

Resettlement Framework

Resettlement Framework
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CURRENCY EQUIVALENTS

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ABBREVIATIONS

ADB	–	Asian Development Bank
CKD	–	Chronic kidney disease
DSC	–	Design and Supervision Consultant
GRC	–	Grievance Redress Committee
GRM	–	Grievance Redress Mechanism
LAA	–	Land Acquisition Act
LGESP	–	Local Government Enhancement Sector Project
MPCLG	–	Ministry of Provincial Councils and Local Government
NEA	–	National Environment Act
NGO	–	Nongovernmental Organization
NIRP	–	National Involuntary Resettlement Policy
PMU	–	Project Management Unit
RAP	–	Resettlement Action Plan
SPCU	–	Subproject Coordinating Unit
SPS	–	Safeguard Policy Statement

NOTE

In this report, “\$” refers to US dollars.

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I. INTRODUCTION

1. The Local Government Enhancement Sector Project (LGESP) is a key infrastructure initiative of the Government of Sri Lanka, and aims to improve local infrastructure, and services delivered effectively by local authorities in less developed areas in Sri Lanka. Participating local authorities will implement subprojects in the areas of roads and bridges, water supply and sanitation, drainage, solid waste management, and other basic facilities including health centers and public markets. Funds for these subprojects will be obtained as grants from the Ministry of Provincial Councils and Local Government (MPCLG). To continue the support to the initiatives of the Government through the current project and on solving the problems in areas affected by Chronic Kidney Diseases (CKD) and further the support in service delivery improvement and capacity building in local authorities, Asian Development Bank (ADB) and government have agreed on an additional financing component which will (i) support implementation of water supply schemes in areas affected by CKD and enable the availability of safe drinking water to the vulnerable section of these areas; (ii) support infrastructure delivery in additional pradeshiya sabhas; and (iii) extending the support for capacity building initiatives under the project.

2. Most physical work associated with subprojects will take place within existing government-owned locations and minimize involuntary resettlement impacts (land acquisition and physical or economic displacement of people). During project preparation, assessments and field observations for identified subprojects reveal that there are remote possibilities of resettlement impacts in any of the subprojects. Appendix 1 provides details of subprojects taken under the Project. Appendix 2 provides Terms of Reference (ToR) of third independent party and a template for any land donation or negotiated settlement for land purchase for future subprojects. Appendix 3 provides resettlement categorization for the three sample subprojects and it shows there are no resettlement impacts. All subprojects in output 1 and output 2 of the additional financing are most likely to follow the same pattern where there are no significant resettlement impacts. Because the Project will use a sector approach, subprojects will be prepared for local authorities and National Water Supply and Drainage Board water supply extensions and new schemes. Resettlement plans will be prepared for subprojects resulting in involuntary resettlement in accordance with this resettlement framework.

II. OBJECTIVES, POLICY FRAMEWORK, AND ENTITLEMENTS

3. **Objectives.** This resettlement framework ensures the preparation and implementation of a resettlement plan to mitigate any potentially adverse subproject impacts due to involuntary resettlement. Involuntary resettlement applies to full or partial, permanent or temporary physical displacement (relocation, loss of residential land, or loss of shelter) and economic displacement (loss of land, assets, access to assets, income sources, or means of livelihoods) resulting from (i) involuntary acquisition of land, or (ii) involuntary restrictions on land use or on access to legally designated parks and protected areas.

4. This resettlement framework provides entitlements for three types of displaced persons: (i) title holders who lost land due to the subproject; (ii) persons who do not have formal legal rights to the land they occupy and lost due to the subproject, but have claims to the land that are recognized or recognizable under Sri Lankan laws; and (iii) persons who lost land they occupy due to the subproject and have neither formal or recognized or recognizable claims to the land.

5. **Policy Framework.** This resettlement framework is based on review and analysis of all applicable laws and regulations of Sri Lanka and ADB's Safeguards Policy Statement (SPS), 2009. A summary of laws and regulations is in following paragraphs.

A. National Laws and Regulations

6. **The Land Acquisition Act of 1950 (LAA) and Subsequent Amendments and Regulations.** The LAA of 1950 is the most important legal provision which spell out the land acquisition process in Sri Lanka. It has several amendments, the latest being the version of 1986 and the regulations 2008 gazetted as No 1585/7 on 20 January 2009.

7. The procedure for land acquisition and payments of compensation for acquired lands by the government for public purposes are laid down in the LAA. It provided the payment of compensations at market rates for lands, structures and crops. In Chapter 460 of the LAA the procedure is explained in the following manner:

- (i) Preparation of acquisition proposal by the requesting agency and submission to the Ministry of Lands and Land Development.
- (ii) Registration of the proposal by Ministry of Lands and Land Development, posting of notices by the relevant secretaries and conduct of advanced training by the Survey Superintendent (Sections 2, 248 and 249.).
- (iii) Investigation and calling for objections. (Sections – 4, 4.3, 38a, 250, 251, 252.).
- (iv) Deciding to acquire the land. (Sections – 5, 6, 253, 254, 255).
- (v) Inquiry into claims and payment of compensation (Sections 7, 7.2, 9, 10.1a, 17, 255, 256, 257, 259, 261).
- (vi) Taking over of possession after the acquisition (Sections 38 in case of emergency acquisition and 262).
- (vii) Vesting of certificates (Sections 44.1 and 267).

8. The most important steps of the land acquisition process described in the LAA can be summarized below:

- (i) A notice to be issued explaining the purpose of acquiring the land.
- (ii) Declaration also has to be issued specifying the purpose of acquisition and describing the land and requiring the parties to notify the acquiring officer to make their claims in writing including the expected amount of compensation.
- (iii) Acquiring officer (Divisional Secretary of the area) holds an inquiry into the market value of the land, the claims for compensation and the legality of claimants (advised by valuation officers).
- (iv) Acquiring officer either makes the decision on the claims or refers the claims to be District Courts of Primary Courts.
- (v) Following the decision (either by the acquiring officer or the Courts) the acquiring officer makes an award after determining the persons who are entitled to compensation deemed to be allowed for the acquisition and apportionment of the compensation among the persons with interest and;
- (vi) In the event of a dispute over the determination it may be appealed to either the Compensation Review Board or Court of Appeal within 21 days of the receipt of the notification of the award. If there are no appeals the compensation will be paid.
- (vii) After making the awards, the Land Minister publishes of gazettes a “Vesting Order” for the possession of the land and the occupants have to vacate the land.

9. The Land Acquisition Regulations, 2008, gazetted on 20 January 2009 stipulates the basis of assessing the market value of any land or the compensation caused by the acquisition of any land under LAA. Market value should be assessed:

- (i) In the case of land where part of the land is acquired and when its value is a value proportionately lower than the market value of the main land, the

- compensation should be made proportionate to the value of the main land.
- (ii) Where the date of intention to acquire was published, the building is used for occupation and or business purposes or is intended to be used for occupation and or business purposes, the difference between the cost of reconstruction and the value of building, based on determination of market value under section 1.1 should be paid as additional compensation.
- (iii) Value based on development potential could be considered for paddy lands acquired where permission to fill such lands have been granted by the Agrarian Services Commissioner General.
- (iv) When an acquired building is occupied by a tenant/statutory tenant protected under the provisions of the Rent Act No.7 of 1972 (as amended thereafter) the compensation should be ascertained in proportion, having regard to the provision of Rent (Amendment) Act No. 26 of 2006.

10. Injuries affection and severance is to be determined as damages caused by any severance and injuries affection should be allowed full payment of disturbances and other expenses.

11. To fulfill the requirement of the definition of compensation, in addition to the compensation under Sections 1 and 2 above which are based on “market value” compensation for disturbances based on “value to owner” should be paid under the following subheadings, after taking into consideration written claims made.

- (i) Expenses incurred for appearing for the section 9 inquiry;
- (ii) Expenses for finding alternative expenses;
- (iii) Cost incurred in change of residence;
- (iv) Cost of advertising;
- (v) Re-fixing cost of fixtures and fittings;
- (vi) Expenses incurred for transport;
- (vii) Loss of earning from business (within limits given in Prevailing Act);
- (viii) Increased overhead expenses;
- (ix) Double payments;
- (x) All other expenses to the owner due to the acquisition;
- (xi) Any other additional expenses for disturbance or compensation not connected under any other subsection of LAA which is not directly connected to market value of the land; and
- (xii) When an owner of a house or of an investment property is displaced, an additional 10% payment based on market value.

12. The acquisition process is a complex and laborious process with discrete steps, and no government agency or department can deviate from the stipulated process in the LAA of 1950 and subsequent amendments, revisions and regulations.

13. **Land Development Ordinance (1935).** By virtue of this ordinance and its subsequent amendments, households that are occupying crown land may request permission from the Divisional Secretary to be regularized on the land. The Acquiring Officer (Divisional Secretary) makes an investigation and may recommend giving a one year permit initially, if the land is not reserved land or not required for any other government purpose. Subsequently, the person may be given a long lease which constitutes legal title without right to disposal. The term for such titles is *Swarna Boomi* or *Jaya Boomi*.

14. There are two categories of encroachers into crown land: (i) middle income category, the households that have other agricultural land and (ii) lower income category and landless households. By virtue of this ordinance landless households will be given special consideration for allocation of Crown land that is not reserved land.

15. **State Land Ordinance No. 8 of 1947.** This Ordinance is known as the State Land Ordinance No. 8 of 1947, Section (b) of the ordinance explains that land grants which can be made, and rents to be obtained for the grants. It is mentioned in Section 22 that the period is up to 50 years only and the prescribed form given in the ordinance should be filled and signed. A person seeking crown land has to appeal to the Government Agent of the area. Such person has to pay the rent decided by the land commissioner or the Government Agent of the area. Provisions have also been provided to officers such as General Manager Railways and Chairman of the Colombo Port to rent out lands under their purview, under special circumstances.

16. **Prescriptive Ordinance No. 22 (1871).** Under Sections 3 and 13 of this ordinance households who have encroached into private land and have been occupying the land for at least 10 years may apply through the courts for prescriptive rights to the land.

17. **National Environment Act No. 47 of 1980 (NEA).** There are some provisions in the NEA Act No. 47 of 1980, with the amended Act No. 56 of 1988 which refers to Involuntary Resettlement. The Minister in charge of the subject of environment has prescribed projects and undertakings for which approval is necessary under the Provisions of the NEA.

18. The Minister by gazette notification No. 858/14 of 23 February 1995 has determined the types of projects and undertakings which need the approval under the terms of the NEA. The schedule includes item 12 which refers to “involuntary resettlement exceeding 100 families, other than resettlement resulting from emergency situations”.

19. The LAA provides compensation only for land, structures and crops and provisions are not available to address key resettlement issues to mitigate or avoid impacts on people resulting from land acquisition. In addition, non-titled people and other dependents on land cannot be assisted under the LAA.

20. To address the gaps in the LAA in addressing the key resettlement issues such as exploring alternative project options that avoids or minimize impacts on people, the government (through the Cabinet of Ministers) adapted the National Involuntary Resettlement Policy (NIRP) on 24 May 2001. The NIRP which is prepared with the objective of avoiding, minimizing and mitigating negative impacts of involuntary resettlement by facilitating the reestablishment of the affected persons on a productive and self-sustaining basis, highlights the need for consultation of affected persons and their participation in the resettlement process actively and on preparation of resettlement plan. The NIRP also mentions that the Central Environmental Authority will review and approve resettlement plans prepared by the project executing agencies and the plans will be publicly available.

