



External Monitoring Report

Project Number: 45507-003
March 2017

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

Prepared by Sichuan Fontal Strategic Consulting Co., Ltd

For Chuxiong Prefecture Project Management Office

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Asian Development Bank

**ADB-loaned Chuxiong Yi Autonomous Prefecture Urban
Environmental Improvement Project – Chuxiong Urban
Infrastructure and Environmental Improvement Subproject:
Chuxiong Road Works**

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

March 2017

Sichuan Fontal Strategic Consulting Co., Ltd.

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Foreword

The loaned project 3115-RPC: the Office of Asian Development Bank (ADB) Loaned Project of Chuxiong Prefecture (the Project) has, as the Project Owner, entrusted officially Sichuan Fontal Strategic Consulting Co., Ltd to undertake the independent external monitoring work on resettlement, after the Project getting approved by ADB. In March 2017, the monitoring and evaluation team of Sichuan Fontal Strategic Consulting Co., Ltd carried out the external monitoring work on the resettlement progress of the Chuxiong Yi Autonomous Prefecture Urban Environmental Improvement Project (the Road) for Phase V and prepared this report based on the data of field survey.

The urban infrastructure and environmental improvement project (roads) of Chuxiong is one of the sub-projects of the central urban infrastructure construction and improvement project of Chuxiong Yi Autonomous Prefecture with loan from the Asian Development Bank. The monitoring team has carried out field investigation for the Project and thus fully learned the implementation of the Project, progress of land acquisition and demolition work, compensation for land acquisition and demolition and allocation of compensation funds, resettlement proposals. The team has also extensively listened to the opinions and suggestions of affected population on the resettlement results, checked seriously the resettlement action plan (RAP) and changes of life and production of the affected population before and after the resettlement, and finally made objective and fair evaluation on the effects of resettlement actions up to now. Data and other related information set forth herein come from mainly following four sources: (1) documents provided by the Office of ADB Loaned Project of Chuxiong, such as the resettlement action plan (the updated contents), survey data on physical impacts of the Project, organizational structure and staffing of the resettlement institutions, etc; (2) Documents provided by related functional departments, such as documents concerning policies, work summaries and statistical information, etc; (3) Information provided by towns and villages affected by the Project, such as basic information of the affected towns/villages and statistical reports, etc; (4) data and information obtained by the resettlement monitoring team by ways of field investigation and door-to-door interviewing with the affected households.

Acknowledgements will be given to the Asian Development Bank, the government of Yunnan Province, the government of Chuxiong Prefecture, governments of related counties and cities involved in the Projects, implementing agencies of the Project, the Project Office and the implementing agencies and other stakeholders of the Project for their actively assistance and great support to the evaluation work of the monitoring team during the preparatory, field investigation and report preparation stages.

Sichuan Fontal Strategic Consulting Co., Ltd.

March 2017

1. Overview

1.1 Basic Information of the Project

The urban infrastructure and environmental improvement project (roads) of Chuxiong Prefecture is one of the sub-projects of the central urban infrastructure construction and improvement project of Chuxiong Yi Autonomous Prefecture with loan from the Asian Development Bank. The Project consists of four roads to be newly built in the southeast area of Chuxiong Prefecture, one longitudinal quasi-express road, one transverse main road, one secondary road and one branch road. Construction contents of the Project include the road engineering and auxiliary rainwater and sewage pipelines, bridges, culverts, traffic engineering, safety facilities, roadway lighting and greening.

1.2 Construction Progress of the Project

Lot 1 of road No. 17 (CCX4) was opened on August 18, 2015. After the contract negotiations, Shanghai Civil Engineering Co., Ltd. of CREC was determined as the bid winner for a price of RMB 30.267 million. The contract includes the civil works of Lot 1 of road No. 17 (CCX4) with a total length of 1485 meters and the red line width of 60 meters. It is a city main road, which is two-way six-lane way, with the design speed of 50km/ hours, including roads, culverts, water supply and drainage, transportation, greening, lighting, power pipeline engineering. The construction period of 480 calendar days, and the subgrade filling has been completed at the end of May 2016. Due to the construction of underground pipe gallery, the project is now suspended and is expected to resumed in mid March 2017. A residential building is still on the punch list as it is difficult to be demolished right now.

The bidding work has been completed for road No. 11 (CCX1) road on September 13. After the contract negotiations, the first successful bidder Yunnan Huifeng Construction Engineering Co., Ltd. has waived the award as it is unable to pay the performance bond required by the bidding documents. Upon the approval of the ADB, the contract has been concluded with the second successful bidder Xin Zhou Holdings Limited after negotiations. The total contract price is RMB 64170167.39. Construction content: civil works of road No. 11(CCX1), with a total length of 2958.165 meters and red line width of 40 meters. It is a city main road, two-way and 6-lane with the design speed of 40km/h, including roads, bridges, culverts, drainage, transportation, greening, lighting and power pipeline engineering. The construction period is 510 calendar days. The mobilization was organized on December 2, 2016, and the road clearing work is being done. Land acquisition work has been completed, and the demolition work is proceeding orderly. Road no. 10 road and No. 49 Road (CCX2&3) were merged into a contract package, which was opened on March 1, 2017 and ready to be submitted to ADB for approval. The contract negotiations are expected to be carried out by the end of March.

