

# Land Acquisition and Resettlement Plan

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Update on Land Acquisition and Resettlement Plan  
45306-001  
March 2015

## Uzbekistan: Takhiatash Power Plant Efficiency Improvement Project

Prepared by Uzbekenergo for the Asian Development Bank.

This land acquisition and resettlement plan is a document of the borrower. The views expressed herein do not necessarily represent those of ADB's Board of Directors, Management, or staff, and may be preliminary in nature. In preparing any country program or strategy, financing any project, or by making any designation of or reference to a particular territory or geographic area in this document, the Asian Development Bank does not intend to make any judgments as to the legal or other status of any territory or area.



Cleo Kawawaki  
Director of Energy Division  
Department of Central and  
West Asia  
Asian Development Bank

**Dear Mr. Kawawaki!**

Thank you for assistance in the implementation of projects in the energy sector.

"Uzbekenergo" directs you the information to update the resettlement plan of the project "Construction of two CCGT units with the capacity of 230-280 MW at Takhiatash TPP" in English and Russian.

Appendix.

1. Information to update the resettlement plan of the project on \_\_\_\_ sheets.

Chairman of the Board

I. Basidov

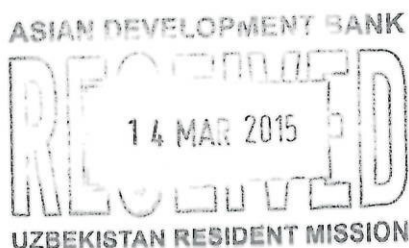
Exec.: Takhitash TPP PMU  
572-54-28





13.03.15 № 115-01-21/382

№ \_\_\_\_\_



Клео Кававаки  
Директор  
Отдела энергетики  
Департамента Центральной и  
Западной Азии  
Азиатского банка развития

**Уважаемый г-н Кававаки!**

Благодарим Вас за оказываемое содействие в реализации проектов в области энергетики.

ГАК «Узбекэнерго» направляет Вам на рассмотрение информацию для обновления плана переселения проекта «Строительство двух парогазовых установок мощностью по 230-280 МВт на Тахиаташской ТЭС» на английском и русском языках.

Приложение.

1. Информация для обновления плана переселения проекта на \_\_\_\_ листах.

Председатель правления

И. Басидов

Исп: ГРП Тахиаташ ТЭС  
572-54-28

000002140

**Information to update the resettlement plan of the project**  
as on 01.03.2015

Table 2.1: Volumes of allocation of land and summary information on influence

Massif	Effect	Movement type	Quantity of households	Number of persons	The affected territory (hectare)		The area of the affected buildings (sq.m)
					Permanently	Temporarily	
Kenges	Expansion of TPP	Permanent	5	56	0,65	—	1334,5
Total			5	56	0,65	—	1334,5

Table 2.2: Summary information on the households which are affected by their type and category

Massif	Quantity of AH with an irrevocable land allocation			Quantity of AH with temporary allocation of land			Total
	Business	The inhabitant	Agriculture	Business	The inhabitant	Agriculture	
Expansion of TPP							
GRES	2	-	-	-	-	-	2
Kenges	-	5	-	-	-	-	5
Branch strip under the gas pipeline							
Kiyot	-	-	-	-	-	-	-
Total	2	5	-	-	-	-	7

Table 2.3: Full movement of business assets

Type	ID	Effect	Total properties		Under the effect	
			Land territory, hectare	Area of constructions, m <sup>2</sup>	Land territory, hectare	Area of constructions, m <sup>2</sup>
Takhiatash ILDIS	AH-01	Expansion of TPP	0,48	607,2	0,48	607,2
Kamarchino	AH-02	Expansion of TPP	0,62	1 372,8	0,62	1 372,8
<b>Total</b>			<b>1,10</b>	<b>1 980</b>	<b>1,10</b>	<b>1 980</b>

Table 2.4: Movement of houses due to expansion of thermal power plant

Type	№	Effect	Total asset		Effectuated	
			Land territory, hectare	Area of constructions, m <sup>2</sup>	Land territory, hectare	Area of constructions, m <sup>2</sup>
The inhabitant	AH-03	Expansion of TPP	0,05	115,44	0,05	115,44
The inhabitant	AH-04	Expansion of TPP	0,26	250,99	0,26	250,99
The inhabitant	AH-05	Expansion of TPP	0,16	207,45	0,16	207,45
The inhabitant	AH-06	Expansion of TPP	0,08	138,6	0,08	138,6
The inhabitant	AH-07	Expansion of TPP	0,10	132,8	0,10	132,18
<b>Total</b>			<b>0,65</b>	<b>844,66</b>	<b>0,65</b>	<b>844,66</b>

Table 2.5: The trees which are affected due to thermal power plant expansion

Types	№	Fruit breeds		Tree species	
		Total	Affected	Total	Affected
The inhabitant	AH-03	5	5	1	1
The inhabitant	AH-04	29	29	95	95
The inhabitant	AH-05	10	10	1	1
The inhabitant	AH-06	8	8	—	—
The inhabitant	AH-07	7	7	47	47
<b>Total</b>		<b>59</b>	<b>59</b>	<b>144</b>	<b>144</b>

Table 2.6: Movement of residential buildings due to laying of the gas pipeline

Тип	№	Effect	Total assets		Affected	
			Land territory, hectare	Area of constructions, m <sup>2</sup>	Land territory, hectare	Area of constructions, m <sup>2</sup>
Movement of residential buildings is not foreseen						
Total						

Table 2.7: Temporary impact on a housing estate due to laying of the gas pipeline

Type	№	Total assets		Affected		Level of effect	
		Land territory, hectare	Area of constructions, m <sup>2</sup>	Land territory, hectare	Area of constructions, m <sup>2</sup>	Lands	Area of constructions, m <sup>2</sup>
Temporary impact on a housing estate due to laying of the gas pipeline is not foreseen							
Total							

Table 2.8: Temporary impact on farmlands due to laying of the gas pipeline

Type	№	Area	Land territory, hectare	Affected area, hectare	Level of effect
Farmlands	AH-09	----	0,12	0,012	10%
Total					

Table 2.9: The affected trees due to laying of the gas pipeline

Type	№	Fruit breeds		Tree species	
		Total	Affected	Total	Affected
Housing	AH-08	14	3	4	----
Total		14	3	4	----

Table 2.10: Affected public infrastructure

Infrastructure typ	Duration (m)	Additional	Expenditures (som)
Communication lines	2840	4-wooden columns	170 000 000
Water supply systems	1440		164 000 000
Power lines	----	----	
Total			234 000 000

Table 3.1: Structure of AP on age

Age	Male AP		Female AP		Total AP	
	Quantity	Percentage	Quantity	Percentage	Quantity	Percentage
1-6	1	4,7%	4	11,4%	5	8,9%
7-15	1	4,7%	6	17,1%	7	12,5%
16-25	1	4,7%	12	34,2%	13	23,2%
26-40	13	61,9%	7	20,0%	20	35,7%
41-65	4	19%	5	16,6%	9	16,1%
Older than 65	1	4,7%	1	2,8%	2	3,6%
Total	21	37,5%	35	62,5%	56	100%

Table 3.2: AP on a household

Massif	AH	AP	Quantity of AP		
			Minimal	Average	Maximal
Kenges	5	56	4	11	14
<b>Total</b>	<b>5</b>	<b>56</b>	<b>4</b>	<b>11</b>	<b>14</b>

Table 3.3: An occupation on providing means of livelihood

Occupation / Activity	Males		Females		Total	
	AP	%	AP	%	AP	%
Students (kindergarten, school, college)	5	24%	14	40%	19	34%
Unemployed	13	62%	12	34%	25	45%
Public servant	-	0%	2	6%	2	3%
Pensioner	1	5%	1	3%	2	3%
Another (householder, seasonal worker)	1	5%	6	17%	7	13%
Agriculture (head of a farm, worker of a farm)	1	5%	-	0%	1	2%
<b>Total</b>	<b>21</b>		<b>35</b>		<b>56</b>	<b>100%</b>

Table 3.4: The reported income of the interrogated AH

AH code	AP	Monthlyincome		Living wage
		AH	on AP	
Kenges massif				
AH-03	5	1 469 000	183 625	Higher
AH-04	22	700 000	70 000	Lower
AH-05	4	400 000	100 000	Lower
AH-06	12	684 000	76 000	Lower
AH-07	13	600 000	60 000	Lower





Table 10.5: Compensations for commercial designs

No	Construction type	Area of constructions, m <sup>2</sup>	Height (m)	Number of floors	Number of rooms	Rate for unit (sq.m / som)	Approximate sum of compensation (som)
JV "Komer china"	Standard	1490,5	4,7	1	13	31,6	303 000 000
SP "Ildiz"	Standard	607,2	3,6	1	5	31,6	460 000 000
Total							763 000 000

Table 10.6: Compensations for fruit trees

No	Tree type	Affected trees	Cost of a sapling (som/piece)	Average productivity (kg)	Average cost of a crop (som/kg)	Compensation for 1 tree	Total compensation (som)
AH-03	Fruit tree	5	45 000	64	7000	192 333	1 575 000
AH-04	Fruit tree	29	35 000	53	6500	130 001	4 893 333
AH-05	Fruit tree	10	80 000	40	6500	167 500	1 675 000
AH-06	Fruit tree	8	40 000	35	5500	121 667	973 329
AH-07	Fruit tree	7	45 000	45	7500	153 334	1 426 667
Total		59					10 543 339

Table 10.7: Compensation for tree species of trees

No	Tree type	Affected trees	Cost of 1 tree	Total compensation (som)
AH-03	Timber trees	1	20 000	20 000
AH-04	Timber trees	95	10 000	950 000
AH-05	Timber trees	1	10 000	10 000
AH-06	Timber trees	8	10 000	80 000
AH-07	Timber trees	7	10 000	70 000
	Total	112		1 130 000

Table 10.8: Compensations for moving and financial support

Type of a grant	Description	For unit-ism (som)	Number of households / entities	Total, som
Moving of inhabited households	Transportation of things of 1 household, and also building materials after demolition	500,000	5	2 500 000
Transportation and restoration of business	Cost of moving and restoration of all equipment and equipment	-	-	
Expenses of households in a transition period	Temporary accommodation, on each household, a maximum for 2 years	-	-	
Business costs of a transition period	Temporary rooms during construction and moving of business	-	-	
Serious influence	Lump sum at a rate of 1 minimum wage rate in three months	238,770	5	1 193 850
Temporary disability	Compensation of the income of the employed working 2 enterprises	3,600,000	10	36 000 000
Support of vulnerable households	Special help to vulnerable groups	238,770	3	716 310
Duties and commissions	Permissions, registration, services of the licensed appraisal firms, preparation of the report on impact on environment (for households)	-	-	
<b>Total</b>			<b>23</b>	<b>40 410 160</b>

Table 10.9: Approximate costs of compensation of the affected communications

Infrastructure types	Duration (m)	Additional	Expenditures (som)
Communication lines	2840	4-wooden columns	170 000 000
Water supply systems	1440		164 000 000

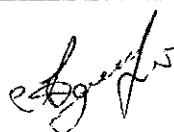
Power lines	---	----	
<b>Total</b>			<b>234 000 000</b>

Table 10.10: Summary information on the approximate budget

<b>№</b>	<b>Description</b>	<b>The estimated sum of expenses, som</b>	<b>The estimated sum of expenses, US dollar</b>
	(A) Factor cost		
1	Inhabited assets	330 737 257	
2	Commercial assets	763 000 000	
3	Farmlands and personal plots	3 859 456	
4	Trees	10 693 336	
5	Compensation of the affected communications	234 000 000	
	<b>Total (A)</b>	<b>1 343 270 052</b>	<b>548 685</b>
	(B) Indirect expenses		
6	Recovery of the income of business	56 000 000	
7	Costs of a transition period (the moved households)	42 000 000	
8	Costs of a transition period (the moved business)	48 000 000	
9	Transportation cost (for inhabited households)	2 500 000	
10	Costs of transportation and repeated installation (for the moved business)	407 443 353	
11	Help to vulnerable households	716 310	
12	Additional support of seriously affected families	1 193 850	
13	Compensation of the income of the employed workers	180 000 000	
14	Commissions and duties	50 000 000	
	<b>Total (B)</b>	<b>787 853 513</b>	<b>321849</b>
	(C) Administrative expenses		
15	Monitoring and assessment (intr., extr.)	12 000 000	

16	Updating of the plan of allocation of land and resettlement	25 000 000	
	Total (C)	37 000 000	15 113
	In total (A) + (B) + (C)	2 167 143 562	885 613
17	Unforeseen expenses	352 260 314	143 887
	General result	2 519 403 876	1 029 500

Gender and social issues specialist



K. Yusupov

# Resettlement Planning Document

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Document: Land Acquisition and Resettlement Plan  
Document Stage: For consultation  
Project Number: TA 8142  
Date: 17 July 2013

## Republic of Uzbekistan: Takhiatash Power Plant Efficiency Improvement Project

Prepared by the Uzbekenergo for the Asian Development Bank.

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## **CURRENCY EQUIVALENTS**

(as of May 2013)

Currency Unit – sum (UZS)

UZS 1.00 = \$0.00048

\$1.00 = UZS 2069.48

## **NOTE**

In this report,

- i. “\$” refers to United State dollars (USD)
- ii. UZS refers to Uzbekistan sum

## **ABBREVIATIONS**

ADB	– Asian Development Bank
AH	– Affected Household
AP	– Affected Person
CC	– Civil Code
DMS	– Detailed Measurement Survey
EA	– Executing Agency
GHG	– Green House Gas
GFP	– Grievance Focal Point
GOU	– Government of Uzbekistan
GRM	– Grievance Redress Mechanism
Ha	– Hectare
IOL	– Inventory of Loss
IR	– Involuntary Resettlement
LARC	– Land acquisition and resettlement commission
LARP	– land acquisition and resettlement plan
LC	– Land Code
MOF	– Ministry of Finance
O&M	– Operation and Maintenance
PMU	– Project Management Unit
PPTA	– Project Preparatory Technical Assistance
ROW	– Right-of-way

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## GLOSSARY

Affected Household	- In the context of involuntary resettlement, Affected Households are those who are physically displaced (relocation, loss of residential land, or loss of shelter) and/or economically displaced (loss of land, assets, access to assets, income sources, or means of livelihoods) as a result of (i) involuntary acquisition of land, or (ii) involuntary restrictions on land use or on access to legally designated parks and protected areas.
Affected Person	- Refers any person as a family member in affected household or worker in affected business entity/firm, public or private institutions.
Cut-off Date	- This refers to the date prior to which the occupation or use of the project area makes residents/users of the same eligible to be categorized as AH. In this Project, the cut-off date will coincide with the period of the census of affected persons and the inventory of losses (IOL) that will be conducted based on feasibility design documents. Persons not covered in the census are not eligible for compensation and other entitlements, unless they can show proof that (i) they have been inadvertently missed out during the census and the IOL; or (ii) they have lawfully acquired the affected assets following completion of the census and the IOL and prior to the conduct of the detailed measurement survey (DMS).
Detailed Measurement Survey (DMS)	- With the aid of the approved detailed engineering design, this activity involves the finalization and/or validation of the results of the inventory of losses (IOL), severity of impacts, and list of AHs earlier done during RP preparation. The final cost of resettlement can be determined following completion of the DMS.
Economic Displacement	- Loss of land, assets, access to assets, income sources, or means of livelihoods as a result of (i) involuntary acquisition of land, or (ii) involuntary restrictions on land use or on access to legally designated parks and protected areas.
Entitlement	- Refers to a range of measures comprising compensation, income restoration support, transfer assistance, income substitution, relocation support, etc. which are due to the AHs, depending on the type and severity of their losses, to restore their economic and social base.
Household	- Household means all persons living and eating together as a single social unit and eating from the same kitchen whether or not related to each other. The census used this definition and the data generated by the census forms the basis for identifying the household unit.
Illegal	- HHs that are not registered their business, agriculture, residential and orchard and those who have no recognizable rights or claims to the land that they are occupying and includes people using private or state land without permission, permit or grant i.e. those people without legal lease to land and/or structures occupied or used by them. ADB's policy explicitly states that such people are entitled to compensation for their non-land assets.
Income Restoration	- This is the re-establishment of sources of income and livelihood of the affected households.
Meaningful Consultation	- A process that (i) begins early in the project preparation stage and is carried out on an ongoing basis throughout the project cycle; (ii) provides timely disclosure of relevant and adequate information that is understandable and readily accessible to affected people; (iii) is undertaken in an atmosphere free of intimidation or coercion; (iv) is gender inclusive and responsive, and tailored to the needs of disadvantaged and vulnerable groups; and (v) enables the incorporation of all relevant views of affected people and other stakeholders into decision making, such as project design, mitigation measures, the sharing of development benefits and opportunities, and implementation issues
Inventory of Losses	- Is the process where all fixed assets (i.e., lands used for residence, commerce, agriculture, including ponds; dwelling units; stalls and shops; secondary structures, such as fences, tombs, wells; trees with commercial value; etc.) and sources of income and livelihood inside the

Project right-of-way (ROW) are identified, measured, their owners identified, their exact location pinpointed, and their replacement costs calculated. Additionally, the severity of impact to the affected assets and the severity of impact to the livelihood and productive capacity of AHs will be determined.

Khokimiyat	- Local government authority that interfaces between local communities and the government at the regional and national level. It has ultimate administrative and legal authority over local populations residing within its jurisdiction.
Land Acquisition	- Refers to the process whereby an individual, household, firm or private institution is compelled by a public agency to alienate all or part of the land it owns or possesses to the ownership and possession of that agency for public purposes in return for compensation at replacement costs.
Leaseholder	- Legal entity (registered farm) running agricultural production with the use of land parcels granted to him on a long-term lease. Lease term is limited up to fifty years but not less than for ten years. Leaseholder cannot sell - buy, mortgage, sublease, present, exchange the land.
Mahalla	- Is a local level community-based organization recognized official by the GoU that serves as the interface between state and community and is responsible for facilitating a range of social support facilities and ensuring the internal social and cultural cohesiveness of its members. Mahalla leaders are elected by their local communities.
Physical Displacement	- Relocation, loss of residential land, or loss of shelter as a result of (i) involuntary acquisition of land, or (ii) involuntary restrictions on land use or on access to legally designated parks and protected areas.
Relocation	- This is the physical relocation of an AH from her/his pre-project place of residence and/or business.
Rehabilitation	- This refers to additional support provided to AHs losing productive assets, incomes, employment or sources of living, to supplement payment of compensation for acquired assets, in order to achieve, at a minimum, full restoration of pre-project living standards and quality of life.
Replacement Cost	- The term used to determine the value enough to replace affected assets and/or cover transaction costs necessary to replace the affected assets without depreciation for such assets as well as material advantage, taxes and/or travel expenses.
Resettlement	- Means all social and economic impacts that are permanent or temporary and are (i) caused by acquisition of land and other fixed assets, (ii) by change in the use of land, or (iii) restrictions imposed on land, as a result of a project.
Resettlement Plan	- This is a time-bound action plan with budget setting out compensation and resettlement, entitlement, actions, responsibilities, monitoring and evaluation.
Severely Affected Households	- This refers to affected households who will (i) lose 10% or more of their total productive land and/or assets, (ii) have to relocate; and/or (iii) lose 10% or more of their total income sources due to the Project.
Significant impact	- 200 people or more will experience major impacts, which are defined as; (i) being physically displaced from housing, or (ii) losing 10% or more of their productive assets (income generating).
Vulnerable Group	- These are distinct groups of people who might suffer disproportionately or face the risk of being further marginalized by the effects of resettlement and specifically include: (i) female headed households without support, (ii) disabled household heads, (iii) households falling under the generally accepted indicator for poverty, (iv) children and the elderly households who are landless and with no other means of support.



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## **EXECUTIVE SUMMARY**

### **1.1. Project description**

1. The objective of the proposed Project is to improve energy efficiency of the Takhiatash thermal power plant (TPP) with the adoption of energy efficient technology that will contribute to increased reliable power supply and climate change mitigation. The project will include construction of combined cycle gas turbine (CCGT) power plant, decommissioning of inefficient existing power plant units, and capacity development.

