be suitable for agriculture under certain conditions, but robust emergency procedures must be put in place. • Large reservoirs may cut off villages located above the water line from their agricultural or grazing land located below it, in which case the resettlement of the community may be necessary even though their houses are not affected. • Where graveyards may be affected, legal and sanitary requirements associated with grave relocation are very demanding in some countries and need to be factored into the overall project schedule. In addition, cultural and psychological aspects have to be handled with sensitivity. • Construction-related facilities, such as access roads and quarries, may entail a significant footprint (sometimes more than the reservoir itself for run-of-river projects), and the details on such footprints may be available only late in the resettlement-planning process when the final selection of quarry sites is a responsibility of an engineering, procurement, and construction contractor. • There may be associated facilities with significant land impacts (relocated roads and bridges, switchyards, transmission lines, etc.) that fall under the responsibility of a different project sponsor. • For large dams with long construction periods, undertaking asset surveys and a census of affected persons (and declaring cutoff) over the reservoir area may need to be phased carefully to avoid peoples' lives being on standby for too long before impacts actually take place. • Community impact of potential dam failure should be considered. In some cases, community safety concerns may drive resettlement.

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Table 9.1. *(Continued)*

STAGE	SPECIFIC ASPECTS
Scoping *(continued)*	Scoping of livelihood impacts: • Impacts to fisheries and/or other activities, such as loss of access to timber and NTFPs, medicinal plants, hunting grounds, and sand mining—both upstream and downstream—have to be considered, with specific impacts during construction (changes to hydrology and river levels caused by diversions or temporary obstacles in river). • Activities that are impacted may include, in addition to fisheries, tour operators operating rafting or kayaking tours, picnic sites or restaurants on riverside scenic spots, sand and gravel extraction, and other mineral extraction from alluvial deposits. • Livelihood impacts are sometimes so significant (e.g., where no good replacement agricultural land is available) that the project will eventually appear unfeasible or will need to be substantially amended (e.g., reduction of dam height to minimize impacts). Inputs from resettlement specialists should be systematically sought at the prefeasibility stage in HPPs. • Livelihood impacts may have additional impacts on women and children with respect to their roles and status in the home, especially if there are impacts on livelihoods of men that prevent men from continuing to perform their role as the provider for the family. Legal aspects and government involvement: • HPPs are typically public interest projects, even where a private investor is involved. Land acquisition is often a government responsibility as a result. The legal review to be done at scoping needs to identify any gaps against PS5 in both legislation and usual government practice. Refer to the guidance in Module 8. II. Government-Led Land Acquisition. • Some jurisdictions have stringent land and environmental management regulations applicable to water bodies and/or reservoir protection. These must be factored in the footprint review, as certain agricultural or husbandry activities may not be permissible anymore in the watershed. A typical example is the prohibition of certain agricultural practices in the watershed to prevent erosion and maintain water quality in the reservoir. Such buffers may warrant compensation, depending on the extent of the restrictions and their livelihood impacts. • Impacts to water- or river-associated cultural sites take place in many HPPs. They need to be understood early in the process, as their sensitivity may be significant.

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Table 9.1. *(Continued)*

STAGE	SPECIFIC ASPECTS
Planning	Devising an appropriate compensation package for affected fisherpeople may be difficult and requires sufficient and ongoing consultation, keeping speculative risks in mind. Gathering adequate baseline information on fishing and fishing-related livelihoods is often challenging, and specialists with extensive local knowledge should be engaged. Communities and the fishermen themselves should be engaged in the surveys and share in the responsibility of avoiding opportunistic behaviors that may jeopardize the survey process.
Stakeholder engagement	As numbers of displaced people can be significant, with large resettlement sites as a result, engagement with host communities can have more importance than in other types of projects. Where graveyards are affected, relocating graves and associated engagement, information, and disclosure requires specific types of interaction, which may involve religious authorities. Engage specifically with custodians of potentially affected cultural sites.
Baseline collection	Before the baseline surveys start, the area to survey needs to be reviewed thoroughly, as in many cases impacts will affect land beyond the boundaries of the reservoir, for a number of possible reasons: • Relocated communities may have unaffected agricultural land, which, as a result, may need to be surveyed to provide a full understanding of livelihood impacts. • Communities that are not physically displaced may own affected agricultural land, thereby requiring their relocation. • Communities may become severed from their agricultural land. • Impacts to grazing areas or agricultural systems based on flood recession are often overlooked. Similarly, impacts to wetlands or riparian woodlands may cause impacts to livelihoods: for example, gathering ligneous and nonligneous forest products and medicinal plants. Impacts to other river usage, such as fishing, sand mining, or leisure activities (e.g., rafting, kayaking) will typically need to be assessed in addition to impacts to agriculture: • Identification of affected fisherpeople can be challenging and involve a potential for speculation. A strategy for fishery baseline collection and associated engagement (including setting a proper cutoff) should be devised as of scoping, in coordination with the ESIA. • Because sand or gravel mining may be environmentally harmful and/or illegal, surveys and engagement should focus on potential alternative livelihoods wherever practical.

(*Table continued on next page*)

Table 9.1. *(Continued)*

STAGE	SPECIFIC ASPECTS
Baseline collection *(continued)*	• Operators of affected tourism activities are usually formally established companies. While their identification is generally straightforward, local legislation may be silent on their rights and not require compensation, while impacts to businesses and livelihoods, including those of local employees, are obvious and do warrant some form of compensation per PS5. In some cases, a relocation or LRP can be established in cooperation with those companies to either relocate the business to an unaffected stretch of river or support a change in activity. Where such activities are illegal or informal, tailored and tactful engagement that safeguards confidentiality may be required to contact affected persons and investigate their activities. Where entire villages are affected, and burial grounds are affected as a result, a specific survey of graves may be required to identify next-of-kin, with mandatory periods provided by legislation for notices and agreement. This must be factored in the baseline collection and stakeholder engagement strategy, as well as in the general project development timeline where long notice periods are required by law. Impacts to women and domestic duties, as well as to children, need to be considered in this survey.
Implementation	For the larger dams and reservoirs, construction and infilling may occur in phases over a long period of time (sometimes more than five years). It is therefore important to schedule and implement the moves in successive waves. Some jurisdictions have stringent reservoir clean-up regulations prior to infilling (and associated reservoir acceptance) that may entail specific constraints to the schedule of moves and demolition. Where vegetation needs to be cleared prior to infilling, a strategy for affected communities to benefit from this should be devised.
Livelihood restoration	The positive impacts to fisheries of the reservoir establishment are sometimes overestimated by developers. While there may be potential for fishing in reservoirs, materializing this potential is not always easy for current subsistence fisherpeople, who will not have the training or equipment to change their fishing practice and adapt to the new hydrological conditions in the reservoir.

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Table 9.1. *(Continued)*

STAGE	SPECIFIC ASPECTS
Livelihood restoration *(continued)*	In such cases, the transition of subsistence fisherpeople to the new hydrologic conditions needs to be aggressively supported by specific livelihood-restoration measures and provision of new equipment. For peaking plants, the drawdown in the reservoir raises specific issues with regard to landing sites and the safety of the fishermen. This is also true for tourism development, for which the reservoir may offer new opportunities. However, local people may not embrace such new opportunities and activities readily if they are not provided with extensive support and training. The same applies to agriculture, particularly where a certain type of agricultural system (e.g., flood-recession crops) is not feasible once the dam is built. Even if other agricultural land is available, the transition to a different agricultural system will be difficult and will require time and significant technical support. Where the livelihood-restoration strategy is based on transitioning subsistence farmers to a more intensive, irrigated system, the technical, economic, financial, and social risks of such systems must be carefully evaluated, and the opportunity of such transitions must be thoroughly consulted with affected farmers. Again, training will be essential to support the transition to new, more intensive systems. As suitable crops may change dramatically from those previously grown, this support should address not only production techniques but also storage and marketing.
Monitoring	For large dams, monitoring of livelihoods and completion audits should be planned to occur over a long period of time. Experience shows that the very significant social and economic changes caused by large resettlement can take up to a generation to materialize and stabilize.

II. Renewable Energy

Projects considered "green" sometimes avoid scrutiny for environmental and social impacts, and yet the impacts—such as from land acquisition—can be significant.

In renewable energy projects, significant effort usually is (and should) be dedicated to avoidance of displacement impacts. Private developers could seek to minimize impacts by locating facilities outside of settled or cultivated areas and design the project, through alternative analyses, to be able to purchase land through negotiated transactions, without resorting to expropriation. However, impacts to livelihoods may also be underestimated and proper planning processes may not be followed.

There may be many small, separate elements of the footprint (particularly wind farms). Even if discrete impacts of one facility seem benign, cumulative impacts on livelihoods and natural resources may be significant. Lastly, it is not uncommon to observe that access roads and other ancillary facilities such as substations or transmission lines entail more significant land impacts than the power-producing facilities themselves (see table 9.2).

Table 9.2. Key Aspects to Consider in Renewable Energy Projects

STAGE	SPECIFIC ASPECTS
Scoping	For smaller facilities, particularly for wind farms, impacts can often be minimized through relocation of all or most elements of the facility to land plots of limited value (such as hill tops). Also, a willing buyer–willing seller approach can become feasible where facilities can be relocated if some landowners are unwilling to sell, and the project sponsor can commit to not using compulsory acquisition under any circumstances. The interaction between ESIA, micrositing, and RAP teams is critical in this regard. Inconsistent land transactions could lead to community discontent. It is therefore preferable to adopt a RAP/LRP approach to include SE and negotiations around compensation rates. Benefits at the community level should also be utilized, even when willing buyer–willing seller transactions are sought. Access roads and other ancillary facilities may account for a large part of the overall land impacts and need to be considered in the avoidance and/or minimization approach. PPPs are becoming more frequent in renewable energy projects. Power purchase agreements may allocate the responsibility for land acquisition to the government, with the project sponsor obtaining a long-term lease to the land (often on the order of 20 to 25 years). It is important to note that such durations entail long-term impacts and that the typical RAP/LRP approach warranted for permanent acquisition is also required for such long-term leases.
Planning	Even if willing buyer–willing seller transactions are sought, land rates should be equitable and based on reasonable valuations, and refer to prior community engagement, using the guidance in Module 2. Planning Land Acquisition and Involuntary Resettlement.
Stakeholder engagement	Even if willing buyer–willing seller transactions are sought, there must be community-engagement activities around land acquisition per the guidance in Module 3. Stakeholder Engagement to enhance transparency and avoid jealousy.
Baseline collection	Even if willing buyer–willing seller transactions are sought, baseline socioeconomic and livelihood information should be obtained per the guidance in Module 4. Baseline Data Collection to be able to monitor affected livelihoods.

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Table 9.2. *(Continued)*

STAGE	SPECIFIC ASPECTS
Implementation	Track and document transactions per normal RAP/LRP processes. Avoid haphazard bargaining. Consider providing a reasonable premium to landowners prepared to sell their land within a set time period, as long as the process related to this premium is transparent.
Livelihood restoration	Land impacts may be generally limited, but some landowners or land users could be significantly affected, particularly by photovoltaic plants. In such cases of economic displacement, these landowners or land users will be considered as economically displaced and should benefit from livelihood-restoration activities per a normal RAP/LRP process.
Monitoring	Monitor per normal RAP and LRP processes.

III. Mining

Mining usually entails a large footprint with significant physical and economic displacement, which may affect the economy of an entire region or country. Significant non-displacement-related social impacts may affect the process of resettlement and require the integration of the resettlement assessment into a broader social impact assessment:

- With in-migration of workers and job seekers and potential for conflict between locals and nonlocals, the resettlement and compensation process may make acute conflict more likely.
- The presence of haves (the workers) and have-nots (the job seekers and those displaced by the mine) may affect community engagement on resettlement issues.
- There is potential for external interference and speculation.
- There is significant risk of increased GBV in communities, especially due to the influx of large numbers of male workers.
- It is not unusual for the planned footprint of the mine to significantly increase as new reserves are found.

See table 9.3 for additional aspects to consider.

Table 9.3. Key Aspects to Consider in Mining Projects

STAGE	SPECIFIC ASPECTS
Scoping	Footprint delineation and optimization: • The entire footprint is rarely defined at the time of scoping impacts, and sometimes this definition occurs much later, with exploration for subsequent project phases carried out while the first phases of the project are already in operation. This can make it difficult or even impossible to have a proper image of long-term land, influx, and livelihood impacts, with negative implications for the process of identifying resettlement sites, for example. • Not only is the full footprint not always known at project inception, but the timing of development of the different phases of the project (and associated land acquisition) is not always known. It may also vary after the project has started: if there is a significant change in a commodity price, for example. • Protection or buffer zones called for by regulations or required for technical, environmental, or safety reasons often entail a large footprint in addition to the pits and facilities. Sometimes the provision of temporary access to local residents for agricultural uses is still possible in these protection zones. These uses must be considered in the overall footprint assessment. • Where noise, dust, and flying rock are issues, berms can help reduce the size of protection zones and protect nearby communities from environmental impacts. • For open-pit mining, opportunities for minimizing or optimizing the footprint may be limited: the pits have to be where the ore body is located, and a change to an underground mining method is generally not realistic. However, there is often more flexibility for facilities such as processing plants, tailings storage facilities, water dams, pipe and transmission lines, or access roads. Also, for some minerals often found in relatively shallow ore bodies (bauxite), ongoing reinstatement of closed pits may offer opportunities for land hand-back and related footprint minimization. Workshops between resettlement, environment, and mine planning or ore body specialists are required at the time of scoping impacts. • For underground mining, risks of subsidence have to be assessed before the final footprint is assessed. • The size of the mine or the tailings storage facilities can cut off access in ways that are hard to predict. Communities (or social services) that were next door can become separated by a five-kilometer walk around the mine infrastructure.

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Table 9.3. *(Continued)*

STAGE	SPECIFIC ASPECTS
Scoping	Engagement: • As when scoping, the right balance between meaningful information disclosure and engagement, on the one hand, and managing speculation risks, on the other, must be sought. • Adequate information management security provisions must be put in place within the mining company to avoid having sensitive footprint information leaked to potential speculators and land grabbers. • At the same time, communities must be informed in a timely fashion in advance of the potential displacement. • Early identification of the potential for GBV (from workers, influx of job seekers, and risks associated with illicit activities) and engagement with the communities can help protect women and children from abuse. Legal aspects and government involvement: • In most jurisdictions, land acquisition for mining projects involves the government, to varying degrees. The legal review to be done at scoping needs to identify what the role of the government is going to be and any gaps between it and PS5 in both legislation and usual government practice. • The interaction between the licensing-permitting and the land-acquisition processes may be complex from both a scheduling and timing perspective. • A joint review of mining legislation, environmental legislation, and land legislation is usually required to understand interactions between various legal aspects and to devise an integrated permitting-licensing, ESIA, and land-acquisition process that works. • It is important to ensure that "sterilization" and/or "condemnation" drilling is carried out before any resettlement sites are selected and developed to check that resettlement sites are not located on valuable ore bodies. This is to avoid repeated displacement of the same communities if an ore body is found where a community has been resettled.

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Table 9.3. *(Continued)*

STAGE	SPECIFIC ASPECTS
Scoping	• It is good practice to involve resettlement or social experts in the exploration phases of the project. There may be negative legacies of early project phases, which may have been carried out by a different company and sometimes long before the mine development. It is important to understand whether such legacies may affect the resettlement process and to include corrective activities in the resettlement plan if warranted. • Where the mine will be developed in several phases, a resettlement framework approach can be useful, whereby a framework is developed to encompass all phases and include all principles that will apply throughout the successive phases, while each phase is covered by a discrete RAP covering that phase only (with its specific cutoff).
Planning	See the normal planning process in Module 2. Planning Land Acquisition and Involuntary Resettlement.
Stakeholder engagement	Balancing the needs of preventing speculation and meaningful and timely engagement is critical. Please see section above on scoping. Actively engaging indirectly affected communities around the mine footprint is critical, as these communities often perceive that the project benefits all go to directly affected communities, to the detriment of the indirectly affected communities. This perceived unequal treatment is frequently the source of opposition to the project and conflict. Apart from the affected parties, a broad range of interested parties should be involved in land-acquisition and resettlement planning, including government at various levels and in various agencies, and CSOs. Refer to IFC's *A Strategic Approach to Early Stakeholder Engagement: A Good Practice Handbook for Junior Companies in the Extractive Industries*.[a]

[a] IFC. 2014. *A Strategic Approach to Early Stakeholder Engagement: A Good Practice Handbook for Junior Companies in the Extractive Industries*. Washington, DC: IFC. https://commdev.org/publications/a-strategic-approach-to-early-stakeholder-engagement/.

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Table 9.3. *(Continued)*

STAGE	SPECIFIC ASPECTS
Baseline collection	Coordination between the ESIA baseline collection and that required for RAP development is particularly critical in mining projects. Areas of investigation may be different, with misunderstandings quite common—people surveyed for ESIA purposes may start to think they will be displaced even when this is not the case—and the risks of community survey fatigue are high. Seek proper coordination between both exercises to avoid duplication of effort and survey fatigue. Livelihood baseline information is particularly critical because impacts to livelihoods may be significant. The baseline must include a comprehensive assessment of the economic and cultural dependency on land that will be affected (in most cases permanently), including uses such as farming, grazing, and gathering. Where blasting or traffic will be significant, or if there are risks of subsidence or other similar disturbances, it may be useful to take a preproject building baseline (including documentation of preexisting damage to buildings) to be able to manage potential damage claims should they arise later. Scheduling baseline collection: • Carefully coordinate the schedule of the successive phases of baseline collection, with cutoff dates that are not too long before the actual relocation of affected persons. • Do not start baseline collection if the footprint of a first phase of mining and related facilities is not defined with a sufficient level of accuracy. Surveying areas that will eventually not be displaced is never a good thing. • Where land take will not occur for several years, do not undertake baseline collection. Adapt successive cutoff dates (and related baseline surveys) to a realistic schedule of mine development.
Livelihood restoration	The development of mining projects causes rapid economic growth, which makes planning of livelihood restoration and community development particularly challenging. Early construction brings an employment influx and economic development, but the end of construction can bring a sharp economic decline (boom-bust cycle). This can have significant impacts on the temporary economic empowerment of women and risks of GBV due to changes in gender roles.

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Table 9.3. *(Continued)*

STAGE	SPECIFIC ASPECTS
Livelihood restoration	The cycles of commodity prices also bring about phases of rapid project expansion and economic growth followed by lower commodity prices and resulting retrenchment. Neighboring communities tend to lose their appetite for traditional activities like agriculture or animal husbandry, because the mining project brings an expectation of salaried employment and a more comfortable life. The interest in agriculture-based livelihood restoration may be limited as a result. Livelihood-restoration activities for affected persons must be planned mindful of broader community development and training initiatives, whether the latter originate in the mining company, the government, or other parties such as NGOs. Projects need to develop mechanisms that invest in long-term livelihood-restoration solutions and community development and ensure that funds are available to sustain these activities during low commodity prices and at project closure. These should target men, women, adolescent boys, and adolescent girls. There are examples of successful community foundations that develop investment funds for long-term community development and can consolidate or broaden livelihood-restoration activities.
Implementation	See a normal planning process in Module 6. Implementation of the Resettlement Program.
Monitoring	Because livelihood impacts will usually be significant, ensure that the completion audit takes place only once sufficient time has elapsed after the displacement (typically at least three years and sometimes significantly more). For mining projects involving several successive phases of development, make sure that lessons learned from earlier phases are applied to the resettlement planning in later phases.

IV. Oil and Gas (Onshore)

Note: Starting 2019, the World Bank Group no longer finances upstream oil and gas projects. More information on this commitment can be found in the WBG Climate Change Action Plan 2021–2025. The sectoral information in this section is provided as good practice guidance for stakeholders working in this sector (see table 9.4).