Intelligent transportation system and traffic control (ECX1) was opened on April 6, 2016, and the successful bidder was Zhejiang Supcon information Co., Ltd. for a bid price of RMB 17.39 million. The project equipment has been fully completely purchased, and the installation and commissioning is in progress currently. The installation is expected to be completed in mid April 2017.

Municipal solid waste equipment procurement (ECX2-1) was opened on September 27, 2016, the successful bidder was the Hunan Fengde Economic and Trade Development

Co., Ltd. for a price of USD 2203913.5. The equipment has been already delivered to the site, and the relevant companies have been organized for acceptance.



Figure 1 Site of Road No. 11 (Starting and Ending Points)

1.3 Engineering Change Adjustment

According to the specific implementation of the project, because a lot of residential houses have to be demolished at Lot 2 of Road No. 17, it is agreed to cancel Lot 2 of road No. 17 (Contract No. CCX5) and the purchase of urban waste management equipment (Contract No. ECX2-2) in accordance with the requirements of the interim adjustment projects raised by the ADB delegation in September 2016. At present, the project proposed to be cancelled is pending for further confirmation and approval by ADB.

1.4 Land Acquisition, Demolition and Resettlement

Up to March 2017, the land acquisition work has been completed for the Project. The planned land acquisition is 635.08mu, and 547.59mu land has been actually requisitioned in the Project¹, including 452.7mu of farmland and 94.89 of other land, with 1553 people from 370 families being affected. Houses of 87 rural families are planned to be demolished, covering total area of 28622m², with 390 people to be affected. In practice, 22700m² of houses should be demolished, including 69 households or 306 persons. Up to date, houses of 36 households have been demolished, with the total area of 11843.5m², accounting for 52% of the total completed demolition work.

1.5 Monitoring and Evaluation

In March 2017, the external monitoring team arrived at the Project site and carried out the external monitoring work on resettlement for the fifth time. The monitoring team has, with purpose, monitored the implementation progress of resettlement in an overall way, based on the actual progress of land requisition and house demolition of the Project. Besides informal discussion with leaders of the affected towns and villages, door-to-door interviewing was carried out this time among people affected due to land requisition, with the purpose to check the changes in life and production of different types of affected population before and after such requisition and demolition in an overall way, and to check the compensation standards and the appropriation of compensation funds so that to finally confirm whether the assistance targets outlined in the resettlement action plan (RAP) have been realized. Meanwhile, public participation of affected population in the early stage of land acquisition is learned, problems are identified in time and reported to related resettlement institutions and corresponding suggestions are raised for improvements.

¹ As Lot 2 of Road No. 17 has been cancelled, and the actually acquisitioned land has been reduced by 87.49mu, or the number of affected households has been actually reduced by 45.

2. Monitoring on Project Impact

2.1 Monitoring on General Physical Impacts of the Project

The land acquisition and resettlement involves 3 communities of 1 town (township).

It is planned in the Project to acquisition totally 547.59mu of land, including 452.7mu of farmland and 94.89 of other land. 370 households or 1553 people will be affected. The land acquisition work has been completed. Houses of 69 rural families are planned to be demolished, covering total area of 22700m², with 306 people to be affected. Houses of 36 rural families have been demolished, covering an area of 11843.5m², accounting for 52% of the total completed demolition work.

2.2 Monitoring on Physical Indicators of Permanent Land Acquisition

15 villagers' groups from three communities of Lucheng Town are actually affected by land acquisition of the Project. Up to this phase, the land acquisition work has been completed for the Project. See Table 2-1 for the detailed acquisitioned land of various types.

Table 2-1 List of Collectively-owned Land Permanently Requisitioned by the Project

Township (Town)	Village (Community)	Production Team	Permanently Requisitioned Land (mu)				Sub-total	Number of Affected Families	Affected Population	
			Farmland	Fishpond	Residential land	Unused land				
Lucheng Town	Qinglong Community	Xuyang Team I	25.9				25.9	22	99	
		Xuyang Team II	34.2				34.2	28	128	
		Heiniba	58.7	25	15	7.92	106.62	59	266	
		Yangjitun	37		14.9		51.9	18	83	
	Sub-total			155.8	25	29.9	7.92	218.62	127	576
	Fumin Community	Zhongcun Team I	41.63				41.63	34	153	
		Zhongcun Team II	55.62				55.62	48	216	
		Xiacun	79.61	13.5	18.57		111.68	56	233	
	Sub-total			176.86	13.5	18.57	0	208.93	138	602
	Dadong Community	Dadongcun Team	4.6				4.6	4	14	
		Dongtun Team II	3.7				3.7	4	13	
		Huangtupo Village	111.74				111.74	97	348	
	Sub-total			120.04	0	0	0	120.04	105	375
	Total			452.7	38.5	48.47	7.92	547.59	370	1553

Source: the Resettlement Department of Chuxiong Urban Investment Co., Ltd

2.3 Temporary Land Acquisition

Some state-owned roads and greening belts will be occupied temporarily to stack materials and set up work sheds for the construction of the Project, however, no population will be affected here. Totally 10.5mu of land will be used temporarily according to the Project plan. Anyway, since construction of the Project hasn't started yet, no actual temporary land acquisition has taken place as of the current monitoring phase.

