



External Monitoring Report

Project Number: 45507-003
March 2017

PRC: Yunnan Chuxiong Urban Environment Improvement Project – Resettlement External Monitoring Report (No. 4) for Lufeng Component

Prepared by Sichuan Fontal Strategic Consulting Co., Ltd

For Chuxiong Prefecture Project Management Office

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Asian Development Bank

**Asian Development Bank Loaned Chuxiong Urban
Environmental Improvement Project Lufeng Sub-project**

**Resettlement External Monitoring
Report
(Phase IV)**

**Sichuan Fontal Strategic Consulting Co., Ltd.
March 2017**

Contents

1. Monitoring Summary	2
1.1 Project Overview	2
1.2 Construction Progress.....	2
1.3 Summary of Resettlement Monitoring	3
1.4 Monitoring and Evaluation.....	3
2. Monitoring on Project Impact.....	5
2.1 Overall Monitoring of Resettlement Effect	5
2.2 Monitoring on Physical Indicators of Permanent Land Acquisition	5
2.3 Monitoring on Physical Indicators of Demolition	5
2.4 Monitoring on infrastructure	5
3. Monitoring on compensation standard and compensation fees	6
3.1 Basis for compensation policies	6
3.2 Monitoring over compensation standard	6
3.2.1 Monitoring on Compensation Criteria for Land Acquisition	6
3.2.2 Monitoring on Compensation Criteria for Housing Demolition	6
3.2.2 Monitoring on Other Compensation Criteria	7
3.3 Fund Allocation and Fund Allocation Channels.....	7
4. Monitoring on the Implementation of Resettlement	8
4.1 Monitoring on Land Acquisition and Resettlement Measures	8
4.2 Monitoring on Demolition and Resettlement	8
4.2.1 Measures for Housing Demolition and Resettlement.....	8
4.2.2 Progress for Housing Demolition and Resettlement	8
5. Intermediate Projects.....	9
6. Monitoring of Institutions.....	10
6.1 Organizational Structure.....	10
7. Public Participation & Grievance Channels.....	11
7.1 Public Participation	11
7.2 Grievance Channels.....	11
8. Monitoring Conclusion	12
8.1 Conclusions on Monitoring Assessment	12
8.2 Problems and Suggestions.....	12
9. Issues to be Covered in the Report of Next Phase	13
Appendixes.....	14
Appendix I:.....	14
Appendix II:	17

1. Monitoring Summary

1.1 Project Overview

Lufeng urban environmental improvement project (the Project) is one of the sub-projects of the urban environmental improvement projects of Chuxiong Yi Autonomous Prefecture with loan from the Asian Development Bank.

The Project consists of four parts: (1) 6 municipal roads (two transverse and four lengthways), with the total length of 7.5km; (2) ecological treatment and improvement of East River and the West River with the total length of 2km; (3) a stormwater detention pond system covering an area of 200mu; (4) 336 thousand square meters of landscaping and green zones on both sides of the East River and West River as well as the urban sanitary equipment, flood early warning equipment procurement and capacity development.

The Project was intercepted in May 2012. According to the preliminary design approved by the provincial development and reform commission and Department of Housing and Construction, the total approved investment on the Project is RMB 1.0483636 billion, including USD 50.418 million (equal to RMB 307.5495 million) loan from the Asian Development Bank (accounting for 29.34%, used for 76% for building and installation works and 100% of the goods procurement) and supporting fund of RMB 740.8141 million from domestic China (accounting for 70.66%).

1.2 Construction Progress

Asian Development Bank Loaned Chuxiong Urban Environmental Improvement Project Lufeng Sub-project comprises 8 contract packages, and the construction drawing design and drawing review has been completed by the end of 2016. Specific progress is as follows:

- (1) The bidding procurement and supply has been completed for the waste equipment procurement contract package;
- (2) The bidding procurement for ecological treatment and improvement of East River and the West River has been completed, and the work has been commenced on November 1, 2016;
- (3) The bidding for contract package of the northern extension line of Zhuluoji Street has been opened, pending for the review and approval by the ADB;
- (4) The bidding announcement for the three contract packages, the landscape greening, stormwater detention pool (Longhu) and flood warning system equipment are expected to be released;
- (5) The bidding documents of two contract packages for extension line of No. 1 Road and Jinshan Road South and Northern Extension Line of Shiji Street and No. 2 and No. 3 Road are being prepared.