21. In addition, to NIRP the multilateral financing institutions such as ADB and World Bank have similar safeguard policies on issues regarding land acquisition and resettlement. The World Bank’s policy on Involuntary Resettlement is reflected in operational policy/bank procedure (op/BP) 4.12, December 2001. ADBs policy is in SPS 2009.

22. **National Involuntary Resettlement Policy (NIRP) 2001.** Various public and private sector development projects causes acquisition of lands for their development. Affected persons who are relocated have to deal with unfamiliar locations and various other hardships. These developments take place without satisfactory consideration to resettlement. Accordingly, people have shown resistance to the process and where displacement is involved, the projects are being delayed. In order to address the above mentioned issues the Steering Committee appointed, reviewed and approved the National Involuntary Resettlement Policy on 5 March 2001 and the Government of Sri Lanka adopted (through its Cabinet of Ministers) as a National Policy on 24 May 2001. In line with the Resettlement guidelines of ADB, the NIRP also mentions of fair and just treatment to affected persons who do not have documented title to their land and also mentions that all the effects to be mitigated and compensated.

23. The NIRP aims to mitigate social impacts of involuntary resettlement under any programs and projects funded by the government or donor agencies by (i) exploring alternative project options which avoid or minimize impacts on people; (ii) compensate those who do not have title to land; (iii) consulting affected people and hosts on resettlement options; (v) providing for successful social and economic integration of affected people and their hosts; and (v) full social and economic rehabilitation of affected people. NIRP lists the following policy principles which are applicable to all development projects:

- (i) Involuntary resettlement should be avoided or reduced as much as possible by reviewing alternatives to the Project as well as alternatives within the Project.
- (ii) Where involuntary resettlement is unavoidable, affected people should be assisted to reestablish themselves and improve their quality of life.
- (iii) Gender equality and equity should be ensured and adhered to throughout the policy application.
- (iv) Displaced persons should be fully involved in the selection of relocation sites, livelihood compensation, and development options as early as possible.
- (v) 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 displaced persons.
- (vi) 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.
- (vii) Resettlement should be planned and implemented with full participation of the provincial and local authorities.
- (viii) To assist those affected to be economically and socially integrated into the host.
- (ix) Communities, participatory measures should be designed and implemented.
- (x) Common property resources and community and public services should be provided to project-affected people.
- (xi) Resettlement should be planned as a development activity for the benefit of the project affected people.
- (xii) Displaced persons who do not have documented title to land should receive fair and just compensation and assistance.
- (xiii) Vulnerable groups should be identified and be given appropriate assistance to substantially improve their income and living standards.
- (xiv) Project Executing Agencies should bear the full costs of compensation and resettlement.

24. Adhering to the above objectives the scope of the NIRP includes all development induced land acquisition or recovery of possession by the State. NIRP requires that a

comprehensive resettlement action plan (RAP) be prepared. Where 20 families are affected, the NIRP still requires a RAP with lesser level of detail. NIRP applies to all projects irrespective of source of funding.

B. ADB's Safeguard Policy Statement

25. The ADB policy on involuntary resettlement (SPS 2009) aims to avoid or minimize the impacts on people affected by a project and to safeguard the affected parties who lose their land and property and whose livelihood is affected as a result of land acquisition or temporary construction activities. The main objective of resettlement planning is to provide RAP's with standard of living equal to, if not better than their standard of original living. There are three components to the policy. They are (i) compensation for the lost assets, livelihood and income; (ii) assistance for relocation; and (iii) assistance for rehabilitation to achieve at least the pre project level of well-being. This is considered as a development opportunity and turns displaced and affected people as project beneficiaries. The objectives and principles of ADB's SPS on involuntary resettlement principles are summarized as given below.

26. **Objectives.** To avoid involuntary resettlement wherever possible; to minimize involuntary resettlement by exploring project and design alternatives; to enhance, or at least restore, the livelihoods of all displaced persons in real terms relative to pre-project levels; and to improve the standards of living of the displaced poor and other vulnerable groups.

27. **Scope and Triggers.** The involuntary resettlement safeguards covers physical displacement (relocation, loss of residential land, or loss of shelter) and economic displacement (loss of land, assets, access to assets, income sources, or means of livelihoods) as a result of (i) involuntary acquisition of land; or (ii) involuntary restrictions on land use or on access to legally designated parks and protected areas. It covers them whether such losses and involuntary restrictions are full or partial, permanent or temporary.

28. Policy Principles.

- (i) Screen the project early on to identify past, present, and future involuntary resettlement impacts and risks. Determine the scope of resettlement planning through a survey and/or census of displaced persons, including a gender analysis, specifically related to resettlement impacts and risks.
- (ii) Carry out meaningful consultations with affected persons, host communities, and concerned nongovernment organizations (NGOs). Inform all displaced persons of their entitlements and resettlement options. Ensure their participation in planning, implementation, and monitoring and evaluation of resettlement programs. Pay particular attention to the needs of vulnerable groups, especially those below the poverty line, the landless, the elderly, women and children, and Indigenous Peoples, and those without legal title to land, and ensure their participation in consultations. Establish a grievance redress mechanism to receive and facilitate resolution of the affected persons' concerns. Support the social and cultural institutions of displaced persons and their host population. Where involuntary resettlement impacts and risks are highly complex and sensitive, compensation and resettlement decisions should be preceded by a social preparation phase.
- (iii) Improve, or at least restore, the livelihoods of all displaced persons through (a) land-based resettlement strategies when affected livelihoods are land based where possible or cash compensation at replacement value for land when the loss of land does not undermine livelihoods; (b) prompt replacement of assets with access to assets of equal or higher value; (c) prompt compensation at full

- replacement cost for assets that cannot be restored; and (d) additional revenues and services through benefit sharing schemes where possible.
- (iv) Provide physically and economically displaced persons with needed assistance, including the following: (a) if there is relocation, secured tenure to relocation land, better housing at resettlement sites with comparable access to employment and production opportunities, integration of resettled persons economically and socially into their host communities, and extension of project benefits to host communities; (b) transitional support and development assistance, such as land development, credit facilities, training, or employment opportunities; and (c) civic infrastructure and services, as required.
 - (v) Improve the standards of living of the displaced poor and other vulnerable groups, including women, to at least national minimum standards. In rural areas provide them with legal and affordable access to land and resources, and in urban areas provide them with appropriate income sources and legal and affordable access to adequate housing.
 - (vi) Develop procedures in a transparent, consistent, and equitable manner if land acquisition is through negotiated settlement to ensure that those people who enter into negotiated settlements will maintain the same or better income and livelihood status.
 - (vii) Ensure that displaced persons without titles to land or any recognizable legal rights to land are eligible for resettlement assistance and compensation for loss of non-land assets.
 - (viii) Prepare a resettlement plan elaborating on displaced persons' entitlements, the income and livelihood restoration strategy, institutional arrangements, monitoring and reporting framework, budget, and time-bound implementation schedule.
 - (ix) Disclose a draft resettlement plan, including documentation of the consultation process in a timely manner, before project appraisal, in an accessible place and a form and language(s) understandable to affected persons and other stakeholders. Disclose the final resettlement plan and its updates to affected persons and other stakeholders.
 - (x) Conceive and execute involuntary resettlement as part of a development project or program. Include the full costs of resettlement in the presentation of project's costs and benefits. For a project with significant involuntary resettlement impacts, consider implementing the involuntary resettlement component of the project as a stand-alone operation.
 - (xi) Pay compensation and provide other resettlement entitlements before physical or economic displacement. Implement the resettlement plan under close supervision throughout project implementation.
 - (xii) Monitor and assess resettlement outcomes, their impacts on the standards of living of displaced persons, and whether the objectives of the resettlement plan have been achieved by taking into account the baseline conditions and the results of resettlement monitoring. Disclose monitoring reports.

29. **Gap Analysis and Gap Filling Measures.** The NIRP policy principles are applicable to this Project and provide necessary guidelines to mitigate resettlement impacts as a result of subproject implementation. It is also largely consistent with requirements for involuntary resettlement. A comparison of the NIRP and ADB's SPS is given below and measures to bridge gaps are identified (Table 1).

Table 1: Comparison between the Government of Sri Lanka and ADB Policy on Land Acquisition and Resettlement

Sl. No.	ADB's Principles in SPS (2009)	National Involuntary Resettlement Policy Framework (2001)	Remarks (Gaps between NIRP and ADB's policies and Action Taken in the to Bridge the Gap)
1	Screen the project early on to identify past, present, and future involuntary resettlement impacts and risks. Determine the scope of resettlement planning through a survey and/or census of displaced persons, including a gender analysis, specifically related to resettlement impacts and risks.	Screening and scoping are not identified in NIRP principles but are implied. NIRP has a policy principle Gender equality and equity should be ensured and adhered to throughout the policy application".	The Resettlement Framework describes screening and scoping requirements including censuses are surveys. The Resettlement Framework includes analyzing impacts on women and the Project includes a Gender Action Plan.
2	Carry out meaningful consultations with affected persons, host communities, and concerned nongovernment organizations. Inform all displaced persons of their entitlements and resettlement options. Ensure their participation in planning, implementation, and monitoring and evaluation of resettlement programs. Pay particular attention to the needs of vulnerable groups, especially those below the poverty line, the landless, the elderly, women and children, and Indigenous Peoples, and those without legal title to land, and ensure their participation in consultations. Establish a grievance redress mechanism to receive and facilitate resolution of the affected persons' concerns. Support the social and cultural institutions of displaced persons and their host population. Where involuntary resettlement impacts and risks are highly complex and sensitive, compensation and decisions should be preceded by a resettlement social preparation phase.	The equivalent NIRP principles include: "Displaced persons should be fully involved in the selection of relocation sites, livelihood compensation, and development options as early as possible; resettlement should be planned and implemented with full participation of the provincial and local authorities; vulnerable groups should be identified and be given appropriate assistance to substantially improve their income and living standards; displaced persons who do not have documented title to land should receive fair and just compensation and assistance; and to assist those affected to be economically and socially integrated into the host communities, participatory measures should be designed and implemented.	There is a high degree of commonality in ADB and NIRP principles regarding consultation and participation and regard to the vulnerable. Consistent with ADB principles, NIRP requires that displaced persons are consulted early and are involved in the design of involuntary resettlement options NIRP consultations involve not only the displaced persons, but also provincial and local authorities. Grievance redress while not in NIRP principles is undertaken in practice where the Government undertakes its own land acquisition. The Resettlement Framework includes a grievance redress mechanism.
3	Improve, or at least restore, the livelihoods of all displaced persons through (i) land-based resettlement strategies when affected livelihoods are land based where possible or cash compensation at replacement value for land when the loss of land does not undermine livelihoods; (ii) prompt replacement of assets with access to assets of equal or higher value; (iii) prompt compensation at full replacement cost for assets that cannot be restored; and (iv) additional revenues and services through benefit sharing schemes where possible.	The equivalent NIRP principles include: 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 displaced persons; and 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.	The ADB and NIRP principles are consistent with regard to compensation at replacement value and prompt payment. The Resettlement Framework requires compensation prior to any displacement.
4	Provide physically and economically displaced persons with needed assistance, including the following: (i) if there is relocation, secured tenure to	The NIRP's objective is full social and economic rehabilitation of affected people. It has the principle: common property	The NIRP does not elaborate on assistance to be provided in its principles except with respect to common property resources and public