Table 2-2 List of Temporary Land Acquisition by the Project

Affected Land	Village	Community	NO.10 road	No.11 road	No.17 road	No.49 road	Total
Temporary state-owned land occupation (mu)	Lucheng Town	Qionglong	2	1.5	1	1.5	6
		Fuming		1	2	0.5	3.5
		Dadong		1			1
Sub-total			2	3.5	3	2	10.5

2.4 Monitoring on Physical Indicators of Demolition

Four villages of the Qionglong Community and Fumin Community are involved in the demolition of residential houses of the Project. All the houses planned to be demolished are rural residential houses, with total area of 32,725m², including 13,182m² of brick-concrete structure houses (accounting for 40.28%), 8245m² of brick-wood structure houses (25.19%), 11,298m² of earth-wood structure houses (34.52%), with 435 people from 112 households being affected. In practice, 22700m² of houses should be demolished and relocated, affecting 69 families and 306 people. By now, houses of 36 families are actually demolished, with total area reaching 11843.5m², accounting for 52% of the total demolition area.

Table 2-3 List of Rural Residential Houses Actually Demolished by the Project

Town (Township)	Village	Houses Demolished (m ²)				Affected Population	
		Brick-concrete	Households	Households	Sub-total	Number of households (Nr.)	Population (persons)
Lucheng Town	Qionglong Community	4765.3	4943.6	2134.6	11843.5	36	131
Total		4765.3	4943.6	2134.6	11843.5	36	131

Source: the resettlement authority of Lucheng Town

2.5 Monitoring on Physical Indicators of Demolition of Enterprises and Public Institutions

Four enterprises and public institutions will be demolished by the Project, covering total demolition area of 1,350m², with 140 people being affected. All of them are enterprises. See Table 2-4 for detailed information of demolished enterprises. As of the current monitoring phase, the evaluation on demolition is finished but the pre-demolition negotiations are in progress.

Table 2-4 List of Enterprises Planned To Be Demolished by the Project

Town	Sub-project	Enterprise	Nature	Area of Demolition (m ²)		Affected population	Degree of Impact
				Brick-concrete	Sub-total		
Lucheng	Road No. 11	Xincheng Company	Enterprise	400	400	30	Partially demolished
		Dongyan Company	Enterprise	450	450	0	Partially demolished
		Sengui Fungus	Enterprise	300	300	40	Partially demolished
		Baicaoling Pharmacy	Enterprise	200	200	70	Partially demolished
Total				1350	1350	140	

2.6 Monitoring on Physical Indicators of Infrastructure

Special facilities affected by the Project include mainly the power lines and communication cables, etc. As of the current monitoring phase, only the construction of

road No.17 started and the surface clearing of road No. 11 is in progress, while no other work is started yet. Therefore, statistical data provided by related authorities is incomplete and will be reported jointly after all the engineering work is started.

3. Monitoring on Compensation Standards and Compensation Funds

3.1 Monitoring of Compensation Policies

Standards of compensation for land acquisition and demolition shall be subject strictly to related laws and policies of the central and local governments and the *Resettlement Action Plan for the Road Sub-project of Chuxiong Urban Infrastructure and Environmental Improvement Project*.

As of the current monitoring phase, the applied standards of compensation for land acquisition are the same with those stipulated in the resettlement action plan, and the policies and compensation rates are identical to those in the past phases, which will not be repeated in this phase.

3.2 Fund Appropriation and Its Channel Monitoring

A special account is set up in the Finance Bureau of Chuxiong Prefecture for the resettlement fund of the Project so that to control funds including the income from charge for the use right of state-owned land and income from basic old-age pension for landless farmers. Funds in this account can be used only for designated purposes and supervision from the auditing authority, monitoring authority and the society is welcomed. Chuxiong Urban Investment Co., Ltd, the executive agency of the Project, is fully responsible to coordinate the land acquisition and demolition work of the Project and appropriate the confirmed resettlement fund to the special resettlement fund account of the government of Lucheng Town. The compensation fees for land will be paid directly to the affected villages, the crop compensation fees paid to the affected individuals, and the compensation for infrastructure and attachments paid to competent entities or individuals. The allocation procedure and payment channels for the resettlement capital have been described in the previous report, so it will not be repeated in this phase.

By the end of this phase of monitoring, a total of RMB 129.1173 million has been paid, including RMB 125.7673 million paid for the land acquisition, young crop compensation and ground attachments, and the remaining RMB 3.35 million paid for the demolition and relocation compensation for 36 households.

4 Implementation Measures and Progress of Resettlement

4.1 Resettlement for Permanent Land Acquisition

All of the acquisition of collectively-owned land involved in the Project has been finished and related compensation work is being carried out in order. Monetary compensation, social security measures and non-agricultural development measures, etc. are taken by the Project for comprehensive resettlement so that to guarantee that the living level of affected residents can be recovered and enhanced. These measures are being gradually implemented as schedule in the process of resettlement.

4.1.1 Progress of Land Acquisition and Resettlement

The land acquisition of the Project was commenced in October 2014. In this phase of monitoring, all of the affected communities and villages have signed the land acquisition agreement with Land and Resources Bureau of Chuxiong. The land compensation has been paid to the villagers' committee, the compensation for young crops and ground attachments has been approved and paid to the affected people. The land acquisition work has been completed. Refer to Figures 4-1 through 4-4 for the payment vouchers.