Figure 1-1 Site of River Course Improvement and Control

1.3 Summary of Resettlement Monitoring

Land acquisition, demolition and resettlement works are involved in the river regulation, flood control and construction of roads for urban development and auxiliary facilities of the Lufeng sub-project. The estimated resettlement cost of the Project is RMB 345.5885 million, including basic land acquisition (and occupation) cost, housing demolition cost, taxes and contingencies, accounting for 32.96% of the total budget of the Project.

The project involves the collectively-owned land acquisition of 1114.75mu, including 403.2 mu of land for road construction, which is permanently acquisitioned. The construction land has been approved by the provincial and prefecture (YGTZF [2017] No. 26 and CGTZZ [2017] No. 15, as shown in Appendix I); 711.55mu ecological treatment and improvement of East River and the West River and stormwater detention pond system (only compensation but not acquisitioned, belonging to the original river course, and the original purpose of the land will be restored after compensation). The land acquisition was commenced in September 2016, and 881.68 mu of land acquisition has been completed. RMB 118.401 million has been paid as the compensation for the ground attachments and land acquisition costs, and the land acquisition compensation work is continuously proceeding.

There are 34 households, or 150 people to be relocated in the Project, involving an area of 4042.00m², i.e. 17 households at the northern extension line of Jinshan Road South, 6 households at Road No. 1, 1 household at Road No. 2, 5 households at Road 3 and 5 households at Flood Control Corridor of Zhongfengyu Bridge at East River. The previous monitoring results show that 29 households were affected in the demolition and relocation. Compared with the previous monitoring, the additional 5 relocated households were all from Flood Control Corridor of Zhongfengyu Bridge at East River. Currently, the affected households all agreed to designate the land for building the resettlement houses on their own, and 4 resettlement sites have been selected. The housing appraisal work is under way.

1.4 Monitoring and Evaluation

Sichuan Fontal Strategic Consulting Co., Ltd, entrusted by the ADB Project Office of Chuxiong Prefecture with the external independent monitoring and evaluation service on the Project, has prepared the independent monitoring and evaluation work plan which defines the scope, contents, monitoring indicators, working methods and time schedule of the external monitoring and evaluation service this time.

The monitoring team visited Lufeng County to collect the monitoring and appraisal information and data on February 28, 2017. The monitoring team has fully understood

the resettlement progress in Lufeng County, and discussed with the competent directors of Lufeng Urban Construction and Development Investment Co., Ltd., investigated the selected resettlement site, solicited the opinions from the public and conducted the door-to-door interview, and informed the local people of the project progress.



禄丰县城市建设开发投资有限公司会议签到表

会议名称:	亚行贷款建设项目移民安置外部监测评估工作会议 (第五期)	会议时间:	2017年2月28日 10:30
会议地点:	禄丰县城市建设开发投资有限公司五楼会议室		
姓名	单位	职务	电话
孔凡林	四川方略	项目经理	
肖俊峰	四川方略	项目助理	18919977589
曹强	禄丰城投公司		
陆俊雨	禄丰城投公司		
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杨子	城投公司		1858457003
任强			
魏强			
董亮	城投公司		

Figure 1-2 Talk between Resettlement Monitoring Team and Organizations



Figure 1-3 Door-to-door Talk by Resettlement Monitoring Team

2. Monitoring on Project Impact

2.1 Overall Monitoring of Resettlement Effect

By this monitoring, the Asian Development Bank Loan Chuxiong Urban Environmental Improvement Project Lufeng Sub-project involves the collectively-owned land acquisition of 1114.75mu, including 403.2 mu of land for road construction, which is permanently acquisitioned. The construction land has been approved by the provincial and prefecture (YGTZF [2017] No. 26 and CGTZZ [2017] No. 15, as shown in Appendix I); 711.55mu ecological treatment and improvement of East River and the West River and stormwater detention pond system (only compensation but not acquisitioned, belonging to the original river course, and the original purpose of the land will be restored after compensation); the relocation involved 34 households and 150 persons, with the total area of demolition of about 4042m². At the same time, the demolition affects some infrastructure and ground appurtenances.