Table 9.4. Key Aspects to Consider in Onshore Oil and Gas Projects

STAGE	SPECIFIC ASPECTS
Background	Onshore oil and gas fields are typically complex projects with multiple components and associated facilities. They can use significant pieces of land for the following: • Wells, but it is usually possible to reclaim part of the well pad once drilling and completion works are finished • Flow lines and pipelines, usually underground, with agriculture possible on associated corridors, although with restrictions (depth of roots, weight of machinery, etc.) • Power transmission lines, which can be overhead or underground • Access roads and associated infrastructure and upgrade works • Exploration investigations (seismic lines and other geophysical methods) • Exploration, construction, and operations camps • Processing facilities • Ancillary facilities associated with loading and export There are numerous opportunities for footprint minimization and optimization: • Directional drilling enabling the grouping of several wellheads on one well pad, thereby significantly reducing the footprint and giving flexibility to the location of well pads: for example, away from settlements or valuable agricultural areas • Routing of linear infrastructure: for example, flow- and pipelines, transmission lines, and roads • Location of processing plants and camps Oil and gas projects typically evolve, as actual operations of multiple wells allow reservoir modelling to be refined. More wells may result from this refinement, or wells in different locations that were not initially anticipated, with resulting impacts to the footprint of the well pads themselves and ancillary facilities.

(*Table continued on next page*)

Table 9.4. *(Continued)*

STAGE	SPECIFIC ASPECTS
Background	Oil and gas development entails long periods of exploration that precede actual project development, with the succession of several phases of intense activity and presence in the field and sometimes long periods when nothing or very little happens in the field, which is a significant challenge when engaging communities and maintaining a long-term social license to operate. Transactions between operators may take place during the different phases of a project, with different teams coming onboard, sometimes with different policies and approaches to community engagement, resettlement, and compensation. There are different legal and institutional approaches to government involvement in oil and gas projects, depending on the applicable legislation. In some cases, land acquisition will be done by the government itself (see Module 8. Specific Circumstances), in others it may be done by the company under a cost-recovery agreement, whereby all land-acquisition and resettlement costs will ultimately be reimbursed by the state. This is an important aspect that is key to understand as of scoping.
Scoping	Review the footprint closely and jointly with project planners and environmental specialists, looking into opportunities for minimization and optimization. Liaise with project and reservoir planners to consider different probable footprint evolution scenarios and to establish potential long-term views of the project footprint and resulting land availability in the area. Take this into consideration when devising livelihood-restoration options and resettlement areas. In cooperation with project engineers and planners, seek to understand as thoroughly as possible the nature of restrictions that will apply in buffer zones around facilities (will agriculture and grazing be possible?, etc.). Categorize land needs and land impacts accordingly: temporary versus permanent, temporary with reinstatement to previous condition or not, restricted and nature of restrictions, and so forth. Consider specific restrictions associated with explosion risks, emergency situations, and temporary operations, such as flaring. Based on these considerations, devise the approach to resettlement planning and phasing, including related documentation and engagement planning (framework approach and/or successive RAPs), keeping in mind long-term impacts on land availability and use in the area.

(*Table continued on next page*)

Table 9.4. *(Continued)*

STAGE	SPECIFIC ASPECTS
Scoping	Consider any potential legacies associated with previous project phases, including those that may have taken place long ago under the responsibility of different sponsors. Consider the additional pressure put on land and natural resources by migrants, whether by project employees and their families or job seekers. For projects that include a marine export terminal, see the offshore oil and gas guidance in table 9.5. Understand institutional arrangements deriving from applicable legislation and/or from host government agreements between the license holder or operator and the state, and their implications for funding, fund channeling, and implementation arrangements.
Planning	See normal planning process in Module 2. Planning Land Acquisition and Involuntary Resettlement.
Stakeholder engagement	See mining guidance in table 9.3 on balancing the needs of preventing speculation and meaningful and timely engagement. Apart from the affected parties, a broad range of interested parties will usually have to be involved in land-acquisition and resettlement planning, including government at various levels and in various agencies, CSOs, women's organizations, and international NGOs. Refer to IFC's *A Strategic Approach to Early Stakeholder Engagement*.[a]
Baseline collection	Similar to the case for mining (refer to table 9.3), coordination between ESIA baseline collection and that required for RAP development is critical. Seek proper coordination between these exercises to avoid duplication of effort and survey fatigue. Livelihood baseline information is critical because impacts to livelihoods may be significant. See mining guidance in table 9.3. Similar to the case in mining, the phased development of oil fields may pose specific cutoff and census or baseline scheduling challenges. Think this through carefully and adapt cutoff dates (and related baseline surveys) to a realistic schedule of field development.

[a] IFC. 2014. *A Strategic Approach to Early Stakeholder Engagement: A Good Practice Handbook for Junior Companies in the Extractive Industries*. Washington, DC: IFC. https://commdev.org/publications/a-strategic-approach-to-early-stakeholder-engagement/.

(*Table continued on next page*)

Table 9.4. *(Continued)*

STAGE	SPECIFIC ASPECTS
Livelihood restoration	See mining guidance in table 9.3 and Module 5. Livelihood Restoration and Improvement.
Implementation	See the normal implementation process in Module 6. Implementation of the Resettlement Program.
Monitoring	Because livelihood impacts will usually be significant, ensure that the completion audit takes place only once sufficient time has elapsed after the displacement (typically at least three years and sometimes significantly more). • For projects involving several successive phases of development, make sure that lessons learned from earlier phases are applied to the resettlement planning in later phases.

V. Oil and Gas (Offshore), Including Liquefied Natural Gas Terminals and Other Marine Operations

Note: Starting 2019, the World Bank Group no longer finances upstream oil and gas projects. More information on this commitment can be found in the WBG Climate Change Action Plan 2021–2025. The sectoral information in this section is provided as good practice guidance for stakeholders working in this sector (see table 9.5).

Table 9.5. Key Aspects to Consider in Offshore Oil and Gas Projects

STAGE	SPECIFIC ASPECTS
Background	While little or no land usually will be required, impacts to livelihoods may still be significant in terms of prohibition or restrictions to fishing and/or vessel movements around facilities. Impacts will typically be experienced in both construction and operations: • Dredging and other construction-related operations may generate turbidity with impacts on spawning grounds or fish movements. • Safety zones around maneuvering vessels may be required by local and maritime regulations, thereby impeding or restricting fishing-boat movements. • Buoys and other superstructures or sea bottom structures, including pipelines, may create obstacles to both fishing boats and nets or lines.
Scoping	In most jurisdictions, the legal framework around impacts to fishing and related compensation or livelihood restoration is weak or nonexistent. As a result, there are usually no accepted methodologies to define areas of influence or baseline catches. The scoping stage must thoroughly define who will be doing what in terms of impact assessment, consultation, and planning mitigations and compensation. Refer to Module 1. Scoping of Land-Acquisition Impacts. For impacts to fishing, the link between the ESIA and livelihood impact assessment is critical. There is a risk of livelihood impacts not being properly assessed as ESIA fishery specialists (usually biologists) may consider this beyond their scope and abilities, while no provisions are being made to establish a link with another team, such as a RAP/LRP team. It may be best to seek full integration of the livelihood impact assessment into the ESIA to ensure this link is not diluted among several different teams hired under different contracts.
Planning	Refer to IFC's *Addressing Project Impacts on Fishing-Based Livelihoods—A Good Practice Handbook: Baseline Assessment and Development of a Fisheries Livelihoods Restoration Plan.*[a] Refer to Module 2. Planning Land Acquisition and Involuntary Resettlement.
Stakeholder engagement	Refer to IFC's *Addressing Project Impacts on Fishing-Based Livelihoods.*[a] Refer to IFC's *A Strategic Approach to Early Stakeholder Engagement.*[b] Refer to Module 3. Stakeholder Engagement.

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Table 9.5. *(Continued)*

STAGE	SPECIFIC ASPECTS
Baseline collection	Refer to Module 4. VII.C. Fishing and Gleaning and to IFC's *Addressing Project Impacts on Fishing-Based Livelihoods*.[a] Refer to Module 4. Baseline Data Collection.
Livelihood restoration	Refer to IFC's *Addressing Project Impacts on Fishing-Based Livelih*oods.[a] Refer to Module 5. Livelihood Restoration and Improvement.
Implementation	Refer to IFC's *Addressing Project Impacts on Fishing-Based Livelihoods*.[a] Refer to Module 6. Implementation of the Resettlement Program.
Monitoring	Refer to IFC's *Addressing Project Impacts on Fishing-Based Livelihoods*.[a] Refer to Module 7. Monitoring.

[a] IFC. 2014. *Addressing Project Impacts on Fishing-Based Livelihoods—A Good Practice Handbook: Baseline Assessment and Development of a Fisheries Livelihoods Restoration Plan*. Washington, DC: IFC. https://commdev.org/publications/addressing-project-impacts-on-fishing-based-livelihoods-a-good-practice-handbook-baseline-assessment-and-development-of-a-fisheries-livelihood-restoration-plan/.

[b] IFC. 2014. *A Strategic Approach to Early Stakeholder Engagement: A Good Practice Handbook for Junior Companies in the Extractive Industries*. Washington, DC: IFC. https://commdev.org/wp-content/uploads/2015/06/A-Strategic-Approach-to-Early-Stakeholder-Engagement.pdf.

VI. Linear Public Infrastructure

Linear projects include roads, railroads, power transmission lines, pipelines (usually water, oil, or gas), and fiber optic and other cables. Key specificities of linear projects from a land-acquisition and resettlement perspective are the following:

- Linear public infrastructure projects, such as roads and railways, are usually public interest projects with government involvement: see guidance on PPP projects (table 8.3) and Module 8. II. Government-Led Land Acquisition.
- They can involve a large number of transactions, sometimes in the thousands or tens of thousands for the longest projects, which can raise capacity issues, particularly where government agencies have to be involved in the land-acquisition process and if project schedules are tight.
- Economic displacement impacts may be significant, but because these projects often entail no or limited physical displacement, particularly for infrastructure that can be rerouted to avoid settlements and houses, they are often perceived as benign projects, and livelihood issues are not given sufficient attention as a result.

- Construction impacts are often significant (dust, noise, traffic, safety, and worker influx), which tend to complicate engagement pertaining to land acquisition and resettlement.
- Where existing roads are widened, the fate of existing roadside businesses (filling stations, bars and restaurants, temporary food traders, etc.) will often constitute one of the most sensitive displacement and livelihood issues, particularly where such businesses are informally occupying the roadside. As with all impacts, these need to be adequately assessed and mitigated.
- Severance and orphan land (see Glossary) can be significant issues.
- For projects that entail temporary occupation or restrictions to access to land and resources for construction and permanent rights-of-way, easement, or servitude rights, such as for transmission lines and pipelines, the calculation of compensation can be complex.

Projects will typically involve a very large number of communities over a long distance (sometimes several hundred kilometers). These communities may belong to different countries and administrative units and have linguistic, cultural, and sociopolitical differences, which will need to be considered when devising engagement and associated resources (see table 9.6).

Table 9.6. Key Aspects to Consider in Linear Public Infrastructure Projects

STAGE	SPECIFIC ASPECTS
Scoping	Footprint minimization and optimization: • Review opportunities for rerouting in cooperation with project engineers and planners early in the process of project development. • Consider ancillary facilities in the footprint minimization and optimization exercise. Some of these may be permanent—pumping stations, maintenance areas, and so forth—and others will be construction related: borrow pits and quarries, construction camps, and the like. • Consider mandatory operational buffers and rights-of-way or areas that will be restricted for public safety reasons in the footprint minimization and optimization exercise. In cooperation with project engineers and planners, seek to understand as thoroughly as possible the nature of restrictions that will apply in these buffers. Will residency and construction of residential houses and other buildings be possible? Will crop cultivation be possible? Will grazing be possible? Will informal trade be possible? Other questions also apply.

(*Table continued on next page*)

Table 9.6. *(Continued)*

STAGE	SPECIFIC ASPECTS
Scoping *(continued)*	• Categorize land needs and land impacts accordingly: temporary versus permanent, temporary with reinstatement to previous condition or not, exact nature of restrictions and implications to usability of land, and so forth. Consider specific restrictions associated with electromagnetic fields (transmission lines), explosion risks (oil and gas pipelines), and emergency situations. Capacity and resources: • Where government agencies are involved in identification, valuation, or compensation and payment processing, assess the capability of these agencies to carry out the tasks within the time frame requirement of the project. If capacity gaps are observed, consider support and confirm the agencies' acceptance of this support. • Consider cultural and sociopolitical differences when planning engagement and associated resources. • Assess the accuracy and currency of cadastral information so that resources that may be necessary to update such information are identified up front. It may be necessary to resurvey the area, and the process to effect changes to cadastral information may be difficult to manage and cause significant delays. Consider issues such as co-ownership, absent landowners, deceased owners, and so forth when devising the process and resources for land acquisition. The 10 percent of land transactions with such complex situations may require 90 percent of resources and time. Secure legal support from land-acquisition and expropriation lawyers to deal with such situations, but make sure that legal constraints do not lead to the neglect of livelihood aspects and compliance with international standards.
Planning	If only a few households are physically displaced over a large territory (as would be typical for a linear project), give consideration to the benefits of in-fill resettlement (see Module 2. VIII.C.ii. Resettlement without a resettlement site) within existing communities. Assess thoroughly the nature and width of the different corridors of impact, using applicable legislation and standards or the ESIA in close cooperation with design and environmental assessment teams and the construction contractor: • A temporary construction corridor may be wider than the final footprint, as there may be a need for a construction track along the linear infrastructure or staging areas.

(*Table continued on next page*)

Table 9.6. *(Continued)*

STAGE	SPECIFIC ASPECTS
Planning (continued)	• There may be a need for a permanent operation corridor and footprint: this would include the final footprint of the road or rail track, including ancillary infrastructure, such as drainage and storage ponds, the potential for a permanent maintenance track along the pipeline or overhead line, the footprint of towers or block valves, and any other permanent facilities. • Permanent restrictions may be needed along the linear infrastructure, such as restrictions to building and residency related to explosion risks or electromagnetic field impacts. Consider the width of restricted corridors and the exact nature of restrictions. • Restrictions and disturbances may result from environmental impacts such as noise or vibrations. • Properly categorize the different land requirements of the project (length of occupation, type of impact) so that compensation reflects the duration and nature of impacts. Make sure any restriction is compensated. Not all jurisdictions mandate compensation (e.g., for transmission line corridors), whereas landowners' and land users' experience long-term inconvenience and/or losses in land value and should receive reasonable compensation accordingly. Use mandated compensation calculation methods for the different types of restrictions if such exist in the jurisdiction. If no such methods exist, devise a consistent calculation methodology based on the nature of restrictions: for example, seek to calculate the diminished value of land resulting from a restriction on building if the land is suitable for construction. Give consideration to payment modalities for restriction compensation, either as a one-off or as yearly payments. Devise a methodology to address orphan land and severance, either on a claim basis or proactively. Prepare objective criteria to review orphan land claims and make sure these are disseminated to potentially affected landowners and land users. Where crossing the corridor will be a problem—for example, in a fenced toll road—plan for overpasses or underpasses to ensure residents have access to the other side of the road. Where some of the land is going to be handed back to landowners or land users after the construction period (pipeline construction corridors, construction camps, etc.), make sure the legal and practical processes for this hand-back are addressed in the planning documentation. Refer to Module 2. Planning Land Acquisition and Involuntary Resettlement.

(*Table continued on next page*)

Table 9.6. *(Continued)*

STAGE	SPECIFIC ASPECTS
Stakeholder engagement	In planning SE, give due consideration to the specificities of dealing with multiple communities over a long distance with administrative, cultural, and sociopolitical differences. Adapt approaches and resources accordingly. Refer to Module 3. Stakeholder Engagement.
Baseline collection	Collecting asset and livelihood data from large numbers of landowners and land users over a long distance may represent a considerable task and require considerable resources. Do not overlook the collection of information on livelihoods, even if economic displacement impacts may initially appear benign. Refer to Module 4. Baseline Data Collection.
Livelihood restoration	Refer to Module 5. Livelihood Restoration and Improvement.
Implementation	Consider the potential for large numbers of grievances from multiple communities over a large territory and dedicate resources to grievance processing accordingly. Establishment of grievance committees along the right-of-way can be an option, as can staffing multiple offices for receipt of grievances. Ensure that contractor land needs arising at the time of construction are addressed consistently with other project land needs. These impacts need to be addressed by the project owner rather than by the contractor. Refer to Module 6. Implementation of the Resettlement Program.
Monitoring	Refer to Module 7. Monitoring.

VII. Marine Ports

Usually only limited land onshore will be required, but impacts to livelihoods may still be significant because of (i) prohibition of or restrictions to fishing and small boat presence related to vessel movement around facilities, (ii) impacts to activities on nearby beaches, such as recreational activities or sand extraction, and (iii) increased truck traffic in and out of the port area. Impacts will typically be experienced in both construction and operations:

- Dredging and other construction-related operations may generate turbidity with impacts on spawning grounds or fish movement and will also cause restriction to vessel movement.
- Construction and operations may impede access to beach areas critical for recreational activities and/or coastal gathering.
- Safety zones around maneuvering vessels may be required by local and maritime regulations, impeding or restricting fishing boat movements.
- Buoys and other superstructures may create obstacles to both fishing boats and nets or lines.

See table 9.7 for other impacts and aspects to consider in marine ports.

Table 9.7. Key Aspects to Consider in Marine Port Projects

STAGE	SPECIFIC ASPECTS
Scoping	In most jurisdictions, the legal framework around impacts to fishing and related compensations or livelihood restoration is weak or nonexistent. As a result, there are usually no accepted methodologies to define areas of influence or baseline catches. The scoping stage must thoroughly define who will be doing what in terms of impact assessment, consultation, and planning for mitigations and compensation: • For impacts to fishing, the link between the ESIA and the livelihood impact assessment is critical. There is a risk of livelihood impacts not being properly assessed, as ESIA fishery specialists (usually biologists) may consider this beyond their scope and abilities, while no provisions are being made to establish a link with another team, such as a RAP/LRP team. • It may be best to seek full integration of the livelihood impact assessment into the ESIA to ensure this link is not diluted among several different teams hired under different contracts.
Planning	Refer to IFC, *Addressing Project Impacts on Fishing-Based Livelihoods*.[a] Refer to Module 2. Planning Land Acquisition and Involuntary Resettlement.
Stakeholder engagement	Refer to IFC, *Addressing Project Impacts on Fishing-Based Livelihoods*.[a] Refer to Module 3. Stakeholder Engagement.
Baseline collection	Refer to Module 4. VII.C. Fishing and Gleaning and to IFC, *Addressing Project Impacts on Fishing-Based Livelihoods*.[a] Refer to Module 4. Baseline Data Collection.
Livelihood restoration	Refer to IFC, *Addressing Project Impacts on Fishing-Based Livelihoods*.[a] Refer to Module 5. Livelihood Restoration and Improvement.
Implementation	Refer to IFC, *Addressing Project Impacts on Fishing-Based Livelihoods*.[a] Refer to Module 6. Implementation of the Resettlement Program.
Monitoring	Refer to IFC, *Addressing Project Impacts on Fishing-Based Livelihoods*.[a] Refer to Module 7. Monitoring.

[a] IFC. 2014. *Addressing Project Impacts on Fishing-Based Livelihoods—A Good Practice Handbook: Baseline Assessment and Development of a Fisheries Livelihoods Restoration Plan*. Washington, DC: IFC. https://commdev.org/publications/addressing-project-impacts-on-fishing-based-livelihoods-a-good-practice-handbook-baseline-assessment-and-development-of-a-fisheries-livelihood-restoration-plan/.