出票人		收款人	
全称	楚雄市国土资源局	全称	楚雄市鹿城镇村民委员会
账号	135 611126422	账号	2700 00 365300 0012
开户银行	中国银行楚雄州南路支行	开户银行	楚雄市农村信用社文化湾分社
金额	人民币 (大写) 陆拾柒万肆仟捌佰柒拾壹元贰角整	亿	千
票据种类	转支	百	十
票据号码	020 80 220	万	千
		元	角
		分	
		¥	674871.20
复核	记账	业务专用章 (1)	
		征地补偿费	
		1. 大东村小组 373270.00元	
		2. 东屯二组 301601.20元	

Figure 4-1 Payment Voucher of Dadong Village/Dongtun Team

摘要		金额	
		千	百
		十	万
		千	百
		十	元
		角	分
		¥	1264693.13
合计金额 (大写)	壹仟贰佰陆拾肆万陆仟玖佰叁拾壹元叁角捌分	备注: 允许填写的收款项目包括财政补助资金、“一事一议”筹集的资金、国家征用土地的补偿费、扶贫救灾款、上级部门专项拨款。	
收款单位盖章	大东社区	经办人: 潘超	

Figure 4-2 Payment Voucher of Dadong Community, Huangtupo Team

云南省农村集体经济专用收款收据 N°: 01827407

日期: 云财票印第 09093 号 12-4

收款人: 鹿城镇富民社区中村一组

摘要: 楚雄市土地收购补偿金

摘要	金额									
	千	百	十	万	千	百	十	元	角	分
收征土地补偿挂帐利息	8	6	1	0	0	0	0	0	0	0
	8	6	1	0	0	0	0	0	0	0

计金额(大写): 仟捌佰陆拾壹万零仟伍佰零拾元零角零分

备注: 允许填写的收款项目包括财政补助资金、“一事一议”筹集的资金、国家征用土地的补偿费、扶贫救灾款、上级部门专项拨款。

经办人: 王晓芸

Figure 4-3 Payment Voucher of Fumin Community, Zhongcun Team I

云南省农村集体经济专用收款收据 N°: 01827408

日期: 云财票印第 09093 号 12-2

收款人: 鹿城镇富民社区中村一组

摘要: 楚雄市土地收购补偿金

摘要	金额									
	千	百	十	万	千	百	十	元	角	分
收征土地补偿挂帐利息	1	5	0	2	0	0	0	0	0	0
	1	5	0	2	0	0	0	0	0	0

计金额(大写): 壹仟伍佰零贰万零仟零拾元零角零分

备注: 允许填写的收款项目包括财政补助资金、“一事一议”筹集的资金、国家征用土地的补偿费、扶贫救灾款、上级部门专项拨款。

经办人: 王晓芸

Figure 4-4 Payment Voucher of Fumin Community, Zhongcun Team II

4.1.2 Sample Survey on Villages Affected by Land Acquisition

The key point of monitoring of the current phase is also to carry out sample survey on the affected villages where land acquisition work is finished and carry out door-to-door survey to different types of affected population. In the current monitoring phase, the scope of sample survey was the Dongcun Team and Dongtun Village of Dadong Community where the land acquisition work was finished and the sampling percentage was 10%. Investigation shows that the per capita arable land is less than one mu after the land acquisition of the Project. Before land acquisition, these teams were near to the urban area of Chuxiong. Therefore, villagers were already dependent on working outside as the main income source. Most villagers expressed that the land acquisition this time would influence their income slightly. At present, 35.5% of labor forces in the village were engaged in their own business (construction, transportation, dining and small-size supermarkets, etc), 64% were working as migrant workers and the remaining 10% engaged in part-time jobs nearby. According to the officials of Dadong Community, it is very easy for local villagers to find a regular job with monthly salary between RMB 1,500 to RMB 3,000. For villagers engaged in odd-jobs, their daily salary can easily reach RMB 160 at the minimum, due to the sharp rising of labor cost in these years. Therefore, villagers said there is little land acquisition in the village and group in Chuxiong urban road project, and villagers mainly earn their income by working outside, so the land acquisition of project has little impact on the family living income.



Figure 4-5 Discussions between External Monitoring Group and Officials of Dadong Village

4.2 Monitoring on Resettlement for House Demolition

4.2.1 Progress for Housing Demolition and Resettlement

In this monitoring, houses of 36 residents of Qinglong Community have been demolished. Up to date, the resettled households are at the phase of temporary transition, and the government has completed the “three supplies and one leveling” at Yagjitun Community Site, and the land for the community site is under approval. It is anticipated that in Q3, the building of resettlement site foundation can be started.

Besides, the households to be relocated from Heiniba will have the houses demolished in the third quarter of this year. The siting of Heiniba Resettlement Site is underway, and the public’s opinions are being solicited.

4.3 Monitoring on the Resettlement Progress of Enterprises and Public Institutions

The demolition of residential houses affected by the Project hasn’t started yet as of the current monitoring phase. We will focus on the progress of residential house demolition and resettlement in the report of the next monitoring phase.