2.2 Monitoring on Physical Indicators of Permanent Land Acquisition

As the monitoring project, 881.68 mu of land has been acquisitioned, involving 4 villages/communities, 32 households, 129 persons. They are 460mu from Beichang Villagers' Committee, 101 mu from Beimen Community, 159.62mu from Xinhe Community, 161.06 mu from Guanwa Community, and the completed land acquisition accounted for 79.1% of the total planned acquisition. At present, the number of affected households and population in all villages are not determined yet. The specific statistics will be provided in the following monitoring phases.

2.3 Monitoring on Physical Indicators of Demolition

As of this monitoring, there are 34 households, or 150 people to be relocated in the Project, involving an area of 4042.00m², i.e. 17 households at the northern extension line of Jinshan Road South, 6 households at Road No. 1, 1 household at Road No. 2, 5 households at Road 3 and 5 households at Flood Control Corridor of Zhongfengyu Bridge at East River. The house appraisal work before the demolition and relocation is under way. The specific data for the actual demolition and relocation will be provided after the following phases of monitoring.

2.4 Monitoring on infrastructure

There is no specific data for the infrastructure subject to the demolition and relocation, which will be provided in the following reports.

3. Monitoring on compensation standard and compensation fees

3.1 Basis for compensation policies

The resettlement of this Project is in strict accordance with the national and provincial relevant laws and regulations as well as the relevant policy of Asian Development Bank. The major laws and policies are:

- ◆ *Decision of the State Council on Deepening Reformation and Strengthening Land Administration*, GF [2004] No. 28;
- ◆ *Guidance on Improving Compensation Mechanism for Land Acquisition* (GTZF (2004) No. 238);
- ◆ *Implementation Rules for the Laws of the People's Republic of China on Land Ministration* (Decree No. 256 of the State Council of the People's Republic of China on December 12, 1998);
- ◆ *Regulations on the Protection of Basic Farmland* (December 1998);
- ◆ *Land Management Regulations of Yunnan Province*, September 1999;

On June 1, 2016, the People's Government of Lufeng County released the *Standard of Compensation for Land Requisition Involved in the Asian Development Bank Loaned Chuxiong Urban Environmental Improvement Project Lufeng Urban Roads and River Regulation Sub-project* and the *Resettlement Action Plan for the Asian Development Bank Loaned Chuxiong Urban Environmental Improvement Project Lufeng Urban Roads and River Regulation Sub-project*. Later on June 2, 2016, the same government released the file LZF [2016] No. 57 where the aforesaid standard of compensation and the resettlement action plan for the Project were approved. The latest compensation standards, higher than the former ones to be applied, will be used here in the Project, according to the *Uniform Annual Output Value for Land Acquisition and Compensation Standards for Ground Attachments of the Expropriated Land (Trial)* (LZT [2009] No. 105) issued by the People's Government of Lufeng County and the file LZF [2010] No. 28.

3.2 Monitoring over compensation standard

3.2.1 Monitoring on Compensation Criteria for Land Acquisition

RMB 86,070/mu for vegetable land, RMB 86,040/mu for paddy land, RMB 44,772/mu for dry land and RMB 52,920/mu for orchards (fruit, mulberry and tea gardens); the compensation standard for residence sites keep the same with that before construction of the Project.

Compensation standards for young crops: RMB 2,000/mu for vegetable land, RMB 1,500/mu for spring-summer crops and RMB 800/mu for winter-spring crops (paddy land), or RMB 1,000/mu for spring-summer crops and RMB 100/mu for winter-spring crops (dry land).

3.2.2 Monitoring on Compensation Criteria for Housing Demolition

Refer to Table 3-1 for the demolition and relocation compensation rates for Lufeng Subproject.

