

Sri Lanka: Local Development Support Project (LDSP)

# Resettlement Policy Framework (RPF)

Ministry of Provincial Councils and Local Governments and Sports (MPCLGS)

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## Abbreviations

ACLG	Assistant Commissioner of Local Government
ARAP	Abbreviated Resettlement Action Plan
CBC	Community-Based Contracting
CBO	Community-Based Organization
CDD	Community Driven Development
CEA	Central Environmental Authority
CLG	Commissioner of Local Governments
DSD	Divisional Secretariat Division
EIA	Environmental Impact Assessment
EM	Entitlement Matrix
EMP	Environment Management Plan
ESMF	Environmental and Social Management Framework
GA	Government Agent
GND	Grama Niladhari Division
GoSL	Government of Sri Lanka
LA	Local Authority
LAA	Land Acquisition Act
LAR	Land Acquisition Regulation
LKR	Sri Lankan Rupees
MC	Municipal Council
M&E	Monitoring and Evaluation
MTR	Mid-term Review
NEA	National Environment Act
NELSIP	North East Local Services Improvement Project
NGO	Non-Governmental Organization
NIRP	National Involuntary Resettlement Policy
PCU	Project Coordination Unit
PIU	Project Implementing Unit
PS	Pradeshiya Sabha
RAP	Resettlement Action Plan
RPF	Resettlement Policy Framework

# Executive Summary

## Project Description

The Local Development Support Project (LDSP) aims to strengthen local authorities capabilities to deliver services to communities in a responsive and accountable manner, and to support economic infrastructure development in participating provinces. The Project components include:

Component 1: Strengthening Local Government Planning Systems (US\$1.5 million). This component will finance preparation and updating of LAPDPs by LAs with the active engagement of communities.

Component 2: Improving Local Services and Economic Infrastructure (USD\$86.65 million). This Component will finance delivery of local services and economic infrastructure by LAs and provinces in an accountable, equitable and effective manner. This will be achieved through two sub-components.

Sub-Component 2.1 Improving Local Service Delivery (US\$78.15 million). This subcomponent will finance fiscal transfers to qualifying LAs. These transfers will complement and expand prevailing GoSL transfers to LAs. It will include Basic and Performance Transfers.

Sub-Component 2.2 Economic Cluster Support (US\$8.5 million). This sub-component will finance identification and provision of infrastructure that supports local economic development.

Component 3: Institutional Development (US\$3.69 million). This component will finance (i) information and awareness campaigns; (ii) institutional development and capacity building of LAs; (iii) training of trainer's (TOT) program for SLIG; (iv) development of an M&E/MIS system<sup>1</sup> using Smart mobile technology; v) technical assistance, training and capacity development of the MPCLGS and the Finance Commission.

Component 4: Project Management (US\$ 8.4million): This component will finance two sub-components: (i) Project Management and (ii) Audits.

Component 5: Contingent Emergency Response Component (CERC; US\$0.0 million).

The key implementing body at the national level will be the Ministry of Provincial Councils and Local Governments and Sports (MPCLGS) which will establish a Project Coordination Office (PCU) that will work in close connection with the Project Implementation Units (PIUs) at the provincial level which will function under the administration of the Commissioner of Local Governments (CLGs). The participating Local Authorities (LA) will be responsible for executing the designated sub project activities at the local level.

## Potential Project Impacts

The project is expected to benefit around 5.2 million people in the Northern, Eastern, North Central and Uva Provinces; four geographical areas characterized by high absolute poverty headcounts. Project activities will focus on community development through participation and collective ownership, enhanced local government service delivery, and public economic infrastructure development for supporting the development of region specific value chains. The project is expected to lead to multiple social benefits

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<sup>1</sup> The introduction of a web-based monitoring system would replace the existing manual system of book keeping and accounting, asset mapping and management, data accumulation and preparation of analytical reports required at various levels of Provincial and Local Authority administration.

including, prioritization of the poor and vulnerable households and poorly served areas for intervention, participatory planning process which will empower communities to actively participate in development process, enhancing voice and agency of women and local community members, enabling communities to work closely with local authorities and hold them accountable for enhanced service delivery.

Despite these positive benefits, the Project may also cause adverse impacts depending on the locations and the nature of the activities to be carried out, especially under Component 2 of the project. In principle, involuntary resettlement will be avoided to the extent possible but some of these interventions might require land acquisition, whether in the form of private acquisition, transfer of state land, or voluntary land donation thus leading to loss of land, loss of assets, loss of sources of livelihoods, and restrictions on access to assets. Impacts from labor influx potentially leading to risk of social conflict, illicit behaviour, community dynamics, increased burden on and competition for public services, etc. and construction-related impacts leading to dust pollution, noise pollution, traffic congestion, etc., are also likely. Exclusionary practices and/or elite capture may occur both at the point of identification and delivery of service.

### **Resettlement Policy Framework**

The objective of the RPF is to ensure that the planned activities and related social assessment, management instruments and processes, will be implemented in compliance with the national legislation of Sri Lanka as well as the Bank's operational policy, OP 4.12 on Involuntary Resettlement, and are duly and diligently implemented to ensure social sustainability of the interventions under the Project. Specifically, the RPF sets out principles and guidelines to identify and assess the potential social impacts and risks, prepare mitigation plans as part of sub-project preparation, institutional arrangements and processes to be followed for the activities supported under the Project. This includes: (i) principles and procedures for screening and identifying impacts; (ii) the criterion and due diligence processes based on risks, including the provisions for entitlements and eligibility criteria; (ii) guidelines for preparing time-bound action plans to assure compliance; (iii) institutional arrangements for implementing resettlement action plans; (iv) guidance for public consultation process and disclosure of safeguard documents; (v) mechanisms for grievance redress, monitoring and evaluation of process and outcomes; and (vi) responsibilities of the GoSL and WB in relation to the preparation, implementation and progress review of social safeguards documents for the various activities supported in the LAPDPs through the basic transfers and performance transfers, as well as the economic infrastructures prioritized under the economic cluster support. The RPF and the respective SIMPS will guide the PCU and PIUs to ensure that all sub-projects carried out will adopt appropriate safeguards management measures that are in line with the national legislation as well as the Bank's operational policies on social safeguards. A separate Environmental and Social Management Framework (ESMF) will be used to highlight various non-land related potential risks and impacts and necessary tools for managing them that may generate social risks and vulnerabilities during project implementation.

### **Policy and Regulatory Framework on Land Acquisition and Involuntary Settlement**

Sri Lanka's legal framework for safeguards consists of Acts, Laws and Policies governing development induced land acquisitions and resettlement impacts. The Land Acquisition Act (LAA) 1950 permits acquisition of private lands for public purposes, paying compensation and grievance redress. It does not address resettlement issues, including impacts on non-titleholders. The National Involuntary Resettlement Policy (NIRP) of 2001 provides for addressing resettlement and rehabilitation issues including payment of compensation at replacement cost, while the Land Acquisition Regulations of 2008 incorporate NIRP principles and set out procedures, including payment of compensation based on market value for land, structures and crops affected by the project. Accordingly, this RPF provides an Entitlement Matrix (EM) and specific guidelines to address mitigation measures in compliance with the Bank OP 4.12 (Involuntary Resettlement). Whereas the LAA will remain the main legal procedure for acquiring any private land

required for the Project, the Affected Persons (APs) and households will receive eligible compensation and resettlement benefits as per the EM irrespective of their title or occupancy status prior to losing shelter, business, assets, and incomes due to this Project.

### **Resettlement Planning and Safeguards Management**

For each activity selected under the LAPDPs or economic infrastructure, the screening of sub-projects will be carried out for assessing their potential social and environmental impacts. Screening of activities under the LAPDP will be carried out by the Community Development Officers (CDOs) and/or Technical Officer of the LAs and will be endorsed by the Secretary of the respective LA or the Municipal Commissioner of the Municipal Council. The SSRs and/or DDRs prepared on the basis of the screening will be attached to the sub-project proposal submitted to the respective Council [Annex III: Sample Social Screening Report]. The Project Appraisal Team (PAT) at the district level will approve the sub-project proposal, alongside the screening report, with concurrence from the District Development Committee and forward it to the PIU at the Provincial level. The Environment and Social Specialists at the PIU will verify the categorizations and endorse the screening reports. For the economic infrastructure subprojects, the CDO and/or the Environmental Officer at the PIU will carry out screening and the categorization of the economic infrastructure, and the accompanying reports will be endorsed by CLG. The Environmental and/or Social Specialist at the PCU will verify the categorization and endorse the screening report.

For any sub-projects that may cause significant resettlement impacts, a full-scale Social Impact Assessment (SIA) and a census survey will be carried out followed by a comprehensive Resettlement Action Plan (RAP) or an abbreviated RAP (ARAP); the latter in case of sub-projects that affect less than 200 persons. Both the full and abbreviated RAPs will ensure that compensation, rehabilitation, and relocation arrangements are planned and budgeted, and that they meet the agreed entitlements and policy measures outlined in the RPF. These A/RAP will be prepared in addition to the Social Impact Management Plan (SIMP)/Environment Management Plan (EMP) prepared for addressing non-land related social impacts. If a sub-project has no adverse impact, it will be clearly identified in the Social Screening Report (SSR) or in the respective due diligence report (DDR). Summaries of all SSRs, Social DDRs, including sample reports will be shared with the Bank on a periodic basis. All abbreviated and full RAPs will be submitted to the World Bank for review and clearance prior to site possession, physical or economic displacement and the start of any civil works.

### **Stakeholder Consultation and Information Disclosure**

A series of stakeholder consultations will be carried out during the design, planning, implementation and monitoring stages of the Project. A communication and awareness campaign will be carried out to disseminate information to the public through public media, public notice boards, newspapers, leaflets, flyers, workshops and conferences, and door to door visits. A Public Information Booklet (PIB) will be delivered to the project stakeholders and local level agencies to raise awareness of the Project and the opportunities to participate. All safeguards documents, including monitoring reports, will be disclosed locally after obtaining clearance from the Bank and in the World Bank's external website.

### **Grievance Redress Mechanism**

The Grievance Redress Mechanism (GRM) for the Project is a multi-tiered system comprising: LA-level Grievance Mechanism, District-level Grievance Redress Committee (DGRC), Provincial Grievance Redress Committee (PGRC), and National-level Grievance Redress Committee (NGRC). It is expected that this multi-tiered system will help resolve grievances at the lowest level, and hence reduce the incidence of expensive and time-consuming litigation. The existing Good Governance Resource Centers at the district level will be

responsible for recording and monitoring grievances, and the Project will include measures for further strengthening these centers. The various levels of the GRM will carry out their functions in a transparent manner, with full disclosure of relevant information in local languages. Records of the meetings (minutes), including a list of participants, will be prepared and distributed, if relevant.

### **Institutional Arrangements**

The MPCLGS together with its PCU will be the key implementing body of the project. There will be a dedicated Social Development Specialist and an Environmental Specialist at the PCU who will be responsible for planning, coordinating and monitoring safeguards performance during project implementation. In support of the PCU's functions, PIUs will be established at each of the four Provincial Councils which among others will have one Community Development Officer and one Environmental Officer. The Provincial level PIUs will be responsible for supporting project implementation, including coordinating, supporting, monitoring and supervising LAs on safeguards implementation. At the LA-level, the CDO and the Technical Officer will be responsible for safeguards management, including screening of projects identified under LADPDs, economic infrastructure, etc. Additional resources/support, if required, will be mobilized through consultant support for carrying out impact assessment, preparation of safeguards management plans, and external monitoring.

### **Monitoring & Evaluation**

At the LA level, the monitoring of safeguards compliance will be carried out on a routine basis by the Social Audit Committees (SAC). If any problems are detected, the LAs and the PIUs will take remedial measures and follow up with SAC on a regular basis. In addition, the Provincial-level PIUs will carry out implementation progress review on a bi-annual basis which will involve reviewing all forms of SAC monitoring reports maintained at the LA, and field visit of random sample of LA sub projects under block grant facility, and all the economic infrastructure sub-projects. Any issues not resolved at the LA, the district and provincial levels will be reported to the PCU for action. The PCU-level Environment and Social Development Specialist will conduct an annual review of safeguards, which will include a review of all EIA, SSR, SIA, DDR, RAP documents, and undertake field visits to verify whether these were done according to the ESMF and the RPF guidelines. The PCU will also assign/contract Auditor General Department or Chartered Accounting Firms to conduct annual Performance Audit that will include financial management, procurement and safeguard compliance. Finally, an independent third-part monitoring will be commissioned at the mid-term and project completion.

### **Cost Estimation and Budget**

Budgetary provisions will be made available for each sub-project to manage and implement the appropriate safeguards management measures and will be incorporated in the cost estimates for safeguards management. Costs associated with construction related impacts, including those mentioned in the Environmental Management Plan (EMP) and the Social Impact Mitigation Plan (SIMP) will be the responsibility of the contractor.



# 1. Background

1. Sri Lanka is a Lower Middle-Income country with a GDP per capita of USD 4,073 (2017) and a total population of 21.4 million people. Following 30 years of civil war that ended in 2009, Sri Lanka's economy grew at an average 5.8 percent during the period of 2010-2017, reflecting a peace dividend and a determined policy thrust towards reconstruction and growth; although there were some signs of a slowdown in the last few years. The economy is transitioning from a predominantly rural-based economy towards a more urbanized economy oriented around manufacturing and services. Economic growth has contributed to the decline in the national poverty headcount ratio from 15.3 percent in 2006/07 to 4.1 percent in 2016.

2. Despite a strong track record in poverty reduction, pockets of poverty and inequality remain concentrated in certain geographical areas. This project targets four provinces, namely Northern, Eastern Uva and North Central provinces, because together, they account for one-third of the nation's poor<sup>2</sup>. Relative to a national average poverty rate of 4.1% in 2016, poverty is highly concentrated in specific districts in the Northern and Eastern Provinces, and well above average in Uva Province. The poorest districts in the country belong to the Northern and Eastern Provinces: Mullaitivu (12.7%), Killinochchi (18.2%), Batticaloa (11.3%), Trincomalee (10%) and Jaffna (7.7%). Two districts in Uva province have a poverty rate of 6.5% while two districts in the North-Central province, Anuradhapura and Polonnaruwa, which also experienced some spillover impacts of the conflict, register high poverty rates of 3.8% and 2.2% respectively.

3. Institutionally, Sri Lanka has a bifurcated local administration and service delivery system. The devolved local government system comprises of 335 elected LAs including 271 Pradeshiya Sabhas (PS), 41 Urban Councils (UC) and 23 Municipal Councils (MC). These fall institutionally and legally under the Provincial administration. The decentralized system of public administration comprises of a three-tier structure of vertically integrated, deconcentrated national government administrations at District, Division and Grama Niladhari (GN) levels. This system falls under the Ministry of Public Administration and is headed by officers appointed by the central government.

4. The dual system of government poses challenges to effective and equitable local service delivery in Sri Lanka. Though the 13<sup>th</sup> Constitutional Amendment has demarcated the role of the Province, unclear and overlapping service delivery functions and structures between the decentralized administrative units and the devolved governance units, de facto controls and reporting lines and skewed resource allocations, continue to restrict the subnational governments in Sri Lanka. The LAs, although closer to the communities they serve, have less capacity and limited funding to respond to the needs of their constituents. They are characterized by low levels of development expenditures, including the absence of a predictable and rational intergovernmental fiscal transfer system and low levels of own source revenues. They are also constrained by limited capacity and weak administrative and management systems. These binding constraints limit the ability of LAs to provide the services and economic opportunities sought by local residents.

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<sup>2</sup> Source: DCS, and WB staff calculations using HIES 2016

## 2. Project Description

5. The Government of Sri Lanka (GOSL) with funding support from the World Bank is implementing the Local Development Support Project. The objective of the LDSP is to strengthen local authorities capabilities to deliver services to communities in a responsive and accountable manner, and to support economic infrastructure development in participating provinces.

These objectives will be achieved through the following project components:

6. **Component 1: Strengthening Local Government Planning Systems (US\$1.5 million).** This component will finance preparation and updating of LAPDPs by LAs with the active engagement of communities. Consultations will be undertaken at the village and ward Levels to identify the needs and priorities of communities. Community plans will be aggregated at the LA-level and synergized with sector plans of ministries to inform the formulation of the LAPDPs. Final updated LAPDPs will be approved by the LA Councils. They will include infrastructure as well as social and economic services prioritized by the community. LAPDPs will also provide the basis for selecting sub-projects to be implemented by LAs under Component 2.1 of the project. Formulation of LAPDPs are expected to enhance the accountability of LAs to their constituents and strengthen the public expenditure planning process.

7. **Component 2: Improving Local Services and Economic Infrastructure (USD\$86.65 million).** This Component will finance delivery of local services and economic infrastructure by LAs and provinces in an accountable, equitable and effective manner. This will be achieved through two sub-components.

8. Sub-Component 2.1 Improving Local Service Delivery (US\$78.15 million). This subcomponent will finance fiscal transfers to qualifying LAs. These transfers will complement and expand prevailing GoSL transfers to LAs. It will include Basic and Performance Transfers.

9. Basic Transfers (BT, US\$39.50 million): These Transfers are based on the principle of equalization and aimed at ensuring equitable distribution of intergovernmental fiscal resources across provinces and LAs. A two-step process of determining the amounts, based on agreed formulas, will be employed for distribution of BTs, first at the provincial level and then at the LA level. BTs will be channeled as grants through the Provincial Treasury to LAs in two tranches, in March and September of each year. Allocations per LA will be based on i) a floor allocation to ensure that all LAs get a minimum amount; and ii) a fiscal formula that considers the needs, costs and potential across LAs. To qualify for BTs, LAs will have to meet a set of criteria, including timely reporting on expenditures, clearing pending annual audits, and ensuring participation of citizens.

10. Performance Transfers (PTs, US\$38.65 million): PTs will be provided to qualifying LAs to incentivize them to improve their institutional performance and service delivery outcomes. PTs will be channeled through the Provincial Treasury and distributed in September of each year based on the performance assessments undertaken for the previous year. PTs will start from year two, while year one of the project will be used to benchmark LA capacity and performance standards and put in place a performance monitoring and assessment system. LAs have been categorized into three capacity tiers based on institutional assessments. LA performance will be assessed annually based on achievement of indicators relevant to each tier. The project will build LA capacity under Component 1 and 2 giving LAs an opportunity to graduate to the next capacity level upon good performance. Co-financing grant from the

European Union in the amount of approximately US\$ 23.65 million equivalent is anticipated to finance the PTs.

11. **Sub-Component 2.2 Economic Cluster Support (US\$8.5 million).** This sub-component will finance identification and provision of infrastructure that supports local economic development. MPCLGS will allocate funds to participating provinces to implement this component. The provinces will work with LAs, businesses and other stakeholders to analyze potential economic clusters or value chains that can benefit from infrastructure investments that cut across administrative boundaries of several LAs. Based on the economic cluster and feasibility analysis, financial resources will be allocated for prioritized economic infrastructure. Investments will be selected based on three basic criteria: i) support or advance economic activity in a selected cluster/value chain; ii) boost or catalyze economic activities of local residents; and iii) activities that result in greater climate resilience, e.g. reduced flooding, improved accessibility, reliable water supply, ensuring continued economic and livelihood activities, preserving perishable food item etc., to help project beneficiaries adapt to climate change impacts.

12. **Component 3: Institutional Development (US\$3.69 million).** This component will finance: (i) information and awareness campaigns; (ii) institutional development and capacity building of LAs; (iii) training of trainer's (TOT) program for SLILG, MDTU and newly elected ward councilors in participatory approaches, resource and asset mapping, local and area based planning, public expenditure and financial management; (iv) development of an M&E/MIS system<sup>3</sup> using smart mobile technology; v) technical assistance, training and capacity development of the MPCLGS and the Finance Commission; vi) improve and strengthen the capacity and facilities of SLILG; and vii) computerization of accounting software, training, capacity building and rollout of the new accounting system in LAs.