Sl. No.	ADB's Principles in SPS (2009)	National Involuntary Resettlement Policy Framework (2001)	Remarks (Gaps between NIRP and ADB's policies and Action Taken in the to Bridge the Gap)
	relocation land, better housing at resettlement sites with comparable access to employment and production opportunities, integration of resettled persons economically and socially into their host communities, and extension of project benefits to host communities; (ii) transitional support and development assistance, such as land development, credit facilities, training, or employment opportunities; and (iii) civic infrastructure as required.	resources and public services should be provided to project-affected people.	services. The Project includes assistance to displaced persons as identified in the Resettlement Framework's entitlement matrix.
5	Improve the standards of living of the displaced poor and other vulnerable groups, including women, to at least national minimum standards. In rural areas provide them with legal and affordable access to land and resources, and in urban areas provide them with appropriate income sources and legal and affordable access to adequate housing.	The NIRP principles include: vulnerable groups should be identified and be given appropriate assistance to substantially improve their income and living standards. The NIRP also ensures improvement in the quality of life for those who are not vulnerable in the principle: where involuntary resettlement is unavoidable, affected people should be assisted to reestablish themselves and improve their quality of life.	ADB and NIRP principles are consistent with regard to addressing impacts on vulnerable groups.
6	Develop procedures in a transparent, consistent, and equitable manner if land acquisition is through negotiated settlement to ensure that those people who enter into negotiated settlements will maintain the same or better income and livelihood status.	Negotiated settlement is not included in NIRP principles.	If negotiated settlement is applied in the Project, the PMU will ensure a transparent, consistent, and equitable procedure. The procedure for negotiated settlement is included in this Resettlement Framework.
7	Ensure that displaced persons without titles to land or any recognizable legal rights to land are eligible for resettlement assistance and compensation for loss of non-land assets	The NIRP principles include: Displaced persons who do not have documented title to land should receive fair and just compensation and assistance.	ADB and NIRP compensate and assist the non-titled. Entitlements for displaced persons without title are specified in the Resettlement Framework's entitlement matrix.
8	Prepare a resettlement plan elaborating on displaced persons' entitlements, the income and livelihood restoration strategy, institutional arrangements, monitoring and reporting framework, budget, and time-bound implementation schedule.	NIRP requires a resettlement action plan.	There is consistency between ADB and NIRP in requiring for safeguards planning for resettlement impacts and the Resettlement Framework guides the development of resettlement plans for subprojects with involuntary resettlement impacts.
9	Disclose a draft resettlement plan, including documentation of the consultation process in a timely manner, before project appraisal, in an accessible place and a form and language(s) understandable to affected persons and other stakeholders. Disclose the final resettlement plan and its updates to affected persons and other stakeholders.	While not explicitly identified in NIRP principles, many of the principles espouse participatory methods which should include disclosure of information.	Disclosure requirements for subprojects with involuntary resettlement impacts are defined in the Resettlement Framework.
10	Conceive and execute involuntary resettlement as part of a development	NIRP includes the principles: resettlement should be planned	ADB and NIRP principles are consistent in considering resettlement as a

Sl. No.	ADB's Principles in SPS (2009)	National Involuntary Resettlement Policy Framework (2001)	Remarks (Gaps between NIRP and ADB's policies and Action Taken in the to Bridge the Gap)
	project or program. Include the full costs of resettlement in the presentation of project's costs and benefits. For a project with significant involuntary resettlement impacts, consider implementing the involuntary resettlement component of the project as a stand-alone operation.	as a development activity for the benefit of affected people; and project executing agencies should bear the full costs of compensation and resettlement.	development activity and ensuring full costs are considered.
11	Pay compensation and provide other resettlement entitlements before physical or economic displacement. Implement the resettlement plan under close supervision throughout project implementation.	A NIRP principle mentions that compensation should be paid promptly.	The Resettlement Framework adopts the more detailed schedule under ADB principles which is compensating and assisting displaced persons prior to displacement. The Resettlement Framework details the structure of resettlement plan implementation, scheduling, and responsibilities.
12	Monitor and assess resettlement outcomes, their impacts on the standards of living of displaced persons, and whether the objectives of the resettlement plan have been achieved by taking into account the baseline conditions and the results of resettlement monitoring. Disclose monitoring reports.	Monitoring is not specified in NIRP principles.	Monitoring is detailed in the Resettlement Framework.

ADB = Asian Development Bank, NIRP = National Involuntary Resettlement Policy, PMU = project management unit, SPS = Safeguards Policy Statement.

30. **Negotiated Settlement:** In line with ADB's SPS 2009, this framework does not apply to negotiated settlements, unless expropriation would result upon the failure of negotiation. The policy encourages acquisition of land and other assets through a negotiated settlement where ever possible based on consultation¹ with affected persons including those without title to assets, in line with government policy. A negotiated settlement will offer adequate and fair price for land and other assets. Also, in case of negotiated settlement, in line with ADB requirements, an independent external party will be engaged by the implementing agency to document the negotiation and settlement processes. The principles of this framework with regard to meaningful consultation processes, mechanisms for calculating the replacement cost of land and other assets affected and record- keeping requirements will be followed during the negotiated settlement.

31. The process of Negotiation involves the following steps: (i) negotiation will take place when there is a willing buyer – willing seller; (ii) consultation with the affected person has to be carried out and documented; (iii) the minimum negotiated price to start negotiations will be not below the valuation of land based on the market value of land; (iv) all the safeguards as mentioned in the Resettlement Framework has to be followed; (v) all negotiations has to be carried out in a transparent manner and validated by a Third Party (eminent citizen or any party without any interest in the process, appointed by the Project Management Unit (PMU)/Subproject Coordinating Unit (SPCU); (vi) in case of failure of negotiations compensation

¹ A process that (i) begins early in the project preparation stage and is carried out throughout the project cycle; (ii) provides timely disclosure of information that is understandable and accessible to affected people; (iii) is undertaken in an atmosphere free of intimidation or coercion; (iv) is gender inclusive and responsive to the needs of disadvantaged and vulnerable groups; and (v) enables the incorporation of all relevant views of affected people and other stakeholders into decision making, such as project design and mitigation measures.

will be paid as outlined in the Entitlement Matrix of the Resettlement Framework; and (viii) the entire process has to be documented. The third party will have to submit reports during and on conclusion of negotiations; costs related to third party certification will be borne by the project proponent.² The land transfer and updated records of the purchased lands will have to be completed prior to the start of civil works. Negotiated purchase from vulnerable households shall be avoided unless the purchase will significantly improve the social and economic status of the land owners.

32. Voluntary Land Donation: In the case of land donation which the community or affected person agrees to donate a part of their land for the project an independent external party³ will have to be engaged to ensure and validate these requirements: (i) The donation will not cause major impacts⁴ on the livelihood of the donor(s) and the donor is fully understood and/or informed on the current market value of their donated land(s); (ii) the donation does not come from the land owner categorized as poor or vulnerable family; (iii) the donation will not cause any economic impacts or physical displacement of third party (with legal or illegal status) who may be the current land users; (iv) the land donor(s) will get direct benefits from the proposed project activities; (v) meaningful consultations are conducted with the land owner(s); and (vi) the land donation(s) does not come from coercion or asymmetrical power relation between the land owner(s) and the government. The above information has to be included in a due diligence report to be prepared by the external party, preferably from reputed and qualified NGO, for ADB review and approval. The land transfer and updated records of the donated lands will have to be completed prior to the start of civil works.

C. Entitlement Matrix

33. On the basis of the gap analysis above, entitlements for displaced persons include the following:

- (i) Compensation for permanent land losses at replacement cost;
- (ii) Compensation for temporary land losses at agreed rental values;
- (iii) Compensation for structures (residential/ commercial) and other immovable assets at replacement cost;
- (iv) Compensation for loss of income (both temporary or permanent);
- (v) Assistance to restore and improve income sources and livelihoods;
- (vi) Assistance for shifting belongings and salvaged items;
- (vii) Market value of lost crops and trees at approved rates;
- (viii) Relocation facilities including housing and basic infrastructure; and
- (ix) Restoration/rebuilding and/or restoration of community resources/facilities.

34. Based on the categories of displaced persons and anticipated losses, an Entitlement Matrix will be prepared for each subproject resettlement plan. A comprehensive Entitlement Matrix as a sample is shown in Table 2.

² The sample TOR of third independent external party is in the appendix 2 of this document.

³ The TOR of third independent external party is in the appendix 2 of this document

⁴ Impacts define as (i) physical displacement and or (ii) losing 5% or more income generating assets

Table 2 Entitlement Matrix

No	Type of Loss	Application	Definition of Entitled Person	Compensation Policy	Implementation Issues	Responsibility
1	Loss of private land	Private land	(i) Legal titleholder(s) (ii) Tenants/ leaseholders	<p>Compensation at replacement cost⁵ or land-for-land where feasible.⁶</p> <p>For titleholders: Fees, taxes, and other charges related to replacement land (applicable to all parcels of replacement land, which totals the equivalent area of land acquired, if parcels of non-contiguous land are bought due to the unavailability of one contiguous parcel).</p> <p>For tenants/leaseholders: Compensation for rental deposit or unexpired lease. Transitional allowance⁷ based on 3 months minimum wage rates. Shifting assistance⁸ for households. Additional compensation for vulnerable households (item 13).</p>	<p>If land-for-land is offered, titles will be in the name of original landowners.⁹</p> <p>Fees, taxes, and other charges will be limited to those for land purchased within a year of compensation payment and for land of equivalent size. Land owners will reimburse tenants and leaseholders land rental deposit or unexpired lease. Vulnerable households will be identified during the census.</p>	<p>Concerned SPCU will ensure provision of notice, and will verify the extent of impacts through a DMS survey and determine assistance, and identify vulnerable households. (Assistance of consultants will be sought as necessary)</p> <p>In case of tenants /leaseholders, RS / safeguard specialist of the DSC will confirm land rental and ensure tenants and leaseholders receive reimbursement for land rental deposit or unexpired lease, and report to concerned SPCU. SPCU will ensure provision of notice. An NGO will identify vulnerable households.</p>

⁵ Only vacant and un-inhabited private land not used for any purpose can be acquired. The calculation of full replacement cost for land and other assets (footnote 18 provides a definition of assets) will be based on the following elements: (i) fair market value; (ii) transaction costs; (iii) interest accrued, (iv) transitional and restoration costs; and (v) other applicable payments, if any. In applying this method of valuation, depreciation of assets should not be taken into account, as per ADB Safeguards Policy, 2009.

⁶ Including option for compensation for non-viable residual portions.

⁷ To be provided for affected persons whose livelihood is affected by the project. The transitional allowance is to be calculated based on government-declared minimum wage rates for semi-skilled labor as applicable to Colombo City or headquarters of the respective province (if available). This allowance is intended for utilization till an alternative means of livelihood is found.

⁸ To be provided to affected persons relocating to a new AP-determined site. This will be equivalent to one day hire charges for a truck, including shifting within a radius of 50km (estimated as LKR 8,000).

⁹ Joint titles in the name of husband and wife will be offered where applicable.