Table 3-1 House Compensation Rates for Lufeng Subproject

S/N	Compensation item	Compensation standard (yuan/m ²)
1	Houses of steel-concrete structure	1300
2	Houses of brick structure type I (decorated, with ceramic tiled	1200

	outer wall)	
3	Houses of brick structure type II	900
4	Houses of brick-wood structure type I (decorated interior, with painted outer wall)	800
5	Houses of brick-wood structure type II	700
6	Houses of earth-wood structure	600
7	Houses of simple structure, Tuzhang houses (traditional houses of Yi people) (brick-wall asbestos-tile houses, roofed toilets, curing barns, earth-wall asbestos-tile houses, hog houses and cow houses included)	300

Subsidies for moving will be granted at the rate of RMB 2,000/household/time. Such subsidies will be granted twice considering transitional resettlement. Temporary resettlement fund will be granted at the rate of RMB 7/m²/month for 12 months. Award for earlier moving is provided at the rate of RMB 500/household for each earlier day (not longer than 20 days at the maximum) commenced from the day when the house is handed-over empty and available for immediate demolition. For households enjoying the five guarantees, seniors without family but living with support from the civil administration authority, martyr's families, and disabled people, to be relocated because of the Project, lump-sum special grants will be offered at the rate of RMB 3,000/person.

3.2.2 Monitoring on Other Compensation Criteria

RMB 1,000/grave (earth graves and rubble graves, RMB 1,200/grave (brick graves), RMB 1,600/grave (rock graves); for joint-burial graves, the compensation level is 60% more than single-burial graves. Lump-sum rewards will be granted for signing of the grave relocation agreement and relocating graves in time stipulated in the aforesaid agreement. To be specific, RMB 500 for each earth grave, RMB 600 for each brick grave, RMB 800 for each rock grave and RMB 1,000 for each joint-burial grave.

At present, the resettlement compensation work of the Subproject is proceeding normally, and RMB 118.401 million has been paid for the ground attachment compensation and land acquisition expenses. There is no specific classified data for the time being, which will be described in the following reports.

3.3 Fund Allocation and Fund Allocation Channels

As the monitoring, RMB 118.401 million has been paid for the permanent land requisition and young crop compensation. See the Appendix II for the payment documents.

The funds of the Sub-project will be paid through the following channels:

- (1) Land requisition compensation fee: upon the request of the affected people, the amount of young crop compensation will be calculated and signed before being paid by the bank certificate of deposit; the land acquisition compensation has been appropriated to the account of the village collective, and the specific distribution way has been determined through the villagers' congress (70% of the participants agree by signing, and the minutes of meeting should be maintained). Social security compensation for permanent land acquisition is continuously and normally promoted.
- (2) House demolition compensation: the housing demolition has not yet started, which will be the focus of the following monitoring.

4. Monitoring on the Implementation of Resettlement

4.1 Monitoring on Land Acquisition and Resettlement Measures

A total of 881.68mu of land has been acquisitioned at East River, West River, stormwater detention pool, landscaping and northern extension line of Zhuluoji Avenue and Road No. 3, and no temporary land acquisition is required for the time being. The permanent land requisition compensation and young crop compensation is being promoted normally.

4.2 Monitoring on Demolition and Resettlement

4.2.1 Measures for Housing Demolition and Resettlement

In accordance with the *Resettlement Action for Asian Development Bank Loaned Chuxiong Urban Environmental Improvement Project Lufeng Sub-project*, on the basis of the opinions solicited from the affected persons, the monetary compensation and independent resettlement nearby are adopted as the resettlement measures. Four resettlement sites have been selected, and all the resettlement sites shall be arranged nearby. As of the current monitoring, the evaluation of the houses to be demolished is under way for the Sub-project.



Figure 4-1 Appearance of Two Resettlement Sites

4.2.2 Progress for Housing Demolition and Resettlement

The demolition and relocation has not been started yet, which will be continuously followed up in the following phases.



Figure 4-2 Appearance of Houses of Affected Households of Flood Control Corridor of Zhongfengyu Bridge at East River.

5. Intermediate Projects

Lufeng County intermediate adjustment projects include:

- 1) Zhuluoji Street Northern Pavement and sidewalks project: the total length of Jurassic North Road Pavement and pavement works: the project is 2620 meters long, including road engineering, traffic engineering, electricity, telecommunications pipe trench works, greening projects, bus station construction, etc.;
- 2) Construction of intelligent transportation system in the new and old city areas: including traffic signals, marking and marking lines, high-definition electronic police system, construction and scheduling center, command platform, software system and other equipment;
- 3) Jinshui Road Upgrade and Renovation Works: the 1573.22m of new drainage ditch, the removal and recovery of pavement, pavement tiles, sidewalk greening, construction of strong and weak electric cable trenches on both sides of the sidewalks.