13. **Component 4: Project Management (US\$ 8.4million).** This component will finance two sub-components: (i) Project Management and (ii) Audits.

14. Sub-Component 4.1: Project Management. This sub-component will finance project management and implementation activities of the Project Coordination Unit (PCU) established in MPCLGS and Project Implementation Units (PIU) established in the office of the Commissioner of Local Governments (CLGs) in participating PCs.

15. Sub-Component 4.2: Audits. This subcomponent will finance independent performance assessment and any other capacity building interventions that are required to strengthen project external audit, LA statutory audit and internal audit that will monitor LA fiduciary compliance and performance.

16. **Component 5: Contingent Emergency Response Component (CERC; US\$0.0 million).** This component will allow for rapid reallocation of Project proceeds in the event of a natural or man-made disaster or crisis that has caused or is likely to imminently cause a major adverse economic and/or social impact. To trigger this component, the GoSL would need to declare an emergency, a state of a disaster or provide a statement of fact justifying the request for the activation of the use of emergency funding. The detailed criteria and process for triggering and utilizing the CERC will be outlined in the Project Operations Manual (POM).

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1. <sup>3</sup> The introduction of a web-based monitoring system would replace the existing manual system of book keeping and accounting, asset mapping and management, data accumulation and preparation of analytical reports required at various levels of Provincial and Local Authority administration.

### 3. Brief Profile of Participating Provinces

#### 3.1 Country Overview

17. Sri Lanka is an island of 62,705 Sq. km. in the Indian Ocean separated from South India by 28 km stretch of sea. At the Census of 2012, Sri Lanka recorded a total population of 20.4 Mn, growing annually at 1.1% (1981-2012). The population is largely rural (77.4%) while the urban and the estate population are 18.2% and 4.4% respectively. It is made up of 75% Sinhalese, 11% Sri Lanka Tamils, 4% Indian Tamils, 9% Sri Lankan Moors and 0.5% others. About 71% are Buddhists, 12.6% Hindus, 9.7% Islam, 6.7% Roman Catholics and 1.4% other Christians. All these groups live in all parts of the country although there are regional concentrations or majorities. Sri Lanka is a Lower Middle-Income country with a GDP per capita of USD 3,835 in 2016. Overall, poverty level of the country is 6.7%, and the rural sector contributes to 86.8% of total poverty. Rural poverty and estate poverty is almost four times and five times that of the urban sector respectively. In terms of unemployment, about 380,554 persons of Sri Lanka are unemployed. Youth unemployment is high, and it is much higher among women.

#### 3.2 Profile of the Participating Provinces

18. The project provinces include Northern Province (NP), Eastern Province (EP), North Central Province (NC), and Uva Province (UP) (See Figure 1 and Figure 2). The population of these provinces is largely rural, ranging from 75% in EP which is below the national average of 77% to 83% in NP. These provinces have no estate population unlike UP. The latter has a rural population of 81% and an estate population of 13%. Sex ratio of the above populations is 93% (NP), 94% (EP) and 95% (UP).

Figure 1: Map of Sri Lanka Showing Provinces

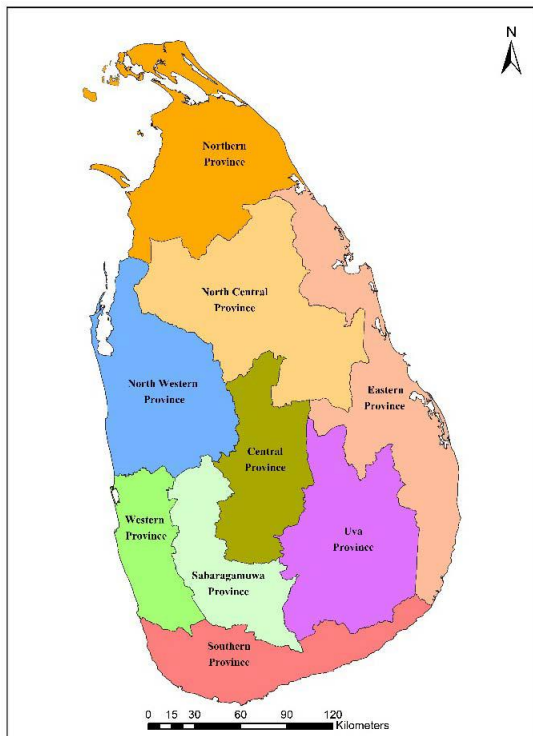
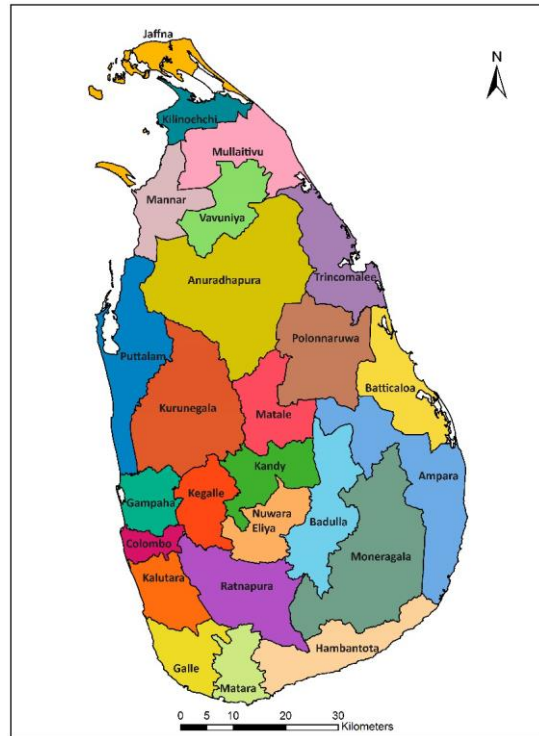


Figure 2: Administrative Districts of Sri Lanka



**Table 1: Incidence and Severity of Poverty in Participating Provinces and Districts**

Sri Lanka and Districts	Total Population 2012	Poverty Head Count Index %	No. of Poor Population '000	Contribution to Total Poverty %	Squared Poverty Gap Index %	National Poverty Ranking
<b>Sri Lanka</b>	20,359,439	6.7	1339	100	1.2	
<b>Provinces</b>						
<b>Northern Province</b>	1,061,315	10.9	167	8.5	2.1	3
<b>Eastern Province</b>	1,555,510	11	166	12.6	2.3	2
<b>Uva Province</b>	1,266,463	15.4	114	14.2	2.6	1

### 3.2.1 Northern Province

19. The Northern Province is located in the north of Sri Lanka and is surrounded by the Gulf of Mannar and Palk Bay to the west, Palk Strait to the north west, the Bay of Bengal to the north and east and the Eastern, North Central and North Western provinces to the south. The province is divided into two distinct geographic areas: Jaffna peninsula and the Vanni. Jaffna peninsula is irrigated by underground aquifers fed by wells whereas the Vanni has irrigation tanks fed by perennial rivers. The province has a number of lagoons, the largest being Jaffna Lagoon.

20. The Northern province's population was 1,058,762 in 2012, thus constituting 5.4% of Sri Lanka's total population. The majority of the population are Sri Lankan Tamil, with a minority Sri Lankan Moor and Sinhalese population. The population of the province, like that of the Eastern Province, was heavily affected by the civil war.

21. Majority of the people earn their livelihood as farmers, fishers and professionals in the civil and business sectors. Before the civil war, cement and chemical industries along fishing with fishing contributed significantly to the economy. Close to a third of the population is unemployed which is significantly higher than in other parts of Sri Lanka. In recent years, economic renewal has been significant with hospitals and schools as well as a cultural center and vocational training facility being built in Jaffna. Investments have also started to flow into an industries such chemical and cement factories, hotels, apparel factories, power plants and aquaculture farms.

22. In 2009 when the armed conflict ended, the GDP growth rate in the Northern Province was 12.6%, and it rose to 22.9% in 2010, and reached an all-time high of 25.9% in 2011/2012, sharing 4% of the national GDP. Substantial improvements in all the sectors – businesses, services, construction, transportation, telecommunication, electricity, manufacturing, tourism and hospitality industry, fishery and agricultural production – are visible. However, NP economy continues to rely heavily on agriculture. Agricultural sector, including home-gardening, fisheries and animal husbandry, is the main form of livelihood of the population. According to the District Secretariat, approximately 60 % of the population in NP is engaged in crop farming and over 45 % of the labour force directly depends on agriculture for their livelihood.

23. The Northern Province is divided into five administrative districts, 34 Divisional Secretary's Divisions (DS Divisions) and 421 Grama Niladhari Divisions (GN Divisions), 2304 villages served by 36 Local Authorities, 28 Pradeshiya Sabhas, five Urban Councils and one Municipal Council. Five districts make up

the NP, namely Jaffna, Mannar, Kilinochchi, Mulaitivu and Vavuniya. Northern Province (NP) has two distinct geographic areas: Jaffna peninsula and the Vanni. It covers an area of 8881 sq. km. that is equivalent to 13.22% of the total land area of the country to rank the second largest province. The population of NP is equivalent to 5.4% of Sri Lanka's total population. Five districts make up the NP, namely Jaffna, Mannar, Kilinochchi, Mulaitivu and Vavuniya. Population by broad age indicate that the working age population ranges from 61% to 62%, and the aging population ranges from 8% in EP to 12% in NP. Population by ethnicity shows that NP is mostly Tamil (94%) while EP and UP have a mixed population with Tamils in the majority in EP (39%) and Sinhalese in UP (81%).

### 3.2.2 Eastern Province

24. The province is surrounded by the Northern Province to the north, the Bay of Bengal to the east, the Southern Province to the south, and the Uva, Central and North Central provinces to the west. The Eastern Province is divided into 3 administrative districts, 45 Divisional Secretary's Divisions (DS Divisions) and 1,085 Grama Niladhari Divisions (GN Divisions).

25. The Eastern province's population was 1,551,381 in 2012. The province is the most diverse in Sri Lanka, both ethnically and religiously. The population of the province, like that of the Northern Province, was heavily affected by the civil war.

26. The Eastern Province has a primary agriculture based economy and is commonly known as the "Granary of Sri Lanka". It contributes 25% of national paddy production, 17% of national milk production and 21% of national fish production. Maize cultivation is expanding, large scale maize cultivation with hybrid seeds and contractual marketing has increased production significantly and it is targeted to produce 25 per cent of the country's maize requirement. The Industrial sector contributed 34% of the Province's GDP and export processing zones like the Trincomalee EPZ and Sampur Heavy Industrial Zone have been developed to boost the Industrial sector alongside the Trincomalee Harbour which is being developed for Break bulk, Bulk cargo and industrial activities including heavy industries. The province benefits from a large tourism industry with many seaside resorts and hotels situated mainly in lagoons as well as beaches. Historic sites and other natural attractions such as Pigeon Island, coral reefs contribute to the industry.

### 3.2.3 North Central Province

27. North Central Province has a population of 1,259,567 and a poverty head count of 3.3% compared to the national average of 4.1% in 2016. However, spill-over effects of the thirty years of civil war has undermined socio-economic progress of the population. This region is comprised of Anuradhapura and Polonnaruwa districts and covers 10,714 sq.km of land. It has 30 DS divisions, 997 GN divisions and 2888 villages served by 25 Pradeshiya Sabhas and one Municipal Council.

28. This province is largely known for their historical value as two former Sinhalese kingdoms in Sri Lanka, religious places of worship for the Buddhists, and the centuries old irrigated agricultural system.

29. At present, the regional economy is largely reliant on the services sector with 48.34% contributing to the gross domestic production whilst agriculture and industries contribute 30.4% and 21.42% respectively. The mean household income in the region falls short only by Rs. 1939 to the national average with Rs. 60,298. Unemployment level in 2016 has been 3.4% which is below the national average. Labour force participation in the region stood at 55.1% which is above the national average with 71.1% male and 37.2 female participation. Despite its relatively good performance on these macro-economic indicators

the province still contributes a meagre 5.8% to the country's GDP just above the much poorer regions of Northern, Eastern and Uva provinces.

### 3.2.4 Uva Province

30. Uva is the second least populated province in Sri Lanka only second to the North Central Province with 1,259,880 people living in the region. It is comprised of Badulla and Monaragala districts and has 26 DS divisions and 886 GN divisions governed by two Municipal councils and 18 Pradeshiya Sabhas.

31. In terms of poverty, Uva Province has the highest poverty incidence (15.4%), followed by EP (11%) and NP (10.9%). As indicated by SPGI, poverty is most severe in UP (2.6%) which ranks the first, followed by EP (2.3%) in the second and NP (2.1%) in the third position. However, monthly household income stood at Rs. 51,635 which is significantly higher than that of the Northern and Eastern Provinces. Uva continues maintain a predominantly agricultural economy with 45.7% of the active labour force occupied in the sector. The level of unemployment in the region stood at 4.6% which was only marginally higher than the national average. However, similar to other provinces it recorded a relatively higher level of youth unemployment which stood at 24.8% compared to the national average of 21.6%.

## 4. Potential Impacts of LDSP

32. **Positive Impacts:** The project is expected to benefit around 5.2 million people living in the Northern, North Central, Eastern and Uva Provinces. Project activities will focus on community development through participation and collective ownership, enhanced local government service delivery, and public economic infrastructure development for supporting the development of region specific value chains. Through the activities of local government, there is also a strong emphasis on trying to reach more vulnerable sections of the population, such as the extreme poor, women, women-headed households, war widows, youth, people with disabilities and the elderly. As such, the project will result in multiple positive social benefits. It will prioritize the poor and vulnerable households and poorly served areas for intervention. Sub-project activities and their respective locations will be identified through a process of participatory diagnosis of problems affecting development at the community or ward levels thus empowering communities to actively participate in a development process that utilizes and enhance the value of local assets to meet their needs.

33. The Project includes a variety of measures to support capacity building and mainstreaming of community level citizen engagement and social accountability. The preparation of Local Authority Participatory Development Plans (LAPDP) will facilitate greater community participation in the development process and allow community groups to identify their local assets that could be utilized for addressing their needs. The entire process will enable communities to work closely with the LAs and provincial authorities and hold them accountable for enhanced service delivery. In this regard, specific interventions are planned to support capacity building and mainstreaming community level citizen engagement and social accountability tools such as social audits, citizen scorecards, etc. The Project also includes a community monitoring mechanism, 'Participatory Tracking' (P-Tracking) for monitoring citizen participation, satisfaction, and outcome indicators. Further, a mobile app will be developed under the Project to support a GIS enhanced monitoring of sub-project implementation and beneficiary feedback (e.g., social audits, citizen scorecards, etc.) to monitor the performance of LAs, provide routine feedback

relating to the participatory planning process of LAs and monitor the impact of project interventions while also enhancing transparency and community ownership of project activities.

34. To enhance the voice and agency of women, the project has several interconnected strategies in place. At least 50% of newly elected women ward members will chair community consultations and will become important stakeholders in the LAPDP Planning process, to give women a stronger voice to influence local development processes and resource allocations. In addition, newly elected women ward councilors will be supported through capacity building initiatives, so they can be effective and influential in the local government body. These measures, as well as gender training for LA officials, should in turn ensure that a significant share of the local services demanded by women are increasingly reflected in the local plans and budgets. In this respect, one of the targets for LAs to qualify for the Performance Transfers is likely to be that at least 10-20% of the Basic transfers should be directed towards financing sub-projects or schemes prioritized and identified by women.

35. **Potential Adverse Impacts:** Despite these positive benefits, the Project may also cause adverse impacts on the communities depending on the locations and the nature of the activities to be carried out, especially under Component 2 of the project. Although large-scale resettlement impacts are not expected, the locational and sub-project attributes are yet to be determined during project implementation and they may trigger adverse impacts within the footprint of the respective interventions.

36. In principle, involuntary resettlement will be avoided to the extent possible but some of these interventions might require land acquisition, whether in the form of private acquisition, transfer of state land, or voluntary land donation thus leading to loss of land, loss of assets, loss of sources of livelihoods, and restrictions on access to assets. Impacts from labor influx potentially leading to risk of social conflict, illicit behaviour, community dynamics, increased burden on and competition for public services, etc. and construction-related impacts leading to dust pollution, noise pollution, traffic congestion, etc., that cause inconveniences to the general public, are also likely depending on the nature of activities included in the LAPDPs and the economic infrastructure development activities of the participating LAs. Subsequent resettlement outcomes may also, in particular, affect women, female-headed households, poor and other vulnerable groups. Similarly, in participatory planning sessions, concerns of the poor and vulnerable households may get undermined due to asymmetrical power relations that may surface during such sessions. Exclusionary practices and/or elite capture may occur both at the point of identification and delivery of services. As such, the end result may not address the local needs and concerns.

37. Based on these various potential risks and impacts, this RPF is focused primarily on the issues concerning World Bank's OP/BP 4.12 on Involuntary Resettlement. The RPF addresses the direct economic and social impacts that are caused by (a) the involuntary taking of land that results in: (i) relocation or loss of shelter; (ii) loss of assets or access to assets; or (iii) loss of income sources or means of livelihood, whether or not the affected persons must move to another location; or (b) the involuntary restriction of access to legally designated parks and protected areas resulting in adverse impacts on the livelihoods of the displaced persons. Management of social issues that do not result in land acquisition, and are associated with OP/BP 4.01, will be dealt with in the ESMF prepared separately under the Project<sup>4</sup>.

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<sup>4</sup> At this stage, details of sites, the specific nature of the sub-projects, and designs of the various infrastructure investments, are not available, hence site-specific environmental and social impact assessments cannot be



## 5. Purpose of the RPF

38. As mentioned above, most of the activities under the Project are focused on institutional strengthening, community empowerment and support for community economic infrastructure, that will generate both positive social and economic outcomes in the respective provinces. However, depending on the nature of activities covered under Components 2, few adverse social impacts can be expected. Since, at this stage, the exact nature and sites of the project interventions are not known, it is necessary to prepare a RPF that will guide the GOSL, provincial councils and local authorities in managing the risks associated with the interventions included in the LAPDPs, block grants and performance grants and the economic infrastructure development initiatives in order to scale up their positive impact.

39. World Bank's OP 4.12 on Involuntary Resettlement stipulates that: where possible involuntary resettlement must be avoided, or minimized, by exploring all viable alternatives to the existing project designs. However, where it is not possible to avoid such, resettlement activities should be designed, planned and executed as sustainable development programs. In the process, displaced persons should be meaningfully consulted and provided with opportunities to participate in the designing, planning and implementing stages of such programs. The newly resettled individuals/families should be provided with appropriate assistance to improve or at least restore their livelihoods and living standards in real terms, to pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher.<sup>5</sup>

40. As mentioned above, resettlement impacts, whether in the form of physical displacement (physical displacement (relocation or loss of shelter) or economic displacement (loss of assets or access to assets that may lead to loss of income or means of livelihood), will be avoided. However, in cases where land acquisition is unavoidable, the project will follow appropriate measures to ensure safeguards compliance in line with government legal framework and Bank policies as laid out in this RPF. These will include minimizing the impacts from land acquisition and compensation in accordance with the entitlement matrix included in this RPF [Annex IV: Entitlement Matrix for LSDP].

41. Based on these policy principles, the objective of the RPF is to ensure that the planned activities and related social assessment, management instruments and processes, will be implemented in compliance with the national legislation of Sri Lanka as well as the Bank's operational policy, OP 4.12 on Involuntary Resettlement, and are duly and diligently implemented to ensure social sustainability of the interventions under the Project.

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conducted. Further, the potential sub-projects is likely to cover a wider and extensive area of the three participating Provinces, and undertaken in a variety of ecological, social and political contexts.

<sup>5</sup> If the impacts include physical relocation, the resettlement plan is required to ensure that the displaced persons are: (i) provided assistance (such as moving allowances) during relocation; and (ii) provided with residential housing, or housing sites, or, as required, agricultural sites for which a combination of productive potential, locational advantages, and other factors is at least equivalent to the advantages of the old site.