No	Type of Loss	Application	Definition of Entitled Person	Compensation Policy	Implementation Issues	Responsibility
2	Loss of access to land	Private & Government land	(i) Non-titleholders (informal settlers)	Compensation for lost assets, irrigation infrastructure and other improvements made to the land at full replacement cost. Additional compensation for vulnerable households (item 13).	60 days advance notice to shift from encroached land. Vulnerable households will be identified during the census.	Concerned PMU will ensure provision of notice. NGO will identify vulnerable households.
3	Loss of structures (e.g. shelters/house; offices, staff quarters, commercial stores/ shops, garage, etc.) and other fixed assets (compound walls, tubewells, pumps shed, store, temples, etc.)	Structures on private lands, commercial lands, government land; and other structures on communal lands	(i) legal titleholders/ business owners; (ii) informal titleholders (squatters/encroachers) (iii) traditional land users	Replacement and/or reconstruction of affected structure with similar or improved facilities if adequate land available with AP. Provision of alternate space/ facilities for similar use as at present, during period of demolition/reconstruction. If land not available, replacement value of structure according to applicable Schedule of Rates plus labour cost. Where loss of structure is partial and the remaining portion is not viable for use, compensation should be for whole structure; otherwise, compensation will only be for affected structure. Free transport facility or shifting assistance of Rs. 8,000 (one-time payment) for material stored if any Right to salvage material from existing structure Additional compensation for vulnerable households (item 13).	If replacement or reconstruction of affected structure is offered, titles of structures constructed for use by owners will be in their name.	Concerned PMU will ensure provision of notice. DSC - Safeguard specialist will verify the extent of impacts through a DMS survey, determine assistance. SPCU will ensure provision of notice for salvaging of material/stored goods.

No	Type of Loss	Application	Definition of Entitled Person	Compensation Policy	Implementation Issues	Responsibility
	Loss of access to commercial structures/ rental accommodation	Structures on private lands and government land	(i) Tenants	Provision of alternate space/ facilities for similar use as at present. Where loss of structure is partial and the remaining portion is not viable for use, compensation should be for whole structure; otherwise, compensation will only be for affected structure. If the relocation required maximum of six months of rental cost will be provided. Free transport facility or shifting assistance of Rs. 8,000 (one-time payment) if any. Additional compensation for vulnerable households (item 13).		
4	Loss of agricultural products	Impact to trees, standing crops, other properties, perennial and non-perennial crops:	(i) Legal titleholder (ii) Non-title holders (iii) Share croppers	Cash payment for standing crops and loss of future crops for 6 months. Compensation for trees will also be based on the current market value of timber for timber trees, the annual net product market value multiplied by remaining productive years for perennial and fruit trees as finalized by the safeguard manager -SPCU and the Resettlement Specialist of DSC in consultation with the Forest Department.	3 months (90 days) advance notification for the harvesting of standing crops. Loss of other associated properties such as irrigation wells will be compensated at full replacement cost.	
5	Loss of livelihood	Livelihood	(i) Legal titleholder licensed vendor, (ii) tenant/leaseholder (iii) non-titled (hawkers, vendors, employee of	Compensation of lost (net) income of 6 months or 3 months minimum wage rates, whichever is higher. Additional compensation for vulnerable households (item 13).	Vulnerable households will be identified during the census.	RS / Safeguard expert of Design Consultants will verify the extent of impacts through a DMS survey to determine assistance, verify and identify vulnerable households.

No	Type of Loss	Application	Definition of Entitled Person	Compensation Policy	Implementation Issues	Responsibility
			commercial structure, wage labour)	Consideration for project employment. Development assistance, such as land development, credit facilities, training.		
6.	Temporary disruption of livelihood	Livelihood loss	(i) Legal titleholders, licensed vendors (ii) tenants, leaseholders; and (iii) persons with non-recognizable claims (non-licensed hawkers, vendors, employees of shops, wage labour etc.)	Assistance to mobile vendors/hawkers to temporarily shift for continued economic activity. ¹⁰ For construction activities involving unavoidable livelihood disruption / income loss, provide cash compensation for lost income at replacement cost or a transitional allowance for the period of disruption whichever is greater. ¹¹ Reduction of taxes during the affected period	30 days advance notice regarding construction activities, including duration and type of disruption, followed by reminders 7 days and 24 hours in advance. Contractor's actions to ensure there is no income/access loss consistent with the IEE. ¹² Mobile hawkers and vendors will be assisted by contractor in moving to alternative locations during the period of construction. Alternative temporary sites to continue economic activity to be identified. The date of the census survey shall serve as the cut-off date. Shop owners will be encouraged to maintain any employees if shifted. If employees are not kept as a result of a shift, then they will be entitled to compensation for lost income.	RS / Safeguard specialist of DSC and Safeguards Manager of SPCU will determine income lost. Contractor will perform actions to minimize income/access loss. Contractor will be responsible for notices and reminders. SPCU with the help of consultants to monitor contractor action.
7.	Temporary loss of secure parking space	Loss of private parking space or access to secure parking lots	Residents and business owners losing access to private parking space,	Where Contractors actions cannot address the loss, affected persons will be provided secure parking space	30 days advance notice regarding construction activities, including duration and type of disruption,	SPCU and Contractor will identify secure parking space. DSC's RS / Safeguard Manager will support the

¹⁰ Section V para 59 of this Resettlement Framework describes the steps to be followed in vendor assistance.

¹¹ All businesses identified in the project-impacted areas (sections ready for construction) on the cut-off date will be entitled to compensation for their 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

¹² This includes: leaving spaces for access between mounds of soil, providing walkways and metal sheets to maintain access across trenches for people and vehicles where required, increased

No	Type of Loss	Application	Definition of Entitled Person	Compensation Policy	Implementation Issues	Responsibility
			and vehicle owners losing access to secure parking lots in road sections that will be closed during construction.	(sufficiently cordoned and provided with security guards).	followed by reminders 7 days and 24 hours in advance. Identification of adequate space for an alternate parking facility. Affected persons will be determined by the PMU through survey and will be provided with identity cards which will allow access to the temporary parking facility. The temporary parking facility will clearly identify ID numbers eligible to park, based on the road section where construction is being undertaken.	SPCU in identifying affected persons through survey and the SPCU will monitor issuance of ID cards.
8.	Damage caused to government or private property during construction	Partial or total damage to permanent structures and assets ¹³	(i) Legal titleholders, (ii) tenants, (iii) leaseholders; and (iv) persons with non-re-cognizable claims (informal settlers)	Replacement cost of restoring to original or better condition. ¹⁴	Extreme care should be taken by the contractors to avoid damaging any property or assets during construction. Compensation for the losses will be the responsibility of the Contractor, as a part of the contract.	Concerned contractor responsible for compensation; SPCU to monitor. DSC's RS / safeguards manager and project NGO to assist in this case.
9.	Temporary loss of structures in right of way during construction	Temporary or semi-permanent structures or stalls and other assets	(i) Legal titleholders, licensed vendors (ii) tenants, leaseholders; and (iii) persons with non-recognisable claims (informal settlers, non-licensed 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.	30 days advance notice, followed by reminders 1 week and 24 hours in advance; Temporary shifting for 5-7 days during period of construction. Vulnerable households will be identified during the census.	Extent of impacts to be verified by DSC - RS / Safeguard specialist, SPCU and Contractors SS through a DMS (100% survey of AHs/businesses) to determine assistance, SPCU and contractors' SS will identify alternative site; contractors will help in shifting. Contractors will be responsible for timely reminders

¹³ These could include tubewells, storage tanks, walls, fences, sheds, trees, any improvements made to land etc.

¹⁴ The replacement cost of structures and other immovable properties will be determined on the basis on 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	Implementation Issues	Responsibility
10	Temporary disruption in water supply service	Reduced water supply hours	Residents and business owners	Alternative sources of water should be made available during the construction period.	The time lag between the construction of new system and transfer from the old system should be minimized.	Contractors and SPCU with support of NWSDB.
11	Damage to connections during pipe replacement/rehabilitation. ¹⁵	Damaged connection pipes to property	Residents and business owners	Immediate replacement and restoration of connection.	Care should be taken by the contractors to avoid damage to connections during construction. Cost of replacement of connection will be borne by the contractor.	Contractors to restore or replace affected connections. SPCU to monitor.
12	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 of affected community buildings and structures to at least previous condition, restoration or replacement of access to lost facilities in areas identified in consultation with affected communities and relevant authorities.	Extreme care should be taken by the contractors to avoid damage to any properties during construction. Compensation for the losses will be borne by the contractor.	Contractors to restore or replace affected community structures and facilities and co-ordinate with other government agencies for restoration of utilities. SPCU to monitor and facilitate co-ordination with other government agencies. In case of loss of access to common facilities such as land used by the community, concerned SPCU to identify /restore access to similar facilities at an alternate location.

¹⁵ Experience with previous projects indicates that damage to water connections/utilities mostly occurs when night works are undertaken. However, night works are recommended with adequate lighting for high density road stretches with a large number of shops/businesses, including informal businesses and/or high density residential development and those with heavy traffic during the day, to avoid/minimise access disruptions and associated livelihood losses.

No	Type of Loss	Application	Definition of Entitled Person	Compensation Policy	Implementation Issues	Responsibility
13	Impacts on vulnerable affected persons ¹⁶	All impacts	Vulnerable affected persons	Livelihood. In case of income losses, vulnerable households to be provided additional 25% compensation over and above actual loss or allowance equivalent to one month minimum wage rate per adult in the affected household, whichever is higher. Vulnerable households will be given priority in project construction employment (unskilled labour).	Vulnerable households will be identified during the census.	DSC's RS / Safeguard Specialist will assist the SPCU to verify the extent of impacts through DMS surveys / 100% surveys of AHs and businesses to determine assistance, verify and identify vulnerable households and provide all information related to project-related employment opportunities. DSC's RS/ Safeguard specialist will also determine need for social preparation activities to enable full and meaningful participation of vulnerable affected persons in project activities at community/local level.
14	Any other loss not identified	-	(i) Legal titleholders, (ii) tenants, (iii) leaseholders; and (iv) 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 ADB's SPS 2009. CAP or updating/ creating of new RP, as necessary, will have to be prepared and submitted to ADB for review and approval.	-	DSC's RS / Safeguard specialist will assist the SPCU to ascertain the nature and extent of such loss and finalize the entitlements in line with the principles in ADB's SPS 2009.

ADB = Asian Development Bank; AP = affected person; AH = affected household; CAP = corrective action plan; DMS = Detailed Management Survey; DSC = Design Supervision Consultant; IEE = initial environmental examination; NGO = nongovernmental organization; NWSDB = National Water Supply and Drainage Board; PMU = project management unit; RP = resettlement plan; SPCU = Subproject Coordination Unit; SPS = Safeguards Policy Statement; SS = Safeguards Supervisor.

¹⁶ Woman-headed households, Below Poverty Line households or households with very low income, households where head of household works as a casual labour, and household residing in a temporary or semi-permanent house, are identified as vulnerable households in the socio-economic context of critical areas of Project.

D. Anticipated type of Interventions in the Project

35. The following paragraphs describe potential subprojects.

36. **Water Supply.** Activities will focus on extending the water supply schemes to additional areas by using the existing and operating systems with capacities adequate to cater to the extensions and implement new water supply schemes particularly in areas affected by CKD and other identified local authorities. The main technical options are (i) piped systems with overhead tank; and (ii) gravity pipe systems. Most of the water supply schemes are extensions to the present schemes involving the laying of pipes only.

37. **Rural and Access Roads.** Subprojects will involve rehabilitation and repair of existing tertiary roads within the Local Authority area, improvements in commuting, and procurement of equipment to keep the local-level road systems in good condition.