4.4 Assistance to Disadvantaged Groups

For affected people choosing resettlement by urban buildings, money, affordable houses and senior’s room (those choosing resettlement by land excluded), the government will provide living subsidy for 10 years at the rate of RMB 200/person/month. .People entitled to enjoy such subsidy shall be subject to those confirmed at the time of moving and resettlement and the starting and ending time of subsidy will be determined according to actual situation at the time of land acquisition, demolition and resettlement

Besides that, communities and villages affected by the Project have provided assistance to unemployed members of poverty-stricken families, especially disabled family with the only child, in 2015, and provided solutions for these families to go out of poverty. At the same time, the local government has strengthened publicity of the social security plan and the health insurance scheme and the payment work is facilitated, for the purpose to further expand the coverage of endowment insurance and health insurance. The community staffs have visited the retired people to check their families, life and body health and door-to-door service is provided to those in actual difficulties. Specific workers are appointed to visit the retired workers and poverty-stricken old CPC members and condolence payments are made. People living in poverty and difficulties are determined and all measures are tried to include them in the list of “household

living with the minimum living guarantee” and condolence payments are granted to them. Generally speaking, the local governments are attaching more and more emphasis to the life of disadvantaged groups and assistance is provided even though such people are not affected by the Project.

4.5 Infrastructure Restoration Monitoring

As of the current monitoring phase, some infrastructure facilities are being demolished. The recovery of infrastructure will be reflected in the report of the next monitoring phase.

4.6 Temporary Land Restoration Monitoring

As of the current monitoring phase, the Project hasn't actually carried out and thus no temporary land acquisition takes place. Attention will be paid to the progress and recovery of temporary land acquisition in the report of the next monitoring phase.

5. Monitoring on Resettlement Institutions

5.1. General Monitoring on Resettlement Institutions

Whether the land acquisition, demolition and resettlement work involved in the Project can be implemented strictly following the RAP depends greatly on the availability of a powerful resettlement institution. Knowledge gained by the external monitoring team on the Project field shows that the People’s Government of Chuxiong has set up an effective system for resettlement management from the upper to the bottom, all under the charge of leaders experienced of resettlement work. An effective set of rules and regulations is set up too.

5.2 Monitoring on Exact Resettlement Action Institutions

To strengthen the management of the Project, the People’s Government of Chuxiong has, subject to actual work needs, issued the *Notice by the People’s Government of Chuxiong to Adjust and Enlarge the ADB Loaned Construction Project* (CSZT [2014] No. 57) in 2014 which determines the upper-to-bottom management mode of the resettlement institutions. See Figure 5-1 for more details about the constituents and Table 5-1 about duties of each constituent.