42. Specifically, the RPF sets out principles and guidelines to identify and assess the potential social impacts and risks, prepare mitigation plans as part of sub-project preparation, institutional arrangements and processes to be followed for the activities supported under the Project. This includes: (i) principles and procedures for screening and identifying impacts; (ii) the criterion and due diligence processes based on risks, including the provisions for entitlements and eligibility criteria; (iii) guidelines for preparing time-bound action plans to assure compliance; (iv) institutional arrangements for implementing resettlement action plans; (v) guidance for public consultation process and disclosure of safeguard documents; (vi) mechanisms for grievance redress, monitoring and evaluation of process and outcomes; and (vii) responsibilities of the GoSL and WB in relation to the preparation, implementation and progress review of social safeguards documents for the various activities supported in the LAPDPs through the basic transfers and performance transfers, as well as the economic infrastructures prioritized under the economic cluster support.

## 6. Policy and Regulatory Framework on Land Acquisition and Involuntary Resettlement

### 6.1 National laws, regulations and policies

43. There are two broad types of land in Sri Lanka: private land and State land. Private land is governed by traditional systems of land ownership on which operative legal systems have been superimposed as and when any question of conveyance or dispute surfaces. State land is governed by the principal enactments dealing with alienation, transfer of development rights, and disposal. State land is vested in the Central Government, and the Provincial Councils have powers in respect of management of State land that has been transferred to them.

44. The most relevant legal instruments for this RPF include the Land Acquisition Act (LAA), the National Involuntary Resettlement Policy 2001 (NIRP), and the National Environment Act (NEA). The RPF will follow the principles and procedures embedded in these legislative enactments as well as the World Bank's safeguards policy requirements in the development of project-specific safeguards management plan.

#### 6.1.1 Land Acquisition Act, 1950

45. Land acquisition for public purposes is guided by the provisions and procedures outlined in the Land Acquisition Act No. 9 of 1950 (LAA). The LAA provides for compensation for lands and other fixed assets built and grown on them (structures, trees, orchards, and crops). It also provides for compensation for loss of income for those able to prove their income losses by documentary proof up to a maximum of average net profit for the three years immediately preceding the publication of section 7 notice under the LAA. The Ministry of Lands and Parliamentary Reforms is responsible for undertaking land acquisition, and the Valuation Department is responsible for valuation (See Table 2 for procedures relating to land acquisition in Sri Lanka).

46. One of the challenges relating to the LAA is that the onus to prove ownership or interest in, demonstrate clear title to, gather all information and submit a compensation claim in respect of, land to be acquired, is on the affected persons. Further, the law stipulates compensation only for the affected persons who are in possession of valid titles and such titles registered in the respective land registries. It does not recognize the rights of the non-title holders, such as squatters, who do not possess legal title to

the lands they live on or are make a living from. Therefore, there is no provision to mitigate the adverse impacts they suffer under the LAA.

**Table 2 Land Acquisition Process as per LAA**

No.	Stage and Activity/ Role/ Procedure	LAA Section
<b>1</b>	Stage 1. Investigation of the land; Acquisition Proposal Preparation; Obtaining Approval	2
<b>1.1</b>	Identification of suitable land after preliminary investigation.	2
<b>1.2</b>	Based on above investigation prepare proposal on prescribed format and forwarding land acquisition application to MLLD through the secretary of respective ministry	2
<b>1.3</b>	Recommendation to the minister seeking approval for land acquisition	2
<b>1.4</b>	Decision & direction from minister that land is required for public purpose & Notice be issued	2
<b>2</b>	Stage 2. Publication of 1st Notice and Preparation for Advanced Tracing	2
<b>2.1</b>	Publication of Section 2 Notice in the surrounding area	2
<b>2.2</b>	Ascertain suitability of land and prepare survey plan	2 (3)
<b>3</b>	Stage 3. Intention of Acquisition and Calling for Objections	4
<b>3.1</b>	Issue Section 4 Notice of Intention of Acquisition and inviting written objections from land owners / interested parties (within 14 days)	4
<b>3.2</b>	Inquiry into the objections and compilation of report together with recommendations; Submission of recommendation to the minister in charge of line ministry	4.4
<b>3.3</b>	Submit recommendation to the Minister of Lands and Land Development	4.5
<b>4</b>	Stage 4. Deciding to Acquire Land and Preparation of Preliminary Plan	5 & 6
<b>4.1</b>	Determination to acquire land and publication in the Gazette	4.5
<b>4.2</b>	Exhibition of Gazette Notification (Section 5 Notice) in public places the neighbourhood through <i>Grama Niadhari</i>	5
<b>4.3</b>	3. Land survey and preliminary plan (based on advance trace); Determination if land is State Land and certification	6
<b>5</b>	Step 5. Publication of Section 7 Notice, Inquiring into Claims for Ownership and Compensation, and Payment of Compensation	7 & 9
<b>5.1</b>	Publication of Section 7 Notice in newspapers and prominent places in the surrounding area calling for claims of ownership, interest and compensation, and send copy of the Notice to MLLD and Valuation Department	7
<b>5.2</b>	Conduct Section 9 Inquiry into the claims to determine ownership status and servitude (21 days after Section 7 Notice); Prepare summary; Fix new date (after minimum 14 days) if no one appears for inquiry	9
<b>6</b>	Step 6. Determination of Ownership Status and Request for Valuation	10.1.A
<b>6.1</b>	Issue Notice of Ownership to owners / claimants	10.1.A
<b>6.2</b>	Refer cases to District Court where dissatisfied claimants request (within 14 days)	10
<b>6.3</b>	Request to Chief Valuer for valuation (accompanied by copy of Section 7 Notice and summary of Section 9 inquiry)	10.1.A
<b>7</b>	Step 7. Award of Compensation, Payment of Compensation, and Appeal Process	17, 22, & 23
<b>7.1</b>	Determination of compensation entitled based on valuation report and issue Award Letter of Compensation	17

<b>7.2</b>	Appeal to Land Acquisition Board of Review, if unsatisfied with total amount of compensation (within 21 days of issuing award letter)	22& 23
<b>7.3</b>	Appeal to Supreme Court (if not satisfied with LABR decision)	
<b>8</b>	Step 8. Taking over Undisturbed of the Possession of Land to the State	38 & 38 A
<b>8.1</b>	Publish Ministerial Order in Gazette any time after Section 2 or Section 4 Notice is issued	38A
<b>8.2</b>	Issue Ministerial Order after paying compensation	38
<b>8.3</b>	Send letter by registered post to owner to hand over the possession within 2 weeks	42.2
<b>8.4</b>	Obtain order from Magistrate Court to take over land engage Fiscal Officer, if to hand over possession owner refuses	
<b>9</b>	Step 9. Revocation of Vesting Orders and Divesting of Land	39, 50(1), 39A
<b>9.1</b>	Publish Order in Gazette, newspapers & prominent places in the area, revoking vesting order	39, 50(1)
<b>9.2</b>	Issue Divesting Order (for land taken possession of)	39A
<b>10</b>	Stage 10. Vesting of Land	44
<b>10.1</b>	1. Issue vesting order <sup>6</sup> (certificate) to the institution that requested land	
<b>11</b>	Step 11. Registration of Land Acquired by the State	
<b>11.1</b>	1. Register land acquired by the State in the Land Registry	

#### 6.1.2 Land Acquisition Regulations, 2008

47. The Land Acquisition Regulations 2008 (LAR 2008), created under the Section 63(2)(f) of the LAA, came into effect on 17 March 2009. Several progressive provisions were introduced in the LAR 2008, including the provision of statutory payments of compensation for affected land at market rates, reconstruction cost of structure without depreciations, valuation for whole plot of land for determining proportional unit cost for the affected land parcel, business losses, relocation assistance. The LAR 2008 provisions for loss of income and other impacts which can be compensated on furnishing of other evidence in lieu of documentary evidence in proof of payment of income tax by the PAP. However, the LAR 2008 does not cover people who cannot produce evidence to claim compensation for loss of income.

48. The LAR 2008 provides for payment of compensation beyond 'market value' by incorporating compensation for injurious affection and severance (equivalent to the full cost of damage based on the market value of land acquired), and disturbances (based on the 'value to owner' of the property affected as per the written claims submitted by the PAP), permitting for reconstruction cost calculation without depreciation, and valuation for the whole plot of land for determining proportional unit cost for the affected land parcel, business losses, relocation assistance. It also provides for the PAPs to be entitled for a hearing before land is acquired. However, the compensation due to affected parties is to be exclusively determined by the Valuation Department. The regulations stipulate minimum time periods for specific tasks, elements, and the procedures for land acquisition.

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<sup>6</sup> Only possession of the required land is given under Vesting Order. Absolute ownership should be obtained through Commissioner General of Lands under the provisions of the State Land Ordinance.

### 6.1.3 National Involuntary Resettlement Policy (NIRP) 2001

49. The National Involuntary Resettlement Policy (NIRP) 2001 was approved by the Cabinet of Ministers to address the shortcomings of the LAA and treat PAPs in a fair and equitable manner. It called for a protective framework for the people who are displaced due to development projects to ensure their rights are respected and they are not impoverished or do not suffer unduly as a result of public or private project implementation. Through the NIRP, displaced persons are assured of a living standard comparable to that at the time of displacement.

50. The NIRP ensures that (i) PAPs are adequately compensated, relocated, and rehabilitated; (ii) delays in project implementation and cost overruns are reduced; and (iii) better community relations are restored. It also establishes a framework for project planning and implementation to meet international best practices in involuntary resettlement. The responsibility for reviewing and approving RAPs is vested with the Ministry of Lands and Parliamentary Reforms. The NIRP is yet to be adopted into the legislation. Implementing agencies are not obliged to apply the principles enshrined in the NIRP. Therefore, PAPs are unable to rely on the NIRP principles, as a matter of right, in case their land is being acquired. Full compliance requires the government to amend the existing laws. However, the NIRP is official and workable, and under conditions of political will, is capable of offering durable solutions and a way out of ethical and practical dilemmas in land acquisition and involuntary resettlement.

### 6.1.4 Other Laws and Policies Relating to Land Acquisition

51. In addition to the above laws and policies, there are several other legal instruments in Sri Lanka that address issues of land acquisition. These include:

- National Policy for the Payment of Compensation
- Land Acquisition Regulations 2013
- State Lands Act No. 13 of 1949
- State Lands (Recovery of Possession) Act No. 7 of 1979
- Land Development Ordinance No. 19 of 1935
- Prescription Ordinance No. 22 of 1971
- Law of Compensation for Improvements
- Temple and Devalagam Act
- National Environment Act No. 47 of 1980
- Buddhist Temporalities Ordinance No. 19 of 1931
- Land (Restrictions on Alienation) Act, No. 38 of 2014

## 6.2 Applicable World Bank Policies

52. The World Bank has ten Operational Policies (OPs) and Bank Procedures (BPs) concerning environmental and social issues, which together constitute the World Bank's 'Safeguards Policies.' All projects funded by World Bank must comply with these policies, if and when relevant. In the context of this Project, the World Bank's Policies OP/BP 4.01 on Environment Assessment, OP/BP 4.04 on Natural Habitats, OP/BP 4.11 on Physical Cultural Resources and OP/BP 4.12 on Involuntary Resettlement, have been triggered. All projects funded by the WB must comply with the Bank's social safeguards. This RPF specifically addresses impacts associated with OP/BP 4.12 on Involuntary Resettlement while the other impacts and the associated safeguards issues are included in the separate ESMF prepared under the Project.

### 6.2.1 Involuntary Resettlement Policy (OP/BP 4.12)

53. Involuntary resettlement covers situations where there are risks and impacts associated with loss of land, other assets, livelihood, or standard of living. The World Bank operational policies seek to: (a) avoid where feasible or minimize involuntary resettlement, exploring all viable alternative project designs; (b) if not feasible, carry out resettlement activities as sustainable development programmes that provide sufficient resources to enable displaced persons to share in project benefits; (c) ensure that the displaced persons are informed about their options and rights pertaining to resettlement; (d) meaningfully consult the displaced persons and provide them with opportunities to participate in the planning and implementation of resettlement programmes; (e) assist the displaced persons in their efforts to improve their standards of living or at least to restore them to pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher.

54. In situations where there are risks and impacts associated with the aforementioned losses, the Bank requires that the borrower prepares a Resettlement Plan or a Resettlement Policy Framework (RPF). The RPF, for projects of this nature where the sub-projects that have not been fully prepared could potentially have a negative effect on people's assets and livelihoods. Since some of the activities included under Components 2 and 3 of the Project are likely to involve land acquisition and involuntary resettlement, a decision has been taken to adopt a framework approach for the management of social impacts under this Project.

55. Accordingly, this RPF, sets out principles for safeguards management; procedures to screen and assess social impacts and prepare Resettlement Action Plan (RAP) [Annex V: Outline of Resettlement Action Plan, RAP] or Abbreviated Resettlement Action Plan (ARAP) [Annex VI: Outline of Abbreviated Resettlement Action Plan, ARAP] to mitigate the same; lays down entitlements with eligibility criteria for providing compensation and resettlement benefits; implementation arrangements necessary to implement the action plans to mitigate impacts; and a monitoring framework.

56. The required measures to address the impacts resulting from involuntary taking of land including: ensuring that the affected persons are informed about their options and rights pertaining to resettlement; consulted on and provided with technically and economically feasible resettlement alternatives and provided compensation at full replacement cost. Where the impacts include physical relocation, the RPF includes measures to ensure that the displaced persons are provided moving allowances and provided with residential housing.

57. The policy also states that in cases where impacts on the entire displaced population are minor, or fewer than 200 people are displaced, an abbreviated resettlement plan (ARAP) may be agreed with the borrower [Annex VI: Outline of Abbreviated Resettlement Action Plan, ARAP]. Impacts are considered “minor” if the affected people are not physically displaced and less than 10 per cent of their productive assets are lost.

### 6.3 Gap Analysis of National and World Bank Safeguard Requirements

58. As described above, Sri Lanka has a complex legal system to manage land acquisition and regulate land use. It has an advanced system for valuation of properties, both in specialised and non-specialised categories involving different methods as mentioned earlier in this chapter. The existing legal provisions come close to meeting the WB’s safeguard requirements in respect of land acquisition and involuntary resettlement. Specifically, the GOSL’s NIRP and the LAR of 2008 seek to address gaps in LAA, thus bringing the process closer to the Bank’s safeguards policies.

59. In this context, this RPF provides an Entitlement Matrix [Annex IV: Entitlement Matrix for LSDP] and specific guidelines to address risks associated with involuntary resettlement in compliance with the Bank OP 4.11 and 4.12. Whereas the LAA will remain the main legal procedure for acquiring any private land required for the Project, the APs and households will receive eligible compensation and resettlement benefits as per the EM given in this RPF irrespective of their title or occupancy status prior to losing shelter, business, assets, and incomes due to this Project. Table 3 below presents the gaps between national regulations and World Bank’s policy requirements, and measures that will be taken to address these gaps.

**Table 3: Gaps between National Regulations and World Bank’s Safeguards Policy Requirements**

World Bank’s OP/BP 4.12	National Laws/Policies	Measures to bridge the gap
<b>Involuntary resettlement should be avoided wherever possible and minimized by exploring project and design alternatives</b>	LAA: Discourages unnecessary acquisition and requires that the land should be used for the purpose for which it is acquired NIRP: Involuntary resettlement should be avoided or reduced as much as possible by reviewing alternatives to the project as well as alternatives within the project.	No difference between OP 4.12 and NIRP on this principle
<b>Early screening to identify social impacts and risks; Survey/ census of displaced persons to determine scope of resettlement planning</b>	LAA: No stipulation for the identification of affected people through initial baseline survey. NIRP: comprehensive Resettlement Action Plan is required if 20 or more families are affected. If less than 20 families, are affected, the policy still applies but a plan can be prepared to a lesser level of detail.	During project preparation, early identification of potential impacts will be carried out through social screening, and SIA will be carried out to assess precise impacts to assess physical and economic displacement as well as other types of permanent and temporary impacts carried out prior to site possession and start of civil works
<b>Carry out free, prior and informed consultation</b>	LAA: Consultation with affected population is not required NIRP: Affected persons should be fully involved in selection of relocation sites, livelihood compensation and development options at the earliest opportunity; resettlement should be planned and	Consultations will be a be a continuous process at all stages of the project cycle such as design stage, implementation and post implementation phase including monitoring phase.

World Bank's OP/BP 4.12	National Laws/Policies	Measures to bridge the gap
	implemented with full participation of provincial and local authorities; to assist those affected to be economically and socially integrated into host communities, participatory measures should be designed and implemented	
<b>Public disclosure requirements</b>	LAA: Statutorily imposes all communication to be public announced through legal notifications in print media, and through GN Officers; No stipulation regarding disclosure of RAP NIRP: If the project is subject to an IEE or EIA, the report should be available for the information for public comments; no stipulation regarding disclosure of RAP	This RPF and the subproject specific RAPs will be disclosed in-country and available at a place accessible to displaced persons and local NGOs, in a form, manner, and language that are understandable to them. In addition, the RPF and the individual RAPs will also be made available to the public through InfoShop after they have been reviewed and cleared by the Bank.
<b>Establishment of Grievance Redress Mechanism to receive and facilitate resolution of complaints and grievances</b>	LAA: Provisions for formal appeals in the country's legal system NIRP: To make all affected people aware of processes available for redress of grievances that are easily accessible and immediately responsive	GRC will be established at the local level where project will be implemented and also at the Project level to address grievances that are escalated to higher levels. Information about GRM will be widely disseminated, and a system for tracking complaints will be established.
<b>Improve or at least restore the livelihoods of all displaced persons in real terms relative to pre-project levels</b>	NIRP: The livelihoods of the displaced persons should be reestablished and the standard of living improved...no impoverishment of people shall result as a consequence of compulsory land acquisition for development purposes by the State LAR 2008: Transition period considered, and provides expenses for finding alternative accommodation and other payments for disturbances	No difference between OP 4.12 and NIRP on this principle. The RPF includes measures, including monitoring framework, for ensuring that the livelihoods of affected persons is improved or at least restored
<b>Eligibility of non-titleholders to resettlement assistance and compensation for losses of non-land assets</b>	LAA: Only titleholders and tenants protected under the Rent Act 1972 are eligible for compensation NIRP: Affected people who do not have documented title to land should receive fair and just treatment	The NIRP broadly concurs with WB on the issue, though less explicitly. The process for verification of impacts and establishing the eligibility of different categories of APs (including non-titled APs) is outlined in the RPF. The EM provides for compensation to all affected persons whether physically or economically displaced irrespective of their legal status. The date of the census survey and the notification of Section 2 of the LAA will be considered as the cutoff date and affected persons listed on the cut-off-date will be eligible for assistance regardless of their ownership