Glossary

TERM	MEANING AND COMMENTS
adequate housing	Defined by the following criteria: security of tenure; availability of services, materials, and infrastructure; affordability; accessibility; habitability; location; and cultural adequacy.
affected person	Person experiencing either physical or economic displacement. See also *displaced person* and *project-affected person*.
area of influence	The area likely to be affected by the project activities and facilities.
compensation	Payment in cash or in-kind for loss of an immoveable asset or loss of access to resources and livelihoods that is acquired or affected by the project.
customary right holder	Refers to those who do not have formal legal rights to land or assets but have customary or traditional rights recognized or recognizable under the laws of the host country.
differential global positioning system	A differential GPS uses one or more ground-based reference stations to provide improved location accuracy for data received from satellites.
disaggregated	Disaggregated data are data that have been broken down by subcategories, such as sex, gender, age, or level of education.
displaced person	Same as *affected person*.
displacement (economic)	Loss of assets (including land) or access to assets that leads to loss of income sources or means of livelihood as a result of project-related land acquisition or restriction of access to land and natural resources.
displacement (physical)	Loss of dwelling or shelter as a result of project-related land access, which requires the affected person(s) to move to another location.
footprint	Land that is directly affected by the project component.
forager	Gatherer of NTFPs, such as berries, mushrooms, wild fruit, herbs, and medicinal plants.

TERM	MEANING AND COMMENTS
gender-based violence	Any form of violence, including physical and verbal abuse, related to social and cultural expectations of gender roles and relationships, often for the purpose of sustaining power.
household	One person or a group of persons who share a dwelling unit, and for a group, share at least one meal a day.
in-fill resettlement	Involves relocating displaced persons into existing neighborhoods rather than development of resettlement sites.
informal settlers	Person or group of persons with no recognizable legal right to the land they use or occupy; commonly referred to as *squatters*.
involuntary resettlement	Physical and/or economic displacement whereby affected persons or communities do not have the right to refuse land acquisition or restrictions on land use resulting in their relocation.
land acquisition	Land acquisition is the outright purchase of property and acquisition of access rights, including easements or rights of way.
livelihood	Livelihood is the full range of means that individuals, families, and communities utilize to make a living, such as wage-based income, agriculture, fishing, foraging, other natural resource-based livelihoods, petty trade, and bartering.
livelihood restoration	The process of restoring (or improving) affected persons' livelihoods to preproject levels (or better).
livelihood restoration plan	A planning document that outlines the necessary activities and measures to be implemented to restore livelihoods.
opportunistic settlers	People who encroach in the area after the establishment of the cutoff and are therefore not eligible for compensation.
orphan land	Land that is not directly located within the project's direct footprint but becomes uneconomic as a result of land acquisition. Also referred to as *severed land*.
project-affected person	Same as *affected person*.
replacement cost	The replacement cost is the market value of the asset (with no depreciation) plus transaction costs.

TERM	MEANING AND COMMENTS
resettlement action plan	A planning document that outlines the process, activities, and measures to be implemented for resettlement-affected persons.
resettlement or livelihood restoration framework	A resettlement or livelihood restoration framework is a document that outlines the general principles for managing resettlement and livelihood restoration when the exact nature or magnitude of the land acquisition or restrictions on land use are unknown due to the stage of project development.
security of tenure	A right of resettled individuals or communities that are resettled to a site that they can legally occupy and where they are protected from the risk of eviction.
transaction costs	All costs that may be incurred because of the transaction or transfer of assets, e.g., taxes, stamp duties, legal and notarization fees, registration fees, travel costs, etc.
transition period	Period between the occurrence of the displacement and the time when affected livelihoods are restored.
vulnerable groups	People who may experience vulnerable or at-risk status stemming from their race, color, sex, language, religion, political or other opinion, national or social origin, property, or birth.

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APPENDIXES

Appendix A. Scoping-Stage Checklist

ASPECTS FOR CONSIDERATION	SCOPING QUESTIONS: PRELIMINARY ASSESSMENT OF LAND-ACQUISITION IMPACTS AND RISKS
Project footprint	
Total area required Siting of project structures and facilities Temporary and/or permanent structures and land use Project phases and stages Early works Linear structures (access roads, railways, power lines, pipelines, canals) Buffer zones Planning alternatives	What is the total area (physical footprint) required for project development, structures, and facilities, including all ancillary facilities such as access roads, airfields, workers' accommodations, or borrow pits; land subject to severance or restrictions to access because of project activities; and buffer zones (e.g., environmental, noise, safety)? What proposed project structures and facilities are fixed: for example, mine pits, dam walls and resultant impoundments, quarries, and so forth? What project designs, structures, and facilities could be modified, changed, or re-sited to avoid or minimize land-acquisition impacts? Consider the following: • Location of facilities (including associated facilities) such as project structures, housing, tailings dams • Routing of linear structures (roads, railways, pipelines, canals, powerlines, etc.) • Reduction of the extent of, or optimization of, land use in buffer zones, or continuing allowance of partial use by affected communities: for example, farming but no settlements Are there technical alternatives that could reduce the project footprint: for example, reducing the height of a dam, changing the extent and site of a work camp, reducing the width of an access road or modifying its route, or using offset directional drilling in oil and gas projects? What project structures and land use will be permanent and what will be temporary: for example, temporary construction camps, construction servitudes, road access, lay-down areas, and exploration drilling wells? What is the project timeline and phasing for construction and operation that might influence the schedule of land acquisition and resettlement?

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ASPECTS FOR CONSIDERATION	SCOPING QUESTIONS: PRELIMINARY ASSESSMENT OF LAND-ACQUISITION IMPACTS AND RISKS
	Are there project aspects that might impact communities and potentially cause resettlement outside of the project footprint, such as excessive noise, light, or vibration? Is there a broader area of influence or social footprint of project impacts that goes beyond the actual physical project footprint: for example, the use of resources or facilities affected by the project by communities or individuals living outside the project footprint, such as herders or fisherpeople? Has the project constructed any early works without an environmental and social impact assessment or resettlement action plan, including, for example, exploration activities? If so, how will this be addressed in project impacts, risk assessment, and land-acquisition planning?
Early review of legal requirements for land acquisition and compensation	
Policies Legal and regulatory frameworks Legal and administrative processes Negotiated agreements Expropriation procedures National standards for compensation (land, housing, crops) Dispute resolution and grievance mechanisms	What national policies, laws, and regulations address land tenure and various types of land-use rights, such as ownership; customary and communal resource use rights; rights to water, fishing, timber, grazing, and medicinal plants (including seasonal use); rights-of-way (including easements); and access to sacred sites, graves, and other cultural heritage? How do those policies, laws, and regulations address land acquisition, expropriation, asset valuation, compensation, and resettlement? Do these policies, laws, and regulations address land acquisition and compensation in a way that promotes gender equality? What national policies, laws, and regulations address the land-use rights of informal settlers and squatters, internally displaced persons (IDPs), refugees, and other marginalized groups? If applicable, are there national legal requirements to provide compensation for displacement and loss of assets for these groups? Will this meet the requirements of Performance Standard (PS) 5? If not, what measures could be taken to ensure compliance, such as discussing and obtaining agreement with government authorities to apply appropriate compensation and provide funding for supplementary compensation? What are the legal procedures and methods for valuing land and assets and defining compensation entitlements? What are the national standards for compensation of land and other assets, including replacement housing and community infrastructure: for example, health facilities, schools, and water and sanitation systems?

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ASPECTS FOR CONSIDERATION	SCOPING QUESTIONS: PRELIMINARY ASSESSMENT OF LAND-ACQUISITION IMPACTS AND RISKS
	What are the national legal requirements for setting a cutoff date for eligibility for compensation: for example, disclosure of information about the land-acquisition process and the date of the cutoff? What are the procedural requirements for a negotiated purchase of land, including registration and transfer taxes or administrative charges? If negotiated settlements fail and compulsory land acquisition becomes necessary, what procedures may be available to the project or to a government agency executing land acquisition on behalf of the project? If national legislation limits compulsory land acquisition to projects for public purposes or in the public interest, does the proposed project meet the conditions (particularly private-sector projects)? If national legislation on land acquisition and compensation discriminates against women and/or vulnerable groups, are there ways to challenge and change this discrimination? What are the provisions of expropriation laws: for example, circumstances when compulsory acquisition is permissible; methods for asset valuation; compensation entitlements; roles and responsibilities of the state, courts, and relevant government agencies; and avenues and time frames for appeal? How long is the expropriation process likely to take? Are there any local expropriation precedents to learn from? How are evictions managed should they become necessary? Are there risks of forced evictions, particularly where expropriation is triggered? What is the institutional capacity of government and local administrative organizations to facilitate expropriation processes? What are the requirements for the transfer of deceased estates? What are the national administrative and judicial dispute resolution and grievance procedures available to affected parties? Are there any gaps between the requirements of national legislation and IFC PS5? If so, what measures can be taken to address these gaps, such as discussing and obtaining agreement from government agencies to apply appropriate compensation, as well as funding for supplementary compensation measures?

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ASPECTS FOR CONSIDERATION	SCOPING QUESTIONS: PRELIMINARY ASSESSMENT OF LAND-ACQUISITION IMPACTS AND RISKS
	If project physical and/or economic displacement is likely to involve complex legal requirements and procedures, which national and international legal advisers and/or counsel could assist? What legislation should be reviewed: for example, the constitution; land laws; expropriation laws; environmental, water, forestry, agricultural, and pasture laws; host government and production-sharing agreements; mining and oil and gas laws and investment agreements; public-private partnership agreements; valuation regulations; laws or regulations pertaining to transportation infrastructure, power generation and reticulation, gas transport, mining, or energy projects; civil codes; laws on social welfare; laws on refugees or IDPs; and laws on cultural heritage? Which actors (government departments and agencies at various levels, local nongovernmental organizations [NGOs], etc.) are likely to be involved in resettlement, finding replacement lands, supporting development benefits, and the like?
Land tenure (land rights and land-use rights) and the land-acquisition process	
Land rights Land-use rights Individual and communal land rights and common property Third-party arrangements such as tenancy or sharecropping Absentee land-right holders Informal land rights and transactions Security of tenure Application of PS5 Cadastral information Potential for speculation and corruption	What types of land rights will be affected by project land acquisition: for example, permanent ownership with title, customary ownership, and formal and informal usage rights (rental, sharecropping, communal, and indigenous people's rights)? Will land rights or land-use rights be acquired through expropriation or other compulsory procedures in accordance with host country laws? If so, PS5 applies. Will land rights or land-use rights being acquired through negotiated settlements result in expropriation or other compulsory procedures if negotiations fail? If so, PS5 applies. Will land acquisition, or restrictions and impacts on land use and access to natural resources, cause a project-affected community or groups to lose access to resource usage where they have traditional or recognizable usage rights? If so, PS5 applies. Is there a possibility that people without formal, traditional, or recognizable usage rights will be evicted from land they are occupying? If so, PS5 applies in certain situations. (Refer to PS5 paragraphs 17 [iii], 22, and 27.) What are the impacts of the land acquisition on women and vulnerable groups, especially if they do not have legal rights to ownership of existing land they occupy and/or use?

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ASPECTS FOR CONSIDERATION	SCOPING QUESTIONS: PRELIMINARY ASSESSMENT OF LAND-ACQUISITION IMPACTS AND RISKS
	Is there a possibility that land acquisition and potential conflicts over land rights and land-use rights, and resulting disruption to existing family structures, could increase the risk of gender-based violence (GBV), including domestic and intimate partner violence? Will land rights or land-use rights be acquired only by means of voluntary market transactions in which the seller is not obliged to sell and the buyer cannot resort to expropriation or other legally sanctioned procedures if negotiations fail? If so, PS5 *does not* apply. Is there a difference between land rights recognized by the national government and customary or traditional land rights recognized by local communities? If so, what are the implications for land acquisition and compensation (e.g., disputes between government authorities and local people concerning compensation entitlements)? What measures could be taken to ensure compliance with PS5, such as facilitating meetings and discussions and holding workshops to build awareness of the key requirements of PS5 and to find practical mutually agreed solutions? Is there a high incidence of informal land transactions: for example, unregistered transactions between family members, inheritances that have not been formalized, cases where land titles have not been formally transferred, or cases where landowners, users, or lessees have not registered their rights in accordance with evolving land laws? What security of tenure do affected households have? Are there any informal settlers or squatters without recognized land rights? Is there a high incidence of absentee landowners: for example, residents in other countries and difficult to locate? If so, what measures could be taken to contact them and facilitate transactions, such as advertising, use of social media, tracing agencies, legal experts, and facilities in other countries; and diplomatic channels? Is there land subject to restitution claims arising from past conflict? Are there third-party land-use arrangements: tenants and sharecroppers; use of water, pastures, grazing, forest, and other resources; rights-of-way and access rights; and so forth? What is the condition of state land cadastre and land property registration, and are existing maps and records complete, up-to-date, and reliable? Are household land rights fragmented or claimed by multiple related household members? This is particularly important for projects involving many land transactions, such as linear projects, or where land-privatization processes have yet to be completed.

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ASPECTS FOR CONSIDERATION	SCOPING QUESTIONS: PRELIMINARY ASSESSMENT OF LAND-ACQUISITION IMPACTS AND RISKS
	Which agencies are responsible for maintaining the cadastre and registers and resolving land disputes and restitution cases, and do they have the capacity to process land transactions of the type and scale required by the project in a timely manner? Is the cadastre information readily available? For example, is it digital or paper based? Is it kept centrally, regionally, or locally? If additional cadastral surveys are required, what are the procedures, who will do the surveys, what resources will be needed, and how long is this likely to take? What is the potential for speculative and corrupt practices in the land-acquisition process: for example, in cases where land rights are not well defined, recognized, and recorded, administration and governance are weak, and there is a prospect for significant compensation?
Preliminary stakeholder identification (**refer to** Module 3. Stakeholder Engagement for more detail)	
Local affected communities and groups Seasonal migrants Host communities Key local leaders and individuals National and local authorities Community-based organizations (CBOs) and NGOs Vulnerable groups Social license to operate	Which communities and groups will be affected by project land acquisition? Are there groups or subgroups within the community that are disadvantaged due to their race, gender, gender identity, sexual orientation, ethnicity, age, social stratification, economic status, and so forth? Are there any especially vulnerable groups, including highly marginalized groups, indigenous peoples, or persons who face discrimination within the communities, who will be affected by project land acquisition? Which key community leaders and individuals must be consulted concerning project land acquisition? Which community groups who support the needs of women and vulnerable persons must be consulted concerning project land acquisition? Which government authorities and officials must be consulted concerning project land acquisition: for example, departments of local administration, land affairs, rural development, agriculture, forestry, fisheries, public works, transport, water, energy, education, and health?

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ASPECTS FOR CONSIDERATION	SCOPING QUESTIONS: PRELIMINARY ASSESSMENT OF LAND-ACQUISITION IMPACTS AND RISKS
	How do different stakeholders want to be consulted differently: who, how, when, and how often? What is the likely extent of support or opposition to the project among various stakeholders (preliminary assessment of the social license to operate)? Are there influential individuals or groups, including women's organizations, local CBOs, or NGOs, who could influence (positively or negatively) or play a constructive role in the land-acquisition process? Are there local legal experts or legal support groups that could assist affected communities and households in the negotiation process?
Past land acquisition and resettlement	
Previous land acquisition Outstanding commitments and obligations Land claims and disputes Precedents Land speculation	Has there been previous land acquisition and resettlement in the project area of influence? If there was previous land acquisition in the project area of influence, are there any outstanding compensation measures, commitments, and obligations by previous project owners or authorities? Are there any disputed claims to land rights and land-use rights (including overlapping land claims), ownership title, and access to land? Have good or bad precedents been set: for example, land-for-land or cash compensation, replacement housing type, compensation rates, livelihood-restoration measures, compensation for community assets, and so forth? Were there any previous forced evictions? Has there been previous land speculation in the project area of influence (including speculation concerning a possible project footprint, or a project that was delayed or stalled or did not go ahead)? Can other projects in the area serve as useful benchmarks?

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ASPECTS FOR CONSIDERATION	SCOPING QUESTIONS: PRELIMINARY ASSESSMENT OF LAND-ACQUISITION IMPACTS AND RISKS
Affected households: Preliminary assessment of magnitude of physical and/or economic displacement	
Communities and groups Affected persons and households Houses, semidetached housing, apartments, informal or squatter shacks Other household structures (huts, barns, storage and animal sheds, granaries, etc.) Wells, boreholes, pipelines, irrigation Fences, walls, terraces Cropland (dry and irrigated) Gardens Grazing and pasturelands Woodlots	Which communities and groups will be affected by physical and/or economic displacement? Will the displacement be temporary or permanent? What is the preliminary estimate of the total number of people and/or households affected by the following? • Physical displacement • Economic displacement • Physical and economic displacement Do these numbers include marginalized people who may remain hidden in communities and difficult to count, including people with disabilities? What is the preliminary estimate of how many houses will be displaced? What is the preliminary estimate of the total area of crop, garden, grazing, orchard, woodlot, and other land affected by project land acquisition? How accurate are these estimates, what are the gaps in available information, and what surveys will be needed to provide reliable baseline information? Is adequate and recent aerial or satellite imagery available? Is there alternate land available for land-for-land compensation? Are there any opportunities to improve household assets or to consolidate land holdings during the land acquisition, compensation, and replacement process?
Preliminary assessment of affected community assets	
Community halls and offices, meeting areas, community recreational facilities, education and health facilities Religious facilities	What is the preliminary estimate of community assets that will be affected by land acquisition? Who is currently responsible for maintenance, operation, and use of these assets? Who will be responsible for the maintenance, operation, and use of replaced and/or improved community assets? Will responsibility for replaced or improved community assets provide opportunities for improved decision-making capacities for women and vulnerable persons?

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ASPECTS FOR CONSIDERATION	SCOPING QUESTIONS: PRELIMINARY ASSESSMENT OF LAND-ACQUISITION IMPACTS AND RISKS
Graveyards and other burial grounds and sacred sites Water resources and water reticulation systems Sanitation, energy, access, communication systems Community gardens, forests, woodlots, grazing areas, wetlands Communal hunting and gathering or foraging areas (including edible, herbal, and medicinal plants as well as craft materials) Fishing areas in rivers, lakes, coastal or intertidal zones	Will improved infrastructure associated with project development (e.g., roads and other communication links, water, and energy supply systems) also provide opportunities for improving community assets? Will this require modifications to siting or routing in the planning stage to ensure optimal use by the project and local communities? Can improved infrastructure have positive impacts on gender relations and gender practices in affected communities? Will the project workforce, or an influx of newcomers, increase the demand for the use of community assets, goods, and services? What measures need to be taken to ensure that the increased demand can be met? Are there opportunities to improve community assets during the land-acquisition and replacement process? What are the gaps in information and what types of surveys will need to be undertaken to provide reliable baseline information for detailed resettlement planning? If communal resource areas are affected, are alternative areas available and accessible? If access to communal resources is impeded by project developments, can mitigation measures be implemented, such as bridges, delineated rights-of-way or corridors, or new access roads and tracks?
Valuation of household and community assets and establishing compensation rates	
Valuation of household assets (land, infrastructure, crops, trees, livestock, other resources) Valuation of community assets (land, infrastructure, facilities, community grazing, woodlots, forests, other resources)	Is there a local market for household and community assets (land, houses, crops, etc.)? If so, could current market prices be used as a basis for establishing compensation rates? Do market prices at least equal replacement building costs for household and community infrastructure? If not, what additional amount would need to be added to the market price to fully cover replacement costs? Do market values factor in the uses of the land by both men and women? If there is no established local market for land and other household and community assets, how could compensation rates be determined: for example, using set government compensation rates, valuation by local experts, using comparable rates in other similar areas where there is an established market, and so forth? Are there valuers with experience applying international standards?