2. The Takhiatash TPP is currently occupying 69.18 ha in Takhiatash city of Autonomous Republic of Karakalpakstan located in Republic of Uzbekistan. The Takhiatash TPP is a multi-block conventional thermal power plant currently made up of four power blocks numbers III, IV, V and VI. Old blocks I and II were already dismantled. The existing power blocks are conventional Rankine cycle units burning in boilers natural gas as main fuel and residual heavy fuel oil (mazut) as backup fuel.

3. The Project follows the ADB's strategy for Uzbekistan, which includes focus on energy efficiency and reliable power supply. It is also consistent with ADB's Strategy 2020 and ADB Energy Policy (2009) by promoting energy efficiency and energy for all. It will be ADB's fourth project loan intervention in Uzbekistan's power sector.

4. This Land Acquisition and Resettlement Plan (LARP) was prepared based on the preliminary design prepared by the Design Institute – Teploelektroproject in April 2012. Initial assessment was made by the TA Resettlement Expert in April – June 2013. This LARP aims to provide preliminary assessment of the Project impacts and plan needed compensation / rehabilitation measures. This LARP has considered expansion of TPP to the south with 40 ha permanent impact and about 2 km length ROW with permanent and temporary impact due to gas pipeline. Considering above mentioned, this LARP needs to be updated after approval of the detailed design. The LARP update will require a field survey to confirm or identify additional AHs and APs, systematic consultation with AHs and APs; disseminate the entitlement matrix and grievance redress mechanisms.

### **1.2. Objective of the Land Acquisition and Resettlement Plan (LARP)**

5. The objective of this LARP is to mitigate physical and economic involuntary displacement impacts caused by the project and provide adequate displacement and rehabilitation assistance to the affected households to restore or improve their pre-project standard of living.

### **1.3. Scope of land acquisition and resettlement**

6. Takhiatash TPP expansion will require in aggregate 40 ha land belonging to Takhiatash city, firms and individuals. From this 40 ha land for construction of 2 power blocks and other facilities. only 1.75 ha has structures (5 residential houses and 2 private businesses). The other part of acquired land has no structured. In addition to supply the constructed energy blocks a new gas pipeline has to be constructed. For this purpose about 2 km ROW will require 0.54 ha permanent land acquisition and 4.55 ha temporary land acquisition for construction of underground gas pipeline from the Gas distribution station to Takhiatash TPP.

Table 1: Summary of land acquisition

Impact by	Displacement type	No. of AHs	No. of APs	Affected land area (ha)	
				Permanent	Temporary
Takhiatash TPP expansion	No displacement	0	0	38.25	-
Takhiatash TPP expansion	Physical displacement	5	56	0.65	-
Takhiatash TPP expansion	Physical and economic displacement	2	50	1.10	-
Gas pipeline	Economic displacement	5	26	-	4.55
Gas pipeline	Physical displacement	2	12	0.54	-
<b>Total</b>		<b>14</b>	<b>144</b>	<b>40.54</b>	<b>4.55</b>

7. The Project construction would entail LAR impacts on 14 Affected Households (AHs), which include: 10 residential households, 2 businesses and 2 agricultural farms. The census in total identified 144 Affected Persons (APs) of which: 81 APs in 10 households with impact on residential assets, 13 APs in households with impact on agricultural farm and 50 APs<sup>1</sup> in 2 affected businesses assets.

#### 1.4. Socio-economic profile of the AHs

8. Socio-economic census has included 12 AHs with estimated population of 94 APs, with average membership of 8 persons per household. About 16.7% of the heads of the AHs are with higher education degrees, same 16.7% with college degree and 66.7% have reached high school. Majority of APs 29.8% is between 26-40 years old (male 34%, female 26%). The least presented APs are junior (1-6 years) APs 9.6% and senior (65-above) APs 4.3%.

9. About 32% are students or young members of the family and 26% are unemployed. Related governmental services occupation is 15% of the APs, 64% by male and 36% for female. Retired APs is 13% (male 7 APs, female 5 APs). Housekeeping and/or seasonal workers are 10% (male 1 AP, female 8 APs). Related agricultural activities are only 5% (male 3 APs, female 2 APs).

10. Under the Project, there is no differentiation between the households headed by male and those households headed by female as they will equally feel the impacts of land restrictions and land acquisitions. There are 50 women who shall be directly affected by the Project; 48 spouses of males who head their households and 2 females as heads of their families.

11. These 2 women headed households are also categorized as (i) severely affected – full displacement of house and (ii) as households below the poverty line. There are also identified 3 disabled people in 3 AHs, 1 AP with lungs problem and 2 APs with weak eye vision.

#### 1.5. Public consultation, information dissemination and disclosure

12. Five consultations were carried out with AHs during Project preparation, and it is recommended that other consultations need to be carried out after LARP updated and before starting payment of compensations. During the consultation it has also informed to AHs the cut-off date. Apart from the AHs, the participants in these public consultations included representatives of respective government organizations. Details of these meetings are presented in the main report part.

<sup>1</sup> These APs are all workers from affected businesses

13. Disclosure meeting describing the final LARP will be organized to all AHs (including all households, agricultural farms and private firms) and respective government organizations during LARP evaluation stage (tentative period: II quarter 2013). A leaflet in local language will be distributed to AHs, relevant agencies and civil society organizations during the disclosure meeting. The leaflet will describe the project and land requirement for the project, the entitlement matrix, as well as the grievance mechanism and LARP implementation schedule. The draft and final LARP document will be disclosed on the websites of the Uzbekenergo and ADB upon approval by both ADB and the GOU.

#### **1.6. Grievance redress mechanism**

14. Complaints can be submitted to mahalla, village assembly of citizens, farmer councils or directly to EA and Takhiatash TPP. Although usually, the district hokimiyat will be the entry point for receiving complaint or known as a Grievance Focal Point (GFP)<sup>2</sup>. Upon receipt of a complaint, the GFP will establish contact with Takhiatash TPP and its PMU and mahalla and other relevant bodies. The Project Management Unit (PMU) will establish a complaint handling team headed by one of the Takhiatash TPP management staff designated for handling grievances of the project. All complaints will be resolved in 15-20 days, and in case additional details are required, a maximum of 30 days will be used to resolve and close the complaint. The Project Grievance Redress Mechanism does not prevent any AH to approach the national/government legal system to resolve their complaints at any stage of the grievance redress process. The APs can address their complaints to the courts at any time and not only after using the GRM. AP can also vent their grievance in the ADB Accountability Mechanism.

#### **1.7. Legal framework**

15. The recent Government resolutions on land acquisition have been used for preparing this LARP. Policy differences between the GOU and ADB have been reconciled where necessary. Based on the survey and consultation, the most important safeguard policy in the context of this project are compensation payable for land acquired if the land-for-land option is unavailable, transparent formulas for the estimation of replacement cost for land and other physical assets, prompt payment of compensation for APs affected by loss of employment, and provision for payment of allowances to the small number of poor and vulnerable APs.

16. The LARP has been prepared in line with national laws/regulations and ADB Safeguard Policy Statement (SPS) 2009. In case of any gaps between the national law and ADB SPS 2009, for this project purpose the ADB SPS 2009 shall prevail.

#### **1.8. Entitlement and compensation strategy**

17. Compensation eligibility is limited by a **cut-off date** established based on the last day of the census of AHs and IOL (**May 12, 2013**). Households who settle in the affected area and/or make any improvements on land parcel to be acquired for the project after the cut-off date will not be eligible for compensation. They will, however, be given sufficient advance notice requesting them to vacate land parcels and dismantle affected structures prior to project implementation. Their dismantled structures will not be confiscated and will not be subject to fine or compensation.

18. The Entitlements Matrix identifies the assets –loss of residential land and housing, temporary loss of agricultural land, field crops, trees of productive value, business assets and incomes derived thereof, waged workers, vulnerable groups, people without formal title or rights to property, and severely AHs – and what entitlements are able to be received using the legal framework and negotiations between the ADB and Uzbekenergo.

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<sup>2</sup> Under the Government Grievance mechanism, the District khokim is designated as the Grievance Focal Point.

19. Special attention to be paid to AHs categorized as vulnerable and with disabled APs. The strategy also provides for unanticipated inputs. The LARP will be fully implemented prior to commencement of any civil works. Compensation and other assistances will be scheduled and paid to APs prior to their physical or economic displacement and commencement of civil work.

### **1.9. Relocation of housing settlement**

20. The project will impact both residential and business structures, necessitating physical relocation. In accordance with Uzbek Construction Rules, no relocation will be done in winter period from 15.10.2012 till 15.04.2013. A total of 9 AHs comprising of 7 residential households and 2 businesses establishments will need to be physically displaced as a result of the Project. Consultations were undertaken in April and May<sup>3</sup> with the AHs to discuss various relocation options and their choices for relocation.

21. Uzbekenergo will be responsible for determining exact red lines and identifying the exact numbers of AHs (residential and business structures) who would need to be relocated. Uzbekenergo will send official request letter to concerned khokimiyats for selection and allocation of land plots for these AHs upon completion of final design and drawing of red lines. Even though allowance for temporary housing will be provided, if the new house is under construction, Uzbekenergo will minimize any civil work in the residential affected areas until reconstruction of the new houses has been completed.

22. Both Khojeyli district and Takhiatash city khokimiyats, on receipt of the request letter from Uzbekenergo, within one-month will select the new site for relocation. After the site selection, AHs will be informed about the site and consultation will be carried out with each AH.

### **1.10. Income restoration and rehabilitation**

23. The income restoration and rehabilitation plan defined in the LARP are measures that shall be applied for vulnerable and severely affected AHs. These are 9 AHs with severely impact on residential assets and business assets. The 7 AHs will have to be fully displaced due to TPP expansion and gas pipeline ROW. Therefore, these AHs will be entitled for relocation assistance as described in entitlements section. For those AHs who categorized as vulnerable, especially with disabled member and women headed households will be offered house for house swap. The 2 AHs whose business structure is fully affected need to re-establish their business in a new location. Apart from receiving compensation at replacement cost for their affected structure, they will also be entitled for transitional assistance for loss of income, livelihood restoration support and relocation assistance as described in entitlements section.

24. PMU of the EA will be responsible for planning and implementing above described support measures. For that purpose, PMU will closely work with Mahalla, Khokimiyats, Land Resources and Cadastre Department and local labor agencies for effective implementation of income restoration strategy. A detailed action plan will be prepared and submitted to ADB before start of civil works at affected land parcels.

### **1.11. Resettlement budget and financing**

25. The tentative LARP budget, based on compensation calculations for losses to residential and business assets, agricultural land, trees, relocation and support allowances is estimated to be **US\$1,400,000**. The direct compensation cost will comprise 64%, indirect cost 28%, administrative cost 2% and contingency amount about 6 % of the total compensation costs.

### **1.12. Institutional arrangements**

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<sup>3</sup> 23-24 April 2013, 10-12 May 2013

26. Uzbekenergo will have overall responsibility to implement the LARP as the executing agency (EA). The PMU within Uzbekenergo will be responsible for the day-to-day management of LARP implementation. The PMU team will consist of Resettlement Consultant responsible for planning, implementation and internal monitoring of LARP. The PMU will work closely with relevant government agencies and community based organizations.

### **1.13. Implementation schedule**

27. As envisaged, the LARP shall start implemented 4 months prior to the award of civil works contract. Uzbekenergo, through its PMU will implement the updated LARP upon receipt of official approval from ADB. It will only award the civil works contract to the civil works contractor in compliance with the following conditions: (i) all the resettlement activities have been completed and no pending complaints and grievances are left unresolved, as validated by external monitoring and (ii) official receipt of Notice to proceed from ADB to proceed with civil work activities. The detailed activities and schedule in updating and implementing of LARP related to the award of civil works contract is illustrated in the main report.

### **1.14. Monitoring and reporting**

28. Monitoring would include both internal and external monitoring. PMU Resettlement Consultant will carry out internal monitoring routinely in close coordination with local khokimiyat. In order to verify internal monitoring and ensure that AHs are compensated prior to commencement of civil work, an external monitoring will be undertaken based on which a Compliance Report will be submitted to ADB and EA. The Monitoring/Compliance report will be used by ADB and EA as a basis to issue notice to proceed with civil work activities to the contractor. The external monitoring report will be disclosed on the website of EA and ADB.

## **I. PROJECT DESCRIPTION**

### **1.1. Background**

1. Uzbekistan's power generation plants are generally old and inefficient, requiring urgent modernization. More than 75% of the power plant units are over 30 years old reaching or exceeding their economic life. The thermal efficiency averages 31%, while that of energy efficient a combined cycle gas turbine (CCGT) exceeds 50%. Replacing the existing power generation assets with energy efficient equipment is a key strategy for saving energy, securing reliable power supply, and reducing greenhouse gas (GHG) emission. Therefore, the State Joint-Stock Company Uzbekenergo (Uzbekenergo), a 100% government-owned company, has developed a \$5.3 billion investment plan for 2011-2015 that includes construction of 15 thermal power plants (2,412 megawatt [MW]).

2. The objective of the proposed project is to improve energy efficiency of the Takhiatash thermal power plant (TPP) with the adoption of energy efficient technology that will contribute to increased reliable power supply and climate change mitigation. The project will include construction of CCGT power plant, decommissioning of inefficient existing power plant units, and capacity development.

3. The Takhiatash TPP is currently occupying 69.18 ha in Takhiatash city of Autonomous Republic of Karakalpakstan located in Republic of Uzbekistan. The Takhiatash TPP is a multi-block conventional thermal power plant currently made up of four power blocks numbers III, IV, V and VI. Old blocks I and II were already dismantled. The existing power blocks are conventional Rankine cycle units burning in boilers natural gas as main fuel and residual heavy fuel oil (mazut) as backup fuel.

4. The 730 MW Takhiatash TPP is the main power supply source for the Karakalpakstan and Khorezm regions with over 3 million people located in the western part of Uzbekistan. The power demand outlook is strong with a number of industrial development projects envisaged for the region, exceeding currently available capacity. In the medium term, the transmission capacity for the region also needs to be expanded, and power generation capacity of Takhiatash TPP needs to be further expanded. Out of the gas-fired five steam turbine units in operation at Takhiatash TPP, three units built in 1969 (two units of 100 MW) and 1974 (one unit of 110 MW) are some of the oldest units in operation with 23.7% efficiency.

5. After the new power unit becomes operational, old units will be decommissioned. Decommissioning requires careful planning and implementation without disrupting reliable power supply and in compliance with safety and environmental standards, as well as cost effectiveness consideration.

6. The project follows the ADB's strategy for Uzbekistan, which includes focus on energy efficiency and reliable power supply. It is also consistent with ADB's Strategy 2020 and ADB Energy Policy (2009) by promoting energy efficiency and energy for all. It will be ADB's fourth project loan intervention in Uzbekistan's power sector.

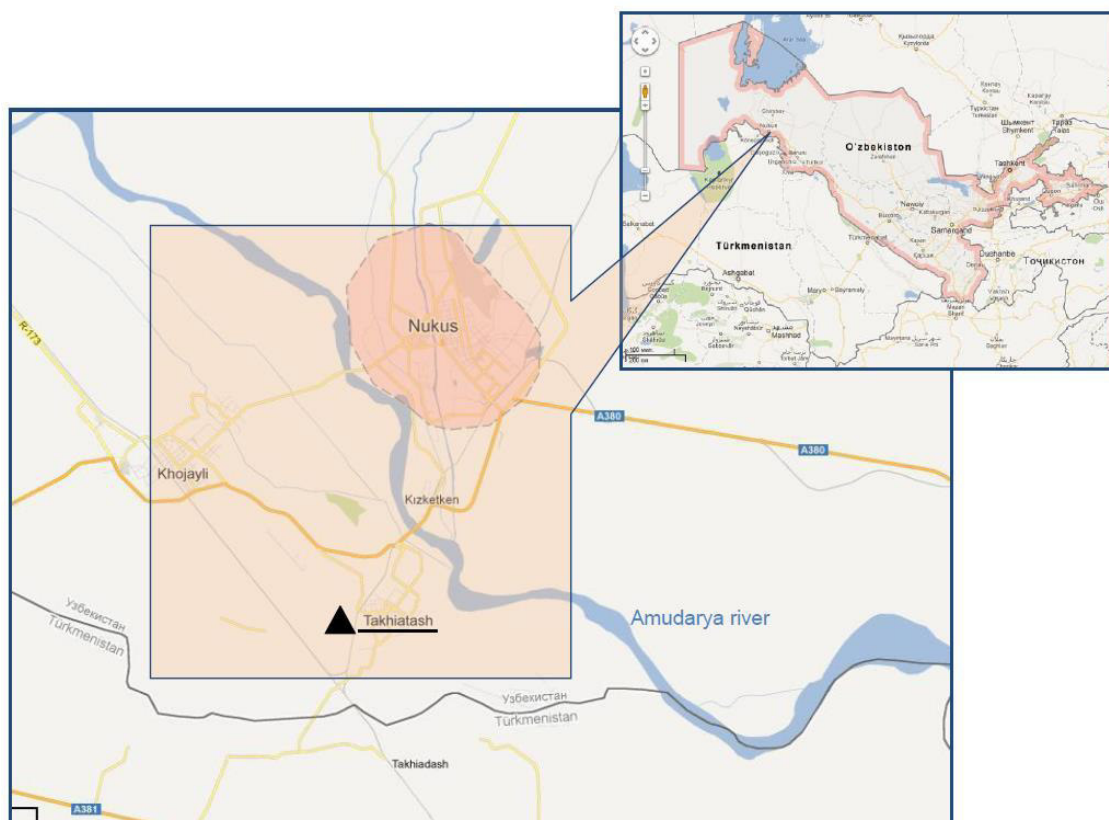
### **1.2. Project location**

7. Takhiatash TPP is located in Takhiatash city of Karakalpakstan. Karakalpakstan is an autonomous republic of Uzbekistan. It occupies the whole northwestern end of Uzbekistan. The capital is Nukus. Takhiatash city is located to the south from Nukus.

8. Takhiatash city is currently administered directly by Karakalpakstan Republic, however within 2 months according to GOU decision, Takhiatash city will be transferred under Khojeyli district of Karakalpakstan Republic.



**Fig 1.1: Location of Takhiatash TPP**



9. The Republic of Karakalpakstan has an area of 166.6 thousand square kilometers. Karakalpakstan is surrounded by desert and is located near the Aral Sea, in the lowest part of the Amu Darya basin. The Kyzyl Kum desert is located to the east and the Kara Kum desert is located to the south. A rocky plateau extends west to the Caspian Sea.

### **1.3. Current status of LARP**

10. This Land Acquisition and Resettlement Plan (LARP) was prepared based on the preliminary design prepared by the Design Institute – Teploelektroproject in April 2012. Initial assessment was made by the TA Resettlement Expert in April – June 2013. This LARP aims to provide preliminary assessment of the Project impacts and plan needed compensation/rehabilitation measures.

11. According to this design estimated amount of additional required land was 21 ha. However, during designing process and negotiation with GOU some updates were received, e.g. plan for the additional second power block and new gas pipeline for the Takhiatash TPP. Considering above mentioned changes in the plan, Takhiatash TPP has applied and received permission for designing on 40 ha land. In addition, TPP has planned to connect new gas pipeline along existing one. The right-of-way (ROW) of the new gas pipeline is estimated about 2 km, starting from gas distribution station to TPP.

12. Therefore, this LARP has considered expansion of TPP to the south with 40 ha with permanent impact and about 2 km length ROW with temporary impact due to gas pipeline. Exact amount and location of required land will be defined after clarification of following pending issues:

- i. type of cooling system,
- ii. method of water treatment,
- iii. number of power blocks,
- iv. new gas pipeline route.

13. Considering above mentioned, this LARP needs to be updated after approval of the detailed design. The LARP update will require a field survey to confirm or identify additional AHs and APs, systematic consultation with AHs and APs; disseminate the entitlement matrix and grievance redress mechanisms.

#### 1.4. Project implementation conditions

14. This LARP fits relevant Uzbekistan legislation and the ADB's Safeguard Policy Statement of 2009 (SPS 2009). Based on the Cabinet of Ministers Resolutions № 97 (29.05.2006) and № 146 (25.05.2011) of GOU any land acquisition and demolition of the structures have to be carried out only after the value of compensation has agreed by the land leaseholder and owner of structures. The GOU law and regulation on land acquisition require also that civil works can be commenced only after compensation for land acquisition is fully paid.