World Bank's OP/BP 4.12	National Laws/Policies	Measures to bridge the gap
<p><b>Preparation of resettlement plan focusing on displaced persons' entitlements, income and livelihood restoration strategy, institutional arrangements, monitoring and reporting framework, budget and timebound implementation schedule</b></p>	<p>NIRP: The Project Executing Agencies (PEAs) will be responsible for complying with all the requirements for planning and implementing resettlement according to the NIRP; PEAs that have significant resettlement in their projects will establish Resettlement Units with adequately trained staff; a system of internal monitoring should be established by PEAs to monitor implementation of Resettlement Action Plans, including budget, schedule and delivery of entitlements, consultation, grievances and benefits; a further system of external monitoring and evaluation by an independent party should be established to assess the overall outcome of resettlement activities</p>	<p>NIRP and WB policy do not differ on this though NIRP mentions these under different headings. The RPF for the Project is prepared in accordance with WB's OP 4.12 which provides clear guidelines on the structure/outline of RAP/ARAP</p>
<p><b>Payment of compensation at replacement cost, and provide other resettlement entitlements before physical or economic displacement.</b></p>	<p>NIRP: Replacement land should be an option for compensation in the case of loss of land; in the absence of replacement land, cash compensation should be an option for all APs; Compensation for loss of land, structures, other assets and income should be based on full replacement cost and should be paid promptly. This should include transaction costs LAR 2008: Provides for valuation at replacement cost</p>	<p>NIRP does not mention that compensation and entitlements are to be paid or provided before physical or economic displacement. The RPF provides for a census survey and an inventory of income and livelihood losses; it also provides for compensation as per the EM for both physically and economically affected persons, prior to displacement. The RPF and EM requires compensation for the loss of land and other assets, including for any improvements on the land, will be at full replacement cost.</p>
<p><b>Implement measures to minimize and mitigate adverse economic and social impacts, particularly upon poor and vulnerable groups.</b></p>	<p>NIRP: Resettlement should be planned as a development activity for the affected people; Vulnerable groups should be identified and given appropriate assistance to substantially improve their living standards; Gender equality and equity should be ensured and adhered to.</p>	<p>No difference between OP 4.12 and NIRP on this principle. Measures are included in RPF for minimizing impacts as well as targeted approaches for maximizing participation and benefits for women, poor and vulnerable groups</p>
<p><b>Monitor and assess resettlement outcomes, their impacts on the standards of living of displaced persons and whether objectives are achieved by taking into account baseline conditions and results of resettlement monitoring.</b></p>	<p>NIRP: Provisions related to internal monitoring and external monitoring and evaluation; monitoring and evaluation reports should be reviewed by PEA, CEA and Ministry of Land Development (MLD) and action taken to make improvements where indicated; Affected persons and other stakeholders should be consulted in monitoring and evaluation.</p>	<p>RPF has detailed provision for a monitoring system. The PCU, PIUs and LAs responsible for implementing the Project will be responsible for monitoring implementation of resettlement plans and internal monitoring, and verification by external monitors is also provided for. The RPF also details the process for continuous monitoring and reporting of resettlement activities.</p>

## 7. Resettlement Planning and Safeguards Management

### 7.1 Social screening and Categorization

60. For each activity selected under the LAPDPs or economic infrastructure, the screening of sub-projects will be carried out for assessing their potential social and environmental impacts. Screening of activities under the LAPDPs will be carried out by the Community Development Officers (CDOs) and/or Technical Officer of the LAs in consultation with the other officials at the LA, PIU-level CDOs and Environment Specialist. The screening reports (e.g, SSRs, DDRs) and will be endorsed by the Secretary of the respective LA (Pradheshiya Sabha and Urban Council) or the Municipal Commissioner of the Municipal Council [Annex III: Sample Social Screening Report]. The SSRs and/or DDRs prepared on the basis of the screening will be attached to the sub-project proposal submitted to the respective Council. The Project Appraisal Team (PAT) at the district level will approve the sub-project proposal, alongside the screening report, with concurrence from the District Development Committee and forward it to the PIU at the Provincial level. The Environment and Social Specialists at the PIU will verify the categorizations and endorse the screening reports.

61. For the economic infrastructure subprojects, the CDO and/or the Environmental Officer at the PIU will carry out screening and the categorization of the economic infrastructure in coordination with the relevant LAs, ACLGs at the district level, and the Social Development and Environmental Specialists at the PCU. The screening and the categorization will be endorsed by the CLG. If a sub-project has no adverse impact, it will be clearly identified in the Social Screening Report (SSR) or in the Due Diligence Report (DDR) [Annex III: Sample Social Screening Report]. The Environmental and/or Social Specialist at the PCU will verify the categorization and approve the screening report.

62. For any sub-projects that may cause significant resettlement impacts, a full-scale Social Impact Assessment (SIA) and a census survey [Annex VII: Sample Questionnaire for Census Survey; Annex VII: Terms of Reference for a carrying out Social Impact Assessment and preparing Social Safeguard Action Plans] will be carried out followed by a comprehensive Resettlement Action Plan (RAP) [Annex V: Outline of Resettlement Action Plan, RAP]. Abbreviated RAPs will be prepared for sub-projects affecting less than 200 persons based on the screening report and Sample Social Screening Report (SSR) [Annex III: Sample Social Screening Report; Annex VI: Outline of Abbreviated Resettlement Action Plan, ARAP]. Both the full and abbreviated RAPs will ensure that compensation, rehabilitation, and relocation arrangements are planned and budgeted, and that they meet the agreed entitlements and policy measures outlined in the RPF. These A/RAP will be prepared in addition to the Social Impact Management Plan (SIMP)/Environment Management Plan (EMP) prepared for addressing non-land related social impacts. Additional consultant support for the impact assessment and preparation of the management plans, will be mobilized, if required. Summaries of all SSRs, Social DDRs, including sample reports will be shared with the Bank on a periodic basis. All abbreviated and full RAPs will be submitted to the World Bank for review and clearance prior to site possession, physical or economic displacement and the start of any civil works.

Table 4 summarises safeguards documentation requirements.

**Table 4: Type of Social Safeguard Documents Required for the Project**

Coverage of Negative Social Impacts	Type of Documents Required
<b>Sub-projects with no impacts</b>	SSR, and SIMP
For sub-projects with minor impacts, including: Affect (displacement of) less than 200 individuals; Do not lead to any physical displacement; and Affected persons lose less than 10% of their productive (income-generating) assets	SSR, SIA, SIMP, and Abbreviated RAP (Outline of an Abbreviated Resettlement Action Plan is provided in Annex VI; Annex VIII: Terms of Reference for a carrying out Social Impact Assessment and preparing Social Safeguard Action Plans).
For sub-projects with significant impacts, including: Affect (displacement of) more than 200 individuals; Cause physical displacement; and Lead to affected persons losing more than 10% of their productive assets	SSR, SIA, census survey, RAP with R&R assistance and income restoration measures (Outline of the Resettlement Action Plan is shown in Annex V; Annex VII: Sample Questionnaire for Census Survey; Annex VIII: Terms of Reference for a carrying out Social Impact Assessment and preparing Social Safeguard Action Plans), SIMP

## 7.2 Social Impact Assessment (SIA)

63. If the initial social screening indicates minor or major resettlement impacts, a social impact assessment will be undertaken followed by a census of all affected households. An inventory of losses will also be prepared. The census will cover all households potentially affected. As mentioned above, the PCU will recruit consultants, if required to carry out the SIA. Annex VII includes a sample of survey questionnaire for an SIA/census survey; Annex VIII: Terms of Reference for a carrying out Social Impact Assessment and preparing Social Safeguard Action Plans.

## 7.3 Preparation of mitigation measures

64. Based on the findings of the SIA, a safeguards management plan will be prepared for each sub-project with potential adverse impacts [Annex VII includes terms of reference for carrying out the SIA and preparing social safeguards instrument]. Specifically, measures for addressing and mitigating non-land related social impacts will be included in the Social Impact Mitigation Plan (SIMP) as mentioned in the accompanying ESMF prepared for the Project. For land-related impacts, whether in the form of physical displacement or economic displacement, a sub-project specific Abbreviated Resettlement Action Plan (ARAP) [Annex VI: Outline of Abbreviated Resettlement Action Plan, ARAP] or a full Resettlement Action Plan (RAP) [Annex V: Outline of Resettlement Action Plan, RAP] will be prepared based on the level of impacts as identified in Table 4 above.

65. All steps will be taken to ensure that the project affected people and households are: (a) kept informed of the compensation policies and resettlement options, (b) consulted meaningfully, (c) compensation paid at full replacement cost and promptly. Formats for the preparation of RAP and ARAP are referred in Annex IV and V respectively.

## 7.4 Procedures for Land Acquisition

66. As was the case with NELSIP, most of the land requirements under LDSP is expected to be met within the existing land areas of respective agencies and in the Government owned lands. Further, project- supported physical interventions facilities are also expected to be of relatively small scale at household or village levels on existing farmland of households that are participating in the selected sub-projects on a voluntary basis, following consultation. To the extent possible, the Project will not encourage private land acquisitions, and targeted constructions, expansions and development of project facilities will be obtained either through voluntary land donation or confined to government/state lands [Annex X: Template for Legal Contract for Voluntary Land Donations]. However, the extent of land requirements will be known only during implementation once activities from the LAPDPs, block transfers, performance transfers, and economic infrastructure, to be supported are selected. As such, the Project will have the following four options for taking the possession of land for subproject interventions [Table 5]:

**Table 5: Land use options for subproject implementation**

Land Taking Options	Estimated amount and procedures
Use of Government/State Lands	This is the main method to obtain lands for project investment it is expected around 90% of the land requirement will be covered through this option. Such land vested with the Divisional Secretary or any other State agency can be transferred to the Project Implementing Agency through a memorandum of understanding/legal land transfer agreement.
Acquire private land through LAA	If government land is not available, private land can be acquired for a public purpose though government's land acquisition procedure prescribed in LAA.
Voluntary land donations	Past project experience shows that this is viable strategy to obtain small plots of land in rural areas to widen /improve agriculture roads and irrigation infrastructure development etc.

### 7.4.1 Procedure for utilizing state-owned land

67. Utilization of state- owned land will be in accordance with the State Lands Act No 13 of 1949. This Act deals with the provision for the grant and disposition of state lands in Sri Lanka; for the management and control of such lands and the foreshore; for the regulation of the use of the water of lakes and public streams; and for other matters incidental to or connected with the matters aforesaid. Section 53 exempts state from liability to pay compensation for improvements effected on reservations. However, the social screening checklist will be administered to ensure that the land to be utilized is free of encumbrances (i.e., there are no squatters and encroachers) [Annex I: Sample of Social Screening Checklist]. If some encumbrances are found, a Social Impact Assessment will be carried out and the concerned individuals will be provided with assistance and compensation as presented in the Entitlement Matrix of this RPF [Annex IV: Entitlement Matrix for LSDP; Annex VIII: Terms of Reference for a carrying out Social Impact Assessment and preparing Social Safeguard Action Plans].

### 7.4.2 Procedure for voluntary land donation

68. The experience from previous rural sector, local government and CDD projects suggest that small plots of lands can also be made available through voluntary donations. Although project does not

encourage voluntary donations in principle, the community-based organizations, farmer producer organizations and other local institutions participating in project activities have the right to accept or decline voluntary land donations from beneficiaries [Annex X: Template for Legal Contract for Voluntary Land Donations]. In case of voluntary land donations, the Project will ensure the following:

- The land to be obtained through voluntary donation is free of any structures or assets;
- The land size will be a small area (less than 10% of total land owned by individual owner) that its donation does not negatively impact on the livelihood of the owner;
- The voluntary nature of donation will be fully and independently verified;
- Impact on donor household will be marginal, i.e., it will not involve more than 10 percent of the land holding and there will be no physical relocation;
- The land is unencumbered of squatters, tenants, sharecroppers or any other dependents and conflicting claims;
- The remaining assets of the household donating land will be economically viable to ensure livelihood and shelter;
- That a local/community level grievance redressal system is available; and
- The land will be transferred in the name of the recipient institution through a legal process.

69. The community based mitigation measures will be acceptable and a consent letter from the land owner will be obtained granting permission for the use of the land for project activities, and a legal contract will be instituted which would include details of the land being donated; formal consent of the land owner/interested parties, and the witnesses. Template for legal agreement on land donation is provided in Annex IX.

70. The Provincial-level Project Implementation Unit (PIU) will be responsible for ensuring that the above conditions regarding land donation are fulfilled. The Community Development Officer of the LA will visit sub-project site, consult land donor, and other local stakeholders to verify that the donation is marginal and that it was not coerced.

#### 7.4.3 Procedure for private land acquisition

71. Acquisition of privately owned land will be in accordance with the Land Acquisition Act (LAA) No 9 of 1950, Land Acquisition Regulations of 2008, the National Involuntary Resettlement Policy (NIRP) of 2001 and the World Bank's OP/BP 4.12. The key steps in land acquisition and resettlement planning will include: social screening, SIA [Annex VIII: Terms of Reference for a carrying out Social Impact Assessment and preparing Social Safeguard Action Plans; Annex VII: Sample Questionnaire for Census Survey], inventory and valuation, determining eligibility and entitlements, consultation and disclosure of findings, preparation of resettlement instruments (abbreviated or full resettlement action plan), consultation and finalisation of the Abbreviated Resettlement Action Plans (ARAPs) [Annex VI: Outline of Abbreviated Resettlement Action Plan, ARAP] or full RAPs [Annex V: Outline of Resettlement Action Plan, RAP], development of resettlement sites, disclosure of the final A/RAP (comprising impacts, entitlements, implementation agencies and schedule, list of eligible APs, and grievance redress mechanisms (GRMs) [Annex V: Outline of Resettlement Action Plan, RAP; Annex VI: Outline of an Abbreviated Resettlement

Action Plan, ARAP]. This will be followed by initiation of the land acquisition process, disbursement of compensation and the RR&R entitlements, relocation planning and actual relocation, resolution of grievances if any, site clearance, site handover to contractor for civil works, post resettlement support measures, and monitoring and evaluation. The ARAPs and RAPs that will be prepared will be consulted, submitted to the World Bank for clearance, and disclosed in-country and World Bank's external website. Annex II details the process to be followed for land acquisition under the Project.

## 7.5 Entitlements and Eligibility

72. Although there will be no major resettlement impacts or large-scale land acquisitions anticipated under the project, an Entitlement Matrix (EM) has been developed to address potential resettlement impacts that may cause due to any private land acquisitions or physical and economic displacement of people [Annex IV: Entitlement Matrix for LSDP]. As per the Bank and Government policies, any involuntary land acquisition will be compensated at replacement cost as per the LAA regulation of 2008 and the APs will be assisted to re-establish their living standards (affected shelter and incomes) to a level to or better than their living condition prior to the project.

73. The LA Regulations of 2008 provide detailed guidelines for determining compensation at current market rate for land and replacement cost for structures without deducting any depreciation. The LA Regulations, 2008 also provide for offering compensation for damage caused by any severance or injurious affection and disturbances caused due to land acquisition based on evidence furnished by the affected party including all expenses. The Entitlement Framework [Annex IV] has been worked out considering broadly the analysis of impacts and the nature of the losses that the APs suffer due to project activities.

74. All eligible APs will be informed about the project and the RAP process, and a cut-off date will be established as part of determining PAPs eligibility. Under this Project, the cut-off date for eligibility of entitlements will be the start date of the census survey of the affected population and/or the date of notification under the Land Acquisition Act No. 9 of 1950. The cut-off date will be publicly announced and there will be continuous public dissemination of information on the area delineated to prevent further population influx. Persons who encroach on the area after the cut-off-date will not be entitled to claim compensation or any other form of resettlement assistance. Likewise, fixed assets such as built structures or planted trees after this date will not be covered and compensated.

## 8. Consultation, Information Disclosure and Grievance Redress Mechanism

### 8.1 Consultations

75. During the preparation of the safeguards instruments under the project, several rounds of consultations were held with a variety of stakeholders, including public officers, civil society members, and community members in the Northern, Eastern and Uva Provinces in March 2018 [Annex XI: Public and Stakeholder Consultations]. The issues raised during these consultations have informed the preparation and finalization of this RPF and the accompanying ESMF.

76. In addition, the project includes a variety of measures to support consultations, community level citizen engagement and social accountability. Under Component 1, the preparation of LAPDPs is intended to facilitate greater community engagement via first engaging residents to discuss their needs at the ward level. Further, a mobile app will be developed under the Project to support a GIS enhanced monitoring of sub-project implementation and beneficiary feedback (e.g., social audits, citizen scorecards, etc.) to monitor the performance of LAs, provide routine feedback relating to the participatory planning process of LAs and monitor the impact of project interventions while also enhancing transparency and community ownership of project activities.

77. Besides these, consultations with direct and indirect beneficiaries and stakeholders will be conducted as part of the participatory process for designing and implementing sub-projects. Consultations will aim at: sharing information; listening to feedback; engaging citizens in decision making; and involving stakeholders in participation in the implementation process. Consultation will take place in form of public meetings, focus group discussions, sub-project specific community consultations as part of the social screening and resettlement planning process and direct one-to-one consultations.

78. The relevant officers of the LA, PIU and the PCU together with the elected members will hold open community meetings in their respective villages to discuss the objectives, scope and implementation arrangements of LDSP. The objectives of consultations will be to:

- Learn about the community needs and preferences as to what sub projects they deem necessary and would have the most beneficial outcomes.
- Identify and agree on priority sub projects in view of the limitations in resource availability.
- Discuss the environmental and social safeguard implications/impacts that might be associated with the suggested sub projects, along with the impact mitigation guidelines and measures adopted in the ESMF and the RPF.
- Identify ways in which required land could be made available for respective sub-projects through the options given in the RPF.
- Have the community select 7 to 9 persons as members of the Social Audit Committee which is chaired by a villager who commands social respect.
- Consultations will be carried out during the preliminary design, planning, implementation and monitoring stages of the project as presented in Table 6.

**Table 6: Consultation Activities for Various Stages in Project Cycle**

Project Stage	Consultation Activities
<b>Project Identification Stage</b>	Identify project stakeholders (primary and secondary)
	Involve stakeholders in the consultation process
	Organize information material and plans for dissemination
	Organize and document public meetings
	Identify needs for social preparation if environmental and resettlement impacts are going to be generated

<b>Project Planning and Designing Stage</b>	Convene and record meetings with potential affected persons and or potential beneficiary population
	Consultations with APs on implementation for environmental and social mitigation plans
	Obtain inputs from potential displaced persons, hosts, CBOs on selection and development of resettlement sites
	Establish Grievance Redress Committee (GRC) procedures, representatives of APs
<b>Project Implementation Stage</b>	Organize participation of the potential APs in the implementation of environmental and social management plans
	Involve CBOs, other suitable institutions in community mobilization/ resettlement efforts
	Obtain support from CBOs and Stakeholders / Private Sector in livelihood and income support activities
	Involve APs in decision-making committees
	Ensure that GRC procedure is functional
	Involve APs/SACs in monitoring and evaluation

79. The Project will include activities to build the capacity of existing community development officers in LAs and the PIUs to mobilize and engage community members and work directly with village level organizations (e.g. women’s rural development societies and other CBOs). Social Development Officer will be hired for the PCU to coordinate, support and monitor the community engagement process. Communities will also be mobilized to engage in a more holistic planning process that covers not just infrastructure priorities, but also their social and economic/livelihood needs so that what emerges is a consolidated LAPDP that will be compiled with community participation at village and ward levels and approved by the local authority council. Finally, the participatory planning will also involve the use of new participatory tools to identify community assets, resources, and vulnerabilities so that there is a more informed bottom-up planning process. The LAPDPs will guide the preparation of LA budgets and annual plans of Divisional Secretariats and thus ensure that public expenditures are broadly in line with the major priorities of the communities and localities.

## 8.2 Information Disclosure

80. Affected Persons will be fully informed of their rights and responsibilities from the very beginning of the process to achieve transparency and understanding between the affected persons and the project implementing agencies (i.e., the PCU, PIUs, LAs, etc). In order to achieve this, the RPF and other relevant information will be made accessible and understandable and where necessary, it will be translated into Sinhala and Tamil.

81. A communication and awareness campaign will be carried out to disseminate information to the public through public media, public notice boards, newspapers, leaflets, flyers, workshops and conferences, and door to door visits. A Public Information Booklet (PIB) will be delivered to the project stakeholders and local level agencies to raise awareness of the Project and the opportunities to participate.

82. The ESMF and the RPF was cleared by the World Bank and disclosed in-country on March 7, 2018 on MPCLGS website (<http://www.lgpc.gov.lk>) and through the Bank’s external website. Translation of the executive summary of the ESMF Report to Sinhalese and Tamil languages were also completed and disclosed on the MPCLGS website with hard copies disseminated to the four provinces. Further, following



clearance from the World Bank, all the safeguards instruments including RAPs/ARAPs, ESMPs, SIMPs, will be published on the World Bank's external website and disclosed locally on the ministries' websites, PMUs and at Divisional Secretariats of project areas.