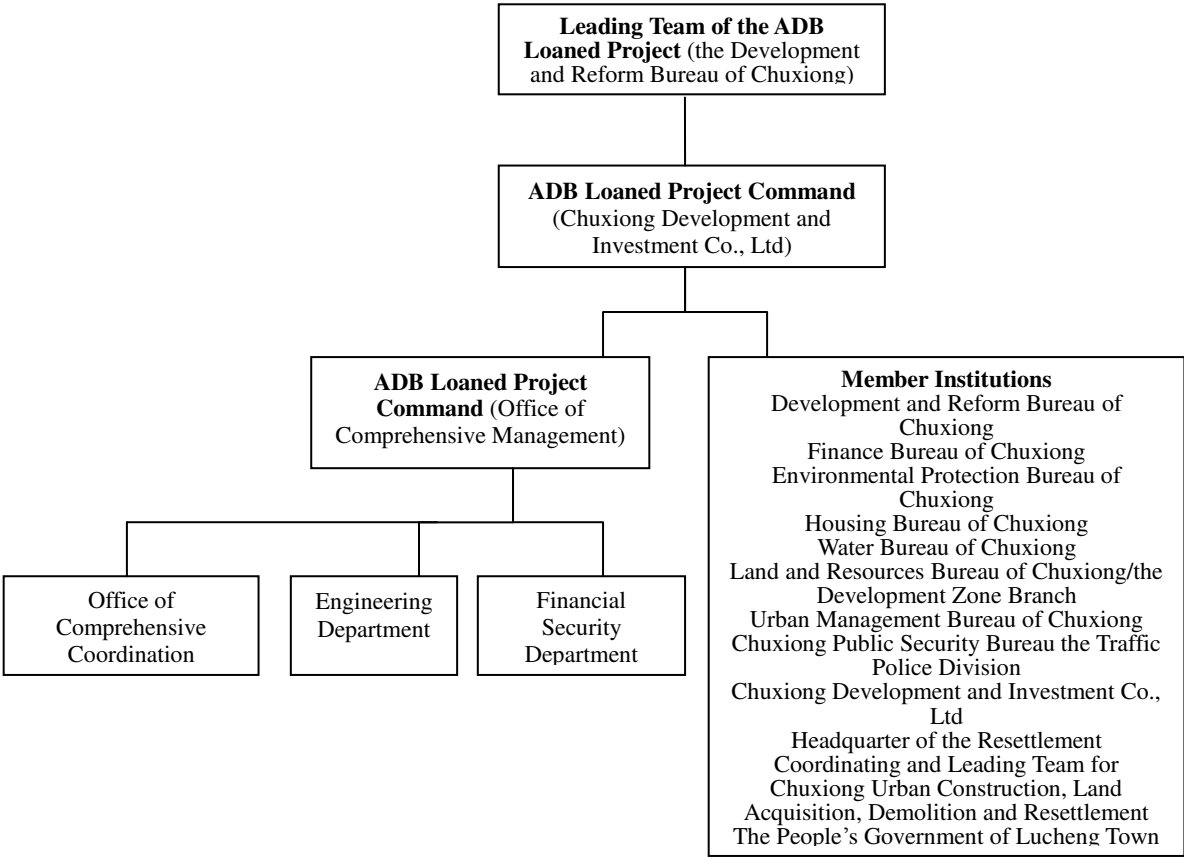


Figure 5-1 Structure of Organization for Chuxiong Road Project

Table 5-1 Organizations for Chuxiong Road Project and Their Duties

Organization	Main Duties	Acted by/Title	Lead by
Leading Team of the ADB Loaned Construction Project	Organize to hold meetings concerning the ADB loaned construction project; facilitate and check effects and implementation of decisions made by the leading team and related work meetings; prepared significant reporting materials concerning the Project.	Mayor of the people's government of Chuxiong	Yang Zhonghua
Command for construction of the ADB loaned Project	Responsible for coordination, monitoring, management, arrangements, organizing and implementation of the Project	Chuxiong Development and Investment Co., Ltd/director	Sun Congxiang
Government of Lucheng Town	Responsible for ideological work to residents and villagers involved in the Project and resettlement of landless farmers; coordinate in land acquisition and demolition work.	Chief of the people's government of Lucheng Town/director	Sheng Xiwen
Villager committee	Participate in the survey on social, economic situation and impact of the Project; organize for public negotiation, publicize policies on land acquisition and demolition; organize agricultural and non-agricultural production and resettlement activities; report the opinions and suggestions of affected residents/villagers to the superior authority; provide assistance to poverty-stricken households involved in the Project	Directors of the village committees	Several

5.3 Measures to Strengthen Capability of Institutions

While setting up complete resettlement institutions, training to villagers/residents/staffs involved in the resettlement work is required for the purpose of smooth implementation of the resettlement work. The training plan will be organized and implemented by the ADB Office of Chuxiong and the leading team of the ADB Loaned Project of Chuxiong. Following measures will be taken to make perfect the capability of resettlement institutions:

- A. Clearly define the scope of responsibility and duty of resettlement institutions at all levels; the resettlement institutions are made up various professional staffs and administrative officers, such staffs and officers shall possess related professional skills and management capability;
- B. Main staff members of organizations at all levels shall be organized to take part in professional training, to understand domestic resettlement policies and relevant requirements of ADB to improve professional skills and abilities to deal with policy-related issues;
- C. Give full guarantee for funds and equipment;
- D. Establish database and strengthen information feedback, so as to make unimpeded access to information from top to bottom and vice versa, and major issues are resolved according to the decision made by leading group;
- E. Strengthen reporting system and internal monitoring, and solve problems in an

timely manner;

F. Establish external monitoring and evaluation mechanism, and warning system.

As of the current monitoring phase, the resettlement institutions of the Project have carried out several times of trainings in the early stage of the Project. See Table 5-2 for more details.

Table 5-1 Business Training Schedule of the Resettlement Institutions

S/N	Training Organized by	Contents of Training	Trainee	Time of Training
1	Office of the leading team for ADB loaned Project of Chuxiong	Study the experience of other provinces on resettlement work of ADB loaned projects	Members of the Project Team, leaders of related departments	2013--2014
2	Command for construction of the ADB loaned Project of Chuxiong	Resettlement policies and principles of Asian Development Bank	Members of the Project Team, leaders of related departments	December 2013
3	Command for construction of the ADB loaned Project of Chuxiong	Procedures and policies of resettlement work of the ADB loaned projects	Resettlement office of sub-districts (towns) and village-level resettlement teams	December 2013
4	Command for construction of the ADB loaned Project of Chuxiong	Land acquisition and demolition policies of China and the difference of such policies with those of the Asian Development Bank	Members of the Project Team, leaders of related departments, staffs	January 2014
5	Command for construction of the ADB loaned Project of Chuxiong	Computer operation and data processing	Members of the Project Team, leaders of related departments, staffs	March 2014
6	Command for construction of the ADB loaned Project of Chuxiong	Policies and practices of resettlement work	Resettlement office of sub-districts (towns) and village-level resettlement teams	January 2014
7	Command for construction of the ADB loaned Project of Chuxiong	Lessons from resettlement work of similar projects	Staffs of the Project Office	January 2015
8	Command for construction of the ADB loaned Project of Chuxiong	ADB security policies and practices of land requisition and demolition	Staff of the Project Office, representatives of the Owner, related department directors and workers	August 2015

6. Public Participation & Grievance Channels

6.1 Public Participation

The public participation of the Project respectively embodies in: ① the public participation during Project preparation period; ② the public participation during Project implementation period. The standards to assess the public participation are: ① the awareness degree of the public of the policies of relocation resettlement. The more timely and detailed the public knows about the policies, the higher the degree of public participation is proved to be; ② the right of speech of the public towards policies of relocation resettlement. The more rights the public has to criticize and comment on the policies, the higher the degree of public participation is proved to be. The contents and ways of public participation mainly embody in the following aspects: ① negotiations; ② notices to reassure the public (publicize the policies through medias, notices etc.); ③ participation in substance loss investigation and social economy investigation; ④ appraisal of compensation standards; ⑤ selection of the site of building; ⑥ discussion of different resettlement modes and making free choice; ⑦ selection of employment; ⑧ comments on the spending of the land acquisition compensations.