15. The ADB safeguard policy also requires that project implementation will subject to the LARP related conditions. The most important conditions are: (i) land acquisition including demolishing of any structure and housing is allowed only after all compensations are fully paid, and (ii) commencement of Civil Works is conditional to the satisfactory implementation of the final LARP to be checked and verified by External Resettlement Consultant and reported in the LARP compliance report.

16. Since this LARP is prepared based on the initial design, therefore, the updated LARP will need to be prepared by Uzbekenergo after completing the final detailed design for the Takhiatash TPP and detailed alignment of the gas pipeline. It is important that the detailed design will be done by selecting expansion area and route alignment that could minimize land acquisition of this Project. The implementation of this Project in relation with the LARP will require to follow these milestones:

- (i) Uzbekenergo will update the LARP after completing the detailed design that will include principles to minimize land acquisition. The updated LARP will be prepared with meaningful consultations with displaced persons (AHs).
- (ii) All the field works related with Takhiatash TPP expansion and gas pipeline construction and other support field works can only be commenced after the updated LARP is approved by ADB, and compensation based on the updated LARP is fully paid.
- (iii) Uzbekenergo will submit to ADB a report on completing the implementation of LARP especially on payment of compensations to AHs.
- (iv) A LARP Compliance Report needs to be issued by an External Resettlement Consultant to be agreed by the Uzbekenergo and ADB to confirm that compensation money and other allowances has been fully paid to AHs. This report will be used by ADB as one of the conditions in the disbursement of loan money.

17. The Project Management Unit (PMU) will monitor the implementation of LARP and record it in the report. The External Resettlement Consultant will check the implementation of LARP and produce LARP compliance report prior to commencement of civil works.

18. A leaflet in the Uzbek/Russian language containing a brief description, eligibility criteria, the entitlement matrix and implementation schedule will be distributed to AHs and any other affected parties by the representatives of Takhiatash TPP through local authority and mahalla. The LARP and updated LARP will be available on websites of Uzbekenergo and ADB.

#### 1.5. Approach and methodology

19. This LARP is based on a comprehensive study of the impacts of land acquisition. In order to accurately assess the impacts of land acquisition, the following activities have been undertaken:

- i. **Inventory of Losses** is aimed to measure the size and type of land, as well as identify households and study of business and farming practice and assets that will be affected by the land acquisition;
- ii. **AH/AP census** aimed to gather the socioeconomic conditions of affected households and affected people;

- iii. **Consultation** with governmental agencies and affected parties;
- iv. **Preliminary estimation** of compensation rates aimed to provide an initial cost estimate for the LARP based on entitlement matrix.

20. The IOL was undertaken by TA Resettlement Expert with professionally qualified surveyor who measured the affected area of land acquisition in the form of land parcels. The DMS considered all existing assets without differentiate the legal status of ownership. Base data of identified land parcels was acquired from AHs, Takhiatash TPP and Takhiatash city land resources and cadastre department.

21. After identifying assets affected by land acquisition, the census on socioeconomic of the land users were undertaken to cover both legal and illegal ownership of the asset. Aside from interviews, the questionnaire (Annex 1) was designed by taking into account a culturally sensitive to record accurate response, was used as a census tool. The questionnaire covers the following aspects: (i) household composition and socio-economic characteristics (age, ethnicity, education, gender, etc.); (ii) occupation and break-down of household expenditures; (iii) land owned/occupied and agricultural activities; (iv) debts and assets; and (v) preferences for compensation and livelihood restoration assistance.

22. The compensation for permanent land acquisition is based on land for land compensation and other compensations were estimated based on replacement costs for the physical structures and crops to be acquired derived from reconciling the compensation policies of the GOU with those of the ADB and preparation of an entitlement matrix that clearly identifies all affected assets, identification of affected persons, and their actual entitlements. For land, crops, relocation assistance and allowances for severe impact compensation estimates were based on formulae of the GOU in its law and regulations consistent with ADB policy.

## II. SCOPE OF LAND ACQUISITION AND RESETTLEMENT

23. This chapter discusses the project impacts, the scope of land acquisition and summarizes the key effects in terms of assets acquired and affected households and people.

### 2.1. Approaches to Identification of Project Impacts

#### 2.1.1. Census and inventory of losses

24. The approach applied in determining the potential impacts of the Project was the conduct of the IOL where all immovable properties inside the expansion area and ROW corridors were determined, counted, measured, tagged, owners identified and their places of residence were verified with commune authorities. The immovable assets consist of lands, houses, businesses, other structures and essential utilities, fruit trees and timber trees. In assessing the potential losses of these properties, the severity of impacts to AHs were determined, from their sources of livelihoods to their productive capacity. The assessments were based from the information disclosed by APs that cover sources of livelihood, income level, and ownership of productive assets.

### 2.2. Summary of impacts

25. Given the expansion area of the Takhiatash TPP and the length of the gas pipeline, the dimension of the ROW summarized in Table 2.1 are the likely impacts in three massives of the Takhiatash city. The project shall affect the 14 AHs consist of 12 households in Keneges and Kiyot massives and 2 businesses in GRES shaharcha. The complete list of the AHs showing their individual impacts shown in Annex 2.

Table 2.1: Scope of land acquisition and summary of impacts

Massiv	Impact by	Displacement type	No. of AHs	No. of APs	Affected land area (ha)		Affected building area (m2)
					Permanent	Temporary	
Keneges	Takhiatash TPP expansion	No displacement	0	0	38.25	-	-
Keneges	Takhiatash TPP expansion	Physical displacement	5	56	0.65	-	1,334.5
GRES shaharcha	Takhiatash TPP expansion	Physical and economic displacement	2 <sup>4</sup>	50 <sup>5</sup>	1.10	-	1,980
Kiyot	Gas pipeline	Economic displacement	5	26	-	4.55	-
Kiyot	Gas pipeline	Physical displacement	2	12	0.54	-	634.01
<b>Total</b>			<b>14</b>	<b>144</b>	<b>40.54</b>	<b>4.55</b>	<b>3,948.51</b>

### 2.3. Access to the site

26. Land acquisition for the expansion of Takhiatash TPP will not require construction of any additional access road to the site. Access to land will be through already functioning road. Buffer zone for the TPP will be within the acquired land parcels.

<sup>4</sup> These 2 AHs are business owners.

<sup>5</sup> These APs are all workers from affected businesses.

## 2.4. Impact types

27. This project will require: (i) permanent land acquisition mainly for Takhiatash TPP expansion and in less extent due to gas pipeline safety zone (ii) temporary land acquisition for gas pipeline construction:

28. **Permanent land acquisition.** According to working design, permanent land demand for Takhiatash TPP expansion comprise in aggregate 40 ha of land. Main portion of 40 ha land belong to Takhiatash city and 1.75 ha belong to AHs. And construction of gas pipeline will require 0.54 ha of permanent land acquisition due to buffer zone. .

29. **Temporary land acquisition.** Due to unavailability of the gas pipeline design, it was suggested to survey area along existing gas pipeline from gas distribution station to TPP. The estimated ROW is 2 km from Gas distribution station till Takhiatash TPP. The temporary land impact is 4.55 ha.

Table 2.2: Summary of AHs by type and category

Massiv	No. of AHs affected by permanent land acquisition			No. of AHs affected by temporary land acquisition			Total
	Business	Residential	Agricultural	Business	Residential	Agricultural	
TPP expansion							
GRES shaharcha	2	-	-	-	-	-	2
Keneges	-	5	-	-	-	-	5
Gas pipeline ROW							
Kiyot	-	2	-	-	3	2	7
TOTAL	2	7	-	-	3	2	14

## 2.5. Takhiatash TPP expansion impact

### 2.5.1. Business displacement due to TPP expansion

30. Expansion of Takhiatash TPP will require displacement of 2 joint venture businesses which are privately owned and created with foreign investors: (i) “Kamerchina” (Uzbek-Chinese) and (ii) “Takhiatash ILDIS” (Uzbek-Korean). These businesses are already received notice to evict premises in January 2013. Kamerchina is specialized in cattle leather processing and Takhiatash ILDIS is specialized in processing of liquorices. Occupied land and building area is given in table 2.3.

Table 2.3: Business assets displacement due to TPP expansion

Name	ID	Impact	Total holdings		Affected	
			Land area, ha	Building area, m2	Land area, ha	Building area, m2
Takhiatash ILDIS	AH-01	TPP expansion	0.48	607.2	0.48	607.2
Kamarchina	AH-02	TPP expansion	0.62	1,372.8	0.62	1,372.8
<b>Total</b>			<b>1.10</b>	<b>1,980</b>	<b>1.10</b>	<b>1,980</b>

### 2.5.2. Temporarily loss of employment

31. Due to business assets displacement, 50 workers will temporarily lose their employment: 10 workers (9 males and 1 female) from the Kamerchina and 40 workers (12 males and 28 females) from the Takhiatash ILDIS. All 50 workers are of legal age to work in these businesses.

### 2.5.3. Residential houses displacement due to TPP expansion

32. In addition to be displaced 2 businesses, there have been identified 5 residential houses to be fully displaced. These 5 AHs are registered by local land resources and cadastre department to

pay property tax to local taxation authority, however, do not have permission according to Takhiatash city planning document.

Table 2.4: Residential houses displacement due to TPP expansion

Type	ID	Impact	Total holdings		Affected	
			Land area, ha	Building area, m2	Land area, ha	Building area, m2
Residential	AH-03	TPP expansion	0.05	220	0.05	220
Residential	AH-04	TPP expansion	0.26	550.5	0.26	550.5
Residential	AH-05	TPP expansion	0.16	306	0.16	306
Residential	AH-06	TPP expansion	0.08	270	0.08	270
Residential	AH-07	TPP expansion	0.10	138	0.10	138
<b>Total</b>			<b>0.65</b>	<b>1,484.5</b>	<b>0.65</b>	<b>1,484.5</b>

#### 2.5.4. Loss of trees due to TPP expansion

33. In addition to identified business assets and residential houses displacements, there will be loss of fruit and timber trees. In table 2.5 presented AHs with total and affected number of trees separated by fruit and timber trees categories. Affected fruit trees are apple, apricot, date tree, grape, mulberry, pear, plum and quince trees. Affected timber trees are willow, poplar and platan<sup>6</sup> trees.

Table 2.5: Affected trees due to TPP expansion

Type	ID	Fruit trees		Timber trees	
		total	affected	total	affected
Residential	AH-03	4	4	1	1
Residential	AH-04	29	29	95	95
Residential	AH-05	5	5	-	-
Residential	AH-06	14	14	-	-
Residential	AH-07	7	7	47	47
<b>Total</b>		<b>59</b>	<b>59</b>	<b>143</b>	<b>143</b>

#### 2.6. Construction of the new gas pipeline

34. Within 2 km potential ROW for gas pipeline have been identified 5 residential houses with permanent and temporary impact. These 5 AHs in Kiyot received their land long time ago with decision of village council, however didn't register as required in local land resources and cadastre department.

##### 2.6.1. Residential houses displacement due to gas pipeline construction

35. From 5 residential houses to be affected by gas pipeline construction 2 of them will be physically displaced. These 2 residential houses will be physically displaced due to required safety zone. Therefore there will be needed for 0.54 ha of residential land acquisition and demolition of 574.01 m<sup>2</sup> of building area.

Table 2.6: Residential houses displacement due to gas pipeline construction

Type	ID	Impact	Total holdings		Affected	
			Land area, ha	Building area, m2	Land area, ha	Building area, m2
Residential	AH-09	Gas pipeline	0.30	210	0.30	210
Residential	AH-11	Gas pipeline	0.24	364.01	0.24	364.01
<b>Total</b>			<b>0.54</b>	<b>574.01</b>	<b>0.54</b>	<b>574.01</b>

<sup>6</sup> Also known as sycamore or plane

### 2.6.2. Temporary residential land impact due to gas pipeline construction

36. In addition to 2 to be fully displaced residential houses there will be temporary impact on 3 residential lands. This temporary impact will mainly affect backyards of these households. The detailed estimation of land impact amount and extent is given in table 2.7.

Table 2.7: Temporary residential land impact due to gas pipeline construction

Type	ID	Total holdings		Affected		Extent of impact	
		Land area, ha	Building area, m2	Land area, ha	Building area, m2	Land area	Building area
Residential	AH-08	0.36	366	0.20	-	55%	-
Residential	AH-10	0.50	250	0.25	-	50%	-
Residential	AH-12	0.25	300	0.10	-	40%	-
<b>Total</b>		<b>1.11</b>	<b>916</b>	<b>0.55</b>	<b>-</b>		<b>-</b>

### 2.6.3. Temporary agricultural land impact due to gas pipeline construction

37. Temporary land acquisition for gas pipeline will affect also 2 agricultural farms. The affected agricultural fields are mainly occupied by cotton. The detailed estimation of agricultural land impact amount and extent is given in table 2.8.

Table 2.8: Temporary impact on agricultural land due to gas pipeline construction

Type	ID	Area	Land area, ha	Affected area, ha	Extent of impact
Agricultural	AH-13	Kiyot	91	1	1.1 %
Agricultural	AH-14	Kiyot	47	3	6.4 %
<b>Total</b>			<b>138</b>	<b>4</b>	<b>2.9 %</b>

### 2.6.4. Loss of trees due to gas pipeline construction

38. In addition to above identified impacts of the new gas pipeline construction, there will be loss of fruit and timber trees. In table 2.9 presented AHs with total and affected number of trees separated by fruit and timber trees categories. Affected fruit trees are apple, apricot, date tree, grape, pear and plum trees. Affected timber trees are only mulberry for agricultural production.

Table 2.9: Affected trees due to gas pipeline construction

Type	ID	Fruit trees		Timber trees <sup>7</sup>	
		total	affected	total	affected
Residential	AH-11	80	80	55	55
Agricultural	AH-13	-	-	2,000	600
Agricultural	AH-14	-	-	1,000	300
<b>Total</b>		<b>80</b>	<b>80</b>	<b>3,055</b>	<b>955</b>

## 2.7. The Severely Affected AHs

39. The nine AHs that shall be severely affected consist of 2 private firms, 7 residential households.

40. **AHs severely affected on business assets.** The 2 AHs, both headed by male, and non-residents of the Karakalpakstan Republic. They will be vulnerable due to full displacement of all immovable assets.

<sup>7</sup> Numbers of timber trees from agricultural farm are rounded due to unknown exact boundaries of gas pipeline. This numbers should be updated after final detailed design will be available.

41. **AHs severely affected on residential assets.** The 7 AHs, two of them women headed, are residents of Keneges and Kiyot. Their houses will be fully demolished and households should be displaced.

## 2.8. Legal status of land ownership

42. **Private firms.** The 2 AHs which are businesses are registered as joint venture and have legal rights as for land as for buildings.

43. **Agricultural land.** The 2 of AHs with affected agricultural land are legal leaseholders and registered as individual farmers.

44. **Residential houses.** The 5 AHs in Keneges are registered by local land resources and cadastre department to pay property tax, however do not have permission according to Takhiatash city planning document. And another 5 AHs in Kiyot received their land by decision of village council, however didn't register as required in local land resources and cadastre department.

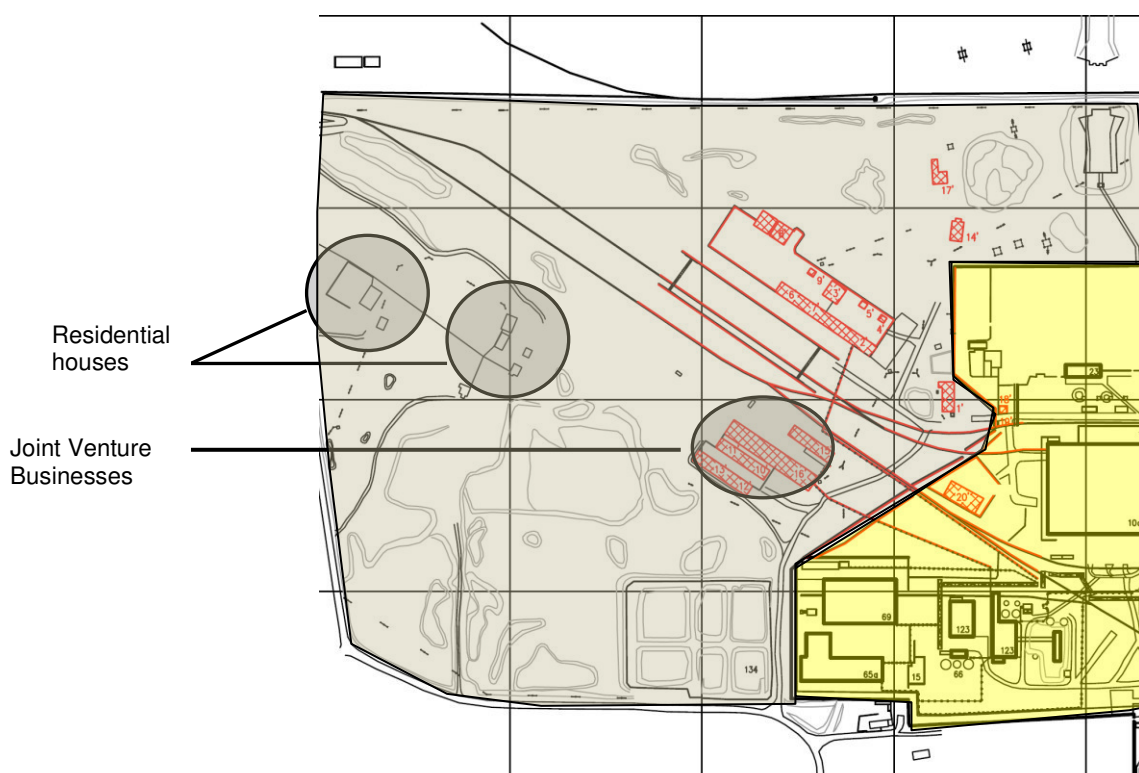
## 2.9. Infrastructure dismantling and rerouting

45. There are existing social infrastructure facilities which have to be dismantled and rerouted. Proper dismantling and re-routing of communication line, water pipeline and power transmission line is necessary due to that these are part of city infrastructure required for population livelihood. These objects are indicated in Table 2.10. Dismantling of water pipeline might create hardship to HHs connected to this utility, therefore Takhiatash TPP will provide the substitute pipeline or water supply have to be provided before dismantling this water pipeline..

Table 2.10: Affected public infrastructure

Infrastructure type	Length (m)	Additional
Communication line	3,200	19 wooden towers
Water pipeline	1,900	-
Power transmission line	520	14 wooden towers, 1 power transformer station

Fig 1. Extract from Takhiatash TPP expansion mapping





### III. SOCIOECONOMIC INFORMATION AND PROFILE

46. This chapter presents the findings of the socio-economic census activities undertaken in the affected area with the objective of understanding the existing socio-economic condition and vulnerability of 94 APs in 12 AHs within the survey areas. Information about 2 private firms' APs is not reflected in this section.

#### 3.1. Demography and socioeconomic characteristics

47. **Age and civil status.** The average age of AHs heads is 59 years old, 60 for male and 54 for female. All household heads are married, except one. The one AH head is women headed and widowed. Representative number of APs as presented in Table 3.1 is aged between 26-40, male 34% and female 26%. The least presented are junior (1-6 years) APs 9.6% and senior (65-above) APs 4.3%.

Table 3.1: Composition of APs by age

Age	Male APs		Female APs		Total APs	
	No.	Percent	No.	Percent	No.	Percent
1-6	3	6.8%	6	12.0%	9	9.6%
7-15	8	18.2%	8	16.0%	16	17.0%
16-25	7	15.9%	12	24.0%	19	20.2%
26-40	15	34.1%	13	26.0%	28	29.8%
41-65	9	20.5%	9	18.0%	18	19.1%
65-above	2	4.5%	2	4.0%	4	4.3%
<b>Total</b>	<b>44</b>	<b>46.8%</b>	<b>50</b>	<b>53.2%</b>	<b>94</b>	<b>100%</b>

48. **Household population and labor force.** The AHs in two massive have estimated population of 94 APs, it is 56 APs in Keneges, and 38 APs in Kiyot. The average membership of each AH is 8 persons per household. Traditions and customs of people in this region usually are to have big families consisting of few generations.