### 8.3 Grievance Redress Mechanism

The Grievance Redress Mechanism (GRM) for the Project involves a multi-tiered system comprising:

83. **LA-level Grievance Mechanism:** As part of strengthening the capacity of local government in safeguards management, the Project will work with the Front Office system in the LAs as the first tier of grievance handling mechanism (GRM) for the project. The front office systems will be further strengthened to ensure transparency, accountability and cost effectiveness in providing redress to complaints and grievances through an IT-based complaint registration, handling and monitoring system. The Public Relation Officers at the front offices will receive the complaints (either verbally or in writing), and together with the Community Development Officers at the LA make all efforts to resolve issues within a period of 1 week. The mode of operation for these Front offices will be dialogue, consultation and consensus, and decisions taken will be ratified by the LA Secretary prior to enforcement. The Front Offices will carry out their functions in a transparent manner, with full disclosure of relevant information to the stakeholders, in languages that complainants can understand. Records of the meetings (minutes), including a list of participants, will be prepared and distributed. Any grievances that cannot be resolved at the LA-level will be reverted to the district-level GRC.

84. **District level Grievance Redress Committee (DGRC):** A Grievance Redress Committee will be constituted at the district level (DGRC) comprising of the ACLG (Chairperson), District Engineer, district-level CDO, Accountant and Senior Technical Officer. The existing Good Governance Resource Centers at the district level will be responsible for recording and monitoring grievances lodged at the LA, district and provincial level. The Project will include measures for further strengthening these centers, especially through a digital platform. Issues that are not resolved at the DGRC level will be referred to the provincial level GRC for decisions.

85. **Provincial Grievance Redress Committee (PGRC):** PGRC will be constituted by the Commissioner of Local Government (Chairman), M&E Officer, Provincial Engineer, ACLG, CDO of ACLG Office, LA secretaries/commissioner, PIU-level CDO and Environment Officer, LA CDOs, depending on the nature of the case. Record of the meetings (minutes), including a list of participants, will be prepared and distributed.

86. **National-level Grievance Redress Committee (NGRC):** NGRC will be constituted by the National Project Coordinator (Chairperson), Project Engineer, Social Development Specialist/Environment Specialist of the PCU, Representative of a reputed national NGO that has experience and interest in managing issues of land acquisition, resettlement, gender, law and environment, Chief Secretary of relevant province, and CLG from relevant province. At least one member of the NGRC will be a female. The Social Development/Environment Specialist of the PCU will act as the Secretary. Record of the meetings (minutes), including a list of participants, will be prepared and distributed.

87. This form of multi-tiered GRM system for the Project will offer opportunities for PCU and the PIUs together with the affected communities to identify problems and discover solutions together early on and in the process of project implementation. Key principles of GRM are:

- All steps will be taken to ensure that the GRM is easily accessible, cost-effective, transparent, accountable and responsive, and NO COST to people.
- Any grievance related to land acquisition, donation or any other project related matter will be registered and acknowledged immediately by phone, if contact details are given by the complainant, or in the absence of telephone number, by mail within two days
- GRM will function with a view to achieving amicable settlement wherever possible without allowing to resort to judicial review
- Grievances will be processed as soon as possible, and within 15 days

88. Notice boards, meetings, brochures and other means, will be utilized to inform people of the GRM contact details indicating where and how to lodge complaints and concerns. Additionally, the PCU will establish a clear set of procedures for grievance redress and implement an awareness campaign among the APs to educate the public on the role and function of GRM, procedures, operational locations, contact details of persons handling grievances at each level. This project-specific mechanism is not intended to supplant other like mechanisms, including those that exist at higher levels within the World Bank, and in all cases the aggrieved person(s) will have the option of seeking redress in the Sri Lankan legal system or any other alternative systems of grievance redress –administrative, political, civil society etc.

## 8.4 Institutional Arrangements, Monitoring Framework, Capacity Building and Budget

### 8.4.1 Institutional Arrangements

89. The Ministry of Provincial Councils and Local Governments and Sports (MPCLGS) will execute the project with a Project Coordinating Unit (PCU) established under it. Further, Project Implementing Units (PIUs) will be established at the Provincial levels. The PCU will take the lead role in planning, coordination and monitoring of safeguards performance in line with the ESMF and the RPF prepared under the project. Among others, the PCU will be staffed with at least one Environmental Safeguards Specialist and one Social Development Specialist who will be responsible for monitoring and providing oversight to safeguards issues under the project.

90. At the level of Provincial Council, the Project Implementation Units (PIUs) to be established in each of the four PCs, will also be staffed with an Environmental Officer and a Community Development Officer who will be responsible for supporting project implementation and supervision of Local Authorities (LA) and units under the LA, including in matters relating to safeguards implementation and supervision.

91. At the Local Authority (LA) level, the LA Secretary will assume the role of a Coordinating Officer for the Project, and the Community Development Officer (CDO) and Technical Officer will be responsible for the day-to-day management of safeguards issues, including the screening of activities and preparation of due diligence reports (e.g., screening reports like SSRs), and creating an enabling environment for promoting gender equality in sub-project decision making process [Annex III: Sample Social Screening Report]. The screening checklists [Annex I: Sample of Social Screening Checklist] and the due diligence reports will be endorsed by relevant LA officers after review, and will be kept in the sub project file at the LA. In case of sub-projects with safeguards impacts, the PCU safeguards specialist will undertake

reviews with the relevant communities and stakeholders, facilitate remedial actions, follow up and report. All these forms will be kept at the LA and reviewed for monthly progress meetings and preparation of quarterly, bi-annual, annual reviews and sub project completion reports, as described below. For sub-projects that require additional evaluations (e.g., SIA, EIA) and preparation of safeguards management plans (e.g., A/RAPs, EMPs, etc), external support will be utilized, if relevant [Annex VIII: Terms of Reference for a carrying out Social Impact Assessment and preparing Social Safeguard Action Plans].

#### 8.4.2 Monitoring Framework

92. The safeguards performance quality will be monitored and evaluated in line with the LDSP Monitoring and Evaluation requirements. At the LA level, routine monitoring of safeguards implementation will be carried out by the Social Audit Committees. Additionally, the Environment Safeguards Specialist and the Social Development Specialist will review safeguards performance quality along with the relevant government counterparts such as the LA officers, ACLG and other district level officers, and provincial level officers. Responsible agents will prepare review reports and ensure that they are submitted into the MIS once it is operational, so that safeguards recordkeeping is up to date, accurate, and easily accessible.

93. **Bi-annual Review:** While the LA level, the Social Audit Committees and the Community Development Officer/Technical Officer will conduct monitoring and participate in progress review meetings, the Provincial-level PIUs will review implementation progress every six months using a random sample of LA sub projects under block grant facility, and all the economic infrastructure sub-projects. All forms maintained at the LA project office will be reviewed and field visits undertaken. If the review finds any problems, these will be communicated to the ACLG, DS, and LAs to take remedial action and follow up. All reviews and actions will be documented and kept in the sub project file at the LA and the PIUs where these will be summarized highlighting the problems, actions and follow up details, and report submitted to the national level PCU. Any issues not resolved at the LA, the district and provincial levels will be reported to the PCU for action.

94. **Annual Review of Safeguards:** The PCU Environment and Social Development Specialist will conduct an annual review of safeguards, which will include a review of all EIA, SSR, SIA, DDR, RAP documents, and 10% random sample of Screening, Implementation and Completion Reports and undertake field visits to verify whether these were done according to the ESMF and the RPF guidelines including those related to disclosure and consultation, grievance registration and resolution, disbursement of entitlements, gender mainstreaming activities, and citizen participation and consultation.

95. **Annual Performance Audit:** PCU will assign/ contract Auditor General Department or Chartered Accounting Firms to conduct annual Performance Audit that will include financial management, procurement and safeguard compliance. The auditors will review all documents and visit 10% of the schemes for validation of safeguard compliance. They will also conduct spot checks as deemed fit. Annually, two CA firms will be contracted to review all audit findings for finalizing the finding which will be shared with PPMU and LAs for their review and disclosure to public through open meeting and LA notice board.

96. **Independent Third-Party Monitoring:** This review will be undertaken at the mid-term and project completion. Annex VIII includes a sample terms of reference for third-party monitoring of safeguards

implementation; Annex IX: Sample Terms of Reference for Hiring External Monitoring and Review Consultants.

97. In addition, the project includes a variety of measures to support mainstreaming of community level citizen engagement and social accountability. The preparation of LAPDPs is intended to facilitate greater community engagement and empowerment in development process by allowing community groups to identify their local assets and needs and hold local governments and provincial authorities to account. In this regard, specific interventions are planned to will support capacity building and mainstreaming community level citizen engagement and social accountability tools such as social audits, citizen scorecards, Social Audit Committees, etc. The Project also includes a community monitoring mechanism, 'Participatory Tracking' (P-Tracking) for monitoring citizen participation, satisfaction, and outcome indicators. Further, a mobile app will be developed under the Project to support a GIS enhanced monitoring of sub-project implementation and beneficiary feedback (e.g., social audits, citizen scorecards, etc.) to monitor the performance of LAs, provide routine feedback relating to the participatory planning process of LAs and monitor the impact of project interventions while also enhancing transparency and community ownership of project activities. Annex IX: Sample Terms of Reference for Hiring External Monitoring and Review Consultants.

98. Progress on level of citizen engagement and social accountability will be monitored and tracked throughout project implementation by considering: (i) Percentage of Basic Transfers disbursed on a timely basis to eligible Local Authorities (measured by province) (ii) Number of Local Authorities that qualify for the performance based transfers (iii) Percentage increase of beneficiaries who participate in Ward level planning processes measured by Province (iv) Percentage increase of women beneficiaries who participate in ward level planning processes measured by Province (v) Percentage of priority sub-projects in LAPDP financed by LAs (vi) Number of beneficiaries benefiting from project investments (core indicator) and (vii) Percentage of female beneficiaries benefiting from project investments in participating provinces.

## 8.5 Capacity Building

99. Although the MPCLGS has considerable experience in safeguards management, including resettlement planning and implementation, the GOSL has recognized that most of the provincial agencies involved in the project would require orientation and capacity building training on implementing the RPF and the accompanying ESMF. Some secretaries of LAs who have implemented sub projects under NELSIP yet continue in their original offices, others have limited capacity. Further, most of the LA representatives that would be elected at the LG elections in February 2018 are unlikely to have sufficient knowledge in safeguards or social development. The project will carry out a series of training on management of land acquisitions and resettlement planning and environmental safeguards at national and provincial level. After identifying all relevant participating agencies, recruitment of social development staff for the PCU, PIUs and the LAs, a capacity building training plan will be developed and implemented to equip the relevant officers with necessary skills and knowledge in social safeguards management. Arrangements will be made to involve the existing training institutions at the national and provincial levels including the universities. Peer learning and horizontal will be organized throughout the project period.

## 8.6 Cost Estimation and Budget

100. To implement the safeguards management measures suggested above, budgetary provisions will be made available in terms of each sub project. Budgetary estimates for sub projects where resettlement

implementation is necessary, including resettlement management, will be incorporated in the cost estimates for safeguards management. Accordingly, land acquisition and resettlement, expenses for consultation and participation, grievances redress, cost for relocation, restoration, transitional allowance, livelihood programme, skills development, monitoring and evaluation, administration, contingencies etc. will be included in estimating costs for safeguards management. Costs associated with construction related impacts, including those mentioned in the EMP and the SIMP, will be the responsibility of the contractor, and will be prepared at the stage of project design and included in bidding documents, to be costed for accordingly, and will be part and parcel of contract documents. Activities outlined in the EMPs and SIMPs will be implemented by the respective contractors implementing the subproject and monitored accordingly by the project-implementing agency during the construction phase.

## Annex I: Sample of Social Screening Checklist

Name of Sub-Project:

Location:

Nature of Project:

Size/Scale:

Project Implementing Agency:

Description of Project Surroundings:

Are there existing settlements in the project area? If yes, how many households/families?

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What is the demographics of the population (e.g., ethnicity, religion)

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What is the ownership pattern of people in the area (e.g., squatters, titleholders, tenants)?

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What are main sources of livelihoods? \_\_\_\_\_

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Are there any existing local organizations? \_\_\_\_\_

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Are there existing social infrastructures in the area (e.g., schools, health centres, hospitals, places of worships, roads, etc.)

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Are there any ongoing development projects in the area that involves civil works?

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Does the area have frequent visitors from outside? \_\_\_\_\_

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## Threats and Potential Impacts from the Sub-Project

Potential Impacts		Yes	No	Not Known	Details
Land-Related Impacts					
1	Will the sub project include any physical construction work?				
2	Does the sub project include upgrading or rehabilitation of existing physical facilities?				
3	Is the sub project likely to cause partially or fully damage to, or loss of housing, shops, or other resource use?				
4	Is the site chosen for this work free from encumbrances and is in possession of the Ministry of Provincial Councils and Local Governments and Sports?				
5	If any land required for the work is privately owned, will this be purchased or obtained through voluntary donation?				
6	If the Land parcel has to be acquired, is the actual plot size and ownership status known?				
7	Is land for material mobilisation or transport for the civil work available within the identified work site / Right of way?				
Livelihoods Related Impacts					
8	Are there waste workers currently operating in the site? If yes, how many, what are their backgrounds, are they registered?				
9	Were there such workers who operated in the site earlier? If yes, how many, and is there any information on their current whereabouts?				
10	Are there any non-titled people (Squatters) who are living/ or doing business who may be partially or fully affected because of the civil works?				
11	Will there be damage to agricultural lands, standing crops, trees, etc.?				
12	Will there be any permanent or temporary loss of income and livelihoods as a result of the civil works? If so for what period?				
13	Have these people/ businesses who may suffer temporary loss of incomes or livelihoods been surveyed and identified for payment of any financial assistance?				
14	Will people permanently or temporarily lose access to facilities, services, or natural resources?				
15	Are there any vulnerable households affected?				
15	Will the affected land/structure owners likely to lose less than 10% of their land/structures area?				
16	If so, are these land/structure owners willing to voluntarily donate the required land for this sub- project?				
17	Will there be any impacts on cultural, community properties or facilities?				
18	Will there be any other temporary impacts? please describe				
19	Have measures been planned to mitigate temporary impacts including ease of access? Give details				
20	Does the local government body have its own procedures for land acquisition?				
Impacts from Labour Influx					
21	How many workers will be needed for the sub-project, with what skill set, and for what period?				

Potential Impacts		Yes	No	Not Known	Details
22	Can the project hire workers from the local workforce?				
23	Will there be workers brought in from outside?				
24	Will a camp be required to house these incoming workers?				
25	Will the incoming workers be from a similar socio-economic, cultural, religious or demographic backgrounds?				
26	Given the characteristics of the local community, are there any adverse impacts that may be anticipated?				

### Estimates of Specific Impacts

Private land required (sq. m)	
Total of households affected	
No. of individuals losing more than 10% of land area	
Government land required	
No. of houses affected	
No. of shops affected	
No. of utilities affected	
No. of workers to be brought from outside	

### Decision on Categorization:

After reviewing the answers above, it is determined that the sub-project will have:

High/substantial impacts

Moderate impacts

Low/No impact



## Annex II: Process to be followed by for Land Acquisition

Actions/Steps	Description/Reasons
<b>Information disclosure</b>	<p>The Ministry of Provincial Councils and Local Governments and Sports (MPCLGS) identifies the land to be acquired and forwards an acquisition proposal together with the acquisition application to the Secretary, Ministry of Lands. The Divisional Secretary publishes a notice in the surrounding area that the particular land has been identified for acquisition for a public purpose. The Divisional Secretary or Government Printer will publish a notice in the Gazette inviting investigations to the title of the land. All relevant information is disclosed to the project Affected Persons (APs). Information disclosure will start immediately after the issue of Section 2 Notice under the LAA (intention to acquire land from private parties) and continue until the APs are paid their due compensation.</p> <p>Furthermore, as a condition of appraisal of projects involving resettlement, the borrower provides the Bank with the relevant draft resettlement instrument which conforms to this policy, and makes it available at a place accessible to displaced persons and local NGOs, in a form, manner, and language that are understandable to them. Once the Bank accepts this instrument as providing an adequate basis for project appraisal, the Bank makes it available to the public through its InfoShop. After the Bank has approved the final resettlement instrument, the Bank and the borrower disclose it again in the same manner.</p>
<b>Public consultations</b>	<p>APs are engaged in a consultation process throughout the land acquisition and payment compensation processes to ensure that (a) adequate information has reached the APs and that they are knowledgeable of the entire process; (b) their issues and grievances are heard; (c) additional information and support required by APs, particularly vulnerable APs, are provided; (d) their views and suggestions are accommodated in the processes; and (e) their issues and grievances are satisfactorily reported to the relevant agencies for remedial action. Objections are invited from the landowners and the Minister of Lands to decide whether an investigation is required. The Divisional Secretary publishes a notice inviting objections to the acquisition. Following completion of investigations on objections, recommendations are forwarded to the respective line Ministry.</p>
<b>Establish Grievance Redress Mechanism</b>	<p>Grievance Redress Committees (GRCs) at different levels as provided in the RPF are established and made operational immediately after the issue of Section 2 Notice of the LAA. All information on the roles and functions of the GRCs should be communicated to the affected persons.</p>
<b>Liaison with APs or local authority agencies.</b>	<p>A dedicated officer is appointed by the MPCLGS to liaise with the APs and other relevant agencies throughout the land acquisition and compensation payment processes and to be responsible for (a) information disclosure; (b) engaging the APs in a consultation process; and (c) reporting and documentation. Furthermore, it is necessary that a liaison office in close proximity to the project affected area is set up to facilitate easy access and communication for the APs to meet the liaison officer.</p>
<b>Compensation for affected</b>	<p>Compensation for all affected structures, livelihoods and incomes of the affected persons will be paid immediately based on a valuation report obtained from the valuation officers.</p>

Actions/Steps	Description/Reasons
<p><b>structures, livelihoods and incomes</b></p>	<p>The Valuation Department will conduct a valuation of the identified land. Once a value has been determined, the Divisional Secretary will decide on the compensation to be awarded. The Divisional Secretary will allocate financial provisions from the Ministry of Lands or the relevant institution or line Ministry to make payments to the landowner. Taking of land and related assets may take place only after compensation has been paid and, where applicable, resettlement sites and moving allowances have been provided to the displaced persons.</p> <p>If the impacts include physical relocation, the resettlement plan or resettlement policy framework must include measures to ensure that the displaced persons are (i) provided assistance (such as moving allowances) during relocation; and (ii) provided with residential housing, or housing sites, or, as required, agricultural sites for which a combination of productive potential, locational advantages, and other factors is at least equivalent to the advantages of the old site.</p> <p>Preference should be given to land-based resettlement strategies for displaced persons whose livelihoods are land-based. These strategies may include resettlement on public land, or on private land acquired or purchased for resettlement. Whenever replacement land is offered, resettlers are provided with land for which a combination of productive potential, locational advantages, and other factors is at least equivalent to the advantages of the land taken.</p> <p>Payment of cash compensation for lost assets may be appropriate where (a) livelihoods are land-based but the land taken for the project is a small fraction<sup>18</sup> of the affected asset and the residual is economically viable; (b) active markets for land, housing, and labor exist, displaced persons use such markets, and there is sufficient supply of land and housing; or (c) livelihoods are not land-based. Cash compensation levels should be sufficient to replace the lost land and other assets at full replacement cost in local markets.</p>
<p><b>Temporary accommodation for affected titleholders</b></p>	<p>It is proposed that titleholders who will lose their residential structures due to acquisition be provided with compensation to rent in suitable accommodation as stipulated in the LAR and NIRP. The resettlement plan or resettlement policy framework in this regard must include measures to ensure that displaced persons are (i) offered support after displacement, for a transition period, based on a reasonable estimate of the time likely to be needed to restore their livelihood and standards of living; and (ii) provided with development assistance in addition to compensation measures described.</p>
<p><b>Secure the funds for compensation</b></p>	<p>The full costs of resettlement activities necessary to achieve the objectives of the project are included in the total costs of the project. The costs of resettlement, like the costs of other project activities, are treated as a charge against the economic benefits of the project; and any net benefits to resettlers (as compared to the "without-project" circumstances) are added to the benefits stream of the project. The MPCLGS will seek special permission from the Treasury to grant the money directly to the concerned Ministry/Agency in order to pay full compensation to APs.</p>
<p><b>Take the possession of Land</b></p>	<p>The concerned line Ministry/Agency gets the consent or agreement letter signed by the APs indicating their willingness to hand over the land for development. The agreement</p>

Actions/Steps	Description/Reasons
	letter should provide all the details including probable amount of compensation and entitlements of the APs.
<b>Full payment of compensation</b>	The concerned line Ministry/Agency ensures and monitors that all steps in the land acquisition process is properly conducted; ownership status is determined; and full compensation for land and structures is paid to the APs. The borrower is responsible for adequate monitoring and evaluation of the activities set forth in the resettlement instrument. The Bank regularly supervises resettlement implementation to determine compliance with the resettlement instrument. Upon completion of the project, the borrower undertakes an assessment to determine whether the objectives of the resettlement instrument have been achieved.