38. **Solid Waste Management.** Subprojects will primarily improve and strengthen collection and disposal in Local Authority areas. Subprojects will provide for the procurement of small garbage trucks, pushcarts, and communal garbage bins in order to improve the storage and collection of wastes. Subprojects may include the construction of sanitary landfill sites in an environmentally acceptable manner. Community landfill sites will be developed if agreement is reached between the Local Authority and with all stakeholders concerned, to facilitate controlled disposal of the waste. Subprojects may lead to the development of solid waste disposal landfill sites which may require land acquisition. New facilities will be sited in government land to the extent possible. Even if private land is required, considering the size of solid waste management systems to be developed (typically serving about 1,500 households), it is unlikely that subprojects will have significant resettlement impacts. But the project will follow mostly the implementing the subprojects in government lands as done in the current project.

39. **Drainage.** Drainage subprojects will involve rehabilitation of existing drains and culverts thorough the elimination of blockages and obstructions on existing drainage paths. Subprojects, where necessary, can also involve construction of new drains to serve previously unserved areas, and construction of missing links.

40. **Public Facilities.** The subprojects will involve rehabilitation and improvement of public facilities. Examples are health care centers, public toilets, and market centers (Pola). Reconstruction and rehabilitation of existing infrastructures are not expected to result in any land acquisition and resettlement impacts.

41. During project preparation, four subprojects were identified under component 1 which is a major component under Additional Financing. Consultations (field level inquiries) and field visits were undertaken and resettlement impacts were screened. The summary of screening is detailed in **Appendix 3**. Sample subprojects do not involve land acquisition and will not cause physical or economic displacement. It is expected that most future subprojects to be funded under the Project can be designed to have no involuntary resettlement impacts. The subproject selection criteria for the Project specify that subprojects with significant¹⁷ resettlement impacts will not be included in the Project. This is also the experience on the ongoing Local Government Enhancement Sector Project (LGESP - Loan 2970-SRI) loan, where there were no resettlement

¹⁷ As per the ADB policy guidelines, resettlement impacts are significant if any sub-project will displace 200 or more persons through major impacts such as (i) being physically displaced from housing or (ii) losing 10% or more of their productive assets (income generating)

impacts in any of the projects. Subprojects with significant impacts on involuntary resettlement will be excluded from LGESP additional financing project.

III. SOCIO-ECONOMIC INFORMATION

A. Screening and Categorization

42. The initial step of resettlement planning is to carry out a screening survey to identify land acquisition and resettlement impacts of subprojects. Subprojects will be categorized for involuntary resettlement impacts based on ADB's SPS and using ADB's involuntary resettlement impact categorization checklist (Appendix 4). A subproject's involuntary resettlement category is determined by the category of its most sensitive component in terms of involuntary resettlement impacts. The subproject selection criteria specify that subprojects with significant involuntary resettlement impacts¹⁸ will not be taken up under the Project. The level of detail and comprehensiveness of resettlement plans will be commensurate with the significance of potential impacts and risks. In case the resettlement impact is categorized as 'C',¹⁹ the project needs to prepare a Due Diligence Report as outlined in Appendix 5.

B. Census Survey and Social Impact Assessment

43. The SPCU with the support of design and supervision consultants (DSC) will conduct a detailed census survey and inventory of all losses based on detailed engineering design. The details on the scope and methods of carrying out the census survey are given in Appendix 6 and the Socio-Economic Baseline Survey Format is in Appendix 7. SPCU will identify individuals and groups who may be differentially or disproportionately affected by the project because of their disadvantaged or vulnerable status. Where such individuals and groups are identified, the SPCUs will propose and implement targeted measures so that adverse impacts do not fall disproportionately on them and they are not disadvantaged in relation to sharing the benefits and opportunities resulting from development. Sample form for rapid survey of business impacts and inventory losses (for DMS) is placed in Appendix 8.

C. Preparation of Resettlement Plan

44. Resettlement plans will be prepared by the SPCU with assistance from the DSC. The resettlement plan will contain (i) executive summary; (ii) project description; (iii) scope of land acquisition and resettlement; (iv) socio-economic information and profile; (v) information disclosure, consultation, and participation; (vi) grievance redress mechanisms; (vii) legal framework; (viii) entitlement, assistance, and benefits; (ix) relocation of housing and settlements; (x) income restoration and rehabilitation; (xi) resettlement budget and financing plan; (xii) institutional arrangements; (xiii) implementation schedule; and (xiv) monitoring and reporting. Resettlement plans will be reviewed and approved by the Project Management Unit (PMU) with the assistance of consultants. The Resettlement Plan will be brought to the notice of displaced persons and host communities and inputs and comments will be addressed in subsequent revisions of the resettlement plan. The resettlement plan will be prepared in English, the executive summary translated in local language, and notified to the public (this can include posters and/or resettlement booklets). The draft resettlement plan will include the census of displaced persons, their entitlements based on the entitlement matrix which includes

¹⁸ Involuntary resettlement impacts on ADB supported project are considered significant if 200 or more persons will experience major impacts, which are defined as (i) being physically displaced from housing or (ii) losing 10% or more their productive assets (income generating).

¹⁹ This means the proposed project has no involuntary resettlement impacts.

methods for determining replacement costs of acquired assets, institutional mechanisms and schedules, budgets, assessment of feasible income restoration mechanisms, grievance redress mechanism, and participatory results monitoring mechanism. All draft resettlement plans will be submitted to ADB for clearance prior to award of contracts. The final resettlement plan will incorporate all comments from ADB and be considered final after it is posted in the ADB website. The SPCU can then implement the final resettlement plan. The outline of the resettlement plan is provided in Appendix 9.

D. Gender Considerations

45. Negative impacts of subproject activities on female-headed households will be taken up on a case-to-case basis and assistance to these households will be prioritized under the subprojects consistent with the gender action plan prepared for the Project. The resettlement plans will formulate measures to ensure that socio-economic needs and priorities of women are identified and the process of land acquisition and resettlement does not disadvantage them. Specific gender activities include women's focus group discussions to be conducted to address specific women's issues.

IV. CONSULTATION, PARTICIPATION, AND DISCLOSURE

46. The consultation process should begin as early as possible in preparing each subproject, and should be initiated before the commencement of subproject census. It will be a continuous process until the completion of the Project. The executing agency will ensure that an SPCU staff or an SPCU engaged assistant has day to day contact with affected persons and beneficiary communities. Their presence will ensure that information is communicated, and they will act as mediators between the subproject and affected persons/communities. Table 3 shows consultations and information disclosure to be undertaken for each subproject.

47. Public disclosure of information and maintenance of transparency with all stakeholders, especially affected persons and communities is one of the cardinal principles of SPS. Transparent subproject activities lead to enhanced trust among the stakeholders. This process will have salutary effects on all activities of the subproject, as suspicion and mistrust can generate serious negative effects on the implementation of project activities.

48. The PMU will submit the following documents for disclosure on ADB's website: (i) resettlement frameworks; (ii) resettlement plans; and (iii) social safeguards monitoring reports.

49. The SPCU offices will provide information to affected persons in selected subproject locations on resettlement principles (and will be distributed during consultations such as those undertaken during screening) and features of the resettlement plan. Information flyers and project information booklets will be distributed among affected persons/communities and stakeholders of the Project. The descriptions of proposed road, market, water supply or any other subprojects and entitlements that the affected persons/communities will receive will be explained in the flyer/booklet including contact telephone numbers and addresses of persons who can provide further clarification and information.

Table 3: Matrix for Consultation, Participation, and Disclosure

Time	Objective	Stakeholders	Material to be Disclosed	Institution Responsible
Project Inception	Project briefing activities and responsibilities of participating institutions	Respective Local Authorities, identified CBOs, community representatives	Project information booklet	Local Authorities and PMU
Census and inventory of Losses	Establish data/information	Local Authorities residents/beneficiaries and affected persons	Survey formats/questionnaires	DSC
Before land Acquisition	Disclose the Resettlement Plans	Identified displaced/affected persons and communities	Information and procedures for land acquisition, entitlement package for different types of impacts	SPCU
Project implementation	Grievance redress mechanisms, participating institutions, contribution of community, roles and responsibilities	Local Authorities, beneficiaries, displace/affected persons contractors, CBOs, community representatives	Brochures/flyers on institutional arrangement on project implementation, participatory mechanisms for the Project	DSC, SPCU
Resettlement/Relocation activities	Resettlement entitlements, grievance redress procedures	Displaced/affected persons and communities	Public/community consultation meetings	SPCU

ADB = Asian Development Bank, CBO = community-based organization, DSC = design and supervision consultant, PMU = project monitoring unit, SPCU = subproject coordinating unit.

V. COMPENSATION, INCOME RESTORATION, AND RELOCATION

A. Valuation of Lost and Affected Assets

50. Land acquisition and resettlement impacts will be compensated in accordance with the entitlement matrix (Table 2). As per the policy adopted for this project, all compensation for loss of land structures and other assets will be based on full replacement cost.

51. Replacement cost for land or affected structures or income losses will be determined by the Safeguards Manager of SPCU with the help of DSC Resettlement Specialist in consultation with the affected persons.

52. The valuation of immovable properties, including structures and assets, shall be determined as follows:

53. **Land and other assets.** Land will only be acquired for the project if it is vacant/unoccupied and not used for any purpose. Land and other assets will not be acquired at

less than replacement cost. The valuation method defined in the Entitlement Matrix needs to be followed to determine full replacement cost.

54. **Residential, commercial and institutional structures.** The full replacement cost of damaged structures and other immovable properties and assets will be determined on the basis on 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. Depreciation for structures should not be taken into account as per ADB SPS 2009. In case of permanent impacts due to demolition of structures, replacement/rebuilding of structures if land available; shifting allowance and accommodation/office/work space for affected persons, as applicable.

55. **Common resources, structures and facilities.** In case of loss of common resources, structures and facilities as defined in the Entitlement Matrix, the same will be restored or re-installed or access to lost facilities provided at a new place in consultation with the community or appropriate authority.

56. **Trees.** Compensation for trees will also be based on the current market value of timber for timber trees, the annual net product market value multiplied by remaining productive years for perennial and fruit trees as finalized by the safeguard manager -SPCU and the Resettlement Specialist of DSC in consultation with the Forest Department.

57. For temporary impacts, cash compensation and other entitlements prescribed in the entitlement matrix (Table 2) will be provided to each entitled affected person before taking possession of the land or properties.²⁰ Affected persons will be provided with an advance notice of 30 days prior to possession being taken of the land or properties (temporary structures in right of way), followed by reminders 1 week and 24 hours in advance. After payment of compensation at replacement cost, affected persons will be allowed to take away the materials salvaged from their dismantled houses and shops, and no charges will be levied upon them for the same. A notice will be issued clarifying that affected persons can salvage the materials. All compensation and assistance will be paid to them prior to displacement or commencement of construction activities in sections ready for construction. The executing agency will provide satisfactory evidence to ADB of payment of compensation and assistance prior to commencement of civil works in the respective sections of the sub-project.

B. Income Restoration

58. **Loss of livelihood.** Each affected person whose income or livelihood is affected will be assisted to improve or at least restore his/her income to pre-project level. Income restoration schemes will be designed in consultation with affected persons, and considering their resource base and existing skills. The safeguard manager of SPCU with support from the RS, DSC and guidance of PMU Safeguard specialist, will identify the number of eligible affected persons based on the DMS survey, and will conduct a training needs assessment in consultation with the

²⁰ The affected persons will hand over land acquired free from all encumbrances such as mortgage, debt, etc. after compensation. However, in case there are loans on acquired land, such amounts will be deducted from the total compensation. The acquired land shall vest in the competent authority paying compensation for such lands/properties. If the competent authority fails to pay decided compensation to affected persons within a year of the date of notification, additional amount by way of interest (12%) will apply on final compensation payable to each affected person, unless and except in cases where the affected person has approached the judiciary for grievance redress.

affected persons so as to develop appropriate income restoration schemes. The possibilities of local employment opportunities will be examined and a list of possible income restoration options will be prepared. Suitable trainers or local resources will be identified in consultation with local training institutes. Vulnerable households will get special assistance. The resettlement plan budget will reflect the cost of providing training, and costs for training will be paid directly to the training institution. The PMU/SPCU will also facilitate affected persons' access to government schemes that could help them restore income and livelihood.