Table 3.2: APs per household

Massive	AHs	APs	No. of APs		
			Minimum	Average	Maximum
Keneges	5	56	4	11	14
Kiyot	7	38	4	5	7
<b>Total</b>	<b>12</b>	<b>94</b>	<b>4</b>	<b>8</b>	<b>14</b>

49. **Education.** About 16.7% of the heads of the AHs are with higher education degrees, same 16.7% with college degree and 66.7% have reached high school.

50. **Livelihood occupations.** About 32% are students or young members of the family and 26% are unemployed. Related governmental services occupation is 15% of the APs, 64% by male and 36% for female. Retired APs is 13% (male 7 APs, female 5 APs). Housekeeping and/or seasonal workers are 10% (male 1 AP, female 8 APs). Related agricultural activities are only 5% (male 3 APs, female 2 APs).

Table 3.3: Livelihood occupations

Occupation / Activity	Male		Female		Total	
	APs	%	APs	%	APs	%
Students (kindergarten, school, college)	12	27%	18	36%	30	32%
Unemployed	12	27%	12	24%	24	26%
Government employees	9	20%	5	10%	14	15%
Retired	7	16%	5	10%	12	13%
Other (house keeper, seasonal worker)	1	2%	8	16%	9	10%
Agriculture (heads of farm, farm-worker)	3	7%	2	4%	5	5%
<b>Total</b>	<b>44</b>		<b>50</b>		<b>94</b>	<b>100%</b>

51. **Monthly incomes and low-income AHs.** The existing methodology<sup>8</sup> in Uzbekistan identifies a low-income family as one in which the monthly income is lower than 1.5 fold of minimal wage per capita. Since December 2012 the minimal wage was set at 79,590 UZS per month, thus the poverty line has been set at 119,385 UZS (58 USD) per month per person. Based on this methodology the official poverty line (as nominal indicator) is about 2 USD<sup>9</sup> per day per capita, which is close to the WB and UN indicator of poverty. Majority of the AHs, or 58% (7 AHs) have monthly incomes below 119,385 UZS while 42% (5 AHs) have incomes above 119,385 UZS.

Table 3.4: Reported income of surveyed AHs

AH Code	APs	Monthly income		Poverty line
		of AH	per AP	
Keneges massiv				
AH-01	13	1,469,000	113,000	Below
AH-02	14	700,000	50,000	Below
AH-03	4	400,000	100,000	Below
AH-04	11	684,000	62,182	Below
AH-05	14	600,000	42,857	Below
Kiyot massiv				
AH-08	6	1,543,333	257,222	Above
AH-09	7	3,566,667	509,524	Above
AH-10	4	470,000	117,500	Below
AH-11	6	720,000	120,000	Above
AH-12	5	560,000	112,000	Below
AH-13	6	1,703,333	283,889	Above
AH-14	4	1,124,667	281,167	Above

### 3.2. Household utilities

52. **Water.** The 5 of the AHs in Keneges massiv are connected to city water pipeline and other 7 AHs in Kiyot are using water from the dug wells for washing dishes, clothes and for drinking purposes. The AHs in Kiyot are also using water for household farming.

53. **Electricity.** All AHs have access to electricity. This electricity is mainly used for lighting, refrigeration, cooling, and watching television.

<sup>8</sup> Resolution of Cabinet of Ministers № 44 issued on 15.02.2013

<sup>9</sup> Depending on USD/UZS exchange rate fluctuations

54. **Natural gas.** All AHs have access to natural gas. This gas is mainly used for cooking and heating water.

### **3.3. Access to social services**

55. **Education.** The educational system of Karakalpakstan AR is represented by 737 general schools with some 249 thousand enrolled students, 330 kindergartens with 29,600 (as of Jan1, 2012) children, 91 professional colleges and 10 academic lyceums with more than 82 thousands students enrolled in secondary special education. All 7 Higher Education institutions are located in Nukus city and cover 15,888 students in 2012. As of December 2012, in Takhiatash City 1,545 children were enrolled into 15 kindergartens. The coverage of the children of pre-school age with the kindergartens is 28%. There are 9 schools in the city with the total number of 6,455 pupils and 3 professional colleges providing education for 1,694 students on 19 specialities.

56. **Health Services.** With the total population of 47,500 people Takhiatash city's system of healthcare institutions consists of: one in-patient hospital with 250 beds, which includes section of infectious diseases, children's department and maternity hospital. There are two out-patient polyclinic with maternity consulting center and clinic for children. The total number of doctors working in healthcare institutions is 81 and nursing staff represented by 269 professionals. The coverage of the population with the hospital beds per 10,000 population is 52.6 (in 2012), compare to the average National indicator 47.9 (in 2011). For more sophisticated diagnostic services, surgical procedures and palliative health-care only hospital in Nukus can provide such services.

### **3.4. Ethnic composition**

57. In terms of ethnic composition, 6 of households are Uzbeks, 5 are Turkmans and 1 is Kazakh. None of these ethnic groups maintain cultural and social identities separate from the mainstream Uzbekistan's society fitting the ADB definition of Indigenous Peoples. They have full and equal access to institutions and economic opportunities as the rest of the population. Because of this the Project will not trigger the ADB policy on Indigenous peoples.

### **3.5. Gender issues**

58. Under the Project, there is no differentiation between the households headed by male and those households headed by female as they will equally feel the impacts of land restrictions and land acquisitions. There are 50 women who shall be directly affected by the Project; 48 spouses of males who head their households and 2 females as heads of their families. During the implementation of the updated LARP, the Uzbekenergo will comply with ADB's Policy on Gender and Development (1998) as a key strategy to promoting equity. As a Project policy in this LARP, the affected properties of households headed by female will be valued the same as that of the households headed by male, i.e. compensation based on replacement cost and receive allowances, assistance indicated in entitlement matrix of this LARP.

### **3.6. Vulnerable households**

59. The census and SES has recorded 2 women headed households. These two women headed households are also categorized as (i) severely affected – full displacement of house and (ii) as households below the poverty line.

60. There are also identified 3 disabled people in 3 AHs. One with lungs problem and 2 APs with weak eye vision.

## IV. INFORMATION DISCLOSURE, CONSULTATION AND PARTICIPATION

### 4.1. Consultations

61. Five consultations were carried out with AHs during Project preparation, and it is recommended that other consultations need to be carried out after LARP updated and before starting payment of compensations. Apart from the AHs, the participants in these public consultations included representatives of respective government organizations.

62. The key objectives of the consultations were to: (a) identify and help address AH's concerns related to the preparation and implementation of the LARP; (b) get inputs on AHs preferences for the type and delivery of compensation; (c) inform AHs about cut-off date of this LARP; and (d) minimize AHs apprehensions and ensure transparency in LARP activities. Five consultations were held during the census and LARP preparation. The venue, number, dates of the consultations and participants are summarized in Table 4.1.

Table 4.1: Summary of Consultation Meetings

Date	Locations	Number of meetings	Participants
23.04.2013	Residential houses, Takhiatash city	1	Affected Households, staff of Takhiatash TPP, TA Resettlement Expert
24.04.2013	1) Premises of affected firms, Takhiatash city; 2) Land resources and cadastre department; 3) Takhiatash city khokimiyat.	3	Affected private firms representatives, Deputy khokim of Takhiatash city, Head of Land resources and cadastre department, Takhiatash TPP staff, TA Resettlement Expert
10.05.2013	Agricultural land plots, Khojeyli district	2	Affected farmers, Takhiatash TPP staff, TA Resettlement Expert
11.05.2013	Residential houses, Khojeyli district	5	Affected households, staff of Takhiatash TPP, TA Resettlement Expert
12.05.2013	1) Residential houses, Takhiatash city 2) Premises of affected firms, Takhiatash city	7	Affected households, Affected private firms representatives, staff of Takhiatash TPP, TA Resettlement Expert

63. During the consultation meetings, AHs raised important questions. These questions were addressed to Takhiatash TPP, local khokimiyat and land resources and cadastre office. The questions/queries were related to land acquisition and resettlement as well as entitlements and compensation payments. Table 4.2 below presents the main queries raised and the responses to the same.

Table 4.2: Main Issues Addressed during the Consultations

Queries	Responses
How compensation will be provided, i.e. monetary or in-kind?	The compensations can be paid in monetary value and in-kind, depending on type of impact. For land acquisitions there will be land-for-land compensation, for demolished houses and structures, loss of profits, allowances are in monetary value.
When compensation will be paid?	Compensations will be paid before any civil works start. PMU will develop compensation payment plan after receiving final design and confirmation of amount of affected assets and number of AHs.
When buildings will be demolished? Will we get compensated before demolishing?	The demolishing works can start only after approval of land acquisition and payment of all compensations to AH and entitled businesses.
Will we get land replacement for household farming land?	For land acquisitions will be provided land-for-land compensation.
Where we will get land-for-land compensation?	Local khokimiyat will offer possible land parcels. Land replacement should be provided close to same living or working area and agreeable by AH.

#### 4.2. Information Disclosure

64. Disclosure meeting describing the current LARP will be organized to AHs (including all households, agricultural farms and private firms) and respective government organizations during LARP evaluation stage (tentative period: II quarter 2013). The organized meeting will gather all stakeholders in order to explain and answer in detail to all raised, unsolved or appeared questions. A leaflet in local language will be distributed to AHs, relevant agencies and organizations during the disclosure meeting. The leaflet will describe the project and land requirement for the project, the entitlement matrix, as well as the grievance mechanism and LARP implementation schedule. The draft and final LARP document will be disclosed on the websites of the Uzbekenergo and ADB upon approval by both ADB and the GOU.

## **V. GRIEVANCE REDRESS MECHANISM**

65. The APs will have the right to file complaints and queries on any aspect of land acquisition compensation, and resettlement. The EA will ensure that grievances and complaints on any aspect of the land acquisition, compensation, and resettlement are addressed in a timely and satisfactory manner. All possible avenues are made available to the AHs to resolve their grievances at the project level. However, AHs are free to address their complaints to the courts at any time and not only after using the GRM. Under the proposed project level grievance mechanism, AHs may appeal any decision, practice or activity connected with the assessment or valuation of land or other assets, acquisition and compensation. All AHs will be made aware of the procedures they can follow to seek redress, including, if necessary resort to the courts through the Government's grievance mechanism. The Project Grievance Mechanism will be disseminated via the LARP leaflet that will be distributed to AHs through local khokimiyat, the mahalla or village assembly of citizens or farmers councils during the disclosure process.

66. The PMU of the EA will establish a simple and accessible Grievance Redress Mechanism. Figure 5.1 gives the details of the grievance redress mechanism. The GRM provides a number of avenues and levels for grievance resolution and appeals process.

67. The main objective behind project specific grievance mechanism is to ensure timely and user-friendly solution to the complaints received from the AHs. However, the Project Grievance Redress Mechanism does not prevent any AH to approach the governmental legal system to resolve their complaints at any stage of the grievance redress process. The AHs can address their complaints to the courts at any time and not only after using the GRM.

68. Level 1 (Mahalla / Village Assembly). Under this project grievance redress mechanism, complaints can be submitted to Mahalla, Village Assembly of Citizens, Farmer Councils or directly to EA. The mahalla/village assembly will try to resolve or clarify the issue within 1 week. Unresolved issues will be referred to the district khokimiyat GFP.

69. Level 2 (District Hokimiyat). Usually, the District khokimiyat will be the entry point for receiving complaint or known as a Grievance Focal Point (GFP<sup>10</sup>). In case, complaint is submitted to the GFP, the GFP will establish a contact with the EA and its PMU, mahalla and other bodies such as village assembly of citizens, farmers councils of which AH are members and will try to resolve the issue within 1 to 2 weeks.

70. Level 3 (Project Management Unit). The EA through its PMU on a regular basis (weekly) and as per immediate request will check with the GFP whether any complaint is received by GFP. The PMU, on receipt of a complaint from GFP or any other local bodies, will immediately take the following actions:

- (i) Will inform the complainant within 2 days;
- (ii) Inform ADB office both resident mission and HQ;
- (iii) Establish complaint handling team with members Head of PMU, representatives from the EA, District Khokimiyat, Land Resources and Cadastral Department, and Mahalla or Village Assembly of Citizens or/and Farmer's Councils, or/and Women Association.

71. The team will be headed by one of the EA management staff designated for handling grievances of the project.

- (i) The team will consult the complainant and gather complainant's concerns;
- (ii) The team will also take advise from independent valuator (in case of grievances related to valuation);

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<sup>10</sup> Under the Government Grievance mechanism, the local khokimiyat is designated as the Grievance Focal Point.

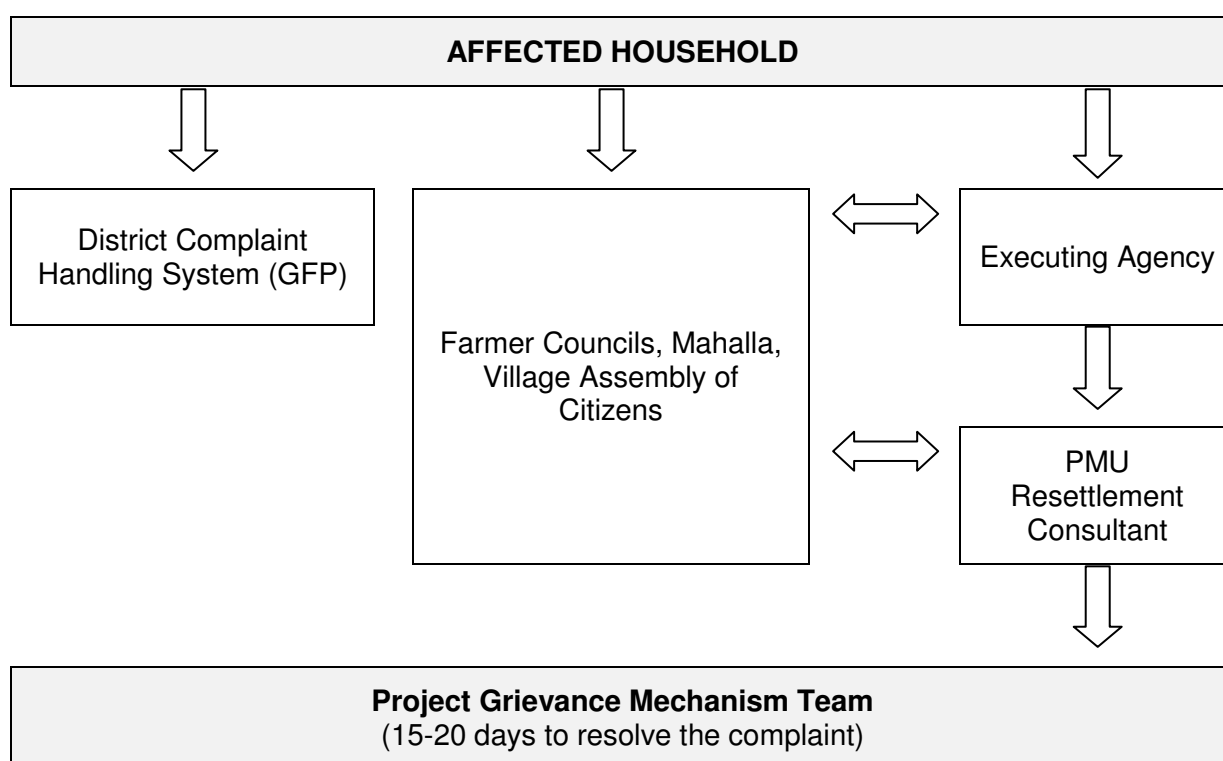
- (iii) All complaints will be resolved in 15-20 days, and in case additional details are required, a maximum of 30 days will be used to resolve and close the complaint;
- (iv) If complaint is not resolved by Project Grievance Mechanism Team, the PMU will inform ADB office and District khokimiyat regarding the same.

72. Level 4 (Provincial Hokimiyat). If a grievance is not resolved within 30 days, the complainants or her/his representative can submit its complaint to the provincial khokimiyat. The Provincial hokimiyat will also have 15 calendar days to resolve the complaint.

73. Level 5 (Court). If the complaint is still unresolved, the complainant can submit his/her complaint to the appropriate court of law.

74. The PMU will be responsible for recording the complaint, the step taken to address grievance, minute of the meetings, and preparation of a report for each complaint. The complaint handling process will be reported to ADB through the quarterly project implementation report.

Figure 5.1: Grievance Mechanism



## **VI. LEGAL FRAMEWORK**

75. This chapter describes the Uzbek laws and regulations on land acquisition and resettlement, and ADB's policy on Involuntary Resettlement, and their particularly underlying principles.

### **6.1. Provisions regulating land acquisition and compensation in Uzbekistan**

#### **6.1.1. Land code**

76. The land code (LC) is the main regulatory framework for land related matters in Uzbekistan. The LC regulates allocation, transfer and sale of land plots, defines ownership and rights on land. It describes responsibilities of different state authorities (Cabinet of Ministers, province, district, city khokimiyat) in land management; rights and obligations of land possessor, user, tenant and owner; land category types, land acquisition and compensation, resolution of land disputes and land protection. The LC defines terms of rights termination on land plot, seizure and land acquisition of land plot for state and public needs, and terms of seizure of land plot in violation of land legislation.

#### **6.1.2. Civil code**

77. The civil code (CC) defines the legal status of participants of civil relations, the grounds and procedure of implementation of property rights and other proprietary rights, rights on intellectual property, regulates the contractual and other obligations, as well as other property and related personal non-property relations. The CC defines general rules of property seizure, determination of property cost and rights for compensation, terms of rights termination.

#### **6.1.3. Resolution of Cabinet of Ministers № 97 (29 May 2006)**

78. This resolution regulates compensation for losses to individuals and legal entities due to seizure of land plots for state and public needs. This regulation is mainly dealing with land plots, houses, building and structures of individuals and legal entities.

79. The resolution determines the procedure for seizure of land or part thereof, as well as the procedure for calculating the amount of compensation to individuals and legal entities for the demolished residential, industrial and other buildings, structures and plantings in due to seizure of land for state and public needs. The Resolution contains:

- procedure for calculating the amount of compensation to individuals and legal entities for the demolishing houses (apartments, buildings, structures and plantings) due to seizure of land plots for state and public needs;
- procedure and conditions for providing residential premises for owners of demolishing houses;
- procedure and conditions for providing land plots to individuals for individual housing construction instead of the demolishing residential house (apartment);
- procedure of losses compensation to legal entities due to seizure of land plots for state and public needs;
- procedure and calculation terms for transfer and reinstatement at the new place of dwelling houses, buildings and structures to be demolished;
- Procedure and calculation terms of in case of construction in a new place of dwelling houses, buildings for individuals and legal entities, houses (apartments) of which are to be demolished.

80. Khokimiyats of respective districts (cities) are required to notify in writing the owners of residential, industrial and other buildings, structures and trees about the decision, not later than six months before the demolition, with the annex to the notice copies of the relevant decisions of the Council of Ministers of the Republic of Karakalpakstan, khokims of provinces and Tashkent city on seizure of land, demolition of residential, industrial and other buildings, structures and trees located on the land plot.



#### **6.1.4. Resolution of Cabinet of Ministers № 146 (25 May 2011)**

81. Resolution is aimed to improve the procedure of granting land plots, to protect the rights of legal entities and individuals on land, improving the architecture of settlements and the efficient use of their land for construction in accordance with the Land Code and the Town Planning Code.

82. This resolution approved two Regulations: (i) Regulation on the procedure for granting land for urban development and other non-agricultural purposes, (ii) Regulation on the procedure of compensation for land possessors, users, tenants and owners, as well as losses of agriculture and forestry.

83. The regulation on the procedure for granting land for urban development and other non-agricultural purposes contains:

- the order of land plot location, preparation and approval of site selection and land allocation documents without approved planning documentation;
- the order of placement, selection and land allocation with approved planning documentation,
- the order for rejection in the selection and land allocation for construction;
- the provision (sale) of land plots for individual housing construction;
- The stake out land boundaries, the elements of urban planning documents and development regulation lines.