Lucheng Town, the place where the Project is located, is near to Chuxiong's suburb, and residents here show relatively strong consciousness about their rights and interests and they are positive in safeguarding and struggling for their rights and interests. As a result, the degree of public participation of the Project is quite high. It is learned by the monitoring team that at the early stage of the Project, Dadong Community, Qinglong Community and Fumin Community under the jurisdiction of Lucheng Town where the Project is located have used the internet, TV, newspaper and other media tools to publicize the significance and function of the Project. Besides the motivation meeting for land acquisition and demolition, the compensation standards and compensation fund appropriation are all announced at the entry of the affected villages so that to make such information known to all affected people.

As of the current monitoring phase, public participation is represented mainly as the participation of affected people in the early preparatory stage of the Project. In the early stage of land acquisition, the affected communities have all for many times held the motivation meetings to publicize the procedures, amount and time of land acquisition and demolition, the compensation standards and the allocation proposals and final use of the compensation funds, the recovery of life and production, the employment-based resettlement, the selection and distribution of resettlement houses and other contents attracting extensive attention. These meetings have, while enabling the affected people to understand the Project sufficiently, collected and sorted out opinions and suggestions of the affected people on land acquisition, demolition and compensation. Figures 6-1 and 6-2 are the sign-in records of the motivation meetings on land acquisition of the Project.

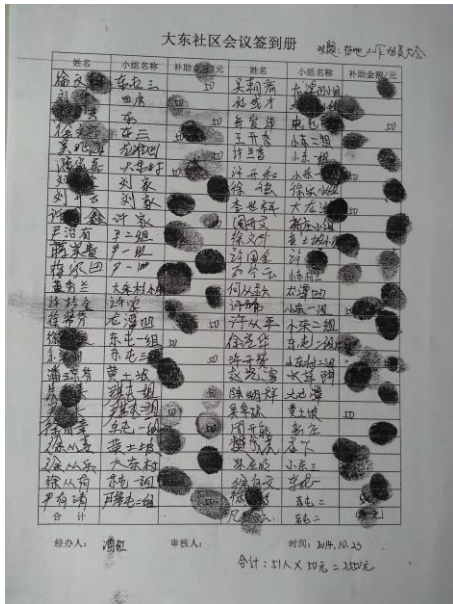


Figure 6-1: Sign-in Record of the Motivation Meeting for Land Acquisition of Dadong Community



Picture 6-2: Sign-in Record of the Motivation Meeting for Land Acquisition of Fumin Community

In addition, demolition of the rural residential houses starts in this phase. What deserves special mention is that both the Chuxiong city government and the Lucheng town government have started planning the resettlement land early before the demolition. They firstly determined the site for resettlement by the way of public participation and then carried out demolition.

It is learned by the monitoring team that the Yangjitun Team has, during demolition, organized negotiation with the families to be demolished repeatedly to discuss about the site for resettlement, compensations and related allocation. Thanks to the sufficient negotiation with the affected people and taking their advices and suggestions, the affected people are universally satisfied. In this monitoring, local government is carrying out the mobilization meeting prior to the demolition of Heiniba Village, and the resettlement policies and siting has been communicated to the public. Opinions on the location of the resettlement sites have been solicited from the public for many times.

6.2 Grievance Channels

Public participation is encouraged in the whole implementation process of the Project. To guarantee the successful construction of the Project and implementation of land acquisition, transparent and effective complaint and grievance channels are set up for the Project. In case of any difficulty in life and production, or any questions or complaints about the compensation and resettlement, during the land acquisition, demolition and resettlement process, the affected people can reflect such difficulties, questions and complaints by the following ways: 1) report to the Project command or the coordinating team; (2) report to the complaint division of local government; (3) report to the external independent monitoring institution; (4) file a lawsuit; (5) start the accountability system of the Asian Development Bank;

- 1) Report to the leading team of the Project Command: The leading team of the Project is responsible for land acquisition and resettlement of the Project and thus they are responsible to solve all problems taking place during the land acquisition, demolition and resettlement process. It is learned by the monitoring team that

the headquarter of the leading team for land acquisition, demolition and resettlement of Chuxiong has set up the land acquisition and demolition division equipped with more than 2 full-time staffs. Name and telephone of these full-time staffs are communicated to all affected villages. This team, undertaking the land acquisition and resettlement work of the Project on behalf of local government, is liable to solve all problems taking place during the land acquisition, demolition and resettlement process.