## Annex III: Sample Social Screening Report

### Project Description:

The World Bank assessment conducted in the Northern and Eastern Provinces in 2017 identified that the key challenges in the provinces were revolving around the need for revitalizing local economy and addressing the needs of the affected populations. Economic revitalization requires livelihoods and job creation or development especially concentrating economic empowerment of women and youth. Social revitalization requires rebuilding the community fabric affected by the violent conflict, and establishing or enhance social services provisions that address the needs of the local population are which could ensue in social cohesion and peace. This project responds to these findings by recognizing (i) the need for bottom up planning and community development; (ii) need for targeted actions to reduce gender vulnerabilities and improve women’s empowerment; (iii) need for citizen engagement/transparency; (iv) need for strategic investments based on area based planning priorities to unlock local economic development; (v) need to facilitate livelihoods and job creation; and vi) a stronger focus on the provision of social services, for example psychosocial support, war widows support and job counseling for youth.

Proposed Activity	
Implementing Agency:	
Sub Project Description	<p>Subproject description: [Describe the type of subproject, its <u>specific</u> objectives, identified location of the subproject (District, DS division, GND, village), extent of the land required for the subproject construction, how would this land be obtained for the subproject (e.g. acquisition, purchase, donation etc.), technical design of the subproject, timeframe for subproject completion, how the subproject would be implemented (executing agency and the implementing agency) etc. Append maps of the subproject location and the technical design].</p> <p>Justification of Subproject Design and Alternative Analysis: [Explain why this subproject has been undertaken and what are the water related problems and issues that would be addressed by the subproject. Also, explain, if any alternative locations and/or technical designs were considered to minimize adverse social and environmental impacts of subproject]</p> <p>Corridor of Impact: [Provide an inventory of the subproject impact area. This inventory should explain the impact area identified for the sub-projects; residential, commercial, industrial structures situated within the impact area (if any), type of cultivations, crops, trees grown in the area of impact (if any); access roads that cut-across the area of impact (if any); ownership type of the land identified for subproject construction and the impact area; natural resources within impact area (if any); and presence of indigenous populations (if any)]</p> <p>Community Profile: [Describe the socioeconomic profile of the project impact area and provide details of its demography, livelihood patterns and sources, income and expenditure patterns of the households, household poverty levels, community access to services (water, electricity, education, health etc.), gender related issues etc.]</p> <p>Social Impacts: [Describe the positive and negative impacts of the subproject. Would the subproject result in land acquisitions; would the subproject result in any physical and economic displacements of populations either permanently or temporarily; would the subproject lead to</p>

	<p>restrictions of people's access to common property resources, would the subproject cause relocation (temporarily or permanently) and resettlement of people, type of subproject construction related impacts e.g. dust, noise, traffic congestion etc. Provide numbers of the affected populations and the type of population e.g. land owners, tenants, sharecroppers, encroachers, squatters etc.]</p> <p>Mitigation measures: [Describe what the measures suggested and the actions proposed to mitigate/ avoid/minimise the adverse impacts on affected households and communities]</p>
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## Annex IV: Entitlement Matrix for LSDP

No.	Type of Loss	Application	Definition of Entitled Person	Compensation Policy
1.	Loss of private land	Private land	Legal titleholder(s) Tenants/leaseholders	<p><i>For titleholders:</i> Compensation at replacement cost or land-for-land where feasible, according to PAPs' choice;<sup>7</sup> In addition, fees, taxes, and other charges related to replacement land;</p> <p><i>For tenants/leaseholders:</i> Assistance towards temporary accommodation for up to three months or rental assistance as per prevalent rate in the form of grant to cover up to three month rentals, whichever is higher; Refund for rental deposit or unexpired lease from owners' total compensation package upon submission of documentary evidence;</p> <p><i>For both:</i> Relocation assistance (cost of shifting<sup>8</sup> and livelihood restoration assistance); Additional compensation for vulnerable households (item 9).</p>
2.	Loss of private land	Private land	Non-title holder(s) (informal settlers)	<p>Compensation for lost assets and other improvements made to land at full replacement cost;</p> <p>Relocation assistance (cost of shifting<sup>9</sup> and livelihood restoration assistance);</p> <p>Additional compensation for vulnerable households.</p>
3.	Loss of structures and shelters (e.g., dwelling areas/houses, kiosks, offices, staff quarters, store, garage, etc.) and other fixed assets (compound walls, tube wells, pumps shed, store etc.)	Structures on government-owned land; Structures on private land	Legal titleholders Informal settlers Non-title holders	<p>Replacement of affected structure/shelter with similar/improved facilities;</p> <p>Provision of alternative space/ facilities for similar use as at present, during period of demolition/reconstruction;</p> <p>If reconstruction is not possible due to insufficient/unavailability of land to build: New structure in the relocation area, or Replacement value of structure;</p> <p>Where actual loss of structure is partial and the remaining portion is not viable for use, compensation for whole structure, otherwise, compensation only for affected structure;</p> <p>Free transport facility or shifting assistance of Rs. 8,000 (one-time payment) to the new location;</p> <p>Right to salvage material from existing structure</p> <p><i>For tenants and non-titleholders:</i> Compensation for structures erected by tenants/squatters and encroachers to be paid directly to these them</p>

<sup>7</sup> Including option for compensation for non-viable residual portions.

<sup>8</sup> To be provided to APs relocating to a new AP-determined site, equivalent to a day's hire of a truck, including shifting within a 50-km radius (estimated to be LKR 8,000).

<sup>9</sup> To be provided to APs relocating to a new AP-determined site, equivalent to a day's hire of a truck, including shifting within a 50-km radius (estimated to be LKR 8,000).

No.	Type of Loss	Application	Definition of Entitled Person	Compensation Policy
4.	Loss of livelihood	Livelihood	Legal titleholder(s); licenced vendor, Tenant/leaseholder(s); Non-title holder(s); Hawkers, vendors, employees of commercial structure, wage labourers	Assistance for lost income for three months at net average adjusted profit of the three years immediately preceding the publication of Section 2 of the LAA on production of tax declaration documents; Assistance for lost income at LKR 15,000 for three months after the publication of Section 2 of the LAA if books of accounts or tax declaration cannot be produced; Additional compensation for vulnerable households; Consideration for project employment; Development assistance, such as land development, credit facilities, training; Transitional allowance based on three months' minimum wage rates
5.	Temporary disruption livelihood	Livelihood loss	Legal titleholders, licenced vendors Tenants, leaseholders; and Persons with non-recognisable claims (non- licenced hawkers, vendors, employees of shops, wage labour, etc.)	Compensation for lost income at replacement cost or a transitional allowance for the period of disruption whichever is greater <sup>10</sup>
6.	Damage caused to government or private property during construction	Partial or total damage to permanent structures and assets <sup>11</sup>	Legal titleholders, Tenants, leaseholders; and Persons with non-recognisable claims (informal settlers)	Replacement cost of restoring to original or better condition; <sup>12</sup> Alternative sources of water made available during the construction period (if temporary disruption in water supply service); Immediate replacement and restoration of connection (if damage to connections during pipe replacement/rehabilitation)

<sup>10</sup> All businesses identified in the project-impacted areas (sections ready for construction) on the cut-off date will be entitled to compensation for lost income based on the tax record, or, in its absence, comparable rates from registered businesses of the same type with tax records, or for shops not qualifying under these categories (hawkers, vendors, etc.), the option of using the actual income based on survey followed by a verification of the income data based on comparable incomes in the project area.

<sup>11</sup> These could include tube wells, storage tanks, walls, fences, sheds, trees, any improvements made to land, etc.

<sup>12</sup> The replacement cost of structures and other immovable properties will be determined on the basis of market cost of materials to build a replacement structure with an area or quality similar or better than those of the affected structure, or to repair a partially affected structure, plus the cost of transporting building materials to the construction site plus any labour and contractor's fee. All costs to be current for the period of actual replacement.

No.	Type of Loss	Application	Definition of Entitled Person	Compensation Policy
7.	Temporary loss of structures in the area of impact	Temporary or semi-permanent structures or stalls and other assets	Legal titleholders, licenced vendors Tenants, leaseholders; and Persons with non-recognisable claims (informal settlers, non-licenced hawkers, vendors etc.)	Replacement cost of the structure and other assets (or part of the structure and other assets, if remainder is viable); Shifting assistance from and back to the location; Right to salvage materials from structure and other assets; Additional compensation for vulnerable households
8.	Loss or temporary impacts on common resources, structures and facilities	Common resources and structures including service roads, inner roads, places of worship, playgrounds /land, footpaths/trails, culverts, water points/connections, toilets, etc.	Local community, including non-titleholders using and dependent on land/common resources and facilities	Restoration or replacement of access to lost facilities in areas identified in consultation with affected communities and relevant authorities; Provision of temporary services during construction work to avoid inconveniences
9.	Temporary acquisition and/or impacts of civil works	Temporary adverse impacts of civil works (e.g., loss of access, damage to property or land, safety hazards, impact on mobility)	Legal titleholder; licenced vendor, Tenant/leaseholder; Non-titled; Hawkers, vendors, employees of commercial structure, wage labourers; Local communities	Public notice at the site informing the people about: work schedule, likely temporary impacts, signage; contact details of the officer in charge and GRM; Cash compensation for any assets affected (e.g., boundary wall demolished, trees removed); Necessary traffic management measures for facilitating mobility; Special measures to provide access for continuing trade/business
9.	Impacts on vulnerable PAPs <sup>13</sup>	All impacts	Vulnerable PAPs	In case of income losses, vulnerable households provided with additional 25% compensation over and above actual loss or minimum wage rate, whichever is higher; Vulnerable households given priority in project construction employment (unskilled labour)

<sup>13</sup> Vulnerable APs consist of women-headed households, the very poor (those below the poverty line), the disabled, the elderly, landless families, and informal waste workers (including scavengers, waste pickers, and informal waste recyclers) whose livelihoods are dependent on informal waste-picking activities and scavenging.



No.	Type of Loss	Application	Definition of Entitled Person	Compensation Policy
10.	Any other loss not identified		Legal titleholders, Tenants, leaseholders; and Persons with non-recognisable claims (informal settlers, hawkers, vendors, employees of commercial establishments, wage labour, etc.)	Unanticipated involuntary impacts will be documented and mitigated based on principles in WB's OP/BP 4.12 and OP/BP 4.01.

## Annex V: Outline of Resettlement Action Plan (RAP)

The scope and level of detail of the resettlement plan vary with the magnitude and complexity of resettlement. The plan is based on up-to-date and reliable information about (a) the proposed resettlement and its impacts on the displaced persons and other adversely affected groups, and (b) the legal issues involved in resettlement. The resettlement plan covers the elements below, as relevant. When any element is not relevant to project circumstances, it should be noted in the resettlement plan.

### **Description of the project.**

General description of the project and identification of the project area.

### **Potential impacts.**

Identification of:

- the project component or activities that give rise to resettlement;
- the zone of impact of such component or activities;
- the alternatives considered to avoid or minimize resettlement; and
- the mechanisms established to minimize resettlement, to the extent possible, during project implementation.

### **Objectives.**

The main objectives of the resettlement program and the Resettlement Action Plan.

### **Socioeconomic studies.**

The findings of socioeconomic studies to be conducted in the early stages of project preparation and with the involvement of potentially displaced people, including the results of a census survey covering:

- current occupants of the affected area to establish a basis for the design of the resettlement program and to exclude subsequent inflows of people from eligibility for compensation and resettlement assistance;
- standard characteristics of displaced households, including a description of production systems, labor, and household organization; and baseline information on livelihoods (including, as relevant, production levels and income derived from both formal and informal economic activities) and standards of living (including health status) of the displaced population;
- the magnitude of the expected loss--total or partial--of assets, and the extent of displacement, physical or economic;
- information on vulnerable groups or persons for whom special provisions may have to be made; and
- provisions to update information on the displaced people's livelihoods and standards of living at regular intervals so that the latest information is available at the time of their displacement.

Other studies describing the following

- land tenure and transfer systems, including an inventory of common property natural resources from which people derive their livelihoods and sustenance, non-title-based usufruct systems

(including fishing, grazing, or use of forest areas) governed by local recognized land allocation mechanisms, and any issues raised by different tenure systems in the project area;

- the patterns of social interaction in the affected communities, including social networks and social support systems, and how they will be affected by the project;
- public infrastructure and social services that will be affected; and
- social and cultural characteristics of displaced communities, including a description of formal and informal institutions (e.g., community organizations, ritual groups, nongovernmental organizations (NGOs)) that may be relevant to the consultation strategy and to designing and implementing the resettlement activities.

### **Legal framework.**

The findings of an analysis of the legal framework, covering

- the scope of the power of eminent domain and the nature of compensation associated with it, in terms of both the valuation methodology and the timing of payment;
- the applicable legal and administrative procedures, including a description of the remedies available to displaced persons in the judicial process and the normal timeframe for such procedures, and any available alternative dispute resolution mechanisms that may be relevant to resettlement under the project;
- relevant law (including customary and traditional law) governing land tenure, valuation of assets and losses, compensation, and natural resource usage rights; customary personal law related to displacement; and environmental laws and social welfare legislation;
- laws and regulations relating to the agencies responsible for implementing resettlement activities;
- gaps, if any, between local laws covering eminent domain and resettlement and the Bank's resettlement policy, and the mechanisms to bridge such gaps; and
- any legal steps necessary to ensure the effective implementation of resettlement activities under the project, including, as appropriate, a process for recognizing claims to legal rights to land--including claims that derive from customary law and traditional usage

### **Institutional Framework.**

- The findings of an analysis of the institutional framework covering
- the identification of agencies responsible for resettlement activities and NGOs that may have a role in project implementation;
- an assessment of the institutional capacity of such agencies and NGOs; and
- any steps that are proposed to enhance the institutional capacity of agencies and NGOs responsible for resettlement implementation.

### **Eligibility.**

Definition of displaced persons and criteria for determining their eligibility for compensation and other resettlement assistance, including relevant cut-off dates.

**Valuation of and compensation for losses.**

The methodology to be used in valuing losses to determine their replacement cost; and a description of the proposed types and levels of compensation under local law and such supplementary measures as are necessary to achieve replacement cost for lost assets.

**Resettlement measures.**

A description of the packages of compensation and other resettlement measures that will assist each category of eligible displaced persons to achieve the objectives of the policy. In addition to being technically and economically feasible, the resettlement packages should be compatible with the cultural preferences of the displaced persons, and prepared in consultation with them.

**Site selection, site preparation, and relocation.**

Alternative relocation sites considered and explanation of those selected, covering

- institutional and technical arrangements for identifying and preparing relocation sites, whether rural or urban, for which a combination of productive potential, locational advantages, and other factors is at least comparable to the advantages of the old sites, with an estimate of the time needed to acquire and transfer land and ancillary resources;
- any measures necessary to prevent land speculation or influx of ineligible persons at the selected sites;
- procedures for physical relocation under the project, including timetables for site preparation and transfer; and
- legal arrangements for regularizing tenure and transferring titles to resettlers.

**Housing, infrastructure, and social services.**

Plans to provide (or to finance resettlers' provision of) housing, infrastructure (e.g., water supply, feeder roads), and social services (e.g., schools, health services); plans to ensure comparable services to host populations; any necessary site development, engineering, and architectural designs for these facilities.

**Environmental protection and management.**

A description of the boundaries of the relocation area; and an assessment of the environmental impacts of the proposed resettlement and measures to mitigate and manage these impacts (coordinated as appropriate with the environmental assessment of the main investment requiring the resettlement).

**Community participation.**

- Involvement of resettlers and host communities,
- a description of the strategy for consultation with and participation of resettlers and hosts in the design and implementation of the resettlement activities;
- a summary of the views expressed and how these views were taken into account in preparing the resettlement plan;
- a review of the resettlement alternatives presented and the choices made by displaced persons regarding options available to them, including choices related to forms of compensation and

resettlement assistance, to relocating as individuals, families or as parts of preexisting communities or kinship groups, to sustaining existing patterns of group organization, and to retaining access to cultural property (e.g. places of worship, pilgrimage centers, cemeteries); and

- institutionalized arrangements by which displaced people can communicate their concerns to project authorities throughout planning and implementation, and measures to ensure that such vulnerable groups as indigenous people, ethnic minorities, the landless, and women are adequately represented.

### **Integration with host populations.**

Measures to mitigate the impact of resettlement on any host communities, including

- consultations with host communities and local governments;
- arrangements for prompt tendering of any payment due the hosts for land or other assets provided to resettlers;
- arrangements for addressing any conflict that may arise between resettlers and host communities; and
- any measures necessary to augment services (e.g., education, water, health, and production services) in host communities to make them at least comparable to services available to resettlers.

### **Grievance procedures.**

Affordable and accessible procedures for third-party settlement of disputes arising from resettlement; such grievance mechanisms should take into account the availability of judicial recourse and community and traditional dispute settlement mechanisms.

### **Organizational responsibilities.**

The organizational framework for implementing resettlement, including identification of agencies responsible for delivery of resettlement measures and provision of services; arrangements to ensure appropriate coordination between agencies and jurisdictions involved in implementation; and any measures (including technical assistance) needed to strengthen the implementing agencies' capacity to design and carry out resettlement activities; provisions for the transfer to local authorities or resettlers themselves of responsibility for managing facilities and services provided under the project and for transferring other such responsibilities from the resettlement implementing agencies, when appropriate.

### **Implementation schedule.**

An implementation schedule covering all resettlement activities from preparation through implementation, including target dates for the achievement of expected benefits to resettlers and hosts and terminating the various forms of assistance. The schedule should indicate how the resettlement activities are linked to the implementation of the overall project.

### **Costs and budget.**

Tables showing itemized cost estimates for all resettlement activities, including allowances for inflation, population growth, and other contingencies; timetables for expenditures; sources of funds; and arrangements for timely flow of funds, and funding for resettlement, if any, in areas outside the jurisdiction of the implementing agencies.<sup>6</sup>

**Monitoring and evaluation.**

Arrangements for monitoring of resettlement activities by the implementing agency, supplemented by independent monitors as considered appropriate by the Bank, to ensure complete and objective information; performance monitoring indicators to measure inputs, outputs, and outcomes for resettlement activities; involvement of the displaced persons in the monitoring process; evaluation of the impact of resettlement for a reasonable period after all resettlement and related development activities have been completed; using the results of resettlement monitoring to guide subsequent implementation.