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ASPECTS FOR CONSIDERATION	SCOPING QUESTIONS: PRELIMINARY ASSESSMENT OF LAND-ACQUISITION IMPACTS AND RISKS
	Natural resources and ecosystem services
Provisioning services Regulating services Cultural services Climate change	What existing natural resource surveys and maps are available: for example, water, geology, soils and land capability, natural vegetation and forestry, and present land use? Will involuntary land acquisition, or restrictions and impacts on land use and access to natural resources (including ecosystem services) cause a project-affected community to lose access to resources where they have traditional or recognizable usage rights? Will there be impacts to provisioning services, including products people obtain from ecosystems: food, fresh water, marine and aquatic resources, timber and nontimber forest products, fuelwood, fibers, medicinal plants, craft materials, and hunting and gathering grounds? Will there be impacts to regulating services—benefits people obtain from the regulation of ecosystem processes, including surface water purification in wetlands, protection from natural hazards, and soil erosion? Will there be a loss or reduction in agricultural and forestry land, including land with high potential: for example, arable and irrigable land? Will there be impacts to cultural services, including natural areas that are sacred sites and important areas for recreation and aesthetic enjoyment? How will any impacts to provisioning services and/or loss of land affect the ability of women to carry out expected daily activities, including collecting water? If women will find it more difficult to carry out expected daily activities because of reduced access to or loss of provisioning services, will this increase the risk of GBV? Will an influx of people seeking work and entrepreneurial opportunities associated with the project exacerbate impacts to existing land use, natural resources, and ecosystem services? (Refer to the "Population influx" section of this appendix.) If there are project impacts to local provisioning, regulating, and cultural services, are there ways to avoid or minimize impacts, such as re-siting some project infrastructure and access roads and reducing the extent of the project footprint? If there are remaining residual impacts, what are the potential measures that could be applied to mitigate these, such as allowing some use of ecosystem services in buffer zones or providing access to cultural sites, for example, graveyards?

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ASPECTS FOR CONSIDERATION	SCOPING QUESTIONS: PRELIMINARY ASSESSMENT OF LAND-ACQUISITION IMPACTS AND RISKS
	Are there any climate change issues that could affect impact and risk assessments and planning considerations to resettle physically and/or economically displaced people: for example, siting of resettlement villages above expected sea-level rise, considering alternate crops better suited to potential climate change circumstances, and so forth?
Livelihood impacts and economic displacement and change	
Change in production systems and traditional livelihoods Local economic environment Local livelihoods and production systems Economic vulnerability Competition for economic opportunities Wage and income levels Monetization of the local economy Inflationary effects	What are the main livelihood activities of affected households and communities? Will project land acquisition result in changes to current community occupations and production systems? If so, what other appropriate livelihood opportunities are available and what would need to be done to facilitate access to these opportunities, such as skills training, demonstration projects, and loan funding? Will current subsistence farming (low input, low output, low risk) need to change to more intensive market-based agriculture (high input, high output, high risk) in order to intensify production on decreased available farming areas? If so, is this likely to be acceptable to the community, and what measures would need to be implemented to facilitate the transition, such as improved access to markets, loan funding, skills training, agricultural demonstration projects, agricultural mechanization, irrigation systems, improved animal husbandry techniques, and so forth? Will project land acquisition affect local businesses and other entrepreneurial activities negatively or positively? What measures could be undertaken to mitigate negative impacts and enhance positive impacts: for example, preferential project procurement of goods and services from local businesses, where feasible, and business skills training? Will project land acquisition and restrictions on land use result in increased economic vulnerability for some households and groups, increased competition for land and other economic opportunities, and unsustainable use of natural resources? If so, what measures could be implemented to protect vulnerable households and groups, such as preferential project employment, targeted training and skills development, and so on? Will the project land acquisition or restrictions on access affect local livelihoods based on the use of rivers, lakes, or the ocean, such as fishing, gathering of resources in intertidal zones, boat transport, or sand-winning operations? How could new livelihood opportunities promote improved gender equality in affected communities?

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ASPECTS FOR CONSIDERATION	SCOPING QUESTIONS: PRELIMINARY ASSESSMENT OF LAND-ACQUISITION IMPACTS AND RISKS
	Will the project development lead to diversified and increased local employment and entrepreneurial opportunities? If so, what measures could be implemented to enhance these opportunities, such as local procurement of goods and services, and employment of local people by the project, skills training, and so forth? How could these new opportunities benefit women and vulnerable groups? Will project land-acquisition and development opportunities lead to changes in wage and household income levels and to inflationary effects? If yes, consultations with women's groups should occur early on to assess the risk of increased domestic violence. Will implementation of land and livelihood compensation measures, increased economic opportunities during peak project construction activities, and possible eventual project closure result in boom-bust cycles and possible unsustainable economic dependency among the local population? If so, mitigation plans should be developed early on: for example, local employment and procurement plans, retrenchment plans, and closure plans, such as mine closure plans. Will land-acquisition compensation measures and payments to affected households result in welfare imbalances among the broader community (including unaffected households)?
Livelihood restoration	
Availability of replacement land Alternate livelihood opportunities Project employment and business creation (direct, indirect, temporary, permanent) Skills training	Is sufficient replacement land (e.g., arable, grazing, and forestry land) available to reestablish livelihoods of affected households? If not, what other compensation and mitigation measures could be implemented to ensure livelihood restoration, such as employment and entrepreneurial opportunities, retraining and skills development of younger people, and lifetime stipends for elderly persons? Are there alternative fishing grounds that can replace the affected ones? Will there be opportunities for project-affected persons to continue their existing occupations? If not, are there other potential livelihood opportunities? Are there opportunities for women to engage in new livelihoods? Will the creation of economic opportunities and demand for services by the project provide livelihood restoration, vocational and entrepreneurial opportunities, and improved gender equality in affected communities?

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ASPECTS FOR CONSIDERATION	SCOPING QUESTIONS: PRELIMINARY ASSESSMENT OF LAND-ACQUISITION IMPACTS AND RISKS
	Is there a need for training and reskilling of project-affected persons to take advantage of alternate livelihood opportunities? Will women have access to livelihood-restoration measures? What measures will need to be taken to ensure that they do? Will land acquisition cause a reduced reliance on subsistence production systems, and will this result in increased dependence on nonlocal products and vulnerability to macroeconomic events or a lack of sustainable livelihoods following project closure? What are the likely measures and resources (e.g., planning, skills training, staff, equipment, budget) that will be required to ensure successful livelihood restoration of affected households? What are the available agricultural extension services, government agencies, NGOs, and so forth that could support development benefits and activities intended to restore or improve livelihoods (skills training, small-scale credit, access to markets, promotion of local entrepreneurs, support to vulnerable groups, etc.)?
Cultural heritage	
Archaeological sites Paleontological sites Historical sites Artistic sites Religious sites Graves and cemeteries Sacred sites (groves, trees, natural rock arches and other features, lakes, waterfalls)	Will proposed project land acquisition affect sites, structures, or resources having archaeological, historical, religious, spiritual, or cultural value? Will proposed project land acquisition affect access to these sites, for example, graves and sacred sites? Could the proposed project design, layout, and land requirements be modified to avoid or minimize impacts to cultural heritage? If impacts to cultural heritage cannot be avoided, what international and national laws, regulations, standards (e.g., IFC PS8 on Cultural Heritage), and best practice guidance are applicable to protect affected cultural heritage? Who are the community leaders, resource individuals, women's groups, and local experts who could identify local cultural heritage and heritage? Is there existing literature concerning local cultural heritage and heritage? Are there local or international experts available to advise on best practices to protect and minimize impacts to cultural heritage?

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ASPECTS FOR CONSIDERATION	SCOPING QUESTIONS: PRELIMINARY ASSESSMENT OF LAND-ACQUISITION IMPACTS AND RISKS
Vulnerable groups	
Indigenous peoples Ethnic, tribal, or religious minorities Women Youth and elderly Handicapped persons Chronically ill persons Land users without formal rights and squatters IDPs and refugees Children-headed households Lesbian, gay, bisexual, transgender, and intersex people Sex workers	Are there any groups that might be differentially impacted by land acquisition as a result of distinct socioeconomic characteristics that make them vulnerable during the land-acquisition process? Are there vulnerable groups that are more resilient than others to changes resulting from land acquisition and displacement? Which groups or people directly or indirectly affected by project land acquisition are likely to experience economic vulnerability? Are there any differential impacts and opportunities associated with land acquisition, such as marginalization of women, ethnic and religious minorities, and other vulnerable groups? Are there vulnerable persons and/or groups who are reluctant to interact during stakeholder engagement because of potential discrimination or reprisals? If so, what measures could be taken to consult with these persons or groups in a safe environment free from potential threats or discrimination: for example, individual meetings, focus group discussions, and independent representation by a third party such as a civil society organization? Does the project land acquisition affect any groups that might qualify as indigenous peoples per PS7? What information is available on these groups? Are there any IDPs or refugees in the proposed project area of influence? If so, is there a national or international program to assist these groups and/or to repatriate or resettle them elsewhere?
Migrants and visitors	
Nomadic routes, transhumance, and seasonal practices Seasonal pastoralists and herders Hunters and gatherers Seasonal fisherpeople	Will project land acquisition or restriction of access to resources affect seasonal migrants and visitors? Who are the community leaders, resource individuals, and migrant group representatives who could provide information on seasonal migrants? How many migrants (individuals and households) will be affected? Is there alternate suitable land and other resources available for use by migrants? If so, where and how far? Are there alternate access routes available to avoid project restrictions of access to resources?

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ASPECTS FOR CONSIDERATION	SCOPING QUESTIONS: PRELIMINARY ASSESSMENT OF LAND-ACQUISITION IMPACTS AND RISKS
Seasonal workers (fruit pickers, crop planters and harvesters, tourism and hospitality workers, seasonal transactional sex workers, etc.) Attendees at religious, cultural, and other festivals and events Tourists Artisanal miners	When do seasonal migrants, workers, tourists, and other visitors visit the project area of influence, and could project construction and operation be scheduled to avoid or minimize impacts? Will project land acquisition affect tourist attractions, facilities, and activities? Could facilities established for project construction and operation contribute to improving tourism facilities, such as upgrading existing hotel facilities and converting construction camps and project housing into tourist accommodation after project completion?
Population influx	
Influx of newcomers Land-use impacts Competition for resources Speculation	Will the creation of economic opportunities and services (actual or perceived) by the proposed project attract a significant population influx? If so, how will land to be acquired for the project be protected from informal settlement? What are the likely land-use impacts associated with an influx of newcomers, such as new settlement sites, use of cropland, and other natural resources (including fresh water, pastures, timber, firewood, etc.)? Will such an influx of newcomers result in overburdening of existing infrastructure and services? If so, how will this be addressed in replacing any project-affected infrastructure and services? Are there sites available to settle an influx of newcomers that are acceptable to local communities and the project? Will the project attract speculative and opportunistic claimants: land speculators and newcomers seeking to benefit from compensation measures, as opposed to newcomers seeking jobs and entrepreneurial opportunities associated with project development? Are there precedents nearby?
Host communities	
Availability of land and resources	Can potential host communities be identified at the scoping stage? If so, who are they and where are they? Does the host community have sufficient land and resources available to accommodate resettlers?

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ASPECTS FOR CONSIDERATION	SCOPING QUESTIONS: PRELIMINARY ASSESSMENT OF LAND-ACQUISITION IMPACTS AND RISKS
Attitudes toward resettlers Compensation measures	How well are resettlers likely to be accepted in host communities, whether they are of the same or different cultural, ethnic, religious, tribal, or political groups? Will gender norms and practices in the host communities place women and adolescent girls at risk of sexual exploitation by resettlers? What are the likely negative and positive impacts of resettlement for both the host community and resettlers? Will host community services and infrastructure be adequate for newcomers, and if not, what mitigation measures will be required? Will any host community households be displaced to accommodate resettlers? What mitigation measures and benefits need to be implemented to help the host community adapt to newcomers?
Government and local institutions, community organizations, and project organization	
National, regional, and local government Community decision-making structures CBOs NGOs Political agendas Project land-acquisition organizational structure	What are the involved government departments and agencies, and who are the key officials responsible for land acquisition and resettlement? Is there sufficient capacity and resources in government and regulatory agencies to cope with the project land acquisition (especially if land acquisition is government led)? If not, what measures could be taken to improve capacity and resources, such as seconding project staff and consultants; providing temporary office accommodation, equipment, and computers; and so forth? If there are many land-acquisition transactions (such as in linear projects), what is the capacity of government agencies to register a large number of transactions and issue necessary permits efficiently to avoid project delays? Will government officials require capacity building to address land-acquisition issues? If so, efforts could include workshops to raise awareness, training courses, skills development, gender mainstreaming, and mentoring. Are government authorities likely to agree to compliance with IFC PSs and international standards in addition to national requirements? If not, what measures could be taken to achieve agreement: for example, in-depth consultation with senior government decision-makers, awareness building, and training?

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ASPECTS FOR CONSIDERATION	SCOPING QUESTIONS: PRELIMINARY ASSESSMENT OF LAND-ACQUISITION IMPACTS AND RISKS
	What organizational structures could be put in place to facilitate and achieve government involvement and participation in the land-acquisition process: for example, joint steering committee and/or working group for project coordination? Is there a lack of organizational capacity and leadership in the community directly affected by land acquisition? If so, will this lead to decision-making issues or legitimacy problems? Who do affected persons consider to be their legitimate representatives? Is there a lack of diversity, including women, in community leadership that might result in decisions benefiting only men? Can local representation be improved: for example, by including representatives of various interest groups such as women, youth, agricultural, business, and others? Should organizational capacity be enhanced and, if so, how? For example, there could be discussions with existing community leaders and interest groups on how to strengthen and build organizational structures, workshops to raise awareness, and training courses. Do local affected households and communities have limited experience in negotiation and business transactions? If so, will this reduce their ability to negotiate effectively for equitable land acquisition and livelihood-restoration compensation measures? Are there competent, solution-oriented, local NGOs available to help negotiate or act as honest brokers on behalf of communities affected by land acquisition? Will national or local political agendas and election schedules influence attitudes toward the project and affect the process of land acquisition? Will the project establish an organizational structure to specifically address land-acquisition issues? If so, will this organization have direct access to project management to address and make decisions on any complex and difficult land-acquisition issues? What organizational arrangements will be put in place to ensure that any relevant project contractors will be fully aware of and implement project land-acquisition policies and requirements: for example, could there be a working group, awareness building, or training?

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ASPECTS FOR CONSIDERATION	SCOPING QUESTIONS: PRELIMINARY ASSESSMENT OF LAND-ACQUISITION IMPACTS AND RISKS
Social cohesion	
Authority and power structures and relationships Social control and discipline Stability of local community relationships Gender equality	What are the power relationships among displaced communities, local government, traditional leaders, and other authority figures, and how could these relationships influence the land-acquisition process? Could land-acquisition compensation and livelihood-restoration measures, alternate livelihood opportunities, and/or an influx of newcomers change existing power structures and relations? If so, could traditional authority structures and methods of social control and discipline weaken? What are the opportunities for promoting improved gender equality in affected communities and within organizations as a result of the resettlement? Could challenges to existing power structures result in changes in attitude toward the project and its land-acquisition process? Is there a risk that powerful members of the community will engage in land speculation and corrupt practices or disenfranchise other community members entitled to compensation ("elite capture" of benefits)? If so, what measures could be taken to empower communities and individuals to understand their land rights and receive compensation for physical and economic displacement: for example, awareness workshops, training, information disclosure, assistance to register land rights and open bank accounts to receive compensation, and so forth?
Social conflict	
Community rivalry and jealousies Competition for land and natural resources Perception of unequal treatment in land-acquisition compensation measures Differential power relations, influence, access to resources, and wealth	Will compensation measures and payments to affected households and communities result in jealousy among neighboring households and communities not affected by land acquisition? If so, could this result in possible conflicts or violence that would affect the project and local communities? Is there a low level of local awareness of project land-acquisition impacts (and unfamiliarity with similar land-acquisition processes) among local affected communities? If so, could this result in a poor appreciation of the potential seriousness of impacts to local land-use circumstances and livelihoods or unrealistic expectations of the benefits of compensation measures, which could lead to conflict?

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ASPECTS FOR CONSIDERATION	SCOPING QUESTIONS: PRELIMINARY ASSESSMENT OF LAND-ACQUISITION IMPACTS AND RISKS
Social conflicts and discrimination between local community groups Social conflict with newcomers, migrants, refugees GBV	Is there uncritical support for the project on the basis of desperate needs, such as jobs or cash from compensation for land? If so, could this result in later conflict over land-acquisition compensation and livelihood-restoration measures insufficiently discussed, considered, and agreed to? Will the project land-acquisition process exacerbate preexisting conflicts over land rights and land-use rights, or lead to new ones? Will the project land-acquisition process exacerbate preexisting social norms that negatively affect women, children, and vulnerable groups, including GBV? Is the project located in a postconflict area in which previous and ongoing tensions could affect project land acquisition, such as land claims by displaced communities and households and difficulty in achieving consensus and agreements between affected communities? If there are refugees, displaced persons, or squatters in the project area, how will this affect project land acquisition and relationships with the local community? Will the acquisition of land in host communities in order to resettle project-affected households result in social conflict? Will an influx of newcomers seeking opportunities associated with the project result in increased demand for use of land and natural resources, disputes over compensation entitlements, competition for jobs, and possible social conflict? Will an influx of newcomers result in increased risk of GBV in affected communities?
Social profile, lifestyle, and culture	
Demographic characteristics and census Socioeconomic surveys and social impact assessments Lifestyle and cultural relationships Traditional attachment to the land	What are the demographic characteristics of the affected community, and is there recent census information available? Are there specific demographic groups who have not been included in the census information due to marginalization and socially normalized discrimination? Are affected communities homogenous or heterogenous, and could this affect project land acquisition? Do affected communities and households have a traditional or emotional attachment to the land and sacred sites (especially indigenous peoples)? If so, how will this be addressed, mitigated, or compensated?

(*Table continued on next page*)

ASPECTS FOR CONSIDERATION	SCOPING QUESTIONS: PRELIMINARY ASSESSMENT OF LAND-ACQUISITION IMPACTS AND RISKS
Potential social or cultural disruption Political context Discrimination issues (e.g., nationality, race, tribe, political affiliation, religion, gender, and sexual orientation) Changing relationships as a result of land acquisition (e.g., land-right holders and non-land-right holders, gender, age, ethnic, and socioeconomic groups)	Are there socioeconomic and cultural conditions (patriarchal systems, marginalization of women, socially normalized discrimination against ethnic minorities and vulnerable groups, or restrictions on freedom of choice) that would preclude equitable access to land-acquisition compensation and livelihood-restoration measures? Will land-acquisition compensation and livelihood-restoration measures result in greater stratification of existing household wealth and income levels, including changes to extended family systems? Are there low levels of literacy, numeracy, and other skills that would restrict the ability of individuals and households affected by land acquisition to understand and negotiate equitable land-acquisition compensation and livelihood-restoration measures? If so, are there local independent honest brokers (NGOs, land valuers, legal experts) who could provide advice and guidance to households? Is the affected community largely outside the cash economy, and are there low levels of money-management skills? If so, what training and awareness building would be required to assist households to manage any cash compensation benefits, and how would this be implemented: for example, training by local financial literacy teachers, provision of training course materials, or assistance with opening and operating bank accounts? Will the generally slow pace of change of a traditional rural community conflict with rapid changes required to acquire land and develop a major modern project? Will existing gender norms and expectations in the affected communities conflict with rapid changes in gender roles that may emerge because of the development of a major modern project?
Gender issues	
Land rights and access to compensation entitlements Literacy Marginalization Engagement and decision-making GBV	Are women involved in public decision-making processes where they could participate meaningfully regarding land-acquisition issues, impacts, and mitigation and compensation measures? If not, what measures could be taken to increase their participation and involvement: for example, training on gender issues within the community, local authorities, and company; capacity building; establishment of women's groups; or holding separate consultation meetings with women? Are there significant differences in literacy, primary language, and education between men and women? If so, what measures could be taken to ensure that women understand and participate in the land-acquisition and compensation process: for example, awareness workshops with women's groups or financial literacy training?