84. The regulation on the procedure of compensation for possessors, users, tenants and land owners, as well as losses of agriculture and forestry contains:

- compensation for losses of owners, users, tenants and land owners;
- compensation for losses of agriculture and forestry;
- cost of irrigation and developing equal new land plot in return for seized irrigated agricultural land;
- cost of fundamental improvement of grassland and pasture;
- scheme for determination of losses of land possessors, users, tenants and owners, as well as losses of agriculture and forestry;
- Coefficients on location of seized land plots.

85. The Losses of land possessors, users, tenants and owners, as well as losses of agriculture and forestry should be compensated before granting of documents certifying rights on land plot.

86. The regulation also orders that demolition of house, or building shall be done only after agreeing on compensation, and providing replacement premises. The regulation orders that compensation has to be paid before starting any construction work.

87. The land possessors, users, tenants and owners of which land plots are seized and of which land plots are granted in case of disagreement with defined amount of losses can appeal to court.

88. In case of acquisition and temporary occupation of land plot or part thereof, subject for compensation:

- Cost of land plot, owned by individuals and legal entities;
- Cost of residential houses, constructions and installations, including incomplete constructions, and also located outside of allocated plot, if its further utilization is impossible due to seize of land plot;
- Cost of fruits and berries, protection and other perennial plants;
- Cost of incomplete agricultural production;
- Lost profit.

89. Above described Laws and regulations define that non-title and squatter land and building/structures are ineligible for compensation.

### **6.1.5. Labor code and employment law**

90. These two documents are main legislations regulating labor relations of individuals employed with labor contract by enterprises, institutions, organizations of all type ownership forms, including contracted by individuals. These legislations are considering interests of employees and employers provide efficient function of labor market, just and secure labor conditions, protection of labor rights and employees health, promote to growth of labor productivity, increase of work quality, raising on this matter welfare and social livelihood level of the population.

### **6.2. ADB involuntary resettlement safeguards**

91. The ADB SPS, 2009 includes requirements for Involuntary Resettlement (IR). The IR underlying principles aim to avoid involuntary resettlement wherever possible; to minimize involuntary resettlement by exploring Project and design alternatives; to enhance, or at least restore, the livelihoods of all affected persons in real terms relative to pre-Project levels; and to improve the standards of living of the affected poor and other vulnerable groups. ADB Policy has the following requirements:

#### **6.2.1. Compensation, assistance and benefits for affected persons (APs)**

- Compensate/assist those with formal legal rights to the land lost and those who have claims to lands that are recognized or recognizable under national laws. APs that have neither formal legal rights nor recognized or recognizable claims to such land are entitled only to compensation for non-land assets.
- Compensate for affected lands, structures and other assets and put in place a comprehensive income and livelihood rehabilitation program **prior to Displacement**.
- Give preference to land-based resettlement strategies for affected persons whose livelihoods are land-based. Provide physically affected persons with relocation assistance, secured tenure to relocation land, better housing at resettlement sites with comparable access to employment and production opportunities, and civic infrastructure and community services.
- Promptly compensate economically Affected persons for the loss of income or livelihood sources at full replacement cost, and provided other assistance (i.e. access to credit, training, and employment opportunities) to help them improve, or at least restore, their income-earning capacity, production levels, and standards of living to pre-displacement levels.
- Provide affected persons with opportunities to share Project benefits in addition to compensation and resettlement assistance.

#### **6.2.2. Social impact assessment**

- Conduct socioeconomic survey(s) and a census, with appropriate socioeconomic baseline data to identify all persons who will be affected by the Project and to assess the Project's socioeconomic impacts on them.
- As part of the social impact assessment, identify individuals and groups who may be differentially or disproportionately affected by the Project because of their disadvantaged or vulnerable status.

#### **6.2.3. Resettlement planning**

- A resettlement plan should be based on the social impact assessment and through meaningful consultation with the affected persons if the proposed Project will have involuntary resettlement impacts.
- Ensure that the affected persons are (i) informed about their options and entitlements pertaining to compensation, relocation, and rehabilitation; (ii) consulted on resettlement options and choices; and (iii) provided with resettlement alternatives.
- Pay adequate attention to gender concerns to ensure that both men and women receive adequate and appropriate compensation for their lost property and resettlement assistance, if required, as well as assistance to restore and improve their incomes and living standards.

- Analyze and summarize national laws and regulations pertaining to land acquisition, compensation payment, and relocation of affected persons in the resettlement plan; and compare such laws and regulations with ADB's involuntary resettlement policy principles and requirements. If a gap between the two exists, propose a suitable gap-filling strategy in the resettlement plan in consultation with ADB.
- Consider all costs of compensation, relocation, and livelihood rehabilitation as Project costs.
- Include detailed measures for income restoration and livelihood improvement of affected persons in the resettlement plan. For vulnerable persons and households, include measures to provide extra assistance so that they can improve their incomes in comparison with pre-Project levels.
- Before the completion of engineering design, prepare a final LARP I that (i) adequately addresses all involuntary resettlement issues pertaining to the Project, (ii) describes specific mitigation measures that will be taken to address the issues, and (iii) ensures the availability of sufficient resources to address the issues satisfactorily.
- Consult with Affected persons identified after the formulation of the final resettlement plan phase I and inform them of their entitlements and relocation options. Supplementary resettlement plan or a revised resettlement plan should be submitted to ADB for review before any contracts are awarded.
- Use qualified and experienced experts to prepare the social impact assessment and the resettlement plan.

#### **6.2.4. Information disclosure**

- Submit the following documents to ADB for disclosure on ADB's website: (i) a draft resettlement plan and/or resettlement framework endorsed by the borrower/client before Project appraisal; (ii) the final resettlement plan endorsed by the borrower/client; (iii) a new resettlement plan or an updated resettlement plan, and a corrective action plan prepared during Project implementation, if any; and (iv) the resettlement monitoring reports.
- Provide relevant resettlement information in a timely manner, in an accessible place and in a form and language(s) understandable to affected persons and other stakeholders. For illiterate people, use other suitable communication methods.

#### **6.2.5. Consultation and participation**

- Conduct meaningful consultation with APs, their host communities, and civil society
- Pay particular attention to the need of disadvantaged or vulnerable groups, especially those below the poverty line, the landless, the elderly, female-headed households, women and children, Indigenous Peoples, and those without legal rights to land.

#### **6.2.6. Grievance redress mechanism**

- Establish a responsive, readily accessible and culturally appropriate mechanism to receive and facilitate the resolution of affected persons' concerns and grievances about physical and economic displacement and other Project impacts, paying particular attention to the impacts on vulnerable groups.

#### **6.2.7. Monitoring and reporting**

- Monitor and measure the progress of implementation of the resettlement plan. For Projects/sub-Projects with significant LAR impacts, qualified and experienced external experts are retained to verify internal resettlement monitoring information. If any significant involuntary resettlement issues are identified, prepare a corrective action plan to address such issues. Do not proceed with implementing the Project until such planning documents are formulated, disclosed and approved.

#### **6.2.8. Unanticipated impacts**

- If unanticipated involuntary resettlement impacts are found during Project implementation, conduct a social impact assessment, update the resettlement plan or formulate a new resettlement plan

### 6.2.9. Special considerations for indigenous peoples

- Avoid physical relocation of Indigenous Peoples that will result in adverse impacts on their identity, culture, and customary livelihoods. If adverse impacts cannot be avoided, formulate a combined Indigenous Peoples plan and resettlement to meet all relevant requirements specified under ADB Safeguard Requirements 3: Indigenous People.

### 6.2.10. Negotiated settlement

- Acquisition of land and other assets through a negotiated settlement whenever possible is encouraged.
- Negotiated settlements that would result in expropriation are subject to third-party validation to ensure that the compensation is based on fair price (replacement cost of land and/or other assets, and is based on meaningful consultation with APs).

## 6.3. Policy differences and reconciliation

92. A summary comparison between the Uzbekistan law and regulation and ADB policies, and reconciliation provisions to fill the gaps is presented in Table 6.1 below:

Table 6.1: Comparison of ADB resettlement safeguards with Uzbekistan law and regulation for land acquisition and resettlement

ADB Safeguards requirements	UZBEKISTAN law and regulation for land acquisition and resettlement	Reconciliation
AHs are to be informed/ consulted on resettlement/ compensation options.	The Law and regulation do not provide for consultation.	In this Project, AHs were consulted through group meetings and individual meetings. The LARP summarized in to leaflet in local language and distributed through Land Resources and Cadastre Department or Farmers Council.
AHs to be compensated and assisted, so that their economic/social future would be generally as favorable as it would have been in the absence of the Project.	The Law and regulation provide for compensating for loss on land right, buildings, crops, trees and other assets. However, it is not clear on how income losses of workers, severely and vulnerable AHs are to be compensated.	This Project will provide compensation for loss of land lease, structures and crop losses. In addition, allowance will be also provided for severe impact and vulnerable AHs (see entitlements section for details).
Compensation is to be provided in full at replacement rates	The mandates compensation at replacement rates through provision for land for land. However, replaced land location is not always taken into consideration.	Under this LARP land for land compensation will take into account location of replaced land parcel. Allocated land parcel should be in same farming, living and / or working community and distance agreeable by AH.
Lack of formal legal title by some affected groups should not be a bar to compensation or rehabilitation.	Compensation is provided only to title /registered holders.	The issue is not relevant for agricultural land for this LARP, because, all farmers affected by the land acquisition are title holders. In case of untitled / unregistered land use / houses, Takhiatash TPP will ensure its legalization to make eligible for compensation.
ADB safeguards provide for rehabilitation allowances for, severe impacts, vulnerable APs.	The UZB law and regulation does not provide for the ADB required allowances.	In this project, allowances for severe impact and vulnerable AHs will be provided (see entitlements section for details).

## **VII. ENTITLEMENTS, ASSISTANCE AND BENEFITS**

93. This chapter details the eligibility and entitlements for compensation for assets affected by the project.

### **7.1. Eligibility and cut-off date**

94. Compensation eligibility will be limited by a **cut-off date** established based on the last day of the census of AHs and IOL (**May 12, 2013**). Households who settle in the affected area and/or make any improvements on land parcel to be acquired for the project after the cut-off date will not be eligible for compensation. They will, however, be given sufficient advance notice requesting them to vacate land parcels and dismantle affected structures prior to project implementation. Their dismantled structures will not be confiscated and will not be subject to fine or compensation.

### **7.2. Legalization and registration of land lease / possession**

To enable the Project to compensate unregistered land users under Uzbekistan laws, representatives from the Land Resources and Cadastre Office will advise affected land users to register or update the registration of their lands. Under the LARP those who have unregistered land will be legalized and registered prior to compensation. PMU will identify and create list of AHs who will need legalize and/or register their lands. In order to support legalization, PMU will submit request with list of AHs to local khokimiyat. Local khokimiyat will instruct its land resources and cadastre department to help AHs to legalize / register their land. Land resources and cadastre department will make measurement and inventory of each AHs's land and buildings to prepare land lease / possession documents. The EA will facilitate the legalization and registration process and refund paid registration fees if such a case. The experience shows that the process will require around 2 months.

### **7.3. Compensation and valuation of assets**

95. This section details the entitlements for compensation for assets affected by the project.

#### **7.3.1. Land**

96. Compensation for permanent land acquisition of agricultural land will be on a "land for land" basis, with land being provided to owners by the local khokimiyat following assessment by the LARC. Such land will be of equal value / productivity<sup>11</sup> in a nearby location and with comparable associated services / facilities, or compensation to provide such services. Transaction costs, registration fees, if any, will be borne by Uzbekenergo.

97. Alternatively, monetary compensation for agricultural land at replacement cost will be provided. The compensation for the permanent loss of land use rights over the affected agricultural land will be compensated equivalent to 4 years net average income of the past 3 years (of the affected annual crop).

98. In cases wherein all or parts of the lease holding become unviable, unaffected portions of a plot will also be compensated. This matter will be determined by district land resources and cadastre department and the AH. In case of disputes, this matter will be resolved with support of local khokimiyat and district agriculture and water resources department.

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<sup>11</sup> In Uzbekistan is existing standardized valuation of agricultural land differentiating by type of land (i.e. irrigated, rainfed, pasture). This valuation will be determined by district land resources and cadastre department based on Resolution of Cabinet of Ministers 146 (25.05.2011).

99. Residential land will also be compensated on a land-for-land basis. Land replacement has to be in the immediate vicinity of the affected land (if such land is available) or another location agreeable to the AHs. Each affected residential land plot will be allocated a replacement plot of 600 m<sup>2</sup>.<sup>12</sup> In case the loss of residential land will result in the relocation of several families of the AH, compensation for land plot will be provided to each affected family in the AH. The land allocated for housing will have the following terms: (i) right for lifelong inheritable possession, and (ii) house has to be built within two years.

100. For affected land that was used for business purpose, land for land compensation will be applied in proportion with the business requirement. The first option would be to provide land at same location but away from the TPP expansion area. The second option would be to provide land at the nearest available location agreeable to AH.

101. Alternatively, monetary compensation for residential, commercial and agricultural land at replacement cost will also be provided to those AHs losing a small proportion of land holding and not wanting replacement land in lieu for the same.

### **7.3.2. Structures**

102. Buildings (registered or not) will be compensated at full replacement cost without application of depreciation. For partial impacts (structure wall, fences etc), monetary compensation at replacement rates will be paid to restore the remaining structure to its original state. Unaffected portions of a structure will also be compensated if they become unlivable after impact occurs.

### **7.3.3. Crops and Trees**

103. Loss income from crops planted on the affected land will be compensated in monetary value at replacement cost based on 1 year of production cost (inputs) plus an allowance equivalent to 1 year average net income computed based on the average income over the past 3 years. Loss income from fruits trees will be compensated in monetary value based on the average annual income for the past 3 years multiplied by the remaining productive life of the fruit bearing trees. In the case of loss of timber trees, compensation will be based on the market value of their dry wood volume. The compensation for trees will be free of deduction for the value of the wood left to the AH.

### **7.3.4. Loss of Income/Livelihood**

104. AHs losing business will be paid monetary compensation for the period of business interruption<sup>13</sup>. This will be calculated based on the estimated average monthly income in the past 3 years multiplied by the number of months of business interruption. Workers from the affected businesses will be paid for lost wages for the duration of business interruption up to 12 months. In case of agricultural workers losing their employment as a result of land acquisition, monetary compensation will correspond to their salary (in monetary value and in kind) for the remaining part of the agricultural year or contractual period whichever is higher.

### **7.3.5. Relocation and reinstallation**

105. HH losing residential who need to relocate will each be provided with a relocation allowance that includes (a) 250,000 UZS per month up to a maximum of 2 years while the new house or building is being erected; (b) 500,000 UZS for the transportation of the family members, goods and chattels to temporary and permanent relocation sites.

106. AH losing business structures and who need to relocate and reinstall equipment will be compensated based on invoice from firm providing such service for the transportation and reinstallation of the business production equipment, machinery, materials, goods and etc. To

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<sup>12</sup> Resolution of Cabinet of Ministers 272 (30.12.2006) stipulated that for individual housing 600 m<sup>2</sup> is to be allocated.

<sup>13</sup> Business interruption includes the time for receiving a new land plot, and designing/building of a new business structure.

commence this service prior approval by Uzbekenergo is required, because providing and costs of such services might require bidding or any special procedure.

### 7.3.6. Vulnerable Households

107. Vulnerable households will be provided with a one-time additional allowance equivalent to their 3 month average household income. In addition, members of vulnerable households will also be prioritized<sup>14</sup> in project related employment. The Mahallas and district governments have a record of all households in the communities and will be tapped in identifying and certifying vulnerable households.

### 7.4. Compensation estimation process

108. All compensation estimates of the property and assets will be at the replacement value. The LARP sets eligibility and entitlement provisions establishing compensation rates in accordance with guidelines from the GOU and ADB SPS 2009.

109. Structures and buildings will be valued through calculating the replacement cost based on cost of materials, type of construction, labor, transport and other construction costs as on date. No deductions will be applied for depreciation or transaction costs. The cost of reconnection of lost water, electricity, gas and telephone connections will be included in the compensation (the new land sites are assumed to have similar services available). Salvaged materials will be allowed to be taken away by the AHs prior to demolition at no charge.

110. Assessment of the affected structures will be done by a certified valuation expert requested either by the AHs or Uzbekenergo. If AHs paid fees for valuation service then Uzbekenergo will reimburse to AHs.

111. To determine replacement costs for affected assets, where it is possible to undertake replacement cost surveys, which in Uzbekistan is restricted to houses, other physical structures and land not classified as agricultural land, the Project will base its estimates on (i) values of the Government Rural Housing project<sup>15</sup>; (ii) recent house and business premises sales identified by AH and other local informants; and (iii) current cost estimates of construction markets in Karakalpakstan. The Department of the Land Resources and Cadastral Department may be consulted for undertaking survey.

112. All compensation and assistance to be provided for this project is summarized in the entitlement matrix below (See Table 7.1).

Table 7.1: Entitlements Matrix

Type	Specifications	Affected HHs	Entitlement
<b>A. Impact on Land</b>			
A.1. Agriculture land	All land losses independent of impact severity.	Leaseholders	1. Land for land compensation with plots of equal value/productivity class, comparable location, and agricultural support services (or compensation to provide such services); OR Monetary Compensation at replacement cost by providing compensation for loss of land use rights equivalent to 4 years of the net average income of the past 3 years (of the affected annual crops.)

<sup>14</sup> Applicants should meet eligibility requirements in terms of qualification and skills.

<sup>15</sup> The Government Rural Housing Project was chosen because (i) it is focused on rural areas; (ii) market-values are updated on an annual basis and a comprehensive database is available in Karakalpakstan; and (iii) the GOU is prepared to accept replacement costs based on this Project.

Type	Specifications	Affected HHs	Entitlement
			<ol style="list-style-type: none"> <li>Unaffected portions of an affected arable plot will also be compensated, if the same becomes unviable after impact.</li> <li>Transaction cost, registration fee, related to new plot allotted will be borne by Uzbekenergo.</li> <li>Independent valuator will be engaged only in cases where AHs are disagree with compensation rates determined by district land resources and cadastre department or Uzbekenergo.</li> </ol>
Land for reclamation of new land	Cropland, orchard, state reserve land, pasture and other classified as agricultural land	Special account of Provincial Department for Land Use and State Cadastre of the Karakalpakstan.	<ol style="list-style-type: none"> <li>Compensation is to be paid to develop new lands or through irrigation and agro-irrigation activities to raise the productivity of existing lands in accordance with the unit rate set by Cabinet of Minister Resolution # 146 and in case of absence such value category of agricultural land such as pasture, reserve land and others will be calculated by application of special unit rate set by this Resolution. The period for rehabilitation of under-received products shall be considered as being equal to four years, during which the land plot shall be selected for development of new lands or for irrigation improvement of existing irrigated lands.</li> </ol>
A.2. Residential / Business / Orchard land	Land Loss	Lifelong inheritable possession/ permanent possession	<ol style="list-style-type: none"> <li>Land for land compensation through provision of a land plot comparable in value/location to the plot lost including services (or compensation to provide such services) to plots lost with registration and transfer charges if any to be borne by the project; OR Monetary Compensation at replacement cost to be determined by the Independent Valuer.</li> <li>Unaffected portions of a plot will also be compensated if they become unviable after impact occurs.</li> <li>All mandatory fees for registering the land, completion of required house design, surveys, acquiring permission for construction under the AHs name and any other related costs will be paid by Uzbekenergo.</li> <li>Independent valuator will be engaged in order to agree with AHs on compensation estimates.</li> </ol>
<b>B. Impact on Structures</b>			
Residential / Business structures	Full or partial loss of structures	Ownership	<ol style="list-style-type: none"> <li>Monetary compensation at full replacement rate for affected structure/fixed assets free of salvageable materials, depreciation and transaction costs. OR Construct or provide similar</li> </ol>



Type	Specifications	Affected HHs	Entitlement
			<p>house/building with granting full ownership to AH. Salvageable material will be allowed to be taken away by owner at no extra cost.</p> <p>2. Cost of replacing existing water, electricity, gas and phone connections will be included in the compensation.</p> <p>3. In case of partial impacts on structures (structure wall, fences etc), monetary compensation at replacement rates to restore the remaining structure.</p> <p>4. Unaffected portions of the structure will also be compensated at replacement value if they become unviable after impact.</p> <p>5. Independent valuator will be engaged in order to agree with AHs on compensation estimates.</p>
<b>C. Impact on Crops and Trees</b>			
Agriculture land, orchard, within residential complex	Loss of crops	All AHs	1. Monetary compensation at replacement cost for primary (and secondary crops if any) on affected land based on 1 year of production costs (inputs) plus an allowance equivalent to 1 year average net income based on the average income over the past 3 years.
	Loss of fruit trees	All AHs (including non leased land owner)	<p>1. Monetary compensation for fruit trees will be based on the average annual income for past 3 years multiplied by the remaining productive life of the fruit bearing trees.</p> <p>2. Felled trees will be kept by the AHs.</p>
	Loss of timber trees	All AHs	<p>1. Monetary compensation for timber trees will be compensated based on market value of dry wood volume. OR Production costs (inputs) of trees till to cut date.</p> <p>2. Felled trees will be kept by the AHs.</p>
			1. Independent valuator will be engaged only in cases where AHs are disagree with compensation rates determined by district land resources and cadastre department or Uzbekenergo.
<b>D. Impact on Income and Livelihood</b>			
Employment from affected agricultural land	Loss of employment from affected agricultural land	Agricultural workers losing their contract	1. Monetary indemnity corresponding to their salary (in monetary value and in-kind <sup>16</sup> benefit) for the remaining part of the agricultural year/or contractual period whichever is higher in monetary value.
Business /Employment	Loss of business or employment	Business owners (including those who are not registered)	1. Monetary compensation for the period of business interruption up to 12 months. Calculation will be based on the estimated net monthly income during the past 3 years multiplied by the number of months the business will be

<sup>16</sup> Products which workers used to receive as payment and/or additional benefit for on-farm work such as wheat, rice, hay etc.