## Annex VI: Outline of Abbreviated Resettlement Action Plan (ARAP)

An abbreviated plan will cover the following minimum elements:

(a) Project Description

Identify Project location and its features.

(b) Census Survey of Displaced Persons and Valuation of Assets

Potential displacement due to proposed sub-project, assets lost and people from homes or livelihood, and methodology to be used in valuing losses to determine their replacement cost.

(c) Legal and Regulatory Framework

Describe key national acquisition, compensation, policies and donor policies, entitlements. Explain how NIRP and WB safeguard policies will be achieved.

(d) Eligibility, Description of Compensation and Other Resettlement Assistance to be provided

Describe the packages of compensation and other resettlement measures and other assistances that will assist each category of eligible displaced persons to achieve the objectives.

(e) Consultations with affected persons

Discuss the consultation and participation process in the light of NIRP and WB safeguard requirements, including on issues about acceptable alternatives.

(f) Institutional Responsibility for Implementation and Procedures for Grievance Redress

Identify main tasks and responsibilities in planning, negotiating, consulting, approving, coordinating, implementing, grievance redress, financing, monitoring and evaluation of the resettlement and rehabilitation.

(g) Arrangements for Monitoring and Implementation, and

Specify the arrangements for M&E.

(h) Timetable and Budget

An Implementation schedule will be prepared including all resettlement activities from preparation to implementation.

## Annex VII: Sample Questionnaire for Census Survey

Name of Sub Project: .....

Administrative Information the affected household is located				
1.	DS Division			
2.	GN Division			
3.	House No:			
Details of the Landowners/Claimants				
4.	Name of the landowner/claimant			
5.	Current contact address of the landowner/claimant			
6.	National Identity Card No. (only for individuals)			
7.	Contact Telephone No/s			
8.	Email address			
Details of the land identified for purchase/acquisition				
9.	Name of the land			
10.	Lot No/s			
11.	Type of title document in possession of the landowner/claimant	11.1 Deed	11.2. Permit	11.3 Other (specify)   11.4 None
12.	Registered No. of the deed/permit/other document			
13.	If no documents are available, any reason for missing documents			
14.	Type of ownership of the land	14.1 Single	14.2 Joint	14.3 Company
15.	Who are the joint owners of the land	15.1 Spouse	15.2 Children	15.3 Siblings   15.4 Parents   15.5 Others (specify)
16.	How was the ownership transferred to present owners/claimants	16.1 Inherited from family	16.2 Bought by self	16.3 Other (specify)
17.	Total extent of the land owned by the landowner/s in the same location identified for purchase/acquisition (use the relevant row)	Perches:		
		Acres:		
18.	Extent of the land required for purchase/acquisition for this project (use the relevant row)	Perches:		
		Acres:		
19.	Proportion (%) of the land to be purchased/acquired from the total land of the landowners/claimants in the same location			



20.	Current use of land to be purchased/acquired	19.1 Fallow	19.2 Scrubland	19.3 Highland cultivation	19.4 Plantations (Palmyrah)	19.5 Tourism/commercial	19.6 Other
21.	Dependents on the land to be purchased/acquired (write the numbers)	21.1 Owners	21.2 Tenants/Lessees	21.3 Sharecroppers	21.4 Labourers/employees	21.5 Others (specify)	
22.	Current market value of the land	SLRs:					
Details of Structures situated on the land to be purchased/acquired (if any)							
23.	Type of structure	23.1 Residential	23.2 Commercial	23.3 Industrial	23.4 Religious	23.5 Other (specify)	
24.	Exact location of the structure	24.1 Inside the land to be purchased/acquired			24.2 In the adjacent land of the owner/claimant		
25.	Would this structure be affected due to purchase/acquisition	25.1 Yes			25.2 No		
If affected, please include the following information							
26.	What is the degree of impact on the structure due to acquisition	26.1 Fully affected	26.2 Partially affected (Give the estimated proportion)	26.3 Permanently affected	26.4 Temporarily affected		
27.	Condition of the structure	27.1 Fully completed	27.2 Partially completed		27.3 Temporary		
28.	Floor area of the structure (sq. feet)	28.1 Less than 450	28.2 450 - 1000		28.3 More than 1,000		
29.	Construction materials used for the structure (insert the relevant code No given in the footnote)	29.1 Type of the Wales <sup>14</sup>	29.2 Type of the Floor <sup>15</sup>		29.3 Type of the Roof <sup>16</sup>		
30.	Age of the structure	30.1 Less than 10 years	30.2 10 – 20 years		30.3 Over 20 years		

<sup>14</sup> (1) Bricks; (2) Wood; (3) Concrete; (4) Corrugated Iron sheet; (5) Other

<sup>15</sup> (1) Floor Tiles; (2) Cement Floor; (3) Clay Floor; (4) Other

<sup>16</sup> (1) Roof Tiles; (2) Asbestos Sheet; (3) Tin Sheet; (4) Other

31.	Current use of the structure <sup>17</sup> (insert the relevant code No given in the footnote)					
32.	Current ownership of the structure	32.1 Titleholder	32.2 Non-titleholder (encroacher/squatter)		32.3 Others (specify)	
33.	Other persons associated with the structure (enter the No. persons in the relevant column)	33.1 Owners	33.2 Tenants/Lessees	33.3 Labourers/employees	33.4 Others (specify)	
34.	Other Facilities	34.1 Power Supply <sup>18</sup>	34.2 Drinking Water Supply <sup>19</sup>	34.3 Sanitary Facilities <sup>20</sup>	34.4 Energy Source of Cooking <sup>21</sup>	
35.	Current market value of the structure	SLRs:				
36.	Annual incomes received by the owner/claimant from the structures (if any)	SLRs:				
Type of <u>Trees &amp; Crops</u> grown on the land to be purchased/acquired						
Details		Fruit-bearing			Non-fruit bearing	
37.	Type of <u>trees</u> grown on the land to be purchased/acquired					
38.	No. of trees in each type					

<sup>17</sup> (1) Residential; (2) Commercial; (3) Multiple use; (4) Abandoned; (5) Other

<sup>18</sup> (1) CEB; (2) Solar Power; (3) Generator; (4) No Electricity

<sup>19</sup> (1) Pipe into house; (2) Pipe into Yard or Plot; (3) Public Tap; (4) Protected Dug Well; (5) Unprotected Dug Well; (6) Rainwater Collection; (7) Other

<sup>20</sup> (1) Public; (2) Neighbor; (3) Owned; (4) Other

<sup>21</sup> (1) Gas Stove; (2) Kerosene Oven; (3) Electric Oven; (4) Other

39.	Average age of each tree type								
40.	Estimated value of a single tree (SLRs)								
41.	Annual incomes received by the owner/claimant from the trees (if any)	SLRs:							
42.	Type of <u>crops</u> grown on the land to be purchased/acquired								
43.	Extent of the area cultivated with each crop								
44.	No. Seasons per year that each crop is cultivated								
45.	Annual yield in each crop								
46.	Annual incomes received by the owner/claimant from the crops (if any)	SLRs:							
Other activities & facilities within the land to be purchased/acquired (if any)									
47.	No. Fisher Camps (Vadis)								
48.	No. Fishermen in fisher camps (Vadis)								
49.	Access roads	49.1 Yes				49.2 No			
50.	No. Wells (drinking/other)								
51.	Other activities/facilities (specify)								
Socio-economic profile of the landowner or claimant									
52.	Type of household	52.1 Male Headed				52.2 Women Headed			
53.	Composition of the household	53.1 Nuclear				53.2 Extended			
54.	Ethnicity	54.1 Tamil		54.2 Muslim		54.3 Sinhalese		54.4 Other	
55. Family Details (Please use the code sheet to fill-up the columns)									

No.	Name of the family member (start from the head of the family)	55.1 Status in the family	55.2 Sex	55.3 Age	55.4 Civil status	55.5 Education	55.6 Primary source of livelihood <sup>22</sup>
1							
2							
3							
4							
5							
6							
7							
8							
9							
10							
56.	No. persons with disabilities in the family (if any)						
57.	No. dependents on the landowner/claimant						
58.	Extent of <u>other land</u> owned by the landowner/claimant (outside the area for purchase/acquisition)	58.1 Irrigated		58.2 Non-irrigated			
		Perches		Perches			
		Acres		Acres			

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<sup>22</sup> If the member is a student, please indicate it

59.	No. <u>Other assets</u> owned by the landowner/claimant (enter the number in the relevant column)	59.1 Houses	59.2 Commercial/ business units	59.3 Industrial units	59.4 Other (specify)		
60.	Estimated annual income of the landowner/claimant from all sources	SLRs:					
If the landowner is a Company, please obtain the following information							
61.	Name of the Company						
62.	Year of Establishment						
63.	Location of the Company						
64.	Nature of Business						
65.	No. Employees						
66.	Annual Turnover/Revenue	SLRs					
Willingness of the landowner/claimant to sell/for acquisition of the land							
67.	Willingness of the landowner/claimant to <u>sell</u> the land	66.1 Willing	66.2 Not willing	66.3 Needs consent of co-owners/Board	66.4 Needs time to decide		
68.	Willingness of the landowner/claimant for <u>acquisition</u> of the land	67.1 Willing	67.2 Not willing	67.3 Needs consent of co-owners/Board	67.4 Needs time to decide		
69.	How would the sale/acquisition of the land impact on the livelihoods/incomes of the owner/ claimant	68.1 No impact		68.2 Marginal impact (estimated proportion of impact)	68.3 Substantial impact (estimated proportion of impact)		
70	What kind of impacts are anticipated due to sale/acquisition	70.1 Full loss of livelihoods <sup>23</sup>	70.2 Partial loss of livelihoods	70.3 Full loss of incomes	70.4 Partial loss of incomes	70.5 Loss of property	70.6 De-valuation of remaining land

<sup>23</sup> This can include loss of employment as well.

71.	If willing to sell the land, expected price per perch	SLRs:					
72.	If acquired, cash compensation expected for affected assets	72.1 Land (SLRs)	72.2 Structures (SLRs)	72.3 Trees (SLRs)	72.4 Crops (SLRs)	72.5 Livelihoods (SLRs)	72.6 Other (SLRs)
73.	Any other resettlement assistance expected	73.1 Employment in construction work	73.2 Vocational training		73.3 Assistance to re-establish affected livelihoods		

## Annex VIII: Sample Terms of Reference for a carrying out Social Impact Assessment and preparing Social Safeguard Action Plans

### **Description of Project Background**

Based on the nature of the Project selected

### **Project Location and Activities**

Based on the location where selected Project interventions will take place

### **Objective of the assignment**

The areas of intervention towards achieving the project development objectives of the Project have been identified, and the basic framework, the Resettlement Policy Framework, comprising principles, procedures, principles and guidelines to identify and assess the potential social impacts and risks, prepare mitigation plans as part of sub-project preparation, institutional arrangements and processes to be followed for the Projects, have been prepared. In this context, the Government of Sri Lanka intends to hire well qualified professional consultants to carry out social safeguards measures including: (a) social assessment for the Project; (b) Social Screening/Social Impact Assessment (SIA), (c) Preparation of Social Impact Mitigation Plan (SIMP) for addressing non-land related social issues and adverse impacts, and (d) If needed as per the RPF prepared under the Project, a Resettlement Action Plan or the Abbreviated Resettlement Action Plan (RAP/ARAP).

The Social Assessment will help to understand key social issues, identify risks and impacts on populations, institutional and legal settings in which social safeguard measures will be planned and implemented. Based on the Social Assessment and technical design of the sub-project intervention, a Social Screening Report (SSR) will be prepared. The SSR will help determine the need for a detailed Social Impact Assessment (SIA) and other due diligence studies like the tracer survey, social audit, asset valuation as provided for in the SMF and the RPF prepared under the Project, and prepare SIMP and RAP/ARAP, if deemed necessary. The study will be within the context of the GoSL's previous experience in land acquisition and involuntary resettlement management, various policies and institutions in place, and meeting the safeguard requirements of the World Bank.

### **Specific Objectives**

- To carry out as a part of the Social Assessment a rapid review of social issues involved and prepare a broad-based social assessment of the project (focusing on components and likely activities), highlighting potential positive and negative impacts of the project. To review policy and acts/ regulations of GoSL and the World Bank (OP 4.12) in order to identify applicable provisions in the proposed project and suggest ways to fill any gap between the GoSL and World Bank requirements.

- To understand roles and responsibilities, and assess capacity of the Country institutions involved in the Project to manage social development issues including safeguards, offer guidelines for capacity development to address any gaps.
- To carry out social screening for the sub-project activities to see if there could be any adverse social impacts, and, if confirmed, carry out social impact assessment and other due diligence studies (tracer survey, social audit, asset valuation, due diligence report)
- To develop a Social Impact Mitigation Plan (SIMP) for the sub-project implementation, and if required a RAP/ARAP (fulfilling requirements of the SMF and the RPF and integrating participation and social accountability guidelines).

## Tasks

The scope of services comprises, without being limited to, the following:

*Task - 1: Social Assessment.* This will include the following:

Situation Assessment: A rapid analysis of the developmental, socio-cultural and political economic context based on information available from the government, stakeholder consultations, primary and secondary sources, and media reports relevant to the project. This analysis will briefly describe the context for the selected sub- projects, including the historical context (e.g. post conflict/peace dividends) for the growth of the country/region/locality, overall institutional environment, political economic aspects, and any conflict risks.

Analysis of Key Social Impacts, Risks and Opportunities: This section will discuss the socioeconomic and cultural profile of the people likely to benefit/be adversely affected, their interests and levels of influence on project outcomes; positive/negative impacts on the poor/ marginalized groups; role of civil society, opportunities to engage with them for better outcomes; any conflict risks that may affect implementation. Analysis of key social risks will include likelihood of involuntary resettlement, and issues of gender equality, social inclusion and social accountability. A Stakeholder Analysis will be conducted through consultations to identify and assess the role and influence various stakeholders including the impacted people.

Analysis of Legislative and Regulative Frameworks. The consultant will describe the policy context with special attention to legislations on social dimensions relevant to the Project. The consultant will also review the World Bank safeguard provisions that need to be complied with and will suggest measures to fill any gaps between the Bank and government policies.

Review of Experience in Social Management. The consultant will review the country experience in LA & R&R; vulnerable community development and social accountability in key participating institutions that will be responsible for the implementation of the sub-projects.

Institutional and Capacity Assessment. The consultant will review the existing institutional mechanisms and capacity of the involved institutions for social management including the existence of units/ focal points for addressing land acquisition, resettlement and other social dimensions; their powers, functions and effectiveness.



Analysis of Social Inclusion and Social Accountability. The Consultant will make an analysis of prevalent social accountability policies and practices promoting demand for —good governance’ (DFGG) involving downward accountability and explore opportunities for strengthening DFGG/social accountability through participation of community groups, impacted people, other stakeholders, civil society organizations (CSO) in planning, implementing and monitoring the project and the municipalities’ responsiveness and efficiency in meeting people’s needs.

*Task - 2 Social Impact Mitigation Plan (SIMP).*

Building on the findings and recommendations of the Social Assessment, the SIMP will include (a) findings from the social screening, socio-economic survey, stakeholder consultations, impact categories, types of losses, etc; (b) plans and mitigation measures for addressing non-land related risks; (c) measures for strengthening social inclusion and accountability; (d) specific plans and actions relating to consultations, information disclosure and grievance redressal; (e) planning, implementation and monitoring arrangements to address social development issues and risks; (f) budget and timeline for implementation of activities in the SIMP with clear identification of tasks for the contractor, supervision consultant, project implementing partners, Developers and the relevant line Ministry/Agency.

*Task -3 Social Impact Assessment and Resettlement Planning*

The Consultant will as per the SMF and the RPF undertake social screening/SIA of the sub-project, including other relevant due diligence studies (e.g., tracer survey, social audit, asset valuation, etc). Based on the findings of these reports, prepare RAP/ARAP, as required. The RAP/ARAP will include, at the least:

- Principles and objectives governing resettlement preparation and implementation;
- Findings from the social screening, socio-economic survey, stakeholder consultations, impact categories, types of losses;
- Estimation of impact categories and affected population, and guidelines for recording additional impacts
- Entitlements Matrix for provisioning compensation and rehabilitation assistance for losses to assist the affected people in various categories to re-establish their living conditions including shelter and livelihoods meeting the World Bank safeguard policy and country legal requirements.
- Principles and criteria relating to: cut-off date for compensation; define criteria and authority for determining eligibility for different impacted categories of people to receive LA and R&R benefits; valuing the affected land and assets,
- Guidelines for site selection, site preparation and relocation of displaced households; legal arrangements for regularizing tenure;
- Guidelines for post-resettlement support including housing, infrastructure and social services to the relocated people and capacity enabling them to re-establish and sustain their living conditions;

- Institutional arrangements including organizational procedures for delivery of the entitlements, including responsibilities of the government and other stakeholders including NGOs in the implementation process, linking resettlement implementation to civil works; and organizational responsibilities for planning, implementing and monitoring RAPs; sequencing activities with a flow chart outlining planning and implementation process
- Procedures for consultation, information disclosure and grievance redress mechanism;
- Process for approving, implementing and monitoring resettlement plans, with specific timeline and budget

### **Deliverables.**

The deliverables will include the following:

- Inception Report, including a work plan presenting the methodology for Social Assessment, SMF and SIA for Stage 1 activities as per the ToR. (9 copies).
- Social Assessment Report, along with a comprehensive consultation report as Annex describing all consultations held for this assignment, explaining methodology and types, key data on type of meeting, stakeholder groups met, number of participants, date, location, photographs etc; key issues discussed.
- Social Impact Assessment Report, and if relevant, other due diligence reports from the tracer survey, social audit and asset valuation.
- Social Impact Mitigation Plan that is approved by the line Ministry/Agency and cleared by the Bank
- Resettlement Action Plan or an Abbreviated Resettlement Action Plan (RAP/ARAP) that is approved by the concerned line Ministry/Agency and cleared by the Bank

### **Methodology.**

The methodologies to be followed by the consultant in this assignment include review of relevant documents & secondary information, interactions and consultations with stakeholders; and field visits and community interactions. Consultant will develop detailed methodology and work plan in the inception report, which will be discussed and agreed with the client. The Consultant should pay special attention to the safeguard policies and practices adopted by GoSL for externally funded projects.

### **Duration of the service**

The time period required for this assignment is envisaged to be 4 months.

### **Qualification of Expert**

The consultant/s should include a team leader and Social Development experts with experience in resettlement, community development, and social inclusion/accountability, with higher degree in Social Sciences. In particular:

*Team Leader:* a senior specialist, with at least ten years of experience in Social Development, He/ she should have delivered Social Assessment, SMF, RAP earlier for external donor funded projects. Experience in urban resettlement, community development shall be considered an added qualification. He/she should also have proven ability to command a team and ensure targets and deadlines are met and to ensure quality of outputs meet client expectation, and demonstrated proficiency in writing and speaking in English. He/she is expected to have experience with the application of good-governance tools such like citizen/community score cards, participative monitoring and evaluation, grievance redress and complaint handling, conflict mediation, information, education, communication, etc.

*Social Development Specialist,* with at least 5 years' experience in the field, working with poor urban communities, organizing surveys and managing interaction with communities and civil society. Prior experience with the application of good-governance tools such like citizen/community score cards, participative monitoring and evaluation, grievance redress and complaint handling, conflict mediation, information, education and communication is a plus.

*Social Development Analyst,* with relevant degree in social science and demonstrated proficiency in writing and speaking in English

The Consultant should explain in advance, in the inception report, the team it will mobilize to deliver the above tasks, especially the Task-3, which will require census survey.

**Estimated input of professional time**

The total estimated level of effort for this assignment is estimated to be 26 staff weeks (excluding the time of surveyors).