59. Compensation for loss of primary source of income, in the case of employees of business or wage laborers, will be as indicated in the entitlement matrix.

60. **Temporary income loss.** Businesses experiencing loss of income will be compensated for lost income on fully or partially closed streets²¹ where customer access is disrupted.²² Once a contractor confirms a road is likely to experience disruption to customer access, the concerned RS of DSC will conduct an income survey of businesses along the relevant sections. The DMS/income survey will serve as the cut-off date. All businesses identified in the project-impacted areas (sections ready for construction) on the cut-off date will be entitled to compensation for their lost income based on the tax record or, in their absence, comparable rates from registered businesses of the same type with tax records. For shops not qualifying under these categories (hawkers, vendors, etc.), there will be 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. Preferential employment in project-related work will be offered to local people, with priority to vulnerable persons.

61. Procedures for assistance and compensation to affected persons. The following steps are envisaged:

- (i) **Step 1.** Conduct public awareness and information dissemination prior to construction works (through Safeguard Manager of SPCU, and identified community-based organizations (CBOs))
- (ii) **Step 2.** The contractor(s) to identify roads which will experience full or partial closure and/or disruptions in parking/display of wares/traffic and the estimated period of closure/disruption.
- (iii) **Step 3:** The DSC Resettlement Specialist will then (a) conduct a transect walk jointly with the SPCU Safeguard manager and contractors and identified CBO, to identify potential impacts based on detailed designs and final alignments; (b) conduct a DMS and identify shops/businesses and daily income along sections where impacts / disruptions are likely; (c) prepare/ update the Resettlement Plan (identifying potential losses); and (d) send the updated Resettlement Plan to ADB for review and approval after detailed designs and surveys are complete.
- (iv) **Step 4:** The SPCU will distribute identity cards to affected persons, including those facing income losses and those requiring assistance, and vulnerable affected persons.
- (v) **Step 5.** Affected persons can then access the compensation/assistance/allowances provided.

²¹ Those shops experiencing significant income impacts as a result of the project (defined as losing more than 10% of daily income).

²² Compensation is only applicable where customer access is disrupted, leading to income loss. To the extent possible, contractors will identify these types of roads prior to construction. However, if during construction a road not previously identified for full closure is unexpectedly required to be fully closed, inhibiting customer access, the contractor is to immediately notify the DSC resettlement specialist and SPCU, so that a rapid income survey can be conducted and compensation paid for the period of disruption.

- (vi) **Step 6.** Concerned SPCU to pay compensation/assistance/allowances prior to displacement in sections ready for construction (as required). Project Directors to closely monitor these activities.
- (vii) **Step 7.** SPCUs to keep accounts, record of affected persons, amounts paid, and receipts record for accounting purposes.

62. **Vendor Assistance:** Vendors requiring temporary shifting assistance during construction period will be notified in advance and assisted to shift to alternative locations to continue their trade with limited disruption. They will be allowed to return to their original location after construction is declared complete. Vendor assistance will involve the following steps:

- (i) **Step 1.** Identification of impacted vendors through DMS based on detailed design, by Resettlement Specialist of DSC.
- (ii) **Step 2.** Notify vendors at least 30 days in advance, followed by a reminder 7 days and again, 24 hours in advance. Consult with local Vendor Associations, if they exist.
- (iii) **Step 3.** Identify alternative locations nearby for affected vendors to continue business.
- (iv) **Step 4.** Assistance by contractor to shift to new location. If income disruption expected during this time, compensation of lost income to be paid by the concerned PMU.
- (v) **Step 5.** Assistance to return to original location after construction works complete.

VI. GRIEVANCE REDRESS MECHANISMS

63. The Project will pursue a participatory approach in all stages of planning and implementation, as it is expected to ensure that the affected parties have nothing or little to complain about. It is of prime importance to timely redress of grievances in order to complete the Project satisfactorily. Grievances arise due to inadequate understanding of project policies and procedures which can be resolved by timely and properly explaining the situation to the complainants. The Project will have a three tier Grievance Redressing Mechanism (GRM) for redressing the grievances of the affected persons, with emphasis on vulnerable communities including indigenous peoples.

64. A project-specific GRM has been established to receive, evaluate, and facilitate the resolution of affected person's concerns, complaints and grievances about the social and environmental performance of LGESP. The GRM of the project has been prepared and accepted by ADB and disclosed in the project website. The GRM chart providing information on receipt of complaints and levels of redressal is displayed in all subproject sites, local authorities' offices, SPCU offices and other important places. The SPCU records all grievances received and address them on priority. To date all grievances are addressed at the stage of first tier.

65. The GRM aims to provide a time-bound and transparent mechanism to voice and resolve social and environmental concerns linked to the project. The GRM is project specific and not intended to bypass the government's own redress process; rather it is intended to address affected people's concerns and complaints promptly, making it readily accessible to all segments of the affected people and is scaled to the risks and impacts of the project.

66. The PMU and SPCUs will make the public aware of the GRM through public awareness campaigns. Grievances can be filed in writing using the Complaint Register and Complaint Forms or by phone with any member of the PMU or SPCU. The contact details of the respective

SPCUs will serve as a main avenue for complaints and will be publicized through display on notice boards outside their offices and at construction sites. The safeguard documents made available to the public in an accessible version will include information on the GRM and will be widely disseminated throughout the corridor by the safeguards officers in the PMU and SPCUs.

67. **First tier of GRM.** The SPCU is the first tier of GRM which offers the fastest and most accessible mechanism for resolution of grievances. The Safeguards Manager – Social and Gender in the SPCU will be designated as the key officer for grievance redress. Resolution of complaints will be done at the earliest. Investigation of grievances will involve site visits and consultations with relevant parties (e.g., affected persons, contractors, traffic police, etc.). The Community Development Officer of the local authority or in the absence of Community Development Officer any officer who is given the responsibility of this, would coordinate with the safeguards and gender manager of SPCU in redressing the Grievances. Grievances will be documented and personal details (name, address, date of complaint, etc.) will be included unless anonymity is requested. A tracking number will be assigned for each grievance, including the following elements:

- (i) Complaint Register and Complaint Forms (including the description of the grievance) with an acknowledgement of receipt given to the complainant when the complaint is registered;
- (ii) Grievance monitoring sheet with actions taken (investigation, corrective measures); and
- (iii) Closure sheet (Result of Grievance Redressal), one copy of which will be handed to the complainant after he/she has agreed to the resolution and signed-off.

68. The updated register of grievances and complaints will be available to the public at the SPCU office, construction sites, and other key public offices. Shall the grievance remain unresolved it will be escalated to the second tier.

69. **Second Tier of GRM. The Social Safeguards and Gender Manager of SPCU will** activate the second tier of GRM²³ by referring the unresolved issue (with written documentation),). The Grievance Redress Committee (GRC) will be established before commencement of site works. A hearing will be called with the GRC, if necessary, where the affected person can present his/her concern/issues. The process will facilitate resolution through mediation. This local GRC will meet as necessary when there are grievances to be addressed. The local GRC will suggest corrective measures at the field level and assign clear responsibilities for implementing its decision at the earliest. The contractor will have observer status on GRC. In case of resettlement issues the representative of the affected persons will also be invited to the GRC for all meetings to be a part of the decision.

70. The safeguards and gender manager of SPCUs will be responsible for processing and placing all papers before the GRC, maintaining database of complaints, recording decisions, issuing minutes of the meetings and monitoring to see that formal orders are issued and the decisions carried out.

²³ The GRC will consist of the following persons (i) Commissioner of Local Government of the Province as Chairman, (ii) Divisional Secretary of the area; (iii) Chairman of the respective pradeshiya sabha; (iv) representative of NGO/CBO working in the area as nominated by CLG; (v) Member of clergy of pradeshesiya area; (vi) Chairman of Samatha mandal; (vii) Grama Niladhari of the area; and (viii) NGO/ representative of the affected persons (ix) Social Safeguard and gender Manager - as Member Secretary of the GRC. The functions of the local GRC are as follows: (i) resolve problems quickly and provide support to affected persons arising from various issues including environmental and social issues.

71. **Third tier of GRM.** In the event that a grievance cannot be resolved directly by the SPCUs (first tier) or GRC (second tier), the affected person can seek redress through third tier at the central level. The third tier - Central Grievance Redressal Committee consists of (i) Project Director as Chairman; (ii) Legal Officer of MPCLG as member and Social Safeguard and Gender Officer of PMU as Member Secretary.

72. In case the grievance is not solved at this level, then the complainant can refer the same to the court of law.

73. In the event that the established GRM is not in a position to resolve the issue, the affected person also can use the ADB Accountability Mechanism.²⁴ However, before submitting a complaint to the Accountability Mechanism, it is recommended that affected people make a good faith effort to solve their problems by working with the concerned ADB operations department. Only after doing that, and if they are still dissatisfied, they could approach the Accountability Mechanism. The affected people may directly contact (in writing) the Complaint Receiving Officer at ADB headquarters or the ADB Sri Lanka Residence Mission. The complaint can be submitted in any of the official languages of ADB's developing member countries. The ADB Accountability Mechanism information will be included in the project-relevant information to be distributed to the affected communities, as part of the project GRM.

74. The detailed GRM is hosted in the project website. The graphical representation of the GRM is provided in Appendix 10.

75. **Record keeping.** Records of all grievances received, including contact details of complainant, date the complaint was received, nature of grievance, agreed corrective actions and the date these were effected and final outcome will be kept by PMU and SPCUs. The number of grievances recorded and resolved and the outcomes will be displayed/disclosed in the SPCU offices, and on the Project web.

VII. INSTITUTIONAL ARRANGEMENT AND IMPLEMENTATION

76. The MPCLG is the executing agency of the project, while respective Local Authorities will implement subprojects under the Project under the guidance and supervision of SPCUs. The PMU headed by a Project Director will be responsible for overall project implementation, monitoring, and supervision. The PMU, staffed by a full time Social Safeguards/Gender Officer who will support the Project Director in addressing all safeguards issues of the Project. The Officer will be supported by Project Management Consultants who will include a Safeguards Expert. The PMU Officer with the assistance of the SPCU will be responsible for preparation and implementing the resettlement plans. The SPCU will include a Social Safeguards Manager who will ensure resettlement plans are prepared in accordance with the resettlement framework. The Manager will be supported by Design and Supervision Consultants who will include a Social Safeguards Expert. The Manager will take care of redressing grievances and mitigating negative impacts caused by subprojects on affected people. This institutional arrangement is maintained as in the original project. It has been effective and no major issues identified during the implementation period on safeguards issues and compliance. The subproject screening activities and efforts of avoiding or minimizing involuntary resettlement impacts were properly conducted and applied. Terms of Reference of Social Safeguard staff are in **Appendix 11**.

77. Table 4 defines the institutional roles and responsibilities for the preparation and

²⁴ For further information see: <http://compliance.adb.org/>.

implementation of resettlement plans.