Type	Specifications	Affected HHs	Entitlement
			interrupted. This period includes time for receiving new land plot, designing of new construction and erection of premises and structures of an equivalent nature and size. 2. All affected business holders will be exempted from all mandatory tax for a period of relocation up to 12 month. In cases wherein exemption is not possible, Uzbekenergo will pay the required taxes.
	Loss of employment from affected businesses	Workers/ Employees from affected businesses	1. Indemnity for lost wages for the duration of interruption of employment up to 6 months, or 6 months monetary compensation in case of permanent closure of business.
<b>E. Relocation</b>			
Relocation of Residential and Business Structures	Full or partial loss of structure	All affected households needing relocation	1. 250,000 UZS per month monetary allowance for each AH for temporary housing for a maximum 2 years while erecting a new house. 2. 500,000 UZS monetary allowance for each affected household for transportation of the family members, goods and chattels to temporary and permanent relocation sites. OR 3. Full cost of transportation and reinstallation of business equipment and machinery
<b>F. Vulnerable Households</b>			
Vulnerable Affected Households		Low income households, female-headed households with fewer than 2 adult income-earners, the elderly headed HHs with unemployed family members <sup>17</sup> and disabled)	1. One-time additional allowance equivalent to their 3-month average household income. 2. Priority for employment in project-related jobs, training opportunities, self-employment and wage employment assistance.
<b>G. Impact on Community Structures and Assets</b>			
Community Structures and Assets	Loss or damage to public infrastructure and utility	Community owned Assets	1. Rehabilitation/replacement of affected structures/utilities (i.e. footbridges, roads, communication lines, water pipelines, power transmission lines etc.) to pre-Project level.
<b>I. Any unanticipated Impacts</b>			
Any unanticipated impacts identified during Project implementation will be compensated in full at replacement rate, subject to independent valuation methodology.			

<sup>17</sup> In case of unemployed APs, necessary required paper from local Labour authorities.

## **VIII. RELOCATION OF HOUSING AND SETTLEMENTS**

113. This section describes the relocation options for the displaced households incurring impacts on their residential and business structures necessitating their relocation.

114. The project will impact both residential and business structures, necessitating physical relocation. In accordance with Uzbek Construction Rules, no relocation will be done in winter period from 15.10.2012 till 15.04.2013. A total of 9 AHs comprising of 7 residential households and 2 business establishments will need to be relocated as a result of the Project. The main objective of the relocation strategy is to ensure smooth and timely relocation of both residential households and business structures. Consultations were undertaken with the AHs to discuss various relocation options and their choices for relocation. The entitlement matrix provides details of the various compensations and assistance to be provided to all AHs so as to ensure that their status is same or better compared to the pre-project level.

### **8.1. AHs losing residential assets**

115. During the census, an attempt was also made to ascertain the relocation preferences of the 7 AHs. All the 7 AHs during the census opted for project-supported relocation. The AHs further opined that they should be relocated preferably near their current location so as to minimize disruption of their lives. They also voiced that they should also be consulted by the Project prior to finalizing the relocation places. Each AH is entitled for land plot of 0.06 ha in case if land allocated in city, and in case of allocation from rural area land loss amount.

### **8.2. AHs losing business assets**

116. For relocation of businesses assets, 1 ha of land will be made available within Takhiatash city and in close distance from the current location in order to reconnect hot water and steam pipes from the Takhiatash TPP.

### **8.3. Role of Uzbekenergo**

117. Uzbekenergo will be responsible for determining exact red lines and identifying the exact numbers of AHs (residential and business structures) who would need to be relocated. Uzbekenergo will send official request letter to concerned khokimiyats for selection and allocation of land plots for these AHs upon completion of final design and drawing of red lines. Uzbekenergo will also instruct Design Institute to minimize the impact by amending the final design as much as possible.

118. Even though allowance for temporary housing will be provided, if the new house is under construction, Uzbekenergo will minimize any civil work in the residential affected areas until reconstruction of the new houses has been completed. This is ensure that AHs are not dislocated twice and will also reduce expenditure in terms of payment of temporary housing allowance.

### **8.4. Role of local khokimiyats**

119. Both Khojeyli district and Takhiatash city khokimiyats, on receipt of the request letter from Uzbekenergo, within one-month will select the new site for relocation. After the site selection, AHs will be informed about the site and consultation will be carried out with each AH. If majority of displaced AHs have no objection to the selected site then within one-month period khokimiyat will allocate the land plot to each affected family unit by ordering the decree. Decree will serve as the transfer of right to the land plot to the displaced households. In case the majority of displaced HHs is not satisfied with selected site then khokimiyat will propose new alternative sites. The alternative site has to be selected considering the objections from displaced HHs on the previous site. Same scheme will be applied for AHs with business assets loss.

## **IX. INCOME RESTORATION AND REHABILITATION**

120. Income restoration and rehabilitation measures include improving the livelihood of AH whose income would be adversely affected by the project to either at par or better than the pre project conditions. The AH who would be incurring impact on 10% or more of their productive assets will be eligible for income restoration assistance and support from the project.

### **9.1. Type of income impacts**

121. **Impact on cropping farmland:** The 2 AHs will have temporary impact on their cropping farm land, however identified impact is insignificant 1.1% and 6.4% from all land holdings. Therefore these AHs will be compensated for profit loss and crop damage (if applicable).

122. **Severity of impact on residential assets:** The 7 AHs will have to be fully displaced due to TPP expansion and gas pipeline ROW. Therefore, these AHs will be entitled for relocation assistance as described in entitlements section. For those AHs who categorized as vulnerable, especially with disabled member and women headed households will be offered house for house swap.

123. **Severity of impact on business:** The 2 AHs whose business structure is fully affected need to re-establish their business in a new location. Apart from receiving compensation at replacement cost for their affected structure, they will also be entitled for transitional assistance for loss of income, livelihood restoration support and relocation assistance as described in entitlements section.

124. **Utility dismantling and rerouting:** dismantling of water pipeline might create hardship to HHs connected to this utility. Therefore to mitigate this impact PMU will arrange scheduled water delivery by trucks to affected communities while water pipeline is dismantled and rerouted.

### **9.2. Rehabilitation and livelihood improvement**

125. The workers losing jobs due to business displacement will receive compensation for loss income based on entitlement matrix. Compensation for workers will be in monetary value for the period of business interruption up to 12 months. Calculation will be based on the estimated net monthly income during the past 3 years multiplied by the number of months the business will be interrupted.

126. Considering the impacts described in para 122-124, there is no special income restoration or livelihood improvement developed under this LARP. However, workers who losing employment will be eligible for rehabilitation and livelihood improvement support from the local authority. In order to be eligible for rehabilitation and livelihood improvement support, APs have to register at local labor agency as unemployed. . The PMU will take the following activities to assist the APs: (i) during consultation after updating LARP, PMU will advise APs to register to labor agency, (ii) PMU will record which APs has been registered by labor agency, (iii) PMU will follow up which APs received assistance, and (iv) in case if there is any interest from APs to be involved in construction works of this project, PMU will arrange hire according APs' qualification and skills. PMU has to reflect all above described activities in the reports.

127. PMU of the EA will be responsible for planning and implementing above described support measures. For that purpose, PMU will closely work with Mahalla, Khokimiyats, Land Resources and Cadastre Department and local labor agencies for effective implementation of income restoration strategy.

## **X. RESETTLEMENT BUDGET AND FINANCING PLAN**

128. This chapter provides an itemized budget for all resettlement activities, including all compensation and assistance and cost for implementation of LARP.

129. In order to ensure that sufficient funds are available for LAR tasks, the Uzbekenergo as the EA will allocate 100% of the cost of compensation at replacement cost and expected allowances estimated in each LARP plus contingencies before LARP implementation. PIU will be responsible for timely allocation of the funds to implement the LARPs. The PIU will provide compensation for lost assets and other allowances in accordance with the entitlements agreed in the LARP and reflected in the Entitlement matrix.

130. The details of the compensation cost for each category of impact are provided in the following subsections. Enumerated compensation costs are estimated on approximate manner, therefore numbers have to be updated and confirmed through valuation by licensed firms and request of tax/income statements before disbursement of compensation and assessment of actual impact.

### **10.1. Temporary impact on agricultural and household land**

131. The compensation for the temporary loss of land use rights over the affected agricultural land is determined by the following formula:

Compensation = Total agricultural area affected by LA (ha) X net income based average net income of the last 3 year.

132. Data for calculation of compensation is obtained from affected farmers, District Land Resources and Cadastral Department and District Statistical Department. Based on the same, the compensation for cropping farms is enumerated in Table 10.1 below.

Table 10.1: Compensation for temporary cropping farms impact

ID	Profit (UZS)				Unit rate (UZS/Ha)	Affected land (Ha)	Total compensation (UZS)
	2010	2011	2012	Average for 3 years			
AH-13	13,000,000	12,000,000	11,000,000	12,000,000	200,000	1	200,000
AH-14	30,000,000	18,000,000	14,000,000	20,666,667	439,716	3	1,319,149
<b>Total</b>						<b>4</b>	<b>1,519,149</b>

133. The compensation for the temporary loss of land use rights over the affected household land is based on the following adopted by GOU formula to calculate average monthly household profit from household farming<sup>18</sup>:

Compensation = Total household land area affected by LA (ha) X 20 X 79,590.

<sup>18</sup> Resolution of Cabinet of Ministers № 44 issued on 15.02.2013

Table 10.2: Compensation for temporary household land impact

Type	ID	Affected land area, ha	Total compensation (UZS)
Residential	AH-08	0.20	318,360
Residential	AH-10	0.25	397,950
Residential	AH-12	0.10	159,180
<b>Total</b>		<b>0.55</b>	<b>875,490</b>

## 10.2. Business income restoration

134. Business income restoration calculation will be based on the estimated net monthly income during the past 3 years multiplied by the 12 months of business interruption. This period include time for receiving new land plot, designing of new construction and erection of premises and structures of an equivalent nature and size and reinstallation of all equipment and machinery. To confirm amount of average profit for last 3 years, statement confirmed by local tax authority is required to be submitted by the affected businesses.

Table 10.3: Business income restoration

ID	Average profit for last 3 years (UZS)	Period of compensation	Total compensation (UZS)
AH-01	6,000,000	12 months	6,000,000
AH-02	50,000,000	12 months	50,000,000
<b>Total</b>			<b>56,000,000</b>

## 10.3. Houses / Buildings / Other Structures

135. Demolished houses will be valued at the estimated replacement rate based on construction materials and size together with of labor, transport/other construction costs. No deduction for depreciation/transaction costs has been applied. The estimate additional allowance is based on the assumption that all unregistered land and structures can be converted into titled landholdings. Table 10.4 and table 10.5 below enumerate the preliminary compensation estimates for affected residential and business structures respectively; however these values cannot be base for disbursement of compensations. Each affected residential and business asset should be verified for full compensation rate by an independent licensed valuation firm. Full compensation rate which include current market value should be verified for the time of compensation disbursement to AH.

Table 10.4: Compensation for residential structures

ID	Type of building	Built year	Building area m2	Height (m)	No,of floors	No,of rooms	Estimated compensation, (UZS)
AH-03	House	1982	180.0	2,8	1	5	90,000,000
	Cattle-shed	1982	40.0	2,5	1	1	
AH-04	House	1973	375.0	3,5	1	6	140,000,000
	House	2010	85.5	3,5	1	3	
	Cattle-shed	1992	90.0	2,8	1	2	
AH-05	House	1971	153.0	3,0	1	5	90,000,000
	Cattle-shed	1991	153.0	2,5	1	1	

AH-06	House	1972	270.0	2,8	1	7	135,000,000
AH-07	House	1980	120.0	2,8	1	6	90,000,000
	Cattle-shed	1980	18.0	2,5	1	1	
AH-09	House	1968	162.0	3,0	1	6	90,000,000
	Cattle-shed	1968	48.0	2,5	1	1	
AH-11	House	1975	262.01	3,5	1	7	138,000,000
	Cattle-shed	1993	50.0	2,5	1	1	
	Garage	2003	52.0	3,5	1	1	
			<b>2058.51</b>				<b>773,000,000</b>

Table 10.5: Compensation for business structures

ID	Type of building	Building area m2	Height (m)	No,of floors	No,of rooms	Unit rate (m2/UZS)	Estimated compensation, UZS
AH-01	Workshop	607.2	-	1	5	500,000 <sup>19</sup>	303,600,000
AH-02	Workshop	1,219.15	5.10	1	4	-	605,340,000 <sup>20</sup>
	Warehouse	59.50	2.80	1	1		
	Office	94.15	-	1	6		
		<b>1,980</b>					<b>907,940,000</b>

#### 10.4. Trees

136. Fruit trees will be compensated at replacement cost equivalent to the 1 year net income plus input costs multiplied by 4 times to reflect the duration from planting to reach the productive stage.

Table 10.6: Fruit trees compensation

ID	Tree type	Affected tree	Sapling cost (1pcs/ UZS)	Average yield (kg)	Average yield price (kg/UZS)	1 Tree compensation	Total compensation
AH-03	Date tree	1	15,000	20	2,000	55,000	220,000
	Apple	1	15,000	25	2,000	64,333	257,333
	Mulberry	2	15,000	19	3,000	73,000	584,000
AH-04	Grape	8	15,000	17	2,500	56,667	1,813,333
	Apple	4	10,000	13	2,000	36,667	586,667
	Date tree	17	10,000	13	2,000	36,667	2,493,333
AH-05	Quince	1	20,000	-	-	20,000	80,000
	Apricot	2	25,000	13	2,000	51,667	413,333
	Apple	1	30,000	12	2,000	53,333	213,333
	Grape	1	25,000	15	2,500	62,500	250,000
AH-06	Date tree	1	15,000	18	2,000	51,667	206,667
	Mulberry	6	15,000	18	3,000	70,000	1,680,000
	Grape	7	10,000	17	2,500	51,667	1,446,667
AH-07	Grape	3	15,000	17	2,500	56,667	680,000
	Date tree	1	15,000	18	2,000	51,667	206,667
	Mulberry	3	15,000	10	3,000	45,000	540,000

<sup>19</sup> Unit rate is based on valuation results of AH-02 assets. Same valuation procedure is required to confirm/adjust compensation amount.

<sup>20</sup> Valuation is done by licensed valuation company. Valuation report is available.

AH-11	Date tree	2	15,000	22	2,000	58,333	466,667
	Apple	10	15,000	25	2,000	65,000	2,600,000
	Plum	6	10,000	22	1,500	42,500	1,020,000
	Apricot	15	15,000	18	1,000	33,333	2,000,000
	Pear	7	20,000	15	2,000	50,000	1,400,000
	Grape	40	15,000	23	2,500	73,333	11,733,333
<b>Total</b>		<b>139</b>					<b>30,891,333</b>

137. The timber trees will be compensated at the rate equal to the market value of dry wood volume of the tree. The compensation for the affected trees will be free of deduction for the value of the timber left to the affected households.

Table 10.7: Timber trees compensation

ID	Tree type	Affected tree	Cost of 1 tree (UZS)	Total compensation (UZS)
AH-03	Willow	1	20,000	20,000
AH-04	Willow	54	10,000	540,000
AH-04	Poplar	41	10,000	410,000
AH-07	Poplar	12	10,000	120,000
AH-07	White Poplar	35	10,000	350,000
AH-11	Poplar	50	15,000	750,000
AH-11	Plane tree	5	20,000	100,000
AH-13	Mulberry	600	15,000	9,000,000
AH-14	Mulberry	300	15,000	4,500,000
	<b>Total</b>	<b>1,098</b>		<b>15,790,000</b>

## 10.5. Relocation and additional assistance

138. AHs that will be physically displaced as a result of the Project are entitled to relocation allowance and rental assistance for up to two years. Table 10.8 identifies the type of allowance, unit rate, number of AHs, and total of these relocation and support allowances. In cases where an AH requires support which would typically involve the provision of labor for dismantling of house/building and transportation of materials, Uzbekenergo will provide the necessary support in addition to seeking assistance from the local khokimiyat to acquire a new land plot.

Table 10.8: Relocation and support allowances

Type of allowance	Description	Unit Rate UZS	Number of AHs/APs	Total UZS
Relocation for Residential HH	Transportation of 1 AH belongings and dismantled construction materials	500,000	7	3,500,000
Transportation and reinstallation for business <sup>21</sup>	Costs for relocation and reinstallation of all equipment and machinery	-	-	417,443,353
Transition costs for Residential HH	Temporary living premises for affected 1 AH, maximum 2 years	6,000,000	7	42,000,000
Transition costs for Businesses	Temporary premises during construction and relocation of business	24,000,000	2	48,000,000
Severe impact	Single severe impact allowance equal to minimum wage for 3 months	238,770	5	1,193,850

<sup>21</sup> For this service prior approval by Uzbekenergo is required, because providing and costs of such services might require bidding or any special procedure.



Temporary unemployment	Income Restoration for Waged workers of 2 businesses	3,600,000	50	180,000,000
Vulnerable HH support	Special Assistance for Vulnerable groups	238,770	7	1,671,390
Duty and fees	Permission, registration, valuation services by licensed valuation firms, environmental impact assessment report preparation (for AHs)	-	-	50,000,000
<b>Total</b>				<b>743,808,593</b>

## 10.6. Public and community assets

139. All affected (dismantling and rerouting) public and private infrastructure costs will be covered or restored by Uzbekenergo. In table below presented estimated costs for dismantling and rerouting of affected infrastructure with assumption to use of all dismantled materials (i.e. electrical and communication cables, pipes, towers and transformer).

Table 10.9: Estimated costs for affected infrastructure compensation

Infrastructure type	Length (m)	Additional	Costs (UZS)
Communication line	3,200	19 wooden towers	6,000,000
Water pipeline	1,900	-	100,000,000
Power transmission line	520	14 wooden towers, 1 power transformer station	10,000,000
<b>Total</b>			<b>116,000,000</b>

## 10.7. Summary Budget

140. The tentative LARP Budget is around **US\$ 1,400,000**. The detailed budget items are summarized in Table 10.10 below.