The total investment of the intermediate adjustment project is RMB 118.9194 million, including RMB 109.3239 million from ADB and RMB 9,5955 million from domestic institutions.

The Intermediate Adjustment Project does not involve the land acquisition/relocation.

6. Monitoring of Institutions

6.1 Organizational Structure

To strengthen the ADB loan project management, vigorously promote the project construction, improve the efficiency in the use of ADB loans, Lufeng County set up a coordination command center of the ADB loan project, which is responsible for the organization of the project planning and coordination. Lufeng Urban Construction and Development Investment Co., Ltd., as the implementation entity of the Project, is responsible for the execution of a specific project.

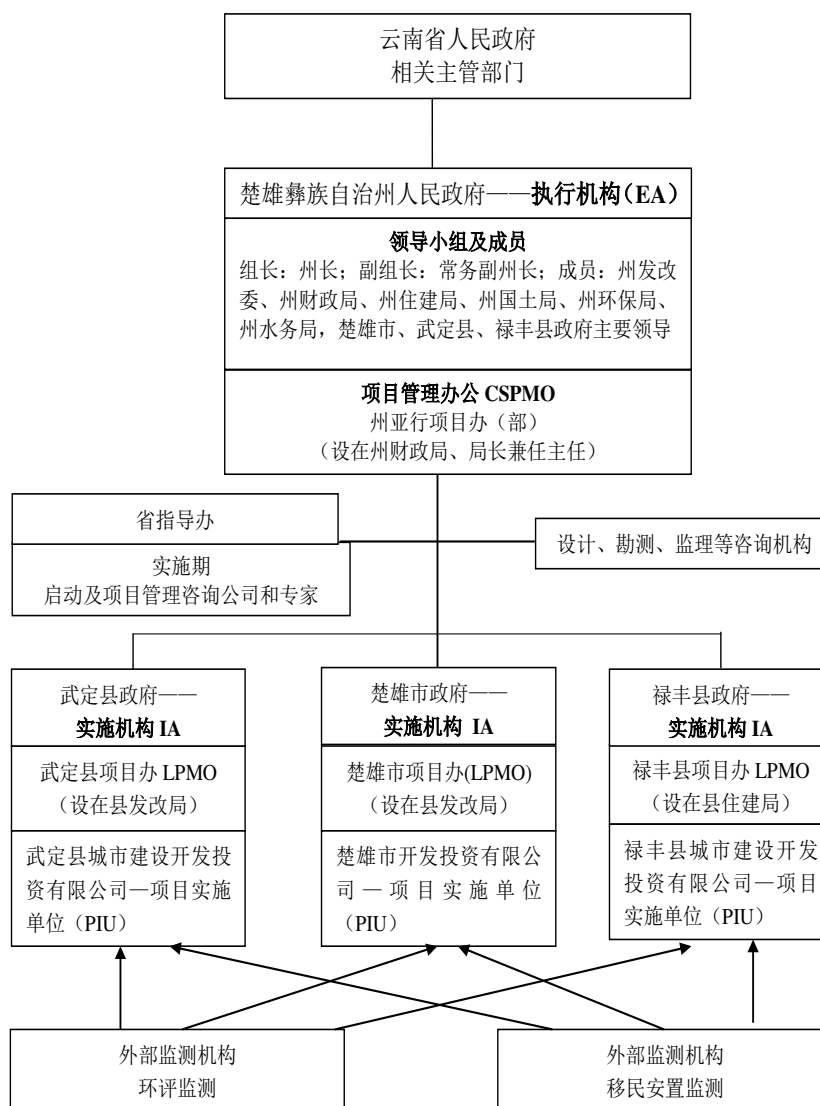


Figure 5-1 Organizational Chart of the ADB Loan Chuxiong Project

7. Public Participation & Grievance Channels

7.1 Public Participation

The public participation of the Project respectively includes two stages: ①the public participation during Project preparation period; ②the public participation during Project implementation period.

The contents and ways of public participation mainly embody in the following aspects: ①negotiation and villagers congress; ②notices to reassure the public (publicize the policies through medias, notices etc.); ③participation in substance loss investigation and social economy investigation; ④appraisal of compensation standards; ⑤selection of the site of building; ⑥construction of new houses by themselves; ⑦selection of employment; ⑧comments on the spending of the land acquisition compensations.