(*Table continued on next page*)

ASPECTS FOR CONSIDERATION	SCOPING QUESTIONS: PRELIMINARY ASSESSMENT OF LAND-ACQUISITION IMPACTS AND RISKS
	What is the role of women and the division of labor in utilizing land, natural resources, and other household and community assets? What are women's responsibilities in covering certain household livelihood requirements such as provision of food, health care, and education for children? How will these be affected by the acquisition of land and/or resettlement? Do women own land and other assets or have access to land rights and land-use rights? If so, can they be compensated directly for loss of any assets and land rights (including through separate bank accounts)? Can they legally have the replacement house titled in their name? How can agreement of female members of the household on the proposed compensation measures for the affected household's assets and livelihood activities be obtained and materialized? Are there specific potential negative impacts of cash compensation for women and children: for example, through loss of land for food production or control and use of cash by men for their own needs to the disadvantage of women and children? What are the legal and traditional practices regarding women's access to their deceased spouse's estate? Is there potential for eviction of widows by their husband's family? In cases of polygamous households, how will the rights to land and potential compensation entitlements of the different wives be managed? If women cannot be compensated directly for loss of household assets and land rights, what measures could be taken to ensure that they participate in and receive equitable compensation benefits? What are the risks to women of GBV as a result of both the resettlement and efforts to involve them in this process, and how can these risks be mitigated? Have the needs of and risks to gender nonconforming persons been considered?
The project in a larger context: Big-picture issues	
National and regional context National, regional, and local development plans	How will project land acquisition and the requirements of IFC PSs relate to national land-acquisition and compensation standards and requirements? If there are gaps, how will these be addressed? How will project land acquisition and development affect land-use systems and economic activities in the broader region?

(*Table continued on next page*)

ASPECTS FOR CONSIDERATION	SCOPING QUESTIONS: PRELIMINARY ASSESSMENT OF LAND-ACQUISITION IMPACTS AND RISKS
Spatial issues Temporal issues Cumulative impacts and cumulative impact footprint Downstream users	How will project land-acquisition, changes in land use, and infrastructure development (e.g., settlements, roads, communication systems, powerlines, dams, and irrigation systems) fit in with master national, regional, or local development plans? What are the spatial relationships between affected communities and surrounding communities (e.g., the relationship among authority and administration systems, transportation, economic, and social networks), and what implications does this have for reaching agreements on project land acquisition? What are the potential temporal issues that need to be addressed in project land acquisition, such as phasing of project construction and operational activities to minimize impacts, allowing households to harvest crops before project construction, minimizing project impacts to seasonal migrants and land users, and so forth? Will a project affecting drainage systems and river flow (e.g., dams, water extraction, hydropower, and tailings disposal) have impacts on downstream users such as sand miners, fishing communities, irrigation farmers, and settlements who need water? What are the cumulative or long-term impacts of project land acquisition and development and other development projects in the area (cumulative impact footprint), and how could this affect the relocation of affected communities and households, in terms of siting; access to resources, infrastructure, and services; security of tenure; and avoidance of a subsequent need to relocate again? If only a portion of a village needs to be resettled, what is the tipping point where it would be better to consider relocating the whole village in order to maintain community, social, and economic networks and avoid isolation of directly affected households and avoid separating the community?
Information gaps	
Number of affected persons and households Affected household assets Affected community assets Valuation of household and community assets	What information is not readily available or cannot be obtained during scoping? What surveys, research, and consultation will need to be undertaken during the more detailed baseline data collection stage to close these gaps? (Refer to Module 4. Baseline Data Collection.) Does this proposed survey and research work ensure the ethical collection of information on sensitive issues, such as GBV, women's empowerment, transactional sex work, and the risks to vulnerable groups?

(*Table continued on next page*)

ASPECTS FOR CONSIDERATION	SCOPING QUESTIONS: PRELIMINARY ASSESSMENT OF LAND-ACQUISITION IMPACTS AND RISKS
	Are there any government procedures or requirements for undertaking surveys and research to address gaps in information? These could include, for example, consultation, participation, and disclosure; socioeconomic assessments; and asset inventories and valuation. Are there local experts or organizations (government officials, researchers, academic institutions, consultants, specialists, NGOs, or CBOs) who could undertake work to address gaps in information?

Appendix B. Example of a Census Form

HOUSEHOLD FORM NUMBER: _____ Page 1

Enumerator: Date: / /20 Signature:
Checked by: Date: / /20 Signature:
Inputted by: Date: / /20 Signature:

1. IDENTIFICATION OF AFFECTED PROPERTY

GPS Coordinates Northing: Easting:

Locality: District: Province:

Cadastral references of plot: Section: Number:

Type of Property	Agricultural plot	Residential plot with residential building	Plot with business

Check applicable box

Related forms in the household dossier:
- Affected plot form number(s):
- Affected structure form number(s):
- Affected business form number(s):

Photograph of head of household (HHH): Camera or card number: File name(s)

2. IDENTIFICATION OF AFFECTED HOUSEHOLD

Head of household: Full Name:
HHH's identity document: Type: Number: Issued on: / / In:
In the electoral roll: YES / NO

	Full name	Relationship with HHH*	Year of birth	Gender	Occupation **	Usual residence
1		HHH				
2						
3						
4						
5						
6						
7						
8						

**: 1: Spouse 2: Child 3: Parent 4: Grandparent 5: Grandchild 6: Other*

***: Codes of occupations*

1: Farmer
2: Agricultural laborer
3: Housewife
4: Small self-employed business person (except agric)
5: Government or local authority employee
6: Utility employee
7: Employee of private business
8: Pensioner
9: Student in university or other higher education
10: Student in secondary or vocational school
11: Student in primary school
12: Pre-school age child
13: Unemployed—does not work at all
14: Unemployed—works occasionally
15: Other (specify)

Educational status of HHH	Cannot read and write	Has completed primary	Has completed secondary	Has university degree

Check applicable box

Observations:

3. LIVELIHOOD

In which of the following categories does the average total monthly income of your whole household fall:

Less than	Between and	Between and	Between and	More than

In case there are several bread earners in the household, consolidate them

Which are your main sources of income? (1: highest source; 2: second highest source; 3: third highest source)

Salaries	Agriculture production	Small business	Remittances
Pensions	Government or other assistance	Other (specify):	Other (specify):

Which are your main sources of expense? (1: highest expense; 2: second highest expense; 3: third highest expense, etc.)

Food	Housing (mortgage or rent)	Utilities (water, power, telephone)	Taxes	Transport
Education	Health	Clothing	Other (specify):	Other (specify):

Applies only to household expenses; small business expenses not to be considered here

Do you produce some of your food needs: Yes / No
Specify what and how significant it is:

Are there periods of time when it is really difficult to meet basic needs: Yes / No

4. VULNERABILITY

Is anyone in the household suffering from one of the following problems:	Physical handicap	Mental handicap	Chronic disease requiring regular medical attention	Chronic disease requiring hospitalization	Other problem (specify):

Indicate number of affected household member(s) per the table in section 2 in the relevant box

Observations:

5. COMPENSATION PREFERENCES

Make it clear to interviewee that at this stage this is indicative only

- Full resettlement (land and house)
- Provision of land and cash compensation for house
- Cash compensation
- Other (specify):
- Does not know

Appendix C. Example of a Land and Asset Inventory Form

Plot Form

PLOT FORM NUMBER: _____ Page 1

Enumerator: Date: / /20 Signature:
Checked by: Date: / /20 Signature:
Inputted by: Date: / /20 Signature:

1. DESCRIPTION OF AFFECTED PLOT

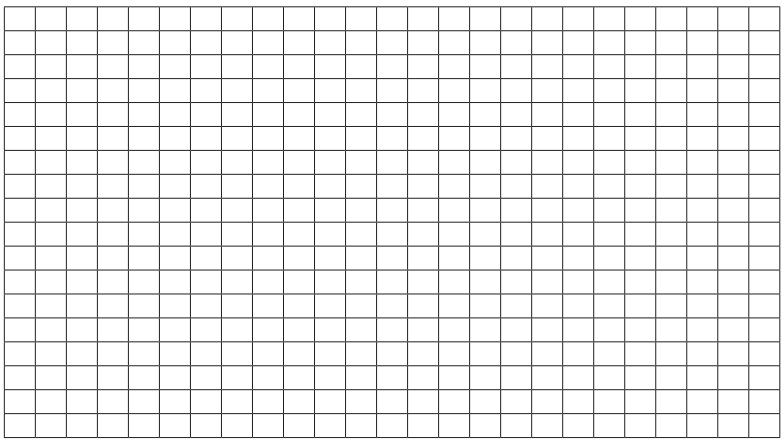
Locality: District: Province:
Cadastral references of plot: Section: Number:
Photograph of plot: Camera or card number: File name(s)
Downloaded and renumbered to: By: Date: / /

Total size: m² Wholly affected: Yes / No If no, size of the remainder: m²

Current usage	Mainly residential	Mainly agricultural	Forest	Pasture	Mainly business	Unused	Other (specify):

Check applicable box

2. SKETCH OF AFFECTED PLOT



Include coordinates of relevant corners as appropriate

3. OWNERSHIP

Regime of ownership and reference of documents	With fully registered title	Title in progress	Formal lease of public property Owner:	Formal lease of private property Owner:
	Informal lease Owner:	Other, specify:	Shared ownership YES / NO	If yes, other shareholders:

Check applicable box; and include reference and date of document presented by occupant in the relevant box

Structure Form

STRUCTURE FORM NUMBER: _____ Page 1

Enumerator: Date: / /20 Signature:
Checked by: Date: / /20 Signature:
Inputted by: Date: / /20 Signature:

1. DESCRIPTION OF AFFECTED STRUCTURE

Locality: District: Province:
Coordinates Northing: Easting:
Photograph of plot: Camera or card number: File name(s)
Downloaded and renumbered to: By: Date: / /

Detached building: YES/NO Apartment in larger house: YES / NO

CURRENT USAGE	Mainly residential	Mainly agricultural	Industrial	Commercial	Recreational	Unused	Other (specify):

Check applicable box; and provide details on usage below if necessary

Outside dimensions:_____m x_____m Built in year:_____

General condition: Outside:_____ Inside:_____
1: new or very good 2: fair 3: poor 4: ruin, unusable

MATERIALS	Walls	Roof	Floor inside

2. FOR RESIDENTIAL STRUCTURES ONLY

Living space:_____m^2 Number of rooms:_____
Count lounges and bedrooms only; exclude kitchens, bathrooms, and storage space

UTILITIES	Connection to public water network	Connection to public power grid	Connection to telephone lines	Connection to public sewerage	Running water in house	Flush toilet in house
	YES / NO	YES / NO	YES / NO	YES / NO	YES / NO	YES / NO

Heating system:

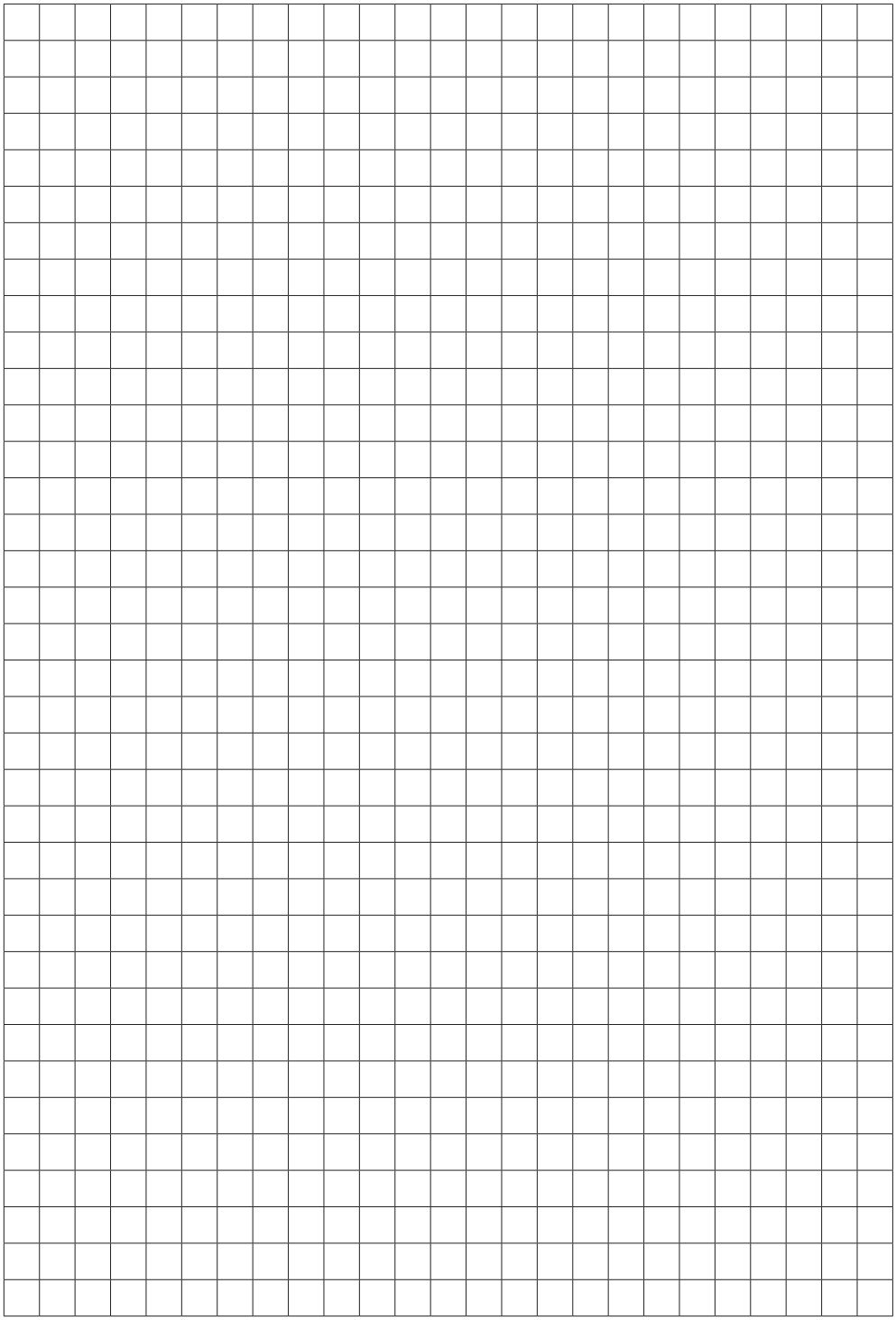
3. REGIME OF OWNERSHIP/ OCCUPATION

REGIME OF OWNERSHIP AND REFERENCE OF DOCUMENTS	With fully registered title	Title in progress	Formal lease of public property Owner:	Formal lease of private property Owner:
	Informal lease Owner:	Other, specify:	Shared ownership YES / NO	If yes, other shareholders:

Check applicable box; and include reference and date of document presented by occupant in the relevant box

Building permit: YES / NO Checked by enumerator: YES / NO

1. SKETCH OF AFFECTED STRUCTURE



Include relevant dimensions or approximate scale as appropriate

Business Form

BUSINESS FORM NUMBER: Page 1

Enumerator: Date: / /20 Signature:
Checked by: Date: / /20 Signature:
Inputted by: Date: / /20 Signature:

1. DESCRIPTION OF AFFECTED BUSINESS

Photograph of business: Camera or card number: File name(s)

Type of business:_____ Year of establishment:_____

1: General retail
2: Specialized retail (specify area)
3: Minimarket or supermarket
4: Whole sale (specify area)
5: Telephone booth/internet cafe
6: Artisanal work (specify activity)
7: Transportation-related activity (provide details)
8: Services to agricuilure
9: Construction contractor (specify area if needed)
10: Petrol station
11: Restaurant, bar, cafe
12: Hotel, inn, guesthouse
13: Other (specify)

Provide details on business size and activity as appropriate:

Does the business use an affected structure or plot: Yes / No–**If Yes**, Structure or plot reference:_____

Other affected immoveables used by the business: _____
Example: Underground fuel storage

How many full-time employees does the business have:_____Part-time employees:_____
Include only those paid a salary, not including owners, operator, or family helpers who are not paid a salary

Comments:

2. LEGAL ASPECTS

Business is formally registered: YES / NO

IF BUSINESS IS FORMAL:
Legal form of business:_____
Tax registration number:_____
Owners (shareholders):_____Share: _____%
_____Share: _____%
_____Share: _____%
_____Share: _____%

Operator if different from owner (name, address):_____

Above information is checked by enumerator from legal documents presented by owner: YES / NO

IF BUSINESS IS INFORMAL:
Owner:_____
Operator:_____

3. ECONOMICS OF THE BUSINESS

In average over the last three years:

Typical sales	Typical expenses	Typical income

Specify unit and period (example: EUR/year)

Above numbers from documents: YES / NO. If yes, what documents: _____

Comments:

Appendix D. Example of a Livelihood Questionnaire

Simplified Livelihood Questionnaire—Affected Household

1. Cadastral number of affected land plot(s): _____ 2. Village: _____

3. Total surface of affected plot: _____ ha

4. Full name of household head: _____

5. Permanent address: _____

6. Telephone number: _____ 7. Mobile: _____

8. Composition of household (to include ALL who live in the family; but not co-owners of the affected land plot who do not physically live in the surveyed household).

Household (HH) member	HH head	HH member	HH member	HH member	HH member	HH member	HH member	HH member
Relationship to HH Head— **See codes below**	N/A							
Age								
Gender								
Primary occupation **See codes below**								
Educational level **See codes below**								
Handicap or chronic illness								

Relationship to Household Head: a: Spouse; b: Son or Daughter; c: Father or Mother; d: Brother or Sister; e: grandkids; f: Other
Primary Occupation: a. Farmer; b. Pensioner; c. Unemployed; d. Civil Servant; e. Business (non farming); f. Housekeeper; g. Temporary/add hoc jobs; h. Other
Educational Level: a. Primary; b. Secondary; c. Technical; d. Higher (univ/institute); e. None (primary not completed)
Handicap: a. Invalid 1st Category; b. Invalid 2nd Category; c. Invalid 3rd Category; d. Other invalidity or chronic illness

9. Does your household own one or several of the following items:

Check where applicable

Color TV	Satellite dish	Telephone	Mobile phone	Internet
Personal computer	Washing machine	Refrigerator	Motorcycle	Car

10. What is the first source of expenditures of your household? _____Mark one

a. Food; b. Housing; c. Schooling or university expenses; d. Utilities; e. Health; f. Farming expenditures (including livestock); g. Business Expenditures; h. Transport; i. Other

11. How much on average do you spend monthly?

Food	_____	$
Housing	_____	$
Schooling or university expenses	_____	$
Utilities	_____	$
Health	_____	$
Farming expenditures or related to livestock	_____	$
Business	_____	$
Transport	_____	$
Other	_____	$

The questions below refer ONLY to the affected land plot.