Table 10.10: Summary of Estimated Budget

No	Description	Cost Estimate UZS	Cost Estimate USD
	<b>(A) Direct cost</b>		
1	Residential assets	773,000,000	373,524
2	Business assets	907,940,000	438,729
3	Agricultural and household farming land	2,394,639	1,157
4	Trees	46,681,333	22,557
5	Public/Community assets	116,000,000	56,053
	<b>Sub Total (A)</b>	<b>1,846,015,972</b>	<b>892,019</b>
	<b>(B) Indirect cost</b>		
6	Business Income restoration	56,000,000	27,060
7	Transition Cost (for Residential HH to be relocated)	42,000,000	20,295
8	Transition Cost (for Businesses to be relocated)	48,000,000	23,194
9	Transportation Cost (for Residential HH)	3,500,000	1,691
10	Transportation and Reinstallation Cost (for Businesses to be relocated)	417,443,353	201,714
11	Assistance for Vulnerable HH	1,671,390	808
12	Additional Support for Severely Affected HH	1,193,850	577

13	Income restoration for waged workers (WW)	180,000,000	86,978
14	Duty and fees	50,000,000	24,161
	<b>Sub Total (B)</b>	<b>799,808,593</b>	<b>386,478</b>
	<b>(C) Administrative costs</b>		
15	Monitoring and evaluation (external, internal)	14,486,360	7,000
16	Update LARP	51,737,000	25,000
	<b>Sub Total (C)</b>	<b>66,223,360</b>	<b>32,000</b>
	<b>Total of (A)+(B)+(C)</b>	<b>2,712,047,925</b>	<b>1,310,497</b>
17	Contingency cost	185,224,668	89,503
	<b>Grand Total</b>	<b>2,897,272,594</b>	<b>1,400,000</b>

## **XI. INSTITUTIONAL ARRANGEMENTS**

141. This chapter provides a comprehensive assessment of institutional capacity and resource capability for preparing, implementing, and monitoring resettlement activities, and describes additional measures necessary to enhance institutional capacity. It describes the organizational procedures for delivering entitlements; and describes the implementation process, including how resettlement preparation, approval, and implementation will be linked to contract awards and the start of the project's civil works.

142. Uzbekenergo will have overall responsibilities to implement LARP as executing agency (EA), and Uzbekenergo will provide all budget to implement LARP. There are other governmental agencies that will also be involved in LAR activities such as the local khokimiyat of Khojeyli district and Takhiatash city as well as branch offices/departments of Goskomzemgeocadastre (Land Resource and Cadastre Committee represented in District Acquisition and Valuation Committee and District Land Acquisition and Resettlement Committee).

### **11.1. Uzbekenergo – PMU**

143. The Uzbekenergo will have overall responsibility for all aspects of the program. The Project Management Unit (PMU) within Uzbekenergo will be responsible for the day to day management of the Project including cross-agency coordination, and via the Resettlement Consultant (RC) for LARP implementation and monitoring the compensation and disbursement.

144. The RC under PMU will be directly involved in all LAR related planning, implementation, inter-agency coordination, monitoring and reporting. The RC will receive support from the relevant project consultants and benefit from inputs from the Design Institute (DI), district / city executive authority and land resources and cadastre department as appropriate.

### **11.2. Design Institute (DI)**

145. The Design Institute will be in charge of elaborating the design and construction documents for the project. It will collaborate and work closely with the PMU/RC to:

- (i) look for measures and alternatives to avoid and minimize land acquisition and resettlement impacts;
- (ii) assemble all documents required for compensation;
- (iii) carry out topographic surveys of the expropriated land and replacement lands;
- (iv) elaborate layouts indicating the location of the worksites and the permanent infrastructures and the perimeter of the required surfaces differentiating the land use patterns in the areas being occupied to serve as a base for the selection of compensation land;
- (v) Conduct land marking and pegging of the land assigned for temporary use and permanent occupation of acquired land.

### **11.3. Land resources and cadastre department**

146. This is a permanent department District and City levels. However it plays an enhanced role throughout implementation. It is responsible for:

- (i) identifying land losses incurred by land owners and land users plus agricultural output losses;
- (ii) determining the degree and area of land restitution, including removal and temporary storage of productive soil layer;
- (iii) determining the need for protective sanitary and water protection zones around constructions;
- (iv) preparing proposals on allocation of land plots of equal value under land for land;
- (v) investigating alternatives to acquiring currently used land through developing unused land;

- (vi) approving the Implementation Act and the attached plan;
- (vii) amending government edicts on land use and land ownership as well as other cadastre documents.

#### **11.4. Khojeyli district and Takhiatash city khokimiyats**

147. Khojeyli district and Takhiatash khokimiyats will be closely involved in the LARP review and implementation and will form the Land Acquisition and Evaluation Commissions. These will form a district land acquisition and resettlement committee (DLARC) which will undertake the following:

- (i) outline locations of constructions and structures affected by the project;
- (ii) select land for construction sites;
- (iii) prepare and approve legislation for the right (lease) to use land plots and;
- (iv) approve the decree for the right to use the land plot.

148. In addition to permanent members, the Commission may include representatives of Uzbekenergo, as well as affected legal entities and individuals. It is proposed that Land Acquisition and Valuation Commission as part of the DLARC composed of the following members:

- (i) Uzbekenergo PMU
- (ii) Local Department of Agriculture and Water Resources
- (iii) Local Department of Environmental Protection
- (iv) Organizations to which the alienated land has been transferred for use (Uzbekenergo as EA, PMU/RC and DI).
- (v) Mahalla leaders, NGO, Dehkan Association (as relevant)
- (vi) Representatives of the affected people

149. Farmer's and Dehkan Associations (FDA) and Mahalla authorities will be involved in resettlement activities to ensure the rights and interests of affected households.

150. Implementation of LARP will require close coordination with the local Mahalla and farmer associations. This coordination will help Uzbekenergo in the following:

- (i) Dissemination information related with LARP;
- (ii) Checking timely disbursement of compensation to displaced HHs;
- (iii) Obtaining early warnings on the grievances of displaced HHs;
- (iv) Verifying as to whether the Vulnerable displaced HHs were identified according to requirement laid down in this LARP; and
- (v) Obtaining information regarding any unexpected impacts, if any, being incurred by the displaced HHs.

#### **11.5. Independent valuation firms**

151. Independent valuation firms will comprise of an accredited private firm with valid license for valuation activities. This kind of firms will be engaged by both displaced households and if required by the PMU to estimate the replacement cost of the affected assets.

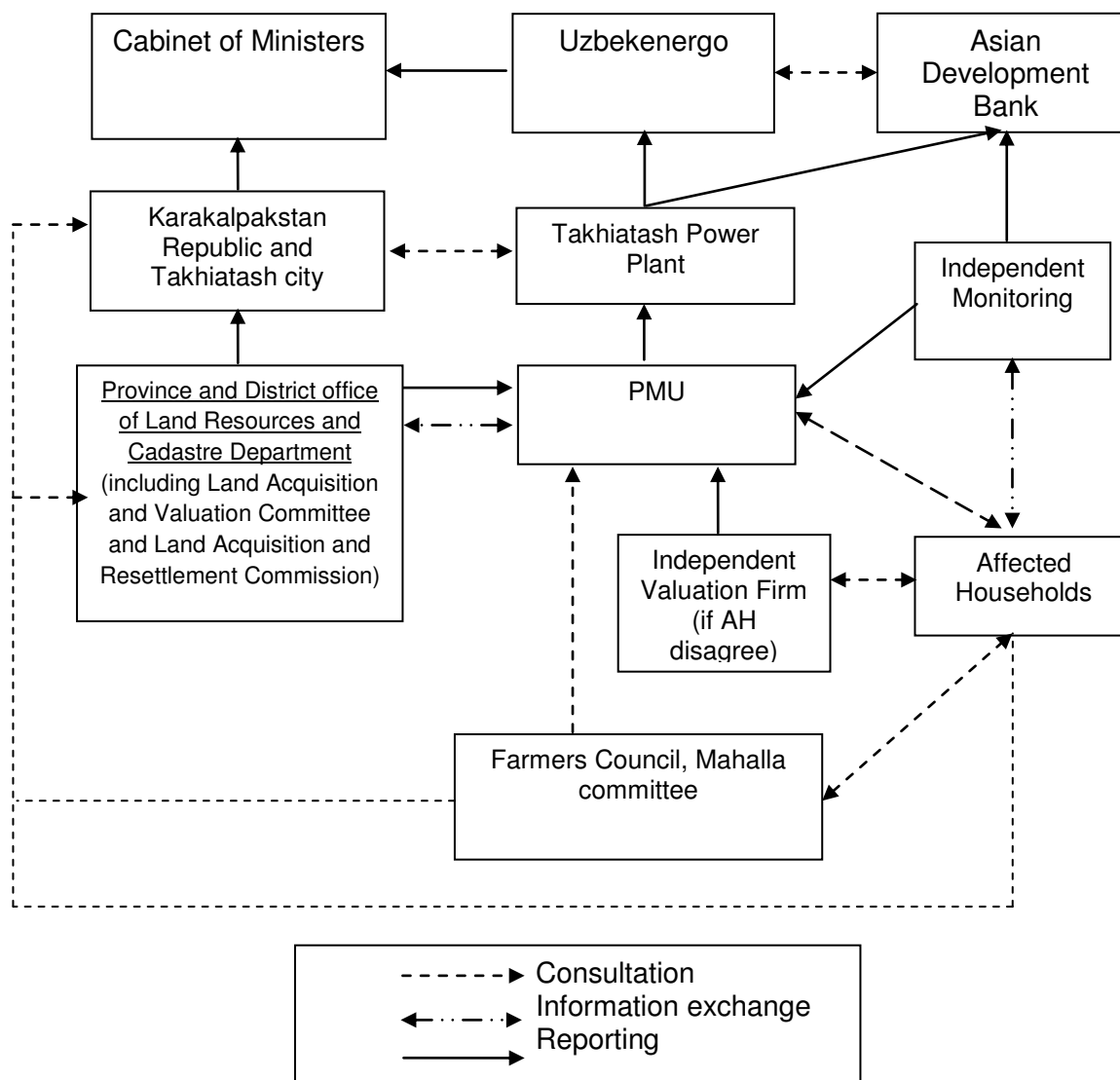
These firms will be engaged by the PMU to estimate the replacement cost of the affected assets. However, AHs can involve independent valuation firm themselves directly if disagree with valuation results.

#### **11.6. External monitoring**

152. Implementation of the LARP will be subject to external monitoring. This external monitoring will be conducted by a qualified External Resettlement Consultant to be engaged by the PMU as per the Terms of Reference, which should be reviewed by ADB. The monitoring aspect of LARP implementations is discussed in detail in Section XIII of this LARP.

153. Figure 10.1 below illustrates the Institutional and Project Implementation arrangement for this Project.

Figure 10.1: Project implementation diagram



## XII. IMPLEMENTATION SCHEDULE

154. This chapter includes a detailed, time bound, implementation schedule for all key land acquisition and resettlement activities synchronized with the project schedule of civil works construction.

Table 11.1: Steps for LAR Activities

Step	Action	Responsibility	Timing
<b>A</b>	<b>LARP PREPARATION</b>		
1.	LARP preparation	TA Resettlement Expert	May 2013
2.	Submission of Draft LARP to ADB and GOU for comments and approval	TA Resettlement Expert, ADB and Uzbekenergo	May 2013
3.	Submission final draft LARP for ADB approval	Uzbekenergo	June 2013
4.	LARP Disclosure to AHs	Uzbekenergo	July 2013
<b>B</b>	<b>LARP IMPLEMENTATION</b>		
1.	Updating LARP	Uzbekenergo / PMU	after finalizing detailed design
2.	Preparation of plan for compensations including schedule for compensation action plan	PMU	after updated LARP approved by ADB
3.	Public consultation and information sharing on LAR activities	PMU	prior to providing compensation to APs
4.	Payment compensation to AHs / APs	Uzbekenergo and PMU	prior to awarding contract award for any civil works that require land acquisition
5.	Making available new land parcel and signing land lease contract	EU and Khojeily district and Takhiatash city khokimiyat	prior to awarding contract award for any civil works that require land acquisition
6.	External Review of LARP Implementation through submission of a compliance report	External Resettlement Consultant	Has to start at the same time when APs receiving compensation
7.	<b>Construction works</b>	After payment of all compensations	
<b>C</b>	<b>MONITORING</b>		
1.	Internal monitoring: Reporting to ADB	PMU	Continuous during the project
2.	External Monitoring: Reporting to ADB	Independent Expert	Continuous during the project

## XIII. MONITORING AND REPORTING

155. While effective institutional arrangements can facilitate implementation, effective monitoring ensures that the course and pace of implementation continues as originally planned. Monitoring is

important for ensuring that the LARP is effectively implemented, unforeseen impacts related with land acquisition activities can be identified and appropriate measures to address the same can be taken in a timely manner.

156. The monitoring mechanism for the LARP shall comprise of both internal and external monitoring. While internal monitoring as a mechanism will be carried out in parallel to project implementation and at different stages respectively, external monitoring will be carried out by an External consultant to verify the effective implementation of the LARP as well as the monitoring data collected by the PMU. The specific details of internal and external monitoring are summed up below:

157. The implementation of LARP will be monitored by the Resettlement Consultant of the PMU in close coordination with local khokimiyat and CBOs. The External Resettlement Consultant will verify the results of the internal monitoring.

### **13.1. Internal monitoring**

158. Internal monitoring will be the responsibility of the Resettlement Consultant of the PMU. The internal monitoring will include the following:

- (i) Administrative monitoring: daily planning, implementation, feedback and troubleshooting, individual displaced person database maintenance, and progress reports;
- (ii) Socio-economic monitoring: case studies, using baseline information for comparing displaced persons socio-economic conditions, evacuation, demolition, salvaging materials, morbidity and mortality, community relationships, dates for consultations, and number of appeals placed; and
- (iii) Impact evaluation monitoring: Income standards restored/improved, and socioeconomic conditions of the displaced persons.

159. The indicators for internal monitoring will be subject related to immediate activities for LARP implementation and its outputs and results. This information will be collected directly from the field and from the District Land Acquisition Committee. It will be used to assess the progress and results of LARP implementation, and to adjust the work program, if necessary. The quarterly reports will be incorporated in the standard supervision reports to ADB. These monitoring activities will continue until land acquisition is completed. Internal monitoring will need to be carried out continually after completing LARP implementation, and prepare the first semi-annual report, and the second and all subsequent semi-annual reports that will be submitted to the EA, Takhiatash TPP management and ADB. The specific monitoring milestones will be:

- (i) Information disclosure to AH;
- (ii) Status of land acquisition and payments of compensation for land
- (iii) Compensation for affected structures and other assets;
- (iv) Relocation of AH;
- (v) Payments for loss of assets;

### **13.2. External monitoring**

160. The External Resettlement Consultant will undertake full monitoring and also prepare the LARP compliance report to record whether the LARP has been implemented and all displaced HHs have been compensated. The expert will monitor and verify LARP implementation to determine whether resettlement goals have been achieved, livelihood and living standards have been restored, and provide recommendations for improvement. In order to ensure that all displaced households are compensated prior to commencement of civil work, an external monitoring will be undertaken of the LARP, based on which a Compliance Report will be submitted to ADB, EA and Takhiatash TPP.

161. It is preferred that the External Resettlement Consultant should come from academic or research institutions but the general rule is that it should not be party that prepares and implements the LARP. The Monitoring/Compliance report will be used by ADB and EA as a basis to issue notice

to proceed with civil work activities to the contractor for site preparation. The report will be published on the website of the EA and ADB. Independent monitoring will continue beyond the implementation periods of LARP.

162. Table 12.1 below provides an indicative set of monitoring indicators that shall help to evaluate effectiveness of implementation.

Table 12.1. Indicators for Outcomes and Impacts

<ul style="list-style-type: none"> <li>• Satisfaction of land owners with the compensation and assistance paid</li> <li>• Type of use of compensation and assistance by land owners</li> <li>• Satisfaction of structure owner with compensation and assistance</li> <li>• Type of use of compensation and assistance by structure owner</li> <li>• % of APs provided project employment or otherwise</li> <li>• % of APs with better income than before</li> <li>• % of APs provided with alternatives lands for sites</li> <li>• Types of grievances received</li> <li>• No. Of grievances forwarded to GRC and time taken to solve the grievances</li> <li>• % of APs aware about the GRC mechanism</li> <li>• Household income of the vulnerable groups</li> <li>• % of displaced persons satisfied with resettlement benefits and facilities.</li> </ul>
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163. The PMU will carry out a post-implementation evaluation of both phases of LARP about a year after completion of the implementation of LARP and report whether or not the objectives of the LARP have been attained. The benchmark data of socioeconomic survey of severely affected HH conducted during the preparation of the LARP will be used to compare the pre and post Project conditions. The PMU will recommend appropriate supplementary assistance for the displaced households if the outcome of the study shows that the objectives of the LARP were not achieved.



## Socioeconomic Survey Questionnaire

I. Basic Information			
1. Questionnaire No.:		2. Date (d/m/y):	
3. Name of Interviewer (First/Last/Patronymic):			
4. Region:	5. District:	6. Massive:	
7. Name of the respondent (First/Last/Patronymic):			
8. Respondent's relationship to head of the household: <input type="checkbox"/> Father <input type="checkbox"/> Mother <input type="checkbox"/> Brother <input type="checkbox"/> Sister <input type="checkbox"/> Other: _____			
II. Household Identification			
9. Name of the Head of household (First/Last/Patronymic):			
10. Gender: <input type="checkbox"/> Male <input type="checkbox"/> Female			
11. Ethnic background: <input type="checkbox"/> Uzbek <input type="checkbox"/> Tajik <input type="checkbox"/> Kazakh <input type="checkbox"/> Karakalpak <input type="checkbox"/> Jewish <input type="checkbox"/> Russian <input type="checkbox"/> Ukrainian <input type="checkbox"/> Korean <input type="checkbox"/> Other: _____			
12. Religion:			
13. Address: (house No., street)			
14. Total area (ha):			
15. Number of buildings:			
16. Building area (ha):			
17. Do you consider yourself part of a minority?		<input type="checkbox"/> Yes	<input type="checkbox"/> No <input type="checkbox"/> N/A
18. Do you consider yourself disadvantaged because of this?		<input type="checkbox"/> Yes	<input type="checkbox"/> No <input type="checkbox"/> N/A
19. How many other households in your minority do you know?			
20. Household Head (Name) (First/Last/Patronymic):			
a. Relationship: <input type="checkbox"/> Father <input type="checkbox"/> Mother <input type="checkbox"/> Brother <input type="checkbox"/> Sister <input type="checkbox"/> Other: _____			
b. Gender: <input type="checkbox"/> Male <input type="checkbox"/> Female		c. Age:	
d. Marital status: <input type="checkbox"/> Married <input type="checkbox"/> Single <input type="checkbox"/> Divorced <input type="checkbox"/> Widowed <input type="checkbox"/> Other: _____			
e. Education: <input type="checkbox"/> Cannot read and write <input type="checkbox"/> Elementary school <input type="checkbox"/> High school <input type="checkbox"/> Other: _____			
f. Main occupation:			
g. Secondary occupation:			
h. Skills:			