7.2 Grievance Channels

Any doubt or problem arising out of the land acquisition, demolition and resettlement can be reported to Lufeng County Project Office and relevant management departments, or appealed via the Owner, external resettlement monitoring agency and other channels. If these problem or doubt cannot be properly solved, legal litigation can be carried out. In addition to the active complaint by the affected people, the Owner, relevant government departments and monitoring organization will arrange regular and irregular field interviews to understand the situation and the potential problems of the affected people.



Figure 6-1 Door-to-door Investigation of Affected Persons by the Owner

8. Monitoring Conclusion

8.1 Conclusions on Monitoring Assessment

Asian Development Bank Loaned Chuxiong Urban Environmental Improvement Project Lufeng Sub-project consists of four parts: (1) 6 municipal roads (two transverse and four lengthways), with the total length of 7.5km; (2) ecological treatment and improvement of East River and the West River with the total length of 2km; (3) a stormwater detention pond system covering an area of 200mu; (4) 336 thousand square meters of landscaping and green zones on both sides of the East River and West River as well as the urban sanitary equipment, flood early warning equipment procurement and capacity development.

By this phase of monitoring, a total area of 881.68mu has been acquisitioned for this Subproject. The demolition work is being evaluated. There are 34 households to be relocated, and 4 resettlement sites have been built nearby. The surveyed affected families have no objection to the resettlement site. All the affected people in the land acquisition have been fully compensated, and the compensations were not lower than the rates specified in the Resettlement Action Plan (RAP). The personnel covered by the social security are completing the relevant procedures.

The leading group and the Owner of Lufeng Subproject have clear work allocated, and operate effectively. At present, the project management is good and in smooth operation.

8.2 Problems and Suggestions

- (1) In the process of project promotion, Lufeng County Subproject requires RMB 160 million from domestic financial sources as the PPP is not available. This problem is being solved. It is suggested that the PPP availability and domestic financing difficulty should be solved as soon as possible to avoid the delay in the project schedule.
- (2) The compensation for the project land requisition and relocation is under way. In order to ensure the work goes on smoothly and ensure the affected residents can timely get compensation and resettlement, it is suggested that the compensation funds should be well coordinated and made available in full, in order to avoid the delay in the project progress due to the problem with the compensation funds.
- (3) The resettlement area has been selected and the resettlement houses should be built nearly. It is advisable that the relevant procedure should be completed as early as possible, so that the Project Affected Persons (PAPs) will start building houses on the earliest day to shorten the transitional period and guarantee the smooth transition of demolition and relocation.

9. Issues to be Covered in the Report of Next Phase

The next report shall focus on the following issues:

- 1) Latest progress of land acquisition, demolition and relocation;
- 2) Compensation for resettlement for the households whose land is acquired for this project;
- 3) Progress of the demolition and resettlement of PAPs;
- 4) Progress of the building by PAPs;
- 5) Public participation and complaint processing during the implementation of the project.

Appendixes

Appendix I:

楚雄彝族自治州国土资源局文件

楚国土资征〔2017〕15号

楚雄州国土资源局转发云南省国土资源厅 关于禄丰县 2016 年度第二批城镇建设 农用地转用及土地征收的批复

禄丰县人民政府：

你县报来的《禄丰县人民政府关于审查禄丰县 2016 年度第二批城镇建设用地的请示》（禄政请〔2016〕75 号）收悉，经我局审查，并报省人民政府批准，省国土资源厅以《云南省国土资源厅关于禄丰县 2016 年第二批城镇建设农用地转用及土地征收的批复》（云国土资复〔2017〕26 号）批复，现转批如下：

一、现同意禄丰县将金山镇大北厂村委会、官洼社区、新

河社区的集体农用地 23.6999 公顷（其中耕地 22.4502 公顷）转为建设用地并办理征地手续，另征收集体建设用地 2.3448 公顷、未利用地 0.2779 公顷；同意将国有农用地 0.0382 公顷转为建设用地，同时使用国有建设用地 0.4631 公顷、未利用地 0.0016 公顷。