Table 4: Implementation Arrangements

Activity		Agency Responsible
1	Hiring of safeguards staff including consultants	PMU
2	Screening land acquisition and resettlement impacts	Local Authorities, SPCU
3	Preparing land acquisition and resettlement plan	Local Authorities, SPCU ²⁵
4	Review and appraisal for land acquisition and resettlement plan	SPCU, PMU, ADB
5	Coordination of land acquisition and resettlement plans for subprojects to be implemented	SPCU
6	Census and inventory of losses	Local Authorities, SPCU
7	Consultation/disclosure of land acquisition and resettlement plan to affected parties	Local Authorities, SPCU
8.	Assistance in relocation (if required) specially for vulnerable groups	Local Authorities, SPCU
9.	Relationship with host communities restoration of temporary acquired lands to original state (if required)	Local Authorities, SPCU
10	Monitoring	Local Authorities, SPCU, PMU

ADB = Asian Development Bank, PMU = project management unit, SPCU = subproject coordinating unit.

VIII. BUDGET AND FINANCING

78. Detailed budget estimates for each resettlement plan will be prepared which will be included in the overall project cost estimate. The budget will include (i) detailed cost of land acquisition, relocation and livelihood and income restoration and improvement, (ii) sources of funding, (iii) administrative costs, (iv) monitoring costs, (v) cost of hiring consultants, (vi) arrangements for approval and the flow of funds, and (vii) the contingency arrangements.

79. All land acquisition, compensations, relocation and rehabilitation, administration expenses, monitoring and consultant costs, income and livelihood restoration cost will be considered as an integral component of project costs and timely disbursement of funds for resettlement plan implementation will be ensured by the executing agency. The executing agency also has to ensure timely advisability and allocation for the smooth implementation of the Project. Total incremental administration for social safeguards – excluding land acquisition and government staff to be provided through government counterpart financing, and consulting services to be provided under the Project is estimated at \$50,000.

IX. MONITORING AND REPORTING

80. Any land acquisition and resettlement will be closely monitored by the PMU. The objectives of monitoring are (i) to ensure that the compensations are paid prior to displacements and standard of living of affected persons are restored or improved, (ii) to monitor whether time targets are met, (iii) to understand whether the compensation/rehabilitation measures are sufficient or not, (iv) to identify problems or potential problems, and (v) to identify methods of responding immediately to mitigate the problems if any. This monitoring and evaluation program will record and assess project inputs and the number of persons affected and compensated and

²⁵ Technical guidance and support will be provided by the PMC's resettlement experts for the preparation of the RP, as needed.

thereafter will confirm that former subsistence levels and living standards of affected persons are re-established or not. Potential monitoring indicators are in Table 5.

81. Monitoring will be based on information obtained and gathered by reviewing subproject files, sample survey of affected persons, key informant interviews, in-depth case studies and community public meetings. SPCU monthly progress reports will include monitoring findings and will be submitted to the PMU for consolidation and finalization. Monitoring reports will be prepared twice a year during project implementation. These reports will be submitted to the executing agency and ADB for review, approval, and disclosure. The PMU will be responsible for determining if any follow-up actions are necessary and ensuring any necessary actions, including corrective action plan, are taken regarding the implementation of indigenous people plans.

Table 5: Potential Monitoring and Evaluation Indicators

Type	Indicators	Examples of Variables
Process Indicators	Staffing	-Number of staff on project, job function, gender -Assignment of safeguards officers -Training received
	Consultation, participation and grievance redress	-Number of consultations and participatory activities held on entitlements, valuation, and replacement value etc. -Grievance by type and resolution -Number of field visits by various staff member -Number of community groups/civil society CBOs participating
	Procedure in operation	-Assets verification in place -Effectiveness of compensation delivery system -Number of land transfers executed -Coordination between the SPCU/PMU and other line agencies
Output Indicators	Land acquisition	-Area of cultivation/paddy land acquired -Area of other private land acquired -Area and type of state land acquired
	Structures	-Number, type and size of private structures acquired -Number, type and size of community property structures acquired - Number, type and size of government structures acquired
	Trees and crops	-Number and type of private trees and crops acquired - Number and type of government or community crops and trees acquired -Crops destroyed by area, type and number of owners
	Compensation and rehabilitation	-Number of households affected. (land, buildings, trees, crops) -Number of owners compensated by types of loss -Number and amount of allowances paid -Number of replacement houses constructed by owners -Number of owners requesting assistance with purchasing replacement land -Number of replacement land purchases effected -Number of delivery of entitlements -Suitability of entitlements to affected persons as per plan objectives -Number of poor and vulnerable affected persons

Type	Indicators	Examples of Variables
		requesting assistance with land and title -Assistance made related to land allocation to poor and vulnerable affected persons
Impact Indicators	Household earning capacity	-Employment status of economically active members -Land holding size, area, cultivated and production value
		by crop -Selling of cultivated land -Changes to livestock ownership -Changes to agricultural income earning activities -Amount and balance of income and expenditure
	Changes to status of women	-Participation in training programs -Participation in project construction work -Participation in commercial enterprises
	Changes to status of children	-School attendance rate (male and female) -Participation in project construction work
	Settlement and population	-Growth in number and size of settlement -Growth in market areas -Influx of illegal settlers/encroachers

CBO = community-based organization, PMU = project management unit, SPCU = subproject coordinating unit.

82. Resettlement plan implementation will vary from subproject to subproject. The specific resettlement-related activities to be performed such as social impact assessment, census and surveys, resettlement planning, public consultations, development of mitigation measures and income restoration measures, and the subproject implementation schedule will all be detailed in the resettlement planning document. Outline of Resettlement plan is as given in Appendix 9.

83. The involuntary resettlement plan compliance and actions required is reported quarterly by SPCU using the format as in Appendix 12.

84. The institutional framework of the monitoring of social safeguards is provided vide Appendix 13.

IDENTIFIED SUBPROJECTS AND INVOLUNTARY RESETTLEMENT IMPACTS

The list of identified sub projects is as below:

Output 1: Water Supply Schemes in CKD affected areas

List of sub projects and area covered

Province	Sl. No	Proposed Subproject	Covered DS Divisions
Central	1	WSE to supply pipe born water to Sigiriya, Kandalama & Kithulhitiyava rural areas. (extension pipe length 160 km)	Dambulla
	2	WSE to supply pipe born water to Galewela, Inamaluwa & Dambulla rural areas (extension pipe length 153 km)	Dambulla
	3	Renovation and Augmentation of existing treatment plant Dambulla.	Dambulla
	4	Construction of Borehole, pump house, Chlorinators - New schemes (3 nos)	Matale
North Central	5	Extension to Uththupitiya from Kekirawa WSS	Thirappane
	6	Extension to Elagamuwa from Greater Dambulla WSS (Extension Main line length -15 km)	Kekirawa
	7	Extension to Thirappane Surrounding area from Kekirawa WSS (Extension length -16 km)	Thirappane
	8	Extension to Mahailukpallama from Kekirawa WSS (Extension length -12 km)	Kekirawa
	9	Extension to Bendiwewa from Polonnaruwa WSS(Extension length -18 km)	Thamankaduwa
	10	Capacity improvements to Minneriya WTP.	Hingurakgoda
	11	Capacity improvements to Nuwarawewa WTP	Mihinthal, Nuwaragampalatha East and Central
	12	Extension to Elagamuwa from Greater Dambulla - 1	Kekirawa
	13	Improvement Works to Ipalogama Treatment Plant (Kekirawa WSS)	Kekirawa
	14	Extension of Sewagama Canel -3 form Polonnaruwa WSS (Extension length – 7.5 km)	Thamankaduwa
	15	Pipe Line Extension – Upto Thambala and development of existing WSS	Thamankaduwa / Lankapura
	16	Extension and distribution improvement works in Minneriya -	Hingurakgoda
	17	Capacity Improvement works to Thissawewa WSS & Treatment Plant.	Nuwaragampalatha Cetral
	18	Uruwewa WSS	Padaviya
	19	Abeyapura WSS	Padaviya
	20	Thibiriwewa WSS	Kebithigollawa

Province	Sl. No	Proposed Subproject	Covered DS Divisions
North Western	21	Completion work of Existing Ibbagamuwa WSS	Ibbagamuwa
	22	Extension of Existing Nikaweratiya WSS To Nikaweratiya / Ambanpola - (Approximate pipe length 62.5 Km)	Nikaweratiya / Ambanpola
	23	Extension of Existing Galgamuwa WSS (Approximate pipe length 28 Km)	Galgamuwa
	24	Construction of WSS at Karuwalagaswewa.	Murukkuwattawana, Kudamadawachchiya, Kaurwalagaswewa Tabbowa
Uva	25	Diwulapalassa New scheme	Mahiyanganaya
	26	New WSS to supply water for rural villages of Tahnamalvila & Hambagamuwa.	Thanamalvila
	27	Rahathangama, Kumaragama, & Kukurampola pipe line Extension from Buttala WSS	Buttala
	28	Kumaragama Extension from Buttala WSS (Total extension by No 3 & 4 is 69Km)	
	29	Extension to Belaganwewa from Giradurukotte WSS (Extension length 47 Km)	Mahiyanganaya
	30	Rideemaliyadda New Schemes	Rideemaliyadda

Km = kilometer; WSE = water supply extension; WSS = water supply scheme; WTP = water treatment plant.

Output 2: Civil Works (Water Supply, Drainage, Roads, Weekly fair, Social Infrastructure, etc.) in the following towns

Sl. No.	Name of Pradeshiya Sabha
1	Kundasale PS
2	Udunuwara PS
3	Matale PS
4	Pallepola PS
5	Nuwareliya PS
6	Kurunagela PS
7	Naramalla PS
8	Polgahawela PS
9	Nattandiya PS
10	Puttalam PS
11	Ambalangoda PS
12	Baddegama PS
13	Balapitiya PS
14	Bentota PS
15	Habaraduwa PS
16	Rathgama PS
17	Matara PS
18	Weligama PS
19	Tangalle PS
20	Passara PS
21	Homogama PS
22	Ja Ela PS
23	Katana PS
24	Kelaniya PS
25	Mahara PS
26	Wattala PS
27	Beruwela PS
28	Kalutara PS
29	Panadura PS

Field surveys show that there will be no significant land acquisition or significant resettlement impacts due to the Project and its subprojects. Subprojects that will displace 200 or more persons through major impacts such as (i) being physically displaced from housing or (ii) losing 10% or more of their productive assets (income generating) will not be selected. Subprojects funded under the current Local Government Enhancement Sector Project show that most of the subprojects are small or micro in scale, and do not result in any resettlement. All of the subprojects implemented under current loan did not have any resettlement impact. It is expected that the subprojects for the Project (Additional Financing) will also not have significant resettlement or physical displacement.

However, the Project may need to acquire lands for the purpose of implementation of subprojects such as a road widening or water supply (if required during implementation). All lost land and assets will be compensated at replacement cost.

There may be losses of a temporary nature, to private property during the civil works construction period. The contractors may need to occupy private lands to store material, equipment and vehicles. They also may need lands for temporary camps for laborers. Accordingly such private properties can get damaged due to such uses. In accordance with the policy all such losses will be fully compensated.

TERMS OF REFERENCE FOR INDEPENDENT THIRD PARTY FOR NEGOTIATED PURCHASE OR VOLUNTARY LAND DONATION

1. For any voluntary donation of land, an external independent entity will supervise and document the consultation process and validate the negotiated purchase or land donation process as per legal requirement.