12. Tenure of the affected plot:

Check where applicable

You own it and you use it yourself	You own it and you rent it out to somebody else	You rent it from the state or municipality	You rent it from a private owner

13. Do you use the affected plot for agriculture? Yes / No _____

"Agriculture" includes pasture with animals grazing, hay, gardening, orchards, and usual annual crops

14. If you answered No to question 13, what do you use the affected plot for? _____

a: Not used; b: Residence; c: Agricultural building; d: Industrial or commercial building; e: Other

If you answered Yes to question 13, go to 15

15. Do you irrigate this land Yes / No _____

16. Where does the irrigation water come from? _____

a: Piped system; b: Spring in the area; c: Well in the area; d: Other

17. Typical crop on this plot: (coded answer): _____Mark whatever applies—could be one or more.

a: Wheat; b: Maize; c: Other grain crop; d: Beet; e: Potato; f: Garden crop; g: Luzern; h: Other fodder crop; i: Grass for hay production; j: Grass for pasture; k: Apricot trees; l: Other fruit trees; m: Beehives; n: Medicinal herbs; o: Herbs for cooking; p: Mushrooms; q: Firewood or timber; r: Water supply for livestock or crops; s: Water supply for drinking; t: Hunting

18. Is the affected plot mainly used for your own food needs/consumption? Yes / No _____

19. What is the total surface of your agricultural land (including this affected plot and all others):

Total: sum of all listed below _____ ha

Land/Cadastre code of land parcels owned

Affected land code _____ ha _____/surface
Other land(s) code _____ ha _____
Other land(s) code _____ ha _____
Other land(s) code _____ ha _____
Other land(s) code _____ ha _____
Other land(s) code _____ ha _____

20. What is the average yearly income of your household from agriculture:
Attach the breakdown calculation

Hay _____ $
Cattle (meat, milk, etc.) _____ $
Milk products (cheese, etc.) _____ $
Honey _____ $
Vegetable _____ $
Walnut _____ $
Apple/other fruits _____ $
Apricot _____ $
Fish _____ $
Other _____ $

21. What is your annual average total income, including agriculture (above); paid job, temporary /seasonal jobs; unofficial services/jobs (cutting hay for neighbors, etc.) _____ $

22. In enumerator's assessment (not a question), is there potential for vulnerability in this household: Yes / No. If yes, go to question 23.

23. Please explain the type of vulnerability:_____

a: Elderly; b: Invalid; c: Very poor, cannot cope with their basic needs; d: Female-headed household; e: Flagged by local authorities; f: Other

24: In the last five years has the affected plot been subject to any of the following?

a. Flooding; b. Erosion; c. Landslips; d. Overgrazing; e. Drought

25: How do you access the plot? (coded answer)

a: By foot; b: By animal e.g. horse, donkey; c: By private vehicle; d: By public vehicle

Name of the enumerator: _____ Date of the survey: _____

Appendix E. Example of an Asset Sheet[43]

Asset sheet

STAKEHOLDER

Reference : II-11440

Stakeholder name:

Individual Reference : I-01018

Gender :

ID :

Contact :

Location :

Picture :

Rate year :

Land request : Access to zone 2 (2017)

ASSETS

Reference	Description	Unit	Quantity	Rate	Ownership %
C-01850	Pineapple mature	m²	50	3.4	100 (User), 100 (Owner)
C-01851	Palm oil young	m²	80	25	100 (User), 100 (Owner)
PA-00531	Residential land plot	m²	426	426	100 (Owner), 100 (User)
S-00533	House type F4, 92 m²	m²	78.54	10	100 (User), 100 (Owner)

SIGNATURES

I confirm that the assets mentioned above represent what has been surveyed on my property.

Owner signature

Witness signature

Company representative signature

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[43] Template provided by Borealis, www.boreal-is.com.

Appendix F. Example of a Compensation Agreement[44]

Project name

Compensation Agreement

Agreement between "Stakeholder" and "Company"

Stakeholder

Reference :	**CF-01132**
Stakeholder name:	
Stakeholder reference :	**I-01018**
Contact :	
Location :	**Elko**
Survey ID :	**10133**
Rate year :	
Land request :	**Access to zone 2 (2017)**
Bank account :	

Monetary compensation

Descnption	Quantity	Rate	Ownership %	Amount
House type F4, 92 m² (S-00533)	78.54 m²	10,00 $	100 (Owner)	785,40 $
Pineapple mature (C-01850)	50.0 m²	3,40 $	100 (User)	170 ,00 $
Palm oil young (C-01851)	80.0 m²	25,00 $	100 (User)	2 000,00 $
Transport allowance				1 250,00 $
			Total	4 2 05 ,40 $

In-kind compensation

Compensation (Quantity)	Descnption	Quantity	Ownership %
House plot (1)	Residential land plot (PA-00531)	1.0 m²	100 (Owner)

Instalments

Instalment	Date	Amount
1	2017-08-16	4 205,40 $
	Total :	4 205 ,40 $

Deliveries

Compensation (Quantity)	Delivery stage	Detail	Date

[44] Template provided by Borealis, www.boreal-is.com.

Project name

Compensation (Quantity)	Delivery stage	Detail	Date
House plot (1)	1	Present options	2017-09-16
House plot (1)	2	Select option	2017-10 -16
House plot (1)	3	Delivery	2017-10 -23

Signature - Stakeholder

Signature - Company representative

Appendix G. Annotated Table of Contents for a Resettlement Action Plan

I. Executive Summary

The executive summary should provide readers with an understanding of the key issues associated with the resettlement action plan (RAP): types of impacts, number of people impacted in each category, and description of measures to mitigate impacts, time frame, roles and responsibilities, overview of policies to which the RAP will be developed, and an overview of the stakeholder engagement and grievance process.

II. Glossary

A key component of the RAP, the glossary provides a description of the key terms used in the RAP such as *physical displacement*. Refer to the Glossary in this handbook.

II.A. Introduction

- *Project description* provides a *summary* of the project, which includes all the components (including associated facilities) and a description of the project footprint, the construction timeline, location, general roles and responsibilities, and project ownership. Includes maps.
- *Scope and contents* provides an overview of what the RAP will cover and an overview of each of the chapters. Includes a summary of resettlement impacts.

II.B. Project Impacts

This section describes project impacts related to land acquisition, resettlement, and physical and economic displacement, as well as alternatives considered and efforts to minimize impacts and includes the following:

- *Summary* provides an overview of the types of physical and economic displacement, usually disaggregated by physically displaced, economically

displaced, and both, listed typically in tabular form. It is important that these figures have a high degree of accuracy and that the categories be clear.

- Description of *project components (including associated facilities)* or *activities* that may potentially result in displacement
- *Description of footprint and area of influence* of such components or activities
- *Scope and scale* of land acquisition and impacts on structures and other fixed assets (could include common property areas; households; businesses [formal, informal, ambulatory, large-scale]; cultural heritage; public facilities [schools, clinics etc.])
- *Project-imposed restrictions on use of, or access to, land or natural resources*, including farming, pastural, and fallow land; fishing grounds; foraging areas; sources of nontimber forest products; pathways; and so forth
- *Alternatives* considered to avoid or minimize displacement and why those were rejected
- *Mechanisms established to minimize displacement* during project construction and operation

II.C. Objectives and Processes

- *RAP objectives* describes what the intended results of the RAP implementation will be.
- *Processes* provides an overview of how the RAP will be implemented, including discussion of the scoping process, stakeholder engagement, grievance mechanism (GM), studies undertaken, and implementation schedule.

II.D. Legal Framework

- *Legal framework* typically includes an overview of constitutional law, international conventions, sectoral laws, and decrees as related to land acquisition and resettlement. As relevant, it should include laws related to land tenure, inheritance, stakeholder engagement, GMs, women's rights and gender-based violence (GBV), cultural heritage, eviction, expropriation and compensation.
- *Applicable legal and administrative procedures* includes a description of the judicial remedies available to displaced persons and the normal time frame for such procedures, and any available grievance redress mechanisms that may be relevant to the project.

- *Laws and regulations* includes those relating to the agencies responsible for implementing resettlement activities.
- *Project/lender policies* includes a summary of policies covering all aspects of resettlement. This will include policies related to land acquisition, compensation, resettlement, gender rights and GBV, stakeholder engagement, GMs, and so forth.
- *A gap analysis* is typically presented as a matrix comparing national legal framework and project/lender policies and the mechanism to bridge such gaps.

II.E. Institutional Framework

- *General framework* describes the relevant national government structures, including agencies responsible for all aspects of land acquisition and resettlement, including restrictions to access natural resources. Includes regional and municipal government entities. Subsections might also include traditional leaders, communal leadership, and so forth. Includes nongovernmental organizations (NGOs) and civil society organizations (CSOs) that may have a role in RAP implementation.
- *Institutional capacity* includes an assessment of the capacity of such governmental agencies, NGOs, and CSOs to support the resettlement/land-acquisition/livelihood-restoration processes.
- *Institutional support* describes measures proposed to strengthen institutional capacity.

II.F. Baseline Studies

Provides an overview of findings of socioeconomic studies conducted in the early stages of RAP preparation, including results of household and census surveys, information on vulnerable groups, information on livelihoods and standards of living, land tenure and transfer systems, use of natural resources, patterns of social interaction, social services, and public infrastructure. See Module 4. Baseline Data Collection for more details.

- *Results of census* of affected households and land and asset survey includes methodology, implementation, and results.
- *Socioeconomic baseline surveys* includes a description of the following, at a minimum:
  - Methodology
  - Implementation

- Results including information on:
  - Characteristics of displaced households and communities (and host communities where relevant)
  - Production systems, labor, household organization, and social networks
  - Livelihoods (including, as relevant, production levels and income derived from both formal and informal economic activities)
  - Standards of living (including health status) of the displaced population
  - Vulnerable groups or persons for whom special provisions may have to be made
  - Private, public, or community infrastructure, property, or services that may be affected
  - Land tenure and transfer systems, including an inventory of common property natural resources from which people derive their livelihoods and sustenance, nontitle-based usufruct systems (including fishing, grazing, or use of forest areas) governed by locally recognized land allocation mechanisms, and any issues raised by different tenure systems in the project area: characterization of affected land
  - Potentially affected cultural heritage
  - Total affected structures, plots of land, households, businesses

- *Summary socioeconomic description, categorization, and characterization* of affected persons, communities, affected land, natural resources, and businesses. Tables summarizing impacts.

III. Valuation and Compensation Methodology

This section describes the company's policies and methodology for valuing assets and providing compensation.

- *Methodology* used in valuing losses to determine replacement costs (including relevant formulas as well as processes for valuation, including updates to valuations)
- *Compensation*, including a description of the proposed types and levels of compensation to include residences, structures, businesses, land, loss of access to natural resources, and loss of all forms of livelihoods

IV. Eligibility and Entitlements

- *Eligibility* includes a definition of displaced persons and criteria for determining their eligibility for compensation and other resettlement assistance, including relevant cutoff dates.
- *Entitlement* describes all categories of affected persons and the options that they are being offered for all losses (including compensation, allowances, assistance and livelihood-restoration measures, resettlement housing). This is preferably provided in tabular form (entitlement matrix). Where relevant, includes host communities.

V. Livelihood Restoration and Improvement

Describes the strategy and measures to be used to restore and improve livelihoods of affected persons.

- *Principles* for eligibility, key aspects of livelihood restoration and improvement entitlements
- *Description of livelihood impacts*, includes impacts related to land-based livelihoods, all categories of business, other non-land-based livelihoods, and livelihoods based on natural resource use
- *Restoration and improvement* of non-land-based livelihoods: employability enhancement, project procurement and employment, support to small and medium enterprise creation and development, and so forth (with details on programs for each category of project-affected person [PAP] requiring livelihood restoration)
- *Restoration and improvement* of land-based livelihoods, such as land for land replacement, capacity building, access to credit, and so forth (with details on programs for each category of PAP requiring livelihood restoration)
- *Restoration and improvement* of wage-based livelihoods, such as vocational training, transitional support, and so forth (with details on programs for each category of PAP requiring livelihood restoration)
- *Gender*, includes supplementary measures to ensure that women have equal or enhanced access to livelihood-restoration measures
- *Vulnerable people,* describes measures to provide additional assistance and support for restoration of vulnerable people's livelihoods
- *Partnerships* for planning and implementation of livelihood restoration and improvement
- Livelihood restoration, specific timeline

VI. Resettlement Housing/ Resettlement/Sites

This section includes the process of resettlement site selection and design and/or resettlement housing design as well as construction.

- *Resettlement site selection* describes institutional and technical arrangements for identifying, acquiring, and preparing relocation sites. Includes engineering and site designs. Includes discussion of alternative site consideration.
- *Housing* includes description of replacement housing and material. Includes architectural designs and photos of model house. Includes description of how entitlements are assigned: room-for-room replacement or by square foot.
- *Construction* describes the process for constructing the replacement houses (self-build, local firms, outsourced, etc.).
- *Infrastructure* outlines plans to provide infrastructure and utilities (e.g., water, electricity, roads) and social services (e.g., schools, clinics), including measures to ensure their maintenance. Includes plans to enhance services for host communities.
- *Relocation* describes how relocation will be conducted and types of assistance provided, including timetables for site preparation and transfer of households. Includes consideration of measures to ensure maintenance of social networks, kinship groups, and existing patterns of group organization.
- *Host communities* defines measures to enhance integration with host communities.
- *Security of tenure* describes measures for regularizing tenure and transferring titles to those resettled.

VII. Stakeholder engagement

The section includes a description of stakeholder engagement and disclosure associated with resettlement planning, including engagement with affected households, local and/or national authorities, relevant community-based organizations and NGOs, and other identified stakeholders, including host communities.

- *Summary* provides an overview of all consultation and engagement efforts related to resettlement planning with all RAP stakeholders. Includes relevant dates and process followed. Provides summary of key issues raised.
- *Stakeholder mapping* provides results of stakeholder analysis and mapping (includes charts and figures).

- *Resettlement committees* describes the role and responsibility of committees, including selection and composition. Summarizes key decisions and concerns.
- *Stakeholder engagement and information disclosure* outlines a plan for ongoing consultation and communication with stakeholders. Includes a summary of the methodology, plan for monitoring and reporting disclosure, time frames, and schedules.

VIII. Grievance Management Mechanisms

Provides an overview of GM to resolve disputes arising from resettlement.

- *Principles*. Outlines GM principles including accessibility, affordability, transparency, cultural appropriateness, and so forth.
- *Significant grievances*. Provides overview of significant grievances submitted prior to completion of RAP (past land acquisition and resettlement, conflicts over land, etc.).
- *Grievance process*. Details methodology for communicating the GM to affected persons: receiving, registering, responding to, monitoring and reporting on grievances. Include grievance flow chart. Include discussion of judicial recourse and third-party mediation.
- *Grievance categories*. Provides description of GM categories. Typically, these include issues with compensation rates, valuation rates, delays in compensation, and so forth.
- *Sexual harassment and GBV*. Describes measures to address complaints related to sexual harassment and GBV, including provision of training to grievance staff and special channels for resolving GBV grievances.
- *Grievance committee*. Describes functioning and composition.
- *Monitoring GM*. Describes monitoring process, including key performance indicators (KPIs).

IX. Vulnerable People

The RAP baseline studies will identify vulnerable people. This section will outline the process for defining vulnerability and efforts made to provide support.

- *Identification*. Presents and discusses the criteria used to identify vulnerable people.

- *Characterization*. Describes and defines vulnerable PAPs.
- *Support measures*. Describes measures to be implemented to provide assistance to physically and/or economically displaced vulnerable people.

X. Monitoring

To include discussions of arrangements for monitoring of resettlement activities by the project, government authorities, and other external auditors.

- *Objectives*. Provides the intended outcomes of RAP monitoring.
- *Internal monitoring*. Describes scope and content.
- *External monitoring*. Describes scope and content.
- *Participatory monitoring*. Describes measures to include affected persons in the monitoring efforts.
- *Indicators*. Provides in tabular form, including KPIs with an accompanying explanation. Includes frequency and targets for KPIs.
- *Implementation schedule*. Outlines the schedule of all internal and external monitoring and completion audits.
- *Reporting*. Describes measures for internal and external reporting, including schedule. Defines which reports will be internal and external.
- *Completion audit*. Describes objectives, process, methodology, and implementation arrangements of completion audit. Provides completion audit indicators and estimated time frame.

XI. Roles and Responsibilities

- *Organizational responsibilities—external*. Describes the external organizational framework for implementing resettlement, including identification of entities responsible for delivery of resettlement measures and provision of services and arrangements to ensure appropriate coordination between agencies and jurisdictions involved in implementation. Include partners in livelihood restoration.
- *Organizational responsibilities—internal*. Provides breakdown of internal roles and responsibilities for RAP implementation, including reporting lines. Includes organizational flow chart. Provides overview of internal coordination meetings and schedule.
- *Capacity building*. Describes measures (including technical assistance) needed to strengthen the implementing entities' capacity to design and carry out resettlement activities, as well as provisions for the transfer to local authorities or resettlers responsibility for managing facilities and services (such as schools, clinics, or water) provided as part of the resettlement.

XII. Implementation Schedule and Change Management

- *Schedule*. Provides a detailed implementation schedule in tabular form with a narrative explanation to cover all key aspects of the resettlement process. Includes a review of compatibility of a resettlement schedule with an overall project construction and development schedule.
- *Change management*. Includes provisions for adapting resettlement implementation in response to unanticipated changes in project conditions, or unanticipated obstacles to achieving satisfactory resettlement outcomes.

XIII. Budget

Provide a budget in tabular form with a narrative explanation of all aspects of RAP Implementation.

Appendix A. Detailed results of the census and socioeconomic survey (Note: Ensure privacy of PAPs in census and survey results)

Appendix B. Household compensation form

Appendix C. Household land and asset survey form

Appendix D. Template of a grievance registration and follow-up form

Appendix E. Terms of reference for external evaluation and completion audit

Appendix H. Annotated Table of Contents for a Livelihood Restoration Plan

I. Executive Summary

The livelihood restoration plan (LRP) executive summary should provide readers with a justification for development of an LRP (versus a resettlement action plan [RAP]). It should provide an understanding of the key issues associated with the LRP: types of impacts with a focus on economic displacement; number of people impacted disaggregated by type of economic displacement; description of livelihood restoration measures, time frame, roles, and responsibilities; overview of policies to which the LRP will be developed; and an overview of the stakeholder engagement and grievance process.

II. Glossary

A key component of the LRP, the glossary provides a description of the key terms used such as *replacement value*. Refer to the Glossary in this handbook.

II.A. Introduction

- Project description provides a summary of the project, including all the components (including associated facilities) and a description of the project footprint, the construction timeline, location, general roles and responsibilities, and project ownership. Includes maps.
- Scope and contents provides an overview of what the LRP will cover and an overview of each of the chapters. Includes a summary of economic displacement impacts and justification for an LRP versus a RAP.

II.B. Project Impacts

This section describes all project impacts related to land acquisition, restrictions to access to natural resources, and any other types of economic displacement, as well as alternatives considered and efforts to minimize impacts and includes:

- *Summary* provides an overview of economically displaced project-affected persons disaggregated by type of economic displacement typically in tabular form. Additional disaggregation can be helpful—for example temporary or permanent displacement. It is important that these figures have a high degree of accuracy and that the categories are clear.
- *Project components (including associated facilities) or activities* that give rise to displacement. Includes maps.
- *Project footprint and area of influence* of project provides components or activities.
- *Scope and scale* of land acquisition and other impacts to economic activities could include impacts to farming, pasture, and fallow land; common property areas; businesses (formal, informal, ambulatory, large scale); and wage earners.
- *Project-imposed restrictions on use of, or access to, land or natural resources* includes fishing grounds, foraging areas, sources of nontimber forest products, and so forth.
- *Alternatives* includes those considered to avoid or minimize displacement and why those were rejected.

II.C. Objectives and Processes

- *LRP objectives* describes what the intended results of the LRP implementation will be.
- *Processes* provides an overview of how the LRP will be implemented, including discussion of scoping process, stakeholder engagement and grievance mechanism (GM), studies undertaken, and implementation schedule.