Position	SA	SMF	SIA for Phase I
Team Leader	4 weeks	6 weeks	2 weeks
Social Development Specialist	2 weeks	2 weeks	2 weeks
Social Development Analyst	4 weeks	2 weeks	2 weeks

**Other Information**

The consultants are advised to refer to the following World Bank policies in addition to any other resources that they may deem fit: OP 4.12 Involuntary Resettlement & OP 4.11 Physical Cultural Resources. Involuntary Resettlement Sourcebook; the consultant may refer to [www.worldbank.org/socialanalysisourcebook](http://www.worldbank.org/socialanalysisourcebook).

## Annex IX: Sample Terms of Reference for Hiring External Monitoring and Review Consultants

**Objective:** A Resettlement Policy Framework (RPF) has been prepared as per National Involuntary Resettlement Policy (NIRP 2001) and the World Bank Operational Policies (social safeguards) to identify and mitigate possible disruptions to the resettlement process and therein for easy involuntary resettlement of the displaced. The RPF is disclosed on reference.

The RPF has provisions to provide the affected families with compensation and rehabilitation support by engaging consultants to assess impacts and prepare plans and External Consultants to facilitate community participation, income restoration, and enhance accountability of the implementation process. This ToR details the scope of tasks and deliverables expected of the prospective consultants in this regard together with the reporting arrangements and timeframe. The MPCLGS invites Expressions of Interest (EOI) from well-established consultants with substantial experience in rural/urban resettlement issues, rural/urban governance, and income generation to assist in the R&R process.

**Reporting Arrangements:** The consultants will work at the project level under the supervision of Project Director and Deputy Project Director (Social) of the concerned line Ministry/Agency. The respective department/units of the line Ministry/Agency will provide overall policy and training support to consultants, the actual execution will be done by the local authorities attached to the ministry in coordination with the Bank.

### Scope of Work:

- Strengthen people's awareness regarding the project, their rights and entitlements;
- Strengthen participation of APs in livelihood and income restoration activities;
- Strengthen transparency in the LA and RR through social accountability measures such as community display boards, information dissemination, and regular consultation;
- Strengthen women's participation in R&R process with special focus on livelihoods;
- Assist in identifying and enabling vulnerable families to cope with resettlement;
- Assist in providing post resettlement support to the relocated families; and

The employer may assign such other assignments relevant to strengthening social inclusion and equity in the R&R process as required.

### Specific Tasks:

**Relocation Support:** The consultant will assist with facilitating smooth relocation of affected people from the affected site to the resettlement sites and help them to re-establish their shelter and businesses, and monitor and document the process. It will provide women headed and vulnerable displaced families with need-based capacity building support in addition to R&R benefits.

**Information, Education and Communication:** The consultants will assist in IEC activities through public meetings and consultations with the AP and vulnerable groups and their organisations like CBO. The

consultant will establish rapport with APs and inform them about their entitlements provisioned in the RPF and RAPs. It will raise their awareness regarding documentation and procedures to receive their rights and benefits. The consultant will organize AP beneficiary groups and inform and consult on the program and dispel misinformation. The consultant will facilitate AP interactions with the Project personnel and local authorities. Consultant will organize monthly meetings with APs at pre-disclosed time and locations. Decisions taken in these meetings will be documented and submitted to concerned line Ministry and Agency as well as private partner and other partner agencies as part of monthly progress reports.

AP Identification and Verification: The consultant will cross verify through consultation with community groups the list of eligible vulnerable families and squatters and assist in issuing ID cards to the APs eligible. The consultant will also act as a medium for recording AP grievances and informing the concerned government institution/ private partner and other partner agencies for action.

Hand Holding Support for Livelihood/Income Restoration: The consultant will assist the APs in opening bank accounts; counsel them regarding utilization of the R&R assistance, educate them about investment options and enable them to restore their incomes. For this purpose, the consultant will advise the Project to disburse R&R package in a manner that will economically benefit them most. Consultant may form local thrift and credit groups, help APs with skill training for income generation.

Coordination and Mainstream Linkage: The consultant will coordinate with government/other mainstream institutions to strengthen socio-economic development of the resettled families and enhancing their access to welfare and income schemes.

## Annex X: Template for Legal Contract for Voluntary Land Donations

The following agreement has been made on.....day of .....between Mr./Ms  
.....aged ..... Resident of .....  
GN.....District.....the grandson/daughter of ..... and son/daughter of  
.....

1. That the land with certificate no.....is a part of .....is surrounded from  
eastern side by .....western side by .....

on northern side, by ..... and southern side by .....

2. That the owner holds the transferable right of ..... (unit of land) of  
land/structure/asset .....

3. That the owner testifies that the land/structure is free of squatters of encroachers and not  
subject to any other claims.

4. That the owner hereby voluntarily grants to the.....this asset for the  
construction and development of .....in.....GN/Location, .....  
supported by the Agriculture Sector Modernization Project for the benefit of the community.

5. That the owner will not claim any compensation against the grant of this asset nor obstruct the  
construction process on the land in case of which he/she would be subject to sanctions according to law  
and regulations.

6. That the PMU/MoA/MoPI agrees to accept this grant of asset for the purposes mentioned and  
the voluntary nature of the transfer of the asset.

That the agency (name of subproject executing agency)/.....shall construct and develop  
infrastructures under the project and take all possible precautions to avoid damage to adjacent  
land/structure/other assets.

7. That the provisions of this agreement will come into force from the date of signing of this deed.

Signature of the Owner Signature of Grama Niladhari

Signature of the Divisional Secretary/ Chairperson, Local Authority

Witness:1 .....

Witness: 2.....

## Annex XI: Summary of Public and Stakeholder Consultations

### Minutes of Consultations with Public Officers and Civil Society in Northern and Eastern Provinces

Date: 09 March 2018

Venue: Conference Hall, ACLG Office, Vavuniya

Participants: 47 Persons including Commissioner of Local Government, Assistant Commissioners of Local Government, Community Development Officers, Technical Officers, Development Officers, Investigation Officers, Management Assistants, Social Audit Committee members and Key officers of Community Centres as civil society representatives. Participants were from the districts of Jaffna, Mannar, Mullaitivu, Kilinochchi, Vavuniya, and Batticaloa.

The consultation meeting was chaired by Mr. Darsana Samarakoon, Director/ Planning and Project Coordinator/ LSDP who conducted the discussion after a brief introduction of the project.

Purpose of Consultation: Introduce the proposed project; Obtain feedback on the draft ESMF and RPF

#### Highlights of the Consultation

	Issues Raised	Responses Provided	Proposed Actions to Address Issues
1	Physical area for CDO to cover	Some LAs are twice as big as DS Division (e.g. Pudukudi Irruppu) Some CDOs have to cover up for a second LA	Muster all LA officers and go as one team to sites for screening
2	What is the staff strength of LA?	General staff strength is limited to: 1 Community Development Officer, 1 Technical Officer, 1 Revenue Officer, 1 Management Assistant, 1 Development Officer, 1 Administrative Secretary	Obtain support from the Divisional Secretary, especially GN, Economic Development Officer, Samurdhi Officer, Development Officer
3	Conducting social screening of sub projects and documentation	CDO can do because only one or two interventions per LA, and these are small projects not needing SIA; Writing report in English for submission to World Bank is a problem; Previous reports were done by CDO in Tamil	Assign key responsibility to CDO; Documentation in mother tongue is acceptable; Endorsement and signatures of responsible officers important
4	Involving DS in safeguard management	DS has many officers attached to the village level, but most of them are of little or no use	Involve the four key officers – GN, Samurdhi Officer, Economic Development Officer, Rural Development Officer; Give a central role to GN
5	Undertaking environmental assessments and implement plans	EP has an Environmental Officer, and DS also has environmental officers; LAs do not have such officers; Officers are aware of the Environmental Act	Involve DS and arrange for EO to engage
6	Conducting social impact assessments, surveys and writing resettlement action plans	District Office (ACLG office) can do this; In EP, there is also an Environmental Officer	Local Government Assistant assisted by the Development Officer, with support from LA CDO and other officers

7	Conducting social impact assessments, surveys and writing resettlement action plans	PIU to do it with support from District Secretary, WRDS, RDS, elected members, District Statistical Officer, Director of Planning, District Agriculture Department, Agrarian Development Department and Fisheries Instructor and CDO	PIU to undertake assessments and documentation; Provincial Specialist to analyze data and write the report
8	Conducting social impact assessments, surveys and writing resettlement action plans	DS can take responsibility because he has all the resources and information	Divisional Secretary
9	Data collection and identification of the poor and vulnerable families	Societies such as RDS, FOs and Samurdhi Groups should be involved in data collection and identification of poor and vulnerable	Involve CBOs in village data collection especially to identify poor and vulnerable
10	There are unused completed projects under NELSIP; any ideas for livelihood projects that can be immediately implemented?	There are many potential sub projects	Coconut nursery for Mullaitivu; Ambalavanar fishery development for female headed households; Vavuniya South fodder cultivation on land to sustain cattle farming; Energy production from waste in Batticaloa for household energy production

## Minutes of Consultations with Public Officers and Civil Society in Eastern and Uva Provinces

Date: 12 March 2018

Venue: Conference Hall, ACLG Office, Moneragala

Participants: 36 Persons including Community Development Officers, Technical Officers, Development Officers, Investigation Officers, Management Assistants, Social Audit Committee members and Key officers of Community Centres as civil society representatives. Participants were from the districts of Ampara, Badulla, Moneragala and Trincomalee.

Officers from Batticaloa district and CLG office of Trincomalee participated in the consultation session held in Vavuniya on 09 March 2018.

Assistant Commissioners of Local Government of the districts of Badulla, Ampara and Moneragala were not present due to the date clashing with a meeting in Colombo for which they had been called up.

The consultation meeting was chaired by Mr. Darsana Samarakoon, Director/ Planning and Project Coordinator/ LSDP who conducted the discussion after a brief introduction of the project.

Purpose of Consultation: Introduce the proposed project; Obtain feedback on the draft ESMF and RPF prepared for the project.

### Highlights of the Consultation

1	Issues Raised	Responses Provided	Proposed Actions to Address Issues
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2	Physical area to cover: Manageable or too large for one officer?	Some LAs are large while others are small, and the cadre is not filled. As a result, some CDOs have to cover up duties in other LAs.	Normally, only a few activities here and there and one officer can handle; Because there are only a few officers at LA, normal practice is for all to get together and work. For LSDP requirements also all LA officers can go as one team to the field; Depending on the financial allocation for LA, prioritize sub projects at the office and undertake site visits to the selected few only; If each and every proposed sub projects to be screened, the project should facilitate travel and subsistence
3	Joint work with DS	DS carries out rural development work such as rural roads on its own and hands over to LA for maintenance. It is their mandate as well, and LAs do not have funds to do all	Good if they consult LA
4	Obtaining services of officers of DS Office	LA pays the DS officers an allowance out of LA funds, if engaged in LA work; Project work is considered outside work involving additional work to be done in a given time frame, which cannot be undertaken unless facilitated. DS has many officers who are meant to work in villages but they work from the DS office, not in villages	For project work, the project should pay allowances; Obtain support from the Divisional Secretary; For fieldwork, obtain assistance from the four active DS officials only – especially GN, Economic Development Officer, Samurdhi Officer, Development Officer; Give a central role to GN; Involve Agricultural Research & Development Officer because livelihoods are connected to agriculture; Also involve Social Services Officer for monitoring livelihood development projects as the project targets the poor and the vulnerable
5	What is the staff strength of LA?	General staff strength is limited to: 1 Community Development Officer, 1 Technical Officer 1, Revenue Officer / Investigation Officer 1, Management Assistant 1, Development Officer 1, Financial Assistant 1, Administrative Secretary1. (Urban Councils and Municipal Councils have more staff including Local Government Assistant)	For limited periods for project work, Provincial Council may assign officers

6	Undertaking social investigations	LA staff is experienced and knowledgeable about surveys and participatory planning such as NELSIP project planning. But new officers have come, and they are not knowledgeable about LAs and their work;	Conduct capacity building programmes
7	Information sharing when the project is yet in the preparatory stage and not complete	NELSIP requirements came at different stages after sub project implementation began;	It is good to create awareness from the beginning, but this is still inadequate to properly respond without knowing crucial financial information
8	For the people and officers the word “Livelihood Development” means giving away sewing machines, implements, seeds and planting materials, and training	People will expect various assistance and handouts, and the officers will have to deal with this. Moving off the track of LA mandate to support livelihood development will require strong emphasis on coordination during planning and implementation because it is a very difficult task as the two systems are different	Consult people, engage in diagnoses, and involve in planning and prioritize them for project assistance; Undertake infrastructure linked to livelihood development; Involve DS representative for joint monitoring and coordination
9	Whatever planning we do with people’s participation will be of no use as the politicians will rule over	With the new councils established with elected members, and the numbers being twice as many it will be much harder to get them to respect the plan; Additional demands for quick implementation will be there because of the elections to be held in the near future.	Undertake awareness programmes to convince them and get their commitment
10	World Bank is hypersensitive to land matters and acquisition whereas land belongs to LAs and the government and the people are squatters only	In the end LAs will not be able to implement anything, if the squatters are to be resettled first	Select sub projects and locate them based on LA land ownership and potential for obtaining State land; Just restrict to LA mandate and avoid complexities of involving land acquisition and the DS
11	Meeting the World Bank requirements sometime affects the officers adversely	World Bank wants sub projects completed to be put to public use, but the officers who did that were subject to show cause and transferred; There are several NELSIP completed sub projects that are yet to be declared open	Compromise may be reached at the top level to allow for a waiting period to include formal opening by the political authorities

12	Report writing in English to submit to World Bank is a problem	No such compulsion; World Bank has local staff	Mother language OK
13	Conducting initial screening and report preparation	Format needed. Based on WB format SSR were prepared for NELSIP for the selected projects by the CDO and other officers of LA. Project Appraisal Team at the district level ACLG office recommended it, ACLG signed and submitted to CLG	CDO plays key role with assistance from other officers of LA. If PAT team available, the district office can do quality checks. SSR can also be done by Farmer Organizations
14	Social Impact Assessment, Preparation of Report; Preparation of RAP	LA Officers are experienced in conducting surveys. Format and training needed. Only one or two sub projects will need SIA; therefore feasible	CDO to play key role; LA and DS staff to assist; Community based organizations to assist (Farmer Organizations already have land details; DS has most data needed; Community Centres can also collect information)
		District Office (ACLG office) can do by sending PAT members	PAT Members of LA to visit the sites assisted by LA and CBOs for information collection; Draft reports at the district level; Final reports at the Provincial Level
		DS office has all the data and staff strength	Form Special Project Committee at DS and deploy DS officers under Assistant Director/ Planning. Key responsibility with the AD/P and LA to assist
		CDO can collect information for Provincial Specialist to write the report; He will play a key role in community consultations and local planning anyway; Involving other agencies for project implemented by MPCLGS will create unnecessary complexities	Keep key responsibility with LA, obtain assistance from other LA officers; Assign Rap preparation to specialist at the provincial level; Supervision, guidance and finalization of RAP as well as the SIA Report at the PCU by the Social Safeguard Specialist recruited for the project



Figure 3. Section of Participants at the Consultation with Local Government Officers and Civil Society in UVa and Eastern Provinces, 12 March 2018

2018.03.12 දින LDSP ව්‍යාපෘතිය මඟින් පළාත් පාලන සහකාර කොමසාරිස් කාර්යාලයේ පවත්වන ලද වැඩ මුළුව.

පැමිණීමේ ලේඛණය.

අ.අ.	නම	තනතුර	ආයතනය	අත්සන
01	දිසානු චන්ද්‍රසේන	අධ්‍යක්ෂ (ප්‍රධාන)	N.S.V.V., විද්‍යාගාරය	
02	ගනීති විජේසේන	ප්‍රධාන (වෙනත්)	ලෝක බැංකු, කොළඹ	
03	R.M. රණසිංහ	ලේකම්	සමස්ත පාලන කොමිෂන් ම. 0300	
04	H.M. සේනාරත්න	ප්‍රධාන	"	
05	N.B. ඔහු	ප්‍රධාන	"	
06	E.A.P. ජයරත්න	ප්‍රධාන	"	
07	T.G. ගේනේරා	ප්‍රධාන	"	
08	D.M. කුමාරසිංහ	ප්‍රධාන	"	
09	W.G.P. Abeyaratne	C.D.O	A.C.L. office Ampara	
10	H.M. සේනාරත්න	C.D.O/HQ	A.C.L. office - Ampara	
11	සුභාෂිතා	ප්‍රධාන	"	
12	බී.එස්.සේනාරත්න	ප්‍රධාන	"	
13	D.K.B. සේනාරත්න	C.D.O.	"	
14	D.M.C. විජේසේන	ප්‍රධාන	"	
15	P.K. සේනාරත්න	ප්‍රධාන	"	
16	R.M. සේනාරත්න	ප්‍රධාන	"	
17	M.D. රණසිංහ	ප්‍රධාන	"	
18	G.A.P. සේනාරත්න	ප්‍රධාන	"	
19	D.M.P. සේනාරත්න	ප්‍රධාන	"	
20	E.M.V.W. සේනාරත්න	ප්‍රධාන	"	
21	L.J.H.C. සේනාරත්න	ප්‍රධාන	"	
22	K.H.N.H. සේනාරත්න	ප්‍රධාන	"	
23	D.M.P. සේනාරත්න	ප්‍රධාන	"	
24	W.N.P. සේනාරත්න	ප්‍රධාන	"	

Figure 4. Signature List of Participants

2018.03.12 දින LDSP ව්‍යාපෘතිය මගින් පළාත් පාලන සහකාර කොමසාරිස් කාර්යාලයේ පවත්වන ලද වැඩ මුළුව.  
පැමිණීමේ ලේඛනය.

අ.අ.	නම	තනතුර	ආයතනය	අත්සන
25.	P. C. ඩිල්ලිනි දිසිල්වා	බලාපොරොත්තු නිලධාරී	ප. පා. ස. කො. කාර්යාලය	
26	R.M.P. රත්නසේන	සංවර්ධන නිලධාරී	ප. පා. ස. කො. කාර්යාලය	
27	සමසිරිසේන	විද්‍යා-ප්‍රජානාදායක - ව්‍යාපාරික නිලධාරී		
28.	ආ. ආ. ප්‍රදේශ නිලධාරී	කුසල නිලධාරී (කොමන්ඩ් ඒ. පාලන)	කොමන්ඩ් - ප්‍රදේශ පාලන	
29	J. C. ප්‍රසාද්	කාර්ය නිලධාරී (සේවා)	පළාත් පාලන සහකාර කාර්යාලය	
30	R.M.N. ඔබ්බේ	කාර්ය නිලධාරී	පළාත් පාලන සහකාර කාර්යාලය	
31.	C.A.N. එස්. ආර්චී	නිලධාරී	— නිල —	
32	M.H.C. ප්‍රදේශ නිලධාරී	සංවර්ධන නිලධාරී	ප. පා. ස. කො. කාර්යාලය	
33	H.H.D. සුනිල් කුමාර	සංවර්ධන නිලධාරී	— නිල —	
34	R.M.K. සේනාරත්න	— නිල —	— නිල —	
35	ආ. ආ. ප්‍රදේශ නිලධාරී	නිලධාරී	පළාත් පාලන සහකාර කාර්යාලය	
36	K. ආර්චී	සංවර්ධන නිලධාරී	පළාත් පාලන සහකාර කාර්යාලය	
37	ආ. ආ. ප්‍රදේශ නිලධාරී	නිලධාරී	පළාත් පාලන සහකාර කාර්යාලය	
38	D.M.S. දිසිල්වා	නිලධාරී	පළාත් පාලන සහකාර කාර්යාලය	
39	ආ. ආ. ප්‍රදේශ නිලධාරී	නිලධාරී	පළාත් පාලන සහකාර කාර්යාලය	
40	A.M. ප්‍රදේශ නිලධාරී	නිලධාරී	පළාත් පාලන සහකාර කාර්යාලය	

Figure 5. Signature List of Participants