- 2) **Report to the complaint division of Lucheng government:** A complaint division is set up by the government of Lucheng town to solve complaints by the general public. The 10th day and the 20th day of each month are the day when the division leader to receive complaint public in person. On these two days, a division-level leader of the party/committee team of the town will be assigned to work in the complaint center; the 20th day of each month is the complaint-receiving day of the village (community) and one of the village (community) committee general secretary, director, deputy secretary and deputy director will be assigned to work in the complaint station. Next, the visiting and interviewing system of division-level leaders to the general publics will be strictly implemented. A visiting work team made up of the division-level member of the party committee leaders of the town and the general secretary, director, deputy secretary and deputy director of the village (community) committee will visit the place where difficulties, problems, conflicts and complaints are gathered so that to listen to voices of the public and help solve problems and difficulties of the public. Furthermore, the complaint authorities have also publicized their contact information for the public to report problems via telephone and e-mail and such reported problems will be replied and solved in time.
- 3) **Report to the external independent monitoring institution:** The members of the external independent monitoring organization came to the construction sites and conducted comprehensive surveys on the affected villages/groups and individuals once every half year during implementation of the Project. In virtue of the special nature of the external independent monitoring organization, many leaders from local governments and displaced persons preferred to trust this organization and report any problems to the personnel of this organization. The monitoring team can, during the door-to-door interviewing, collect the complaints and report such complaints to the Project headquarters and local government and take such complaints as the focus for future tracking report in the coming monitoring phases.
- 4) **File a lawsuit:** The affected people can, if the above measures are turned out ineffective to solve his/her problems, apply to the competent administration authority for arbitration according to the *Administrative Litigation Act of the People's Republic of China*, or file a civil lawsuit at the civil court according to the civil procedures if he/she is unsatisfactory at the arbitrament after receiving such arbitrament.
- 5) **Start the accountability system of the Asian Development Bank:** The affected people can, if he/she is unsatisfactory at the solution to his/her problems, login in the website of the Asian Development Bank to call directly related departments of the Asian Development Bank to handle. Website of the Asian Development Bank: <http://www.adb.org/Accountability-Mechanism/default.asp>

7. Conclusions, Problems and Suggestions

7.1 Conclusions on Monitoring Assessment

The road engineering sub-project of the Project has started. Land acquisition and demolition involved in the Project are basically carried out in order according to the schedule and procedures. Up to the field survey by the external resettlement monitoring team in March 2017, all of the proposed land to be requisitioned by the Project is requisitioned, while 52% of the planned demolition work of residential houses has been finished and the demolition of enterprises hasn't started yet. At the same time, land requisition and resettlement of the affected people are being carried out in order. As for land requisition, all the affected people have signed the land requisition and compensation agreement and the land compensation fund and resettlement subsidy are granted and appropriated to the final villages, while compensation for crops and ground appurtenant are paid to the exact affected people. As for demolition, the resettlement site for the 36 families with their houses being demolished in Yangjitun Village has finished the "three-supplies and one-leveling work", and the foundation building is in progress. Implemented resettlement work up to now proves that, thanks to the careful early preparation for resettlement, the resettlement action plan has been prepared rather feasibly, compensation standards have been made reasonably and resettlement measures have been implemented. Moreover, due to the extensive public participation and active work of the resettlement authorities, all the resettlement actions have been taken strictly according to the resettlement action plan and no severe problems appear. Conclusions of monitoring are as follows:

- 1) In accordance with the requirements of the interim adjustment projects raised by the ADB delegation in September 2016, it is agreed to cancel Lot 2 of road No. 17 (Contract No. CCX5) and the purchase of urban waste management equipment (Contract No. ECX2-2). At present, the project proposed to be cancelled is pending for further confirmation and approval by ADB. Due to the redefined content of the project implementation, the scope and quantity of the affected physical objects and the quantity specified in the RAP has been reduced;
- 2) The household survey conducted among villages where land acquisition is finished shows that the standards of compensation for land acquisition and resettlement are no less than those stipulated in the resettlement action plan. The documents following which the actual compensation is made have no difference with those listed in the RAP.
- 3) It is found in the current monitoring phase that the house demolition work of the Project was pushed forward very slowly. In addition to the shortage of supporting fund, the higher expectation of affected population on the compensation for demolition acts another factor contributing to the slow progress of demolition. In this phase of monitoring, due to the cancellation of Lot 2 of road No. 17 which originally involved a large amount of demolition work, great progress has been made in the demolition. Up to date, 52% of the demolition work has been completed, and 48% of the residents will be relocated from Q3 2017. It is worth mentioning that the local government has actively carried out the resettlement planning and solicited the opinions from the public, in order to effectively shorten the transition time of the resettlement households.
- 4) As of the current monitoring phase, land compensation fees involved in the Project has been paid in time and no deduction or misappropriation by local

government is found. Thanks to the timely appropriation of compensation fees in full amount and the scientific consideration of compensations, the resettlement work is carried out smoothly and is widely praised by the local governments and affected people.

- 5) Resettlement organizations at all levels, especially that of the Lucheng Government, have conducted a great deal of careful work for resettlement and their work is greatly effective. The fine management is an organizational guarantee for the smooth running of the Project.

7.2 Work Arrangements for the Next Step

The monitoring team will attach great emphasis to following issues in the report of the coming monitoring phase:

- Engineering progress of the Project;
- Construction progress of the resettlement houses and whether the resettled households are satisfied at the same;
- Appropriation and payment of the resettlement fund for land acquisition and demolition;
- Track the recovery of life and production of landless households, the interim transition issues of the affected households and the construction progress of the resettlement houses;
- Public participation, grievance and complaints concerning the Project.