II.D. Legal Framework

- *Legal framework* typically includes a summary of constitutional law, international conventions and sectoral laws, and decrees as relevant. It includes laws related to land tenure, stakeholder engagement, GMs, women's rights, rights of informal land users, expropriation, and compensation for economic displacement (including crop valuation).

- *Applicable legal and administrative procedures* includes a description of judicial remedies available to displaced persons, the normal time frame for such procedures, and any available GRMs that may be relevant to the project.
- *Laws and regulations* relates to the agencies responsible for implementing economic displacement activities.
- *Project/lender policies* includes a summary of policies covering all aspects of economic displacement. This includes policies related to land acquisition, compensation, gender rights, stakeholder engagement, GMs, and so forth.
- *Gap analysis* is typically presented as a matrix comparing the national legal framework and project/lender policies and the mechanism to bridge such gaps.

II.E. Institutional Framework

- *General framework* describes the relevant national government structures, including agencies responsible for handling economic displacement and restrictions to access natural resources. Includes regional and municipal government entities. Subsections might also include traditional leaders, communal leadership, and so forth. Includes nongovernmental organizations (NGOs) and civil society organizations (CSOs) that may have a role in LRP implementation.
- *Institutional capacity* includes an assessment of the capacity of such governmental agencies and NGOs/CSOs.
- *Institutional support* describes measures proposed to strengthen institutional capacity.

III. Baseline Studies

Provides an overview of findings of socioeconomic studies conducted in the early stages of LRP preparation, including results of household and census surveys, information on vulnerable groups, information on livelihoods, land tenure and transfer systems, business income, use of natural resources, and employee wages. See Module 4. Baseline Data Collection for more details.

- *Census and land and asset survey* of affected economic assets and affected households/businesses includes methodology, implementation, and results.
- *Economic baseline surveys* include a description of the following, at a minimum:
  - Methodology
  - Implementation process

- Results including information on:
  - Characteristics of economically displaced households/businesses/associations
  - Information on livelihoods (including, as relevant, income, production levels, and income derived from formal and informal economic activities, as well as from land users who have no legal right to the land they use)
  - Standards of living of the economically displaced population
  - Vulnerable groups or persons for whom special provisions may have to be made
  - Business, income or subsistence-generating infrastructure, property, or services that may be affected
  - Land tenure and transfer systems (for productive land), including an inventory of common property natural resources from which people derive their livelihoods and sustenance, non-title-based usufruct systems (including fishing, grazing, or use of forest areas) governed by locally recognized land allocation mechanisms, and any issues raised by different tenure systems in the project area; characterization of affected land
  - Detailed assessment of all affected businesses and employees (formal, informal, ambulatory, brick and mortar)
  - Total businesses, workers, business structures, fields, and so forth

- *Summary socioeconomic description*, *categorization, and characterization* of affected persons, communities, affected land, natural resources; and businesses; tables summarizing impacts; description of project-affected persons' preferences for compensation and livelihood-restoration measures.

IV. Valuation and Compensation Methodology

- *Methodology* used in valuing losses to determine replacement costs, including relevant formulas and processes for valuation, including updates to valuations
- *Compensation*, including a description of the proposed types and levels of compensation to include businesses, business structures, loss of access to natural resources, and loss of wages, as well as transitional support and so forth

V. Eligibility and Entitlements

- *Eligibility* includes the definition of displaced persons and criteria for determining their eligibility for compensation and other livelihood-restoration assistance, including relevant cutoff dates. Might include business owners, landlords, farmers, employees, and so forth.
- *Entitlement* describes all categories of affected persons, businesses, and economic activities and the options that they are being offered for all losses (including compensation, allowances, assistance, and livelihood-restoration measures). This is preferably provided in tabular form (entitlement matrix).

VI. Livelihood Restoration and Improvement

Describes the strategy and measures to be used to restore and improve livelihoods of affected persons.

- *Principles* for eligibility, key aspects of livelihood restoration and improvement entitlements
- *Summary of livelihood impacts*, includes impacts related to land-based livelihoods, all categories of business, other non-land-based livelihoods, and livelihoods based on natural resource use and wage earners
- *Restoration and improvement* of non-land-based livelihoods (employability enhancement, project procurement and employment, support to small and medium enterprise creation and development); land-based livelihoods (replacement of land and enhanced agriculture, etc.); and natural resource–based livelihoods (replacement fishing grounds, forests etc.). (Provide details on programs for each category of project-affected person requiring livelihood restoration)
- *Gender*, including supplementary measures to ensure that women have equal or enhanced access to livelihood-restoration measures
- *Vulnerable people*, including measures to provide additional assistance and support for restoration of vulnerable people's livelihoods
- *Partnerships* for planning and implementation of livelihood restoration and improvement

VII. Replacement Business Structures

If the project is planning to rebuild previous structures or construct new business structures (e.g., market stalls), provide details in this section.

- *Replacement business structures* summarizes structures to be rebuilt or plans to build new structures. Includes institutional and technical arrangements for identifying, acquiring, and preparing sites; engineering and site designs; and discussion of alternative site considerations.
- *Construction* describes the process for constructing the replacement structures (self-build, local firms, outsourced, etc.).
- *Infrastructure* outlines plans to provide infrastructure and utilities (e.g., water, electricity, roads), including measures to ensure their maintenance.
- *Relocation* describes how relocation will be conducted and types of assistance provided, including timetables for site preparation and transfer of businesses. Includes consideration of measures to ensure maintenance of economic networks.
- *Security of tenure* describes measures for regularizing tenure and transferring titles to those businesses being resettled.

VIII. Stakeholder Engagement

The section includes a description of stakeholder engagement and disclosure associated with economic displacement planning, including engagement with affected households and businesses, local and/or national authorities, relevant CBOs and NGOs, and other identified stakeholders, such as host communities.

- *Summary* provides an overview of all consultation and engagement efforts related to planning with all RAP stakeholders. Includes relevant dates and process followed. Provides summary of key issues raised.
- *Stakeholder mapping* provides results of stakeholder analysis and mapping. Includes charts and figures.
- *Resettlement committees* describes role and responsibility of committees, including selection and composition. Summarizes key decisions and concerns.
- *Stakeholder engagement and information disclosure* outlines the plan for ongoing consultation and communication with stakeholders. Includes summary of methodology, plan for monitoring and reporting disclosure, time frames, and schedules.

IX. Grievance Management Mechanisms

Provides an overview of GM to resolve disputes arising from resettlement.

- *Principles*. Outlines mechanism principles, including accessibility, affordability, transparency, cultural appropriateness, and so forth.
- *Significant grievances*. Provides overview of significant grievances submitted prior to completion of LRP (past land acquisition and resettlement, ownership disputes, etc.).
- *Grievance process*. Provides methodology for communicating GM to affected persons—receiving, registering, responding to, monitoring, and reporting on grievances. Includes grievance flow chart and discussion of judicial recourse and third-party mediation.
- *Grievance categories*. Provides description of GM categories. These typically include issues with compensation rates, valuation rates, delays in compensation, and so forth.
- *Sexual harassment and GBV*. Provides measures to address complaints related to sexual harassment and GBV, including specific channels for receiving and resolving these types of grievances.
- *Grievance committee*. Describes functioning and composition.
- *Monitoring GM*. Describes monitoring process including KPIs.

X. Vulnerable People

The LRP baseline studies identify vulnerable people. This section outlines the process for vulnerability and efforts made to provide support.

- *Identification*. Presents and discusses the criteria used to identify vulnerable people.
- *Characterize*. Describes and defines vulnerable project-affected persons.
- *Support measures*. Describes measures to be implemented to provide assistance to economically displaced vulnerable people.

XI. Monitoring

Includes discussions of arrangements for monitoring of compensation and livelihood-restoration activities by the project, government authorities, and other external auditors.

- *Objectives*. Provides the intended outcomes of RAP monitoring.
- *Internal monitoring*. Describes scope and content.
- *External monitoring*. Describes scope and content.

- *Participatory monitoring*. Describes measures to include affected persons in the monitoring efforts.
- *Indicators*. Provides in tabular form, including KPIs with an accompanying explanation. Includes frequency and targets for KPIs.
- *Implementation schedule*. Outlines the schedule of all internal and external monitoring and completion audits.
- *Reporting*. Describes measures for internal and external reporting, including schedule. Defines which reports will be internal and external.
- *Completion audit*. Describes objectives, process, methodology and implementation arrangements of completion audit. Provides completion audit indicators and estimated time frame.

XII. Roles and Responsibilities

- *Organizational responsibilities—external*. Describes the external organizational framework for implementing LRP, including identification of partners responsible for delivery of livelihood-restoration measures and provision of services and arrangements to ensure appropriate coordination between agencies and jurisdictions involved in implementation.
- *Organizational responsibilities—internal*. Provides breakdown of internal roles and responsibilities for LRP implementation including reporting lines. Include organizational flow chart. Provide overview of internal coordination meetings and schedule.
- *Capacity building*. Describes measures (including technical assistance) needed to strengthen the implementing entities' capacity to design and carry out livelihood-restoration activities, provisions for the transfer to local authorities or resettlers themselves of responsibility for managing facilities and services provided under the project, and for transferring other such responsibilities from the resettlement implementing entities, when appropriate.

XIII. Implementation Schedule and Change Management

- *Schedule*. Provides a detailed implementation schedule in tabular form with a narrative explanation to cover all key aspects of the LRP process. Includes a review of compatibility of the resettlement schedule with overall project construction and development schedule.

- *Change management*. Provides for adapting resettlement implementation in response to unanticipated changes in project conditions or unanticipated obstacles to achieving satisfactory resettlement outcomes.

XIV. Budget

Provides a budget in tabular form with narrative explanation of all aspects of LRP Implementation. Discuss.

Appendix A. Detailed results of the census and socioeconomic survey (Note: ensure privacy of project-affected persons in census and survey results.)

Appendix B. Household/business compensation form

Appendix C. Household/business land and asset survey form

Appendix D. Template of a grievance registration and follow-up form

Appendix E. Terms of reference for external evaluation and completion audit

Appendix I. Template for Terms of Reference: Scoping Process for a RAP/LRP

This appendix provides suggested terms of reference (TOR) for consultants to be used when requesting proposals for scoping a resettlement.

I. Project Description

Insert project description, with key elements relevant to the scoping TOR. Include maps, description of all facilities (direct and associated), schedules, description of known footprint and area of influence, and characterization of affected communities.

II. Objectives of the Scoping

The following are examples of objectives for a resettlement action plan (RAP) scoping process:

- Clearly define the extent of the project footprint, area of influence, and land requirements, according to the stage of the project.
- Conduct preliminary characterization of communities and people living in the proposed project footprint and their livelihoods, including knowledge of the diversity of people.
- Identify, screen, and prioritize at an early stage the range, types, magnitude, and complexity of likely environmental, social, and economic issues, impacts, and risks resulting from land acquisition and physical and/or economic displacement.
- Assess land-acquisition alternatives and work with project designers, engineers, and the affected community early on to avoid or minimize physical or economic displacement.
- Develop a land-acquisition strategy and work plan, including the design of consultation with affected communities and households, local authorities, and other directly affected stakeholders. Define whether a RAP or livelihood restoration plan (LRP) is required.

- Provide preliminary guidance on baseline data collections, surveys, and assessments to enable an efficient resettlement-planning and implementation process.
- Identify risks of gender-based violence (GBV), as well as potential for women to be differentially affected or limited in their ability to share in project benefits.
- Provide preliminary recommendations for livelihood-restoration approach.
- Provide guidance on best approach for replacement housing—self-build, resettlement village, and so forth.
- Develop a preliminary approximate cost estimate of likely compensation measures for resettlement and livelihood restoration.
- Provide guidance on the level of effort required for RAP implementation, including suggested staffing, resources, and potential partners.

III. Scope of Work

Task 1: Perform a desk review of all relevant existing data (engineering reports, socioeconomic studies, legal frameworks, project/lender policies, maps, etc.) (see table 1.2. Scoping Desk Review of Key Aspects Land Acquisition).

Task 2: Onsite, work with engineers/construction manager to define impacts to land and communities and to identify project footprint and area of influence.

Task 3: Work with a social relations team to ensure a preliminary stakeholder engagement plan (SEP) and grievance mechanism are in place and communicated to stakeholders. Ensure communities are familiar with scoping exercise.

Task 4: Characterize and map project impacts to households, communities, businesses, natural resources, livelihoods, and so forth. (Attach Appendix A. Scoping-Stage Checklist to TORs.)

Task 5: Characterize project-affected households and communities.

Task 6: Assess design alternatives to minimize impacts. Identify and assess potential resettlement sites and replacement land, as well as replacement access to natural resources.

Task 7: Define the regulatory framework, including legislative and project/lender policies; identify gaps with national law and project/lender policies; assess and characterize government capacity with regard to resettlement; and identify opportunities for alignment with government on land-acquisition and resettlement approaches and strategies. Identify potential partners.

Task 8: Provide guidance on census and other baseline studies. Identify risks of opportunistic settlements prior to cutoff.

Task 9: Ensure a dcommunity grievance procedure is in place and broadly communicated.

Task 10: Develop a land-acquisition strategy and work plan, including the design of consultation with affected communities and households, local authorities, and other directly affected stakeholders. Include recommended roles and responsibilities and resources. Include recommended livelihood-restoration measures.

Task 11: Develop a preliminary approximate cost estimate of land acquisition/resettlement and all associated compensation/allowances/restoration.

Task 12: Present a draft Scoping Report to the project team.

Task 13: Provide a final report to the project team.

IV. Schedule and Budget

This section will describe the time frame requirement for preparation of the RAP/LRP and budget.

V. Deliverables

- *Draft Scoping Report:* to be completed within two weeks of finalizing work
- *Final Scoping Report:* to be completed within one month after receiving comments to draft report

VI. Skills and Composition of Consultant

The consultant team must have experience in (i) land law and acquisition, resettlement planning, implementation, and livelihood restoration; (ii) gender and GBV; (iii) local land-use and tenure systems (statutory and customary, as applicable); (iv) relevant project experience; (v) skills in the predominant language and in-country experience; (vi) familiarity with international standards; and (vii) familiarity with all aspects of stakeholder engagement.

It is expected that the scoping team will include one senior experienced international specialist and a local specialist with a sound knowledge of the project area and people. The consultant will propose other specialists in different fields of expertise.

VII. Scoping Report: Sample Table of Contents

Table I.1. Scoping Report Table of Contents

CHAPTER	CONTENTS
1. Introduction	*Project description:* Outline project description and local context, project footprint and area of influence, and ancillary facilities. *Scoping:* Outline scoping activities undertaken and any limitations. *Strategy:* Outline proposed policies, principles, and approach to land acquisition. *Project impacts, risks, and magnitude of displacement:* Outline key potential project impacts and risks and a preliminary estimate of extent of physical and/or economic displacement, disaggregated by sex and gender. Include challenges and potential mitigation measures, including avoidance and minimization of displacement. *National legislative and regulatory framework and Performance Standard requirements:* Outline national requirements to undertake land acquisition and potential measures to close any gaps with PS. *Displacement cost estimates:* Outline potential compensation entitlements and, if feasible at this stage, preliminary indicative total cost estimates of resettlement and livelihood restoration.
2. Alternatives	Identify any possible changes to the project footprint to minimize land-acquisition impacts, including features, communities, or cultural heritage that must be avoided where possible.
3. Information gaps	*Information required:* List types of information necessary for detailed resettlement planning, summarize the quality and reliability of existing data, and outline information gaps.
4. Consultation and information disclosure	*Stakeholder Engagement Plan:* Outline proposed activities to include in the project SEP to specifically and adequately address stakeholder engagement required for land acquisition and resettlement. Summarize consultations to date and issues raised, list key stakeholders and any additional identification required, and indicate an appropriate level of participation by affected communities and means to achieve alignment with the overall project SEP (refer to Module 3. Stakeholder Engagement).

(*Table continued on next page*)

Table I.1. *(Continued)*

CHAPTER	CONTENTS
	Disclosure: Indicate potential means of information disclosure regarding the project footprint, area of influence, and resettlement process. *Grievance mechanism:* Outline any grievances to date and indicate what additional measures and resources may be required (including design of the GM and staff resources) to ensure that the GM adequately addresses land-acquisition issues, also taking into account specific measures to address grievances from vulnerable groups and survivors of GBV.
5. Baseline data collection	*Framework:* Outline a preliminary compensation entitlement framework (refer to Module 2. Planning Land Acquisition and Involuntary Resettlement) to inform the extent of baseline data required for planning, implementation, monitoring, and evaluation. *Activities:* List and outline appropriate research studies and surveys required to collect baseline data and close information gaps (e.g., socioeconomic profiles, vulnerable groups, GBV, census, land tenure systems, land ownership and land-use rights, asset inventories, asset valuation). *Resources:* Indicate likely specialists and range of skills (researchers, surveyors, asset valuers, assistants, etc.) required to complete baseline data collection. Also list potential equipment and supplies required: satellite imagery, aerial photographs, global positioning system (GPS) and other survey equipment, and so forth.
6. Resettlement planning	*Scale required:* Concept, framework, detailed, or supplementary RAP (refer to Module 2. Planning Land Acquisition and Involuntary Resettlement); outline a proposed table of contents. *Activities:* List key actions (planning consultation, selection of alternate relocation sites, compensation negotiations, and provision of legal advice) required to prepare the RAP. *Resources:* Indicate likely specialists and range of skills required to compile the RAP: for example, planners, architects, building specialists, engineers, and legal advisers. *Responsibilities:* Outline responsibilities for resettlement planning (especially with respect to government-led resettlement).

(*Table continued on next page*)

Table I.1. *(Continued)*

CHAPTER	CONTENTS
7. Livelihood restoration planning	*Scale required:* Outline the extent of livelihood-restoration planning required and proposed table of contents. *Activities:* List key actions (planning consultation, assessment of livelihood-restoration alternatives) required to prepare an LRP. *Resources:* Indicate likely specialists and range of skills (crop farming, animal husbandry, business and entrepreneurial development, women's economic empowerment, financial management, etc.) required to compile the LRP. *Roles and responsibilities:* Outline responsibilities for planning, especially regarding government-led resettlement, which may not specifically address livelihood restoration. The role and focus of the LRP team differ from the community development team. Keep these teams separate but coordinate activities.
8. Organizational structures and resources	*Overarching organization:* This is provided by the project management land-acquisition team, steering committee, and working group (project, government, and community representatives). *Teams required:* Outline the organizational structure and reporting lines: • Stakeholder engagement/community liaison team • Baseline data collection team • Resettlement-planning team • Livelihood-restoration planning team *Resources:* Indicate overall size commensurate to magnitude of displacement and likely team members (including skills, roles, and responsibilities).
9. Schedules	*Timelines:* Outline and illustrate phased steps to complete stakeholder engagement, baseline data collection, resettlement, and livelihood-restoration planning.
10. Budgets (to prepare a RAP/LRP)	*Detailed cost schedules:* Itemize costs (activities, personnel, equipment, travel and subsistence, report production, etc.) to undertake stakeholder engagement, baseline data collection, resettlement, and livelihood-restoration planning.

Appendix J. Template for Terms of Reference: Preparation of a RAP/LRP

This appendix provides suggested TOR for consultants to be used when requesting proposals for a resettlement action plan (RAP). The following provides a sample table of contents for the RAP/livelihood restoration plan (LRP) TOR.

I. Background and Introduction

This section presents a summary of the proposed project in terms of the project developer, project components, and associated land impacts, schedule, and characterization of project-affected persons based on findings of the Scoping Report.