以上共计批准建设用地 26.8255 公顷，作为禄丰县 2016 年度第二批城镇建设用地，具体建设项目供地方案按规定另行办理。

二、请认真按照补充耕地方案，补充数量相等、质量相当的耕地。

三、当地人民政府应严格依法履行征地批后实施程序，按照经批准的征收土地方案及时足额支付补偿费用，安排被征地农民的社会保障费用，落实安置措施，妥善解决好被征地农民的生产和生活，保证原有生活水平不降低，长远生计有保障。征地补偿安置不落实的，不得动工用地。

四、禄丰县人民政府应根据《中华人民共和国土地管理法》、《中华人民共和国土地管理法实施条例》、《中华人民共和国政府信息公开条例》和征地管理的有关规定，主动公开与被征地群众密切相关的征地信息。

五、加强土地供应管理，严格执行国家产业政策和供地政策，控制高耗能、高污染、资源性产品建设项目用地；按照土

地供应政策和土地使用标准的规定，从严控制各类建设项目用地规模，节约集约利用土地。

六、加强土地执法和建设用地监督管理，确保各类建设依法依规用地。

此复



Appendix II:

亚行贷款项目东河改造绿化工程（龙湖新城二期旁）地上附着物补偿明细表

制表单位：会山国土管理所 制表日期：2016年8月10日

序号	户主	地上附着物补偿			青苗补偿			果树补偿			经济类、苗木补偿			合计补偿金额(元)	领取人
		品种	数量	补偿金额(元)	种类	面积(㎡)	补偿金额(元)	品种	棵数	补偿金额(元)	品种	数量	补偿金额(元)		
1	陈坤				水田	613	1103.4							1103.4	陈坤
2	陈庭祥				水田	1020	1836.0							1836.0	陈庭祥
3	陈德金				水田	1554	2797.2							2797.2	陈德金
4	甘雨文				水田	375	675.0							675.0	甘雨文
5	王学林				水田	1464	2627.2							2627.2	王学林
6	王义文				水田	1265	2277.0							2277.0	王义文
7	李桂英				水田	112	201.6							201.6	李桂英
8	张志明				水田	1431	2573.8							2573.8	张志明
9	徐金兰				水田	543	977.4							977.4	徐金兰
10	李平福				水田	545	981.0							981.0	李平福
合计						8862	15951.6							15951.6	

制表人：张沁霞 审核人：李桂英 日期：2016年8月15日

亚行贷款项目东河改造绿化工程（龙湖新城二期旁）地上附着物费用表（一）

制表单位：会山国土管理所 制表日期：2016年8月11日

村组名称	村小组	地类	面积(亩)	地上附着物补偿				合计
				蔬菜青苗补偿(元)	果树苗木补偿(元)	地上构筑物补偿(元)	误工费(元)	
北厂村委会	小北厂	水田	13.293	15951.6	0.0	0.0	800.0	16751.6
合计			13.293	15951.6	0.0	0.0	800.0	16751.6

制表人：张沁霞 审核人：李桂英 日期：2016年8月15日

中国建设银行进账单(回单)

2016年12月09日

出票人	全称：禄丰县城市建设投资有限公司	收款人	全称：中国建设银行禄丰支行
账号	53001707735651007216-0001	账号	134022621829
开户银行	建行禄丰县支行	开户银行	中国建设银行禄丰支行
金额	人民币 贰佰捌拾贰万贰仟柒佰叁拾玖元叁角	金额	¥ 2,822,739.30
票据种类	转账支票	票据张数	1
票据号码	03952557	支付用途	支付征地拆迁补偿费
复核	记账	开户银行签章	

此联是开户银行交给持票人的回单

中国建设银行进账单 (回)		2016年 11月 28日	
出票人	全称 禄丰县城市建设投资开发有限公司 账号 53001707736051007218-0002 开户银行 建行禄丰县支行	收款人	全称 禄丰县金山镇村级会计工作 账号 1334022821829 开户银行 中国银行禄丰支行
金额	人民币 (大写) 叁仟捌佰捌拾万壹仟陆佰零伍元叁角玖分	人民币 (小写)	¥ 38,801,605.39
票据种类	转账支票	票据张数	1
票据号码	03952547		
支付用途 拆迁补偿费			
复核	记账	开户银行签章	