i. Requires special care of disabled:			
<input type="checkbox"/> Special care <input type="checkbox"/> Disabled <input type="checkbox"/> Other: _____			
<b>21. Family member II (Name)</b>			
(First/Last/Patronymic):			
a. Relationship:			
<input type="checkbox"/> Father <input type="checkbox"/> Mother <input type="checkbox"/> Brother <input type="checkbox"/> Sister <input type="checkbox"/> Other: _____			
b. Gender:		<input type="checkbox"/> Male <input type="checkbox"/> Female	c. Age: _____
d. Marital status:			
<input type="checkbox"/> Married <input type="checkbox"/> Single <input type="checkbox"/> Divorced <input type="checkbox"/> Widowed <input type="checkbox"/> Other: _____			
e. Education: <input type="checkbox"/> Cannot read and write <input type="checkbox"/> Elementary school <input type="checkbox"/> High school			
<input type="checkbox"/> Other: _____			
f. Main occupation:			
g. Secondary occupation:			
h. Skills:			
i. Requires special care of disabled:			
<input type="checkbox"/> Special care <input type="checkbox"/> Disabled <input type="checkbox"/> Other: _____			
<b>22. Family member III (Name)</b>			
(First/Last/Patronymic):			
a. Relationship:			
<input type="checkbox"/> Father <input type="checkbox"/> Mother <input type="checkbox"/> Brother <input type="checkbox"/> Sister <input type="checkbox"/> Other: _____			
b. Gender:		<input type="checkbox"/> Male <input type="checkbox"/> Female	c. Age: _____
d. Marital status:			
<input type="checkbox"/> Married <input type="checkbox"/> Single <input type="checkbox"/> Divorced <input type="checkbox"/> Widowed <input type="checkbox"/> Other: _____			
e. Education: <input type="checkbox"/> Cannot read and write <input type="checkbox"/> Elementary school <input type="checkbox"/> High school			
<input type="checkbox"/> Other: _____			
f. Main occupation:			
g. Secondary occupation:			
h. Skills:			
i. Requires special care of disabled:			
<input type="checkbox"/> Special care <input type="checkbox"/> Disabled <input type="checkbox"/> Other: _____			
<b>23. Family member IV (Name)</b>			
(First/Last/Patronymic):			
a. Relationship:			
<input type="checkbox"/> Father <input type="checkbox"/> Mother <input type="checkbox"/> Brother <input type="checkbox"/> Sister <input type="checkbox"/> Other: _____			
b. Gender:		<input type="checkbox"/> Male <input type="checkbox"/> Female	c. Age: _____
d. Marital status:			
<input type="checkbox"/> Married <input type="checkbox"/> Single <input type="checkbox"/> Divorced <input type="checkbox"/> Widowed <input type="checkbox"/> Other: _____			
e. Education: <input type="checkbox"/> Cannot read and write <input type="checkbox"/> Elementary school <input type="checkbox"/> High school			
<input type="checkbox"/> Other: _____			
f. Main occupation:			
g. Secondary occupation:			

h. Skills:			
i. Requires special care of disabled:			
<input type="checkbox"/> Special care <input type="checkbox"/> Disabled <input type="checkbox"/> Other: _____			
<b>24. Family member V (Name)</b>			
(First/Last/Patronymic):			
a. Relationship:			
<input type="checkbox"/> Father <input type="checkbox"/> Mother <input type="checkbox"/> Brother <input type="checkbox"/> Sister <input type="checkbox"/> Other: _____			
b. Gender:		<input type="checkbox"/> Male <input type="checkbox"/> Female	c. Age: _____
d. Marital status:			
<input type="checkbox"/> Married <input type="checkbox"/> Single <input type="checkbox"/> Divorced <input type="checkbox"/> Widowed <input type="checkbox"/> Other: _____			
e. Education: <input type="checkbox"/> Cannot read and write <input type="checkbox"/> Elementary school <input type="checkbox"/> High school			
<input type="checkbox"/> Other: _____			
f. Main occupation:			
g. Secondary occupation:			
h. Skills:			
i. Requires special care of disabled:			
<input type="checkbox"/> Special care <input type="checkbox"/> Disabled <input type="checkbox"/> Other: _____			
<b>25. Family member VI (Name)</b>			
(First/Last/Patronymic):			
a. Relationship:			
<input type="checkbox"/> Father <input type="checkbox"/> Mother <input type="checkbox"/> Brother <input type="checkbox"/> Sister <input type="checkbox"/> Other: _____			
b. Gender:		<input type="checkbox"/> Male <input type="checkbox"/> Female	c. Age: _____
d. Marital status:			
<input type="checkbox"/> Married <input type="checkbox"/> Single <input type="checkbox"/> Divorced <input type="checkbox"/> Widowed <input type="checkbox"/> Other: _____			
e. Education: <input type="checkbox"/> Cannot read and write <input type="checkbox"/> Elementary school <input type="checkbox"/> High school			
<input type="checkbox"/> Other: _____			
f. Main occupation:			
g. Secondary occupation:			
h. Skills:			
i. Requires special care of disabled:			
<input type="checkbox"/> Special care <input type="checkbox"/> Disabled <input type="checkbox"/> Other: _____			
<b>26. Family member VII (Name)</b>			
(First/Last/Patronymic):			
a. Relationship:			
<input type="checkbox"/> Father <input type="checkbox"/> Mother <input type="checkbox"/> Brother <input type="checkbox"/> Sister <input type="checkbox"/> Other: _____			
b. Gender:		<input type="checkbox"/> Male <input type="checkbox"/> Female	c. Age: _____
d. Marital status:			
<input type="checkbox"/> Married <input type="checkbox"/> Single <input type="checkbox"/> Divorced <input type="checkbox"/> Widowed <input type="checkbox"/> Other: _____			
e. Education: <input type="checkbox"/> Cannot read and write <input type="checkbox"/> Elementary school <input type="checkbox"/> High school			
<input type="checkbox"/> Other: _____			
f. Main occupation:			

g. Secondary occupation:			
h. Skills:			
i. Requires special care of disabled: <input type="checkbox"/> Special care <input type="checkbox"/> Disabled <input type="checkbox"/> Other: _____			
<b>27. Family member VIII (Name)</b> (First/Last/Patronymic):			
a. Relationship: <input type="checkbox"/> Father <input type="checkbox"/> Mother <input type="checkbox"/> Brother <input type="checkbox"/> Sister <input type="checkbox"/> Other: _____			
b. Gender: <input type="checkbox"/> Male <input type="checkbox"/> Female		c. Age: _____	
d. Marital status: <input type="checkbox"/> Married <input type="checkbox"/> Single <input type="checkbox"/> Divorced <input type="checkbox"/> Widowed <input type="checkbox"/> Other: _____			
e. Education: <input type="checkbox"/> Cannot read and write <input type="checkbox"/> Elementary school <input type="checkbox"/> High school <input type="checkbox"/> Other: _____			
f. Main occupation:			
g. Secondary occupation:			
h. Skills:			
i. Requires special care of disabled: <input type="checkbox"/> Special care <input type="checkbox"/> Disabled <input type="checkbox"/> Other: _____			
<b>28. Family member IX (Name)</b> (First/Last/Patronymic):			
a. Relationship: <input type="checkbox"/> Father <input type="checkbox"/> Mother <input type="checkbox"/> Brother <input type="checkbox"/> Sister <input type="checkbox"/> Other: _____			
b. Gender: <input type="checkbox"/> Male <input type="checkbox"/> Female		c. Age: _____	
d. Marital status: <input type="checkbox"/> Married <input type="checkbox"/> Single <input type="checkbox"/> Divorced <input type="checkbox"/> Widowed <input type="checkbox"/> Other: _____			
e. Education: <input type="checkbox"/> Cannot read and write <input type="checkbox"/> Elementary school <input type="checkbox"/> High school <input type="checkbox"/> Other: _____			
f. Main occupation:			
g. Secondary occupation:			
h. Skills:			
i. Requires special care of disabled: <input type="checkbox"/> Special care <input type="checkbox"/> Disabled <input type="checkbox"/> Other: _____			
<b>29. Family member X (Name)</b> (First/Last/Patronymic):			
a. Relationship: <input type="checkbox"/> Father <input type="checkbox"/> Mother <input type="checkbox"/> Brother <input type="checkbox"/> Sister <input type="checkbox"/> Other: _____			
b. Gender: <input type="checkbox"/> Male <input type="checkbox"/> Female		c. Age: _____	
d. Marital status: <input type="checkbox"/> Married <input type="checkbox"/> Single <input type="checkbox"/> Divorced <input type="checkbox"/> Widowed <input type="checkbox"/> Other: _____			
e. Education: <input type="checkbox"/> Cannot read and write <input type="checkbox"/> Elementary school <input type="checkbox"/> High school <input type="checkbox"/> Other: _____			

f. Main occupation:	
g. Secondary occupation:	
h. Skills:	
i. Requires special care of disabled: <input type="checkbox"/> Special care <input type="checkbox"/> Disabled <input type="checkbox"/> Other: _____	
30. Average annual income of the family:	
<b>III. Expenditure Pattern</b>	
31. What are the main expenditures of the household?	
<i>Expenditures</i>	<i>Amount</i>
a. Food	
b. For utilities (gas, electricity, etc.)	
c. Clothing	
d. Health	
e. Education	
f. Communication	
g. Social functions	
h. Agriculture (hiring tools, seed, etc)	
i. Other (specify)	
j. Total	
<b>IV. Indebtedness</b>	
32. Have you received any loans in the last year? <input type="checkbox"/> Yes <input type="checkbox"/> No    (if "No" go to next section)	
33. <b>Source I:</b> who issued you the loan? <input type="checkbox"/> Bank <input type="checkbox"/> Private <input type="checkbox"/> Other: _____	
a. How much is the loan?	
b. How much you have repaid?	
c. How much is interest rate?	
34. <b>Source II:</b> who issued you the loan? <input type="checkbox"/> Bank <input type="checkbox"/> Private <input type="checkbox"/> Other: _____	
a. How much is the loan?	
b. How much you have repaid?	
c. How much is interest rate?	
35. <b>Source III:</b> who issued you the loan? <input type="checkbox"/> Bank <input type="checkbox"/> Private <input type="checkbox"/> Other: _____	
a. How much is the loan?	
b. How much you have repaid?	
c. How much is interest rate?	
<b>V. Assets</b>	
36. What assets do you have?	
<i>Type of assets</i>	<i>Value</i>
a. Durable assets (Car, Bicycle, TV, Video, etc.), list:	
b. Household items	
c. Livestock	

d. Agricultural assets	
e. Other: _____	
f. Total	
<b>VI. Coverage Under Government Development Schemes</b>	
37. Do you have any benefits under government schemes? <input type="checkbox"/> Yes <input type="checkbox"/> No (if "No" go to 40)	
38. What is the name the scheme?	
39. What benefit did you get? <input type="checkbox"/> Loan <input type="checkbox"/> Training <input type="checkbox"/> Employment <input type="checkbox"/> Other _____	
<b>VII. Migration</b>	
40. Did any of your family members out migrated for work to other parts of Uzbekistan, in the last three years? <input type="checkbox"/> Yes, Where: _____ <input type="checkbox"/> No (If "No" go to 46)	
41. Did any of your family members out migrated for work to foreign countries, in the last three years? <input type="checkbox"/> Yes, Where: _____ <input type="checkbox"/> No (If "No" go to 46)	
42. Was this migration permanently? <input type="checkbox"/> Yes <input type="checkbox"/> No	
43. When did they visit home last time? _____	
44. What kind of employment has the person undertaken? <input type="checkbox"/> Agricultural labour <input type="checkbox"/> Construction <input type="checkbox"/> Trade & business <input type="checkbox"/> Other _____	
45. How much, on average, did the person/s earn? _____	
<b>VIII. Resettlement and Rehabilitation Options</b>	
46. If the proposed project affects your property, will you resettle voluntarily (move out from the land/building you are occupying now)? <input type="checkbox"/> Yes <input type="checkbox"/> No (if "No" go to 48)	
47. How far are you willing to move from your current location (km)? _____	
48. Would you require assistance? <input type="checkbox"/> Yes <input type="checkbox"/> No	
49. What kind of assistance will you prefer? _____	
50. Do you require compensation? <input type="checkbox"/> Yes <input type="checkbox"/> No	
51. What is your legal status towards the property? <input type="checkbox"/> Legal owner (skip 53) <input type="checkbox"/> Tenant/sharecropper (go to 53)	
52. What kind of compensation would you prefer? <input type="checkbox"/> Land for land <input type="checkbox"/> Equivalent property for property lost <input type="checkbox"/> Government housing scheme <input type="checkbox"/> Business license <input type="checkbox"/> Monetary compensation <input type="checkbox"/> Part property and part monetary <input type="checkbox"/> Other (please, specify) _____	
53. How far will you move from here to find a work (km)? _____	

## Census Survey Questionnaire

I. Basic Information			
1. Questionnaire No.:		2. Date (d/m/y):	
3. Name of Interviewer (First/Last/Patronymic):			
4. Region:	5. District:	6. Massive:	
II. Land Acquisition			
7. Length of the line crossing the land plot (m):		8. Temporary land acquisition (ha):	
9. Width of the line (m):		10. Permanent land acquisition (m2):	
III. Land Use Information			
11. Name of the affected plot owner (First/Last/Patronymic):			
12. Gender:	<input type="checkbox"/> Male <input type="checkbox"/> Female	13. Land plot size (ha):	
14. Ownership:	<input type="checkbox"/> Owner <input type="checkbox"/> Tenant <input type="checkbox"/> Sharecropper <input type="checkbox"/> Other (specify): _____		
15. Land use type:	<input type="checkbox"/> Agricultural <input type="checkbox"/> Residential <input type="checkbox"/> Commercial <input type="checkbox"/> Industrial <input type="checkbox"/> Other: _____		
<i>(If "Agricultural" go to "16", otherwise go to "18")</i>			
16. Land category:	<input type="checkbox"/> Irrigated <input type="checkbox"/> Arable <input type="checkbox"/> Pasture <input type="checkbox"/> Grassland <input type="checkbox"/> Garden <input type="checkbox"/> Other: _____		
17. Soil bonitet: _____			
IV. Economic Assessment of the Agricultural Farm			
18. Crop I name: _____			
	2009	2010	2011
a. Planting area (ha):			
b. Yields (centner/ha):			
c. Production costs per tons:			
d. Average price per tons:			
e. Gross harvest:			
f. Product price per tons			
g. Average profit			
19. Crop II name: _____			
	2009	2010	2011
a. Planting area (ha):			
b. Yields (centner/ha):			
c. Production costs per tons:			
d. Average price per tons:			
e. Gross harvest:			
f. Product price per tons			

g. Average profit						
20. Crop III name: _____						
	2009	2010	2011			
a. Planting area (ha):						
b. Yields (enter/ha):						
c. Production costs per tons:						
d. Average price per tons:						
e. Gross harvest:						
f. Product price per tons						
g. Average profit						
<b>V. Affected Trees</b>						
21. What are the trees that will be affected under the program?						
Type of tree	Total unit	Number of affected units	Cost to grow one unit	Income/Year		
				2009	2010	2011
<b>a. Fruit tree:</b> (i)_____						
Fruit tree: (ii)_____						
Fruit tree: (iii)_____						
Fruit tree: (iv)_____						
<b>b. Timber:</b> (i)_____						
Timber: (ii)_____						
Timber: (iii)_____						
Timber: (iv)_____						
c. Design						
d. Other _____						
<b>VI. Affected Structures (Buildings)</b>						
22. <b>Structure I</b> (name, description): _____						
a. Subject for demolition (Y/N)						
b. Type of the building						
c. Construction year						
d. Ownership right						
e. Ownership since (year)						
<i>Structure details</i>						
f. Total building area (sq.m)						
g. Foundation material						
h. Wall material						
i. Roof material						
j. Overall condition (1-lowest, 5-highest)						
k. Estimated replacement cost						



l. Length	
m. Width	
n. Height	
o. Availability of legal documents to support claim for compensation (Y/N)	
p. Document name	
23. <b>Structure II</b> (name, description): _____	
a. Subject for demolition (Y/N)	
b. Type of the building	
c. Construction year	
d. Ownership right	
e. Ownership since (year)	
<i>Structure details</i>	
f. Total building area (sq.m)	
g. Foundation material	
h. Wall material	
i. Roof material	
j. Overall condition (1-lowest, 5-highest)	
k. Estimated replacement cost	
l. Length	
m. Width	
n. Height	
o. Availability of legal documents to support claim for compensation (Y/N)	
p. Document name	
24. <b>Structure III</b> (name, description): _____	
a. Subject for demolition (Y/N)	
b. Type of the building	
c. Construction year	
d. Ownership right	
e. Ownership since (year)	
<i>Structure details</i>	
f. Total building area (sq.m)	
g. Foundation material	
h. Wall material	
i. Roof material	
j. Overall condition (1-lowest, 5-highest)	
k. Estimated replacement cost	
l. Length	

m. Width			
n. Height			
o. Availability of legal documents to support claim for compensation (Y/N)			
p. Document name			
25. Available utilities:	<input type="checkbox"/> Electricity <input type="checkbox"/> Drinking water <input type="checkbox"/> Hot water <input type="checkbox"/> Gas <input type="checkbox"/> Other _____		
<b>VII. Affected Business</b>			
26. Please indicate the following information on the business affected under the project:			
a. Ownership			
b. Type of business			
c. Registration			
d. Value if business sold			
e. Income per year			
f. Expenditure per year			
g. Profit per year			
<i>Workers</i>			
h. Number of workers			
i. Number in full time equivalent			
<i>Including</i>			
j. Number of male workers			
k. Number of female workers			
l. Average salary (monthly)			
<i>Tenants</i>			
m. Rent paid per month			
n. Contract validity			
<b>VIII. Annual Income</b>			
27. Please indicate your income by source and by year starting 2008:			
Source	Years		
	2009	2010	2011
a. Agricultural production			
b. Forest products			
c. Livestock			
d. Renting			
e. Remittances			
f. Other (specify): _____			
28. Will construction of the power line affect the value of your land plot, business, and/or real estate? <input type="checkbox"/> Yes <input type="checkbox"/> No <i>(if "Yes" go to 29, otherwise go to 30)</i>			

29. How will construction of the power line affect the value of your land plot, business, and/or real estate?

30. Comment on potential land acquisition or resettlement

**IX. Additional Information. To be filled-in by interviewer**

31. Type of effect:

- ☐ Losing total house
- ☐ Losing house and entire land
- ☐ Losing house and part of land
- ☐ Losing total land
- ☐ Losing part of land
- ☐ Losing only part of house
- ☐ Losing part of house and part of commercial structure
- ☐ Losing part of commercial structure
- ☐ Losing house and commercial structure
- ☐ Losing total commercial structure
- ☐ Losing house and part of commercial structure
- ☐ Losing total commercial structure and part of house
- ☐ Losing source of income only
- ☐ Losing only land fixtures (trees)
- ☐ Other (specify): \_\_\_\_\_

32. Ownership as per revenue records and field verification:

- ☐ Owner as per revenue record and at site is same
- ☐ Owner is not residing/cultivating land but given on lease/rent
- ☐ Absentee land lord
- ☐ Present Owner is not registered his land-ownership record in the name of previous owner
- ☐ Recently purchased land, not registered yet
- ☐ Other (specify): \_\_\_\_\_

33. Any additional comments

Checked by (signature of interviewer): \_\_\_\_\_

Name \_\_\_\_\_

Date (d/m/y): \_\_\_\_\_

Annex 2

ID	District / City	Massive	Name of firm / household head / agricultural farm	Type of AH	Total holdings		Permanent land acquisition		Temporary land acquisition	
					Land area, Ha	Building area, m2	Land area, Ha	Building area, m2	Land area, Ha	Building area, m2
AH-001	Takhiatash city	GRES	Takhiatash-ILDIS	Business	0,48	607,2	0,48	607,2	-	-
AH-002	Takhiatash city	GRES	Kamerchina	Business	0,62	1372,8	0,62	1372,8	-	-
AH-003	Takhiatash city	Keneges	Pirjanov Nurak	Residential	0,05	220	0,05	220	-	-
AH-004	Takhiatash city	Keneges	Garribayev Durdibay	Residential	0,26	550,5	0,26	550,5	-	-
AH-005	Takhiatash city	Keneges	Pirjanova Aygul	Residential	0,16	306	0,16	306	-	-
AH-006	Takhiatash city	Keneges	Pirjanov Tojiboy	Residential	0,08	270	0,08	270	-	-
AH-007	Takhiatash city	Keneges	Tangribergenov Esanboy	Residential	0,10	138	0,10	138	-	-
AH-008	Khujayli district	Kiyot	Kojabayev Dauletbay	Residential	0,36	366	-	-	0,20	-
AH-009	Khujayli district	Kiyot	Matqurbonova Shirin	Residential	0,30	210	0,30	210	-	-
AH-010	Khujayli district	Kiyot	Khalillaev Komiljon	Residential	0,50	250	-	-	0,25	-
AH-011	Khujayli district	Kiyot	Matyakubov Jumaboy	Residential	0,24	364.01	0,24	364.01	-	-
AH-012	Khujayli district	Kiyot	Nurimbetov Tursunboy	Residential	0,25	300	-	-	0,10	-
AH-013	Khujayli district	Kiyot	Mirishkor Ravon	Farmer	91	-	-	-	1	-
AH-014	Khujayli district	Kiyot	Sherjanov Murodb	Farmer	47	-	-	-	3	-
<b>TOTAL</b>					<b>141,4</b>	<b>4,864,51</b>	<b>2,29</b>	<b>4038,51</b>	<b>4,55</b>	