II. Objectives of the RAP/LRP

The client is to confirm standards to be adopted by the land-acquisition and resettlement exercise. Typically, this is found in national regulations and lenders requirements and will have been defined in the scoping report. The objectives of the RAP/LRP include the following:

- To prepare a RAP or LRP in conformance with the project's policies to avoid or mitigate impacts; to provide compensation for loss of assets at replacement cost; to restore (or improve) livelihoods of affected persons; and to do so in ongoing consultation with affected persons
- To conduct the relevant socioeconomic studies (typically census, household surveys, as well as focus groups) to adequately characterize and identify the impacts to households, communities, and businesses associated with acquisition of land and restrictions to resources
- To conduct stakeholder engagement with the relevant affected persons and authorities to make informed decisions and build toward a social license to operate

III. Tasks

III.A. Project Management

The consultant is to appoint a project manager with extensive experience in preparing a RAP/LRP that meets requirements of the host country and applicable international standards. The project manager will be responsible for the day-to-day implementation of the RAP/LRP work, including regular updates to the client and timely delivery of the final products.

III.B. Desk Review

The consultant will conduct a desk review of all relevant available data to include engineering reports, maps, scoping reports, national laws, socioeconomic studies, environmental and social impact assessments, and so forth.

III.C. Description of the Regulatory Framework

- Identify national and regional land-acquisition and resettlement legal requirements, permitting procedures, and compensation eligibilities.
- Identify international financing requirements.
- Identify project policies and principles.
- Identify and bridge gaps between the above three and state project land-acquisition and resettlement strategies.

III.D. Project Impacts

- Identify types of project land use (including restriction of land access): direct and indirect, permanent and temporary.
- Prepare impact tables that detail each category of affected land, assets, and persons, including livelihoods.
- Document the project resettlement minimization process and outcomes.

III.E. Identification of Affected Persons, Communities, and Resources

Identify project-affected persons, communities, and resources through the following field surveys and participatory appraisal techniques:

- *A census* to enumerate all affected persons and register them according to location (working with project community relations team and government

to establish cutoff date and process; ensuring cutoff process is defined and implemented)

- *An inventory* of lost and affected assets at the household, enterprise, and community levels
- *Socioeconomic surveys and studies* of all affected persons (including seasonal, migrant, and host communities, vulnerable peoples), ensuring data can be disaggregated by sex
- *Socioeconomic studies and assessments of livelihoods*
- *Analysis of surveys and studies* to establish compensation parameters to design appropriate income restoration and sustainable development initiatives that promote gender equality, and to identify baseline monitoring indicators
- *Consultation* with diverse groups of people within affected populations regarding mitigation measures and development opportunities; focus groups with women, underrepresented people, and vulnerable people; identification of ways that the resettlement process could differentially impact women

III.F. Stakeholder Engagement and Public Disclosure

- Map key stakeholders and develop specific strategies of engagement throughout the RAP/LRP process. Include host communities if physical displacement requires a resettlement site.
- With client conduct stakeholder engagement consultation prior to cutoff and prior to commencement of baseline studies:
    - Confirm that a grievance mechanism is in place and functional.
    - Work with client to establish resettlement committee(s) if necessary.

Client will list disclosure requirements in this section.

III.G. Eligibility Criteria and Compensation

The consultant will do the following:

- *Establish criteria for determining the resettlement eligibility of affected households:* Eligibility criteria must be advantageous to women and other vulnerable groups, including those without legal title to assets. The eligibility criteria will be disclosed to affected communities and other project stakeholders as part of task 5. Feedback from the disclosure process will be used in the delivery of compensation and or livelihood restoration.

- *Prepare an entitlements matrix listing all likely impacts and identifying the following:*
  - All categories of affected persons
  - All types of loss associated with each category
  - All types of compensation and assistance to which each category is entitled
- *Prepare standards for compensation and livelihood restoration:* Prepare a formula for setting full replacement costs for assets lost, including land, businesses, and crops. Establish options for culturally acceptable replacements for lost services, cultural sites, common property, or access to resources for subsistence, income, or cultural activities. Define measures for restoration of livelihoods and ensure options promote gender equality.
- *Prepare options for relocation and income restoration:* These will build on the existing social, economic, and cultural parameters of both displaced persons and host communities. Provide for relocation costs, lost income, and income support during transition. Where appropriate, prepare relocation plans, including selection and preparation of relocation sites. Make provisions for landownership, tenure, and transfer and access to resources.
- *Where relevant, develop blueprint and plans for replacement housing.*
- *Where incomes must be restored, plan for needs assessment, employment generation, identification of replacement land, and other livelihood-restoration measures*. Develop a plan for restoration of livelihoods defining process, compensation measures, partners, time frame, and so forth. Where affected persons are to change their occupation, provide for training and vocational support mechanisms. Review the likely environmental impact of the resettlement process and build in plans to mitigate any adverse environmental effects.
- *Make special provision for vulnerable groups:* Assess the risks of GBV throughout the resettlement process. Make provisions for additional support to vulnerable people.

III.H. Grievance Mechanism

Strengthen grievance and dispute mechanisms and include as part of the RAP/LRP. The process shall clearly describe how affected persons will seek redress for grievances regarding any aspect of the RAP/LRP. The process should give special attention to women and members of vulnerable groups to ensure they have equal access to grievance redress procedures. The process should be suitable for receiving grievances about incidents of sexual exploitation and abuse during the resettlement. In many cases, this will mean the development of a specially trained staff and a streamlined process for receiving and resolving these kinds of grievances.

III.I. Implementation Process

Prepare a time frame and implementation schedule for land acquisition and resettlement in conjunction with the agreed implementation schedule for project components, showing how affected persons will be informed, to include cutoff, compensation, moving households, livelihood restoration, monitoring, and the completion audit. Include roles and responsibilities: government, partners internal to the project, and consultants.

III.J. Change Management

Include process for being able to adjust the RAP/LRP and to document these changes.

III.K. Monitoring

Prepare a monitoring plan, identifying the responsibilities, time frame, and some key indicators. This will include ongoing monitoring by key agencies supplemented by an independent evaluation. Specify the time frame for monitoring and reporting. Define time frame and process for completion audit.

III.L. Budget

Prepare an indicative budget. Identify indicative land-acquisition and resettlement costs. Prepare budgetary allocation and timing. Specify sources of funding and the approval process. Prepare an annual budget estimate for resettlement by major category of expenditure.

IV. Deliverables

Present the requirements and time frame for all deliverables.

- Draft RAP/LRP (see Appendix G and Appendix H for contents of a RAP/LRP)
- Final RAP/LRP

V. General Requirements of Consultant

The RAP/LRP contractor will provide a team with the requisite skills to carry out the tasks to achieve a RAP/LRP that meets the task requirements outlined above. The team will include experts with demonstrated expertise in the following areas: resettlement, socioeconomic studies, land-use planning, architecture, stakeholder engagement, livelihood restoration, land law and acquisition, resettlement planning, implementation and livelihood restoration, gender and GBV; local land-use and tenure systems (statutory and customary, as applicable); relevant project experience; skills in the predominant language; in-country experience, and familiarity with international standards.

It is expected that the scoping team will include one senior experienced international specialist to project manage and lead the team and a local consultant with a sound knowledge of the project area and people. The consultant will propose other specialists in different fields of expertise. The team should be gender diverse.

VI. Schedule and budget

This section will describe the time frame requirement for preparation of the RAP/LRP and budget.

Appendix K. Resettlement Compliance Reviews: Template for Terms of Reference

This appendix provides suggested TOR for consultants to be used when requesting proposals for resettlement compliance reviews.

I. General Requirements of Contractor

I.A. Capabilities

The compliance reviewer should have significant and demonstrated international experience in resettlement (planning, implementation, and monitoring), including land acquisition, expropriation, livelihood restoration, and stakeholder engagement, and should be familiar with the application of international resettlement standards such as IFC PS5 in the context of (COUNTRY).

I.B. Time Frame

This section of the TOR should describe the time frame requirement for compliance reviews (frequency and duration of reviews during the different phases of the land-acquisition and resettlement process).

II. Scope and Tasks of the Resettlement Compliance Auditor

The scope of work of resettlement compliance reviews should include the following:

II.A. General

- Assess overall compliance of the actual implementation of land acquisition and resettlement with RAP/LRP objectives, commitments, and government and lenders' policies and standards on land acquisition and involuntary resettlement.

- Verify progress on the recommendations that the compliance reviewer made during previous visits.
- Interview a representative cross-section of affected households (including, as relevant, women-headed households, informal or customary owners, nonowners, both physically and economically displaced people, and other meaningful categories in the context of the project) and enterprises (both formal and informal) to accomplish the following:
    - Assess the extent to which the standards of living and livelihoods of displaced households are being (or have been) restored or enhanced.
    - Measure whether households have been sufficiently and adequately informed and consulted with, including female members.
    - Gather opinions on entitlement delivery, including compensation payment, resettlement housing, livelihood-restoration measures, and grievance management.
- Use panel surveys (visiting the same households during each of the reviews over the entire resettlement period).
- Use socioeconomic and satisfaction surveys carried out by the project to assess alignment with RAP/LRP (and to provide guidance on implementation and ongoing internal monitoring).
- Check on the resolution of a cross-section of grievances (interview aggrieved people, inspect sites as warranted to ascertain the substance of the grievance, conduct focus groups with women, and review the proposed resolution).
- Check the accessibility, transparency, documentation, and gender-equity of the grievance management system.
- Assess the ongoing level of project support or social license to operate within the different affected groups (including all abovementioned relevant categories).

II.B. Resettlement and Compensation Process, Delivery of Entitlements

- Review whether entitlements were delivered and implemented on time (as set out in the RAP/LRP implementation schedule); address all categories of project-affected persons in the review, including women and other relevant groups.
- Assess whether compensation is at full replacement cost or whether updates to compensation rates may be necessary, based on quantitative price surveys done internally by the project.
- Review the quality and long-term sustainability of resettlement housing and quality of living therein, including (as relevant) thermal comfort,

sustainability and durability of construction techniques, water supply, cooking conditions, heating techniques and related expenses, sanitation, and convenience of toilets and bathrooms. Make sure that women can express their views on these issues.

- Review the potential for environmental impacts associated with construction of resettlement sites and housing, as well as with solid and liquid waste generated by the future population at the resettlement site.
- Review the potential for issues with working conditions associated with construction of resettlement sites and housing.
- Review any gender issues associated with delivery of compensation, including access to compensation cash by women where compensation is delivered totally or partially in cash, and risks of gender-based violence.
- Review any issues associated with delivery of entitlements to vulnerable people, including whether vulnerability factors such as disability or health issues have been considered in the resettlement site and housing design.
- Review measures taken to avoid or mitigate the potential negative effects of cash compensation, including training in cash management and other activities.

II.C. Livelihood Restoration

- Review any livelihood-restoration programs and the extent to which they are assisting in providing replacement/alternative livelihoods for affected households to help offset the impacts of displacement and promoting gender equality.
- Review enrollment mechanisms. (Is everyone participating? Are enrollment processes fair to all categories of affected persons, including women, vulnerable people, and other relevant groups?)
- Verify implementation of measures to restore or enhance the quality of life and livelihoods of both men and women in displaced households and assess their effectiveness.
- Check the adequacy of resources dedicated to livelihood restoration against commitments in the RAP/LRP and actual needs of the programs.
- Assess the extent to which the quality of life and livelihoods of both men and women in affected communities are being restored and/or improved, through replicate surveys and research (quantitative and qualitative) undertaken by the project.
- Identify households whose livelihoods have not been restored.

II.D. Monitoring

- Review internal monitoring and reporting procedures for conformity with the RAP/LRP, particularly whether indicators are gathered per commitments in the RAP/LRP (frequency).
- Review the quality of data gathering, processing, and storage procedures.
- Review the adequacy of monitoring indicators against actual impacts.
- Review the extent to which gender issues have been successfully considered.
- Review internal monitoring and grievance records and identify any potential areas of noncompliance, systemic or recurrent problems, or potentially disadvantaged groups or households that have not received adequate assistance.

II.E. Grievances

- Review grievance records for evidence of any significant noncompliance or recurrent poor performance in resettlement implementation or grievance management.
- Meet a cross-section of aggrieved individuals with different types of grievances (both ongoing and closed) and check on the fairness and transparency of the grievance management process.

II.F. Vulnerable People

- Appraise systems to identify, track, and provide assistance to vulnerable people and assess compliance with the RAP.
- Check that all categories of potentially vulnerable people are adequately addressed by proper assistance measures.
- Assess interaction with government agencies in charge of delivering social welfare services.

II.G. Implementation

- Assess whether there are adequate resources to implement the RAP and any training or capacity building requirements, including in relation to assistance to vulnerable people and livelihood restoration.
- Review the gender balance of staff dedicated to engagement with affected communities.

- Make sure that the team is inclusive enough to reflect the diversity of the affected groups, particularly, but not only, in terms of language abilities.
- Identify any bottlenecks in resources human and material and provide recommendations for staffing or other resource enhancement as relevant.
- Assess the data management system and its outputs and outcomes (including whether data are current, stored, and secure) and whether personal data protection legal requirements are met by the project.
- Compare progress against the initial schedule and assess whether any extensions may be needed, particularly in terms of resources.
- Review any situations of corruption or extortion and the way they have been managed.
- Review government participation and actual delivery by government on commitments made per the RAP/LRP, including in terms of infrastructure at resettlement sites.
- Review the performance of any other third parties involved in the RAP implementation, including those working in relation to livelihood restoration and assistance to vulnerable people.

III. Reports of Resettlement Compliance Auditor

Reports of each review are brief and contain the following:

- A description of key findings and an assessment of project compliance and performance against key requirements of PS5 and commitments in the RAP or LRP
- A ranking of observed noncompliances (critical, major, minor)
- A list of recommendations and corrective actions with a ranking of their priority
- An assessment of the implementation of recommendations and corrective actions made previously

Appendix L. Resettlement Completion Audit: Template for Terms of Reference

This appendix provides suggested TOR for consultants to be used when requesting proposals for resettlement completion audits.

I. General Requirements of Completion Audit Contractor

I.A. Capabilities

The consultants in charge of the completion audit should have significant and demonstrated international experience in resettlement (planning, implementation, and monitoring), including land acquisition, expropriation, livelihood restoration, gender, and stakeholder engagement and should be familiar with the application of international resettlement standards such as IFC PS5 in the context of (COUNTRY).

I.B. Time Frame

This section of the TOR should describe the time frame requirement for the completion audit (suggested time frame for typical projects: six months, including surveys). The services should be broken down into three phases as follows:

- Scoping of completion audit and preparation of detailed TOR for surveys (typically one month)
- Research and surveys qualitative and quantitative, contracted separately (typically three months)
- Completion review and report write-up (typically one month)

I.C. List of Available Documentation

This section of the TOR should provide the list of available documentation. As a minimum:

- RAP (or LRP)
- ESAP and/or ESMP
- Internal monitoring reports
- Initial baseline reports
- Initial socioeconomic questionnaires and raw data
- Compliance review reports

II. Project Background

This section of the TOR should provide essential elements of the project description, as well as a description of key displacement impacts (economic and physical) and of the compensation, resettlement, and livelihood-restoration strategy.

III. Scope of Work

III.A. General

The objectives of the resettlement completion audit are the following:

- Determine whether requirements of PS5, key commitments made in the RAP (or LRP, as the case may be), and other commitments deriving from the ESMP, ESAP, or any other relevant documentation, have been met by the sponsor.
- Assess the effectiveness of measures to avoid and minimize displacement impacts by comparing actual project impacts on land and people versus those documented in the RAP/LRP.
- Verify that entitlements described in the RAP/LRP have been delivered.
- Determine whether RAP/LRP measures have been effective in enhancing (or, at a minimum, restoring) affected persons' living standards and livelihoods.
- Check on any systemic grievances that may have been left outstanding.
- Identify any corrective actions necessary to achieve completion of RAP commitments.

III.B. Scoping Phase

The scoping phase of the Resettlement Completion Audit will include the following tasks:

- Review of available documentation, including RAP (or LRP) and compliance review reports
- Based on the above review and on the monitoring commitments in the RAP/LRP:
    - Establish a list of key compliance indicators against which the completion audit will seek to check compliance of the actual project performance
    - Establish clear completion objectives based on commitments in the RAP/LRP, (e.g., XX% of affected households have improved or restored their livelihoods)
    - Submit the list of key compliance indicators and the compliance criteria to the client for review and endorsement as part of the completion audit scoping report
    - Ensure that compliance criteria include a review of any differential RAP/LRP impacts on women
- Site visit, rapid review of key resettlement issues, and engagement with the client, project-affected persons (or their representatives), including women, and key stakeholders, including local government authorities and any government agencies involved in the RAP/LRP planning, implementation, and monitoring
- Detailed review of baseline surveys, including data storage and the possibility of processing the baseline data and comparing to data acquired as part of the completion audit
- Preparation of a detailed strategy for replicate surveys to be undertaken as part of the completion audit, including both qualitative research and quantitative surveys, and development of an implementation plan (timeline, resources, and procurement strategy if research and surveys are outsourced)
- Development of a completion audit scoping report, including key compliance indicators and survey strategy

III.C. Surveys

Surveys will be implemented under the client's responsibility (either internally or outsourced) based on the strategy established by the resettlement completion audit consultant in the scoping stage.

III.D. Assessment of Completion

A comparison of the socioeconomic circumstances of project-affected persons will be carried out using both qualitative research and quantitative surveys for the changes between the baseline studies and post-resettlement monitoring. Comparisons will be disaggregated by gender, by project-affected person category (e.g., economically and physically displaced), and along any relevant social or economic parameter (vulnerable, ethnic group, community, geographic area, etc.). Where needed and/or appropriate, statistical tests will be carried out to ascertain the significance of the observed differences.

- *Qualitative:* Compare qualitative indicators, such as the following (suggested list, to be complemented to match the characteristics of the project and area):
    - Perceived quality and safety of housing
    - Perceived quality of life, including, but not limited to insertion in social networks, access to social and cultural events, quality of environment, reduced risks of GBV, gender equality, and so on
    - Perceived standards of living for both men and women, including income and perceived evolution with the resettlement (or compensation) process, access to assets, access to livelihood streams such as agricultural land (quantity and quality) and employment, access to services including education and health, and access to utilities including power, water, and sanitation
    - Use of cash compensation (where relevant) and perceived impact of compensation on the household economy, factoring in gender differences in usage and perceptions of impacts
    - Perceived changes in gender equality, gender distribution of household tasks and responsibilities, reduced risks of GBV, and respective female and male access to services, utilities, land, employment, and sources of income
    - Perceived changes in household economy, including any increase in expenditures associated with resettlement, diminution of ability to consume self-produced agricultural products, and access to natural resources including fuelwood and/or other important natural products
- *Quantitative:* Compare quantitative indicators such as the following (suggested list, to be complemented to match the characteristics of the project and area):
    - Income from different sources (as relevant: agriculture, employment, informal and formal business, social welfare allowances, remittances, pensions, etc.)
    - Expenditures: cost of housing, water, power, food

- Access to agricultural land (number of hectares/acres available to household, transportation time to agricultural land); quality of land, crops, and harvests
- Transportation time to employment areas and other areas important to peoples' lives and livelihoods
- Morbidity, with particular focus on diseases that may have environmental causes, such as waterborne and respiratory diseases
- Quality of housing
- Quality of replacement land
- Access to schools, clinics, and other social services

Any outstanding grievances and court cases shall be reviewed.

Finally, a systematic qualitative review of all commitments made in the RAP/LRP shall be carried out, and detailed completion tables for all these commitments shall be prepared.

III.E. Completion Audit Report

The Completion Audit Report, which typically is disclosed publicly, shall reflect all relevant conclusions of the completion audit. For commitments for which the auditor concludes completion has not been reached, a detailed corrective action plan (activity, responsibilities, time frame, success indicators, etc.) shall be prepared.

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