A. Terms of Reference for Independent Third Party Witness

2. An independent third party is sought to be appointed to oversee and certify the process of negotiated purchase or land donation. The third party shall be briefed about his/her expected role and deliverables by the concerned Project Management Unit (PMU)/ Subproject Coordination Unit (SPCU).

3. **Eligibility:** The third party shall be a representative of the community (for example, a leader of the community with formal or legal standing, a representative of a local nongovernmental organization or community-based organization with formal and legal standing), without any direct interest in the negotiation process or subproject activity, who is acceptable to each of the concerned parties (PMU/SPCU and concerned land owner/donor).

4. **Scope of work:** The role of the third party shall be to ensure a fair and transparent process of negotiation or donation. The envisaged scope of work shall entail the following:

- (i) witness and keep a record of meetings held with the concerned parties,
- (ii) ensure there is no coercion involved in the process of negotiated purchase / land donation,
- (iii) ensure that the donor(s) are not coming from vulnerable groups/poor families
- (iv) ensure that the preferences and concerns of the land owner / donor related to access, selection of site within lands held, etc. are recorded and any stipulated conditions met,
- (v) ensure that the negotiated purchase / land donation agreement is drafted in a fair and transparent manner,
- (vi) confirm that the offered/agreed price is fair and meet the market price of the land with similar value and condition in the area,
- (vii) ensure the negotiated purchase/donation does not result any negative impacts to the third party associated with the purchase/donation activity,
- (viii) identify and recommend mitigation measures to land owner / donor/ affected third party, if required,
- (ix) ensure that taxes, stamp duties and registration fees for purchased / donated land are borne by government, and
- (x) submit a certificate as witness to the purchase / donation and transfer process.

5. **Deliverables:** The details of the meetings, and a certificate/reports as witness to the purchase or donation process and mitigation measures to owner or donor, if any, shall be submitted by the third party to PMU, SPCU and owner or donor in the local language.

SAMPLE CERTIFICATION FORMATS

This is to certify that Mr./Mrs. XXXXXXXXXXXXXXXXXXXX, (profession, designation, address) is appointed as independent third party to certify the process of negotiated purchase/donation of plot no.....area.....owned / donated by XXXXXXXXXX (names of owner), who is a signatory to this certificate. It is also placed on record that none of the signatories to this certificate have any objection to appointment of xxxx as third party witness.

Date

Officers Concerned PMU/SPCU and land donor/ land owner

(Names and Signatures)

I, _____ of _____ (address) certify that I was witness to the process of negotiated purchase / land donation (details of plot _____ from XXXXXXXXXX land owners names).
I certify that:

1. The process of purchase / donation of the said land was transparent; the landowner(s) was/were happy to sell/donate the land/assets for the welfare of the community/subproject activities.
2. No coercion was used in the purchase/donation process.
3. No (formal/informal) third party (associated with the purchase/donation) is negatively affected¹ by the purchase/donation activity
4. Land transfer costs (registration fee and stamp duty) were borne by the government and not by the owner/donor.
5. All concerns expressed by the owner/donor as agreed, were addressed and no pending issues remain.
6. The following mitigation measures were identified and implemented / provided to the land owner/donor.
7. Attached are the minutes of meetings held between project proponents and the land owner/donor, and the agreed price/value of the donated land which I was witness to.
8. Attached are the pictures of the land purchased/donated and pictures of the original land owner(s) of the purchased/donated land.
9. Attached are the information of the socio economic background of the land owner(s)/ donor(s)

Signed/

Name

XXXXXXXXXXXXXXXXXXXXX

Date: _____ Place: _____

Encl: Minutes of meetings held between land owner/donor and project proponents

¹ Negatively affected defines as permanent loss of/ access to shelter or livelihood support which could cause impoverishment to the affected third party.

RESETTLEMENT SCREENING FOR SAMPLE SUBPROJECTS

1. Uththupitiya Water Supply Scheme

1. **Introduction.** This screening determines resettlement requirements of Uththupitiya water supply scheme and categorise the resettlement impact.

A. Information on project/subproject/component:

- a) Administrative Name: Uththupitiya, Anuradhapura, District
- b) Location: North Central Province, Sri Lanka
- c) Civil work dates (proposed): Laying of water supply pipelines
- d) Technical Description: This is an extension of water supply scheme from the Kekirawa water supply scheme involves laying main and distribution pipe lines

B. Screening Questions for Involuntary Resettlement Impact

2. Below is the initial screening for involuntary resettlement impacts and due diligence exercise. Both permanent and temporary impacts must be considered and reported in the screening process.

Involuntary Resettlement Impacts	Yes	No	Not known	Remarks
Will the project include any physical construction work?	✓			<i>Laying of pipes</i>
Does the proposed activity include upgrading or rehabilitation of existing physical facilities?	✓			
Will it require permanent and/or temporary land acquisition?		✓		
Is the ownership status and current usage of the land known?				<i>Not applicable - No land acquisition</i>
Are there any non-titled people who live or earn their livelihood at the site or within the corridor of impact (COI) / Right of Way (ROW)?		✓		
Will there be loss of housing?		✓		
Will there be loss of agricultural plots?		✓		
Will there be losses of crops, trees, and fixed assets (i.e. fences, pumps, etc.)?		✓		
Will there be loss of businesses or enterprises?		✓		
Will there be loss of incomes and livelihoods?		✓		
Will people lose access to facilities, services, or natural resources?		✓		
Will any social or economic activities be affected by land use-related changes?		✓		
Are any of the affected persons (AP) from indigenous or ethnic minority groups?		✓		

C. Involuntary Resettlement Impact

3. After reviewing the answers above, EA/ Safeguard Team confirms that the proposed subsection/ section/ subproject/component (tick as appropriate):

☐ Has involuntary resettlement (IR) impact, a resettlement plan (or corrective action plan) is required

☒ Has No IR impact, no resettlement plan is required.

2. Bendiwewa - Water Supply Project

1. **Introduction.** This screening determines resettlement requirements of Bendiwewa water supply scheme and categorise the resettlement impact.

A. Information on project/subproject/component:

- a) Administrative Name: Bendiwewa, Polonurawewa, District
- b) Location: North Central Province, Sri Lanka
- c) Civil work dates (proposed): Laying of water supply pipelines
- d) Technical Description: This is an extension of water supply scheme from the Pollonurawa water supply scheme involves laying main and distribution pipe lines

B. Screening Questions for Involuntary Resettlement Impact

2. Below is the initial screening for involuntary resettlement impacts and due diligence exercise. Both permanent and temporary impacts must be considered and reported in the screening process.

Involuntary Resettlement Impacts	Yes	No	Not known	Remarks
Will the project include any physical construction work?	✓			<i>Laying of pipes</i>
Does the proposed activity include upgrading or rehabilitation of existing physical facilities?	✓			
Will it require permanent and/or temporary land acquisition?		✓		
Is the ownership status and current usage of the land known?				<i>Not applicable - No land acquisition</i>
Are there any non-titled people who live or earn their livelihood at the site or within the corridor of impact (COI) / Right of Way (ROW)?		✓		
Will there be loss of housing?		✓		
Will there be loss of agricultural plots?		✓		
Will there be losses of crops, trees, and fixed assets (i.e. fences, pumps, etc.)?		✓		
Will there be loss of businesses or enterprises?		✓		
Will there be loss of incomes and livelihoods?		✓		
Will people lose access to facilities, services, or natural resources?		✓		
Will any social or economic activities be affected by land use-related changes?		✓		
Are any of the affected persons (AP) from indigenous or ethnic minority groups?		✓		

C. Involuntary Resettlement Impact

3. After reviewing the answers above, EA/ Safeguard Team confirms that the proposed subsection/ section/ subproject/component (tick as appropriate):

☐ Has involuntary resettlement impact, a resettlement plan (or corrective action plan) is required

☒ Has No involuntary resettlement impact, no resettlement plan is required.

3. Minneriya Water Treatment Plant - Improvements

1. **Introduction.** This screening determines resettlement requirements of water supply scheme -Minneriya water treatment plant.

A. Information on project/subproject/component:

- a) Administrative Name: Minneriya, Anuradhapura, District
- b) Location: North Central Province, Sri Lanka
- c) Civil work dates (proposed): Improvements to water treatment plant.
- d) Technical Description: This works improvements to water treatment plant

B. Screening Questions for Involuntary Resettlement Impact

2. Below is the initial screening for involuntary resettlement impacts and due diligence exercise. Both permanent and temporary impacts must be considered and reported in the screening process.

Involuntary Resettlement Impacts	Yes	No	Not known	Remarks
Will the project include any physical construction work?	✓			<i>Upgrading the existing water treatment plant</i>
Does the proposed activity include upgrading or rehabilitation of existing physical facilities?	✓			
Will it require permanent and/or temporary land acquisition?		✓		
Is the ownership status and current usage of the land known?				<i>Not applicable - No land acquisition</i>
Are there any non-titled people who live or earn their livelihood at the site or within the corridor of impact (COI) / Right of Way (ROW)?		✓		
Will there be loss of housing?		✓		
Will there be loss of agricultural plots?		✓		
Will there be losses of crops, trees, and fixed assets (i.e. fences, pumps, etc.)?		✓		
Will there be loss of businesses or enterprises?		✓		
Will there be loss of incomes and livelihoods?		✓		
Will people lose access to facilities, services, or natural resources?		✓		
Will any social or economic activities be affected by land use-related changes?		✓		
Are any of the affected persons (AP) from indigenous or ethnic minority groups?		✓		

C. Involuntary Resettlement Impact

3. After reviewing the answers above, EA/ Safeguard Team confirms that the proposed subsection/ section/ subproject/component (tick as appropriate):

- ☐ Has involuntary resettlement impact, a resettlement plan (or corrective action plan) is required
- ☒ Has No involuntary resettlement impact, no resettlement plan is required.

INVOLUNTARY RESETTLEMENT SCREENING CHECKLISTS

A. Introduction

1. Each project/subproject/component needs to be screen for any involuntary resettlement impacts and indigenous people impacts which will occur or already occurred. This screening determines the necessary action to be done by the project team.

B. Information on project/subproject/component:

- a. District/ Administrative Name: _____
- b. Location (km): _____
- c. Civil work dates (proposed): _____
- d. Technical Description: _____

C. Screening Questions for Involuntary Resettlement Impact

2. Below is the initial screening for involuntary resettlement impacts and due diligence exercise. Both permanent and temporary impacts must be considered and reported in the screening process.

Involuntary Resettlement Impacts	Yes	No	Not known	Remarks
Will the project include any physical construction work?				
Does the proposed activity include upgrading or rehabilitation of existing physical facilities?				
Will it require permanent and/or temporary land acquisition?				
Is the ownership status and current usage of the land known?				
Are there any non-titled people who live or earn their livelihood at the site or within the corridor of impact (COI) / Right of Way (ROW)?				
Will there be loss of housing?				
Will there be loss of agricultural plots?				
Will there be losses of crops, trees, and fixed assets (i.e. fences, pumps, etc.)?				
Will there be loss of businesses or enterprises?				
Will there be loss of incomes and livelihoods?				
Will people lose access to facilities, services, or natural resources?				
Will any social or economic activities be affected by land use-related changes?				
Are any of the affected persons (AP) from indigenous or ethnic minority groups?				If yes, please describe the situation

Additional Notes: (sketch map or pictures)

D. Involuntary Resettlement Impact

3. After reviewing the answers above, EA/ Safeguard Team confirms that the proposed subsection/ section/ subproject/component (tick as appropriate):

☐ Has involuntary resettlement impact, a resettlement plan (or corrective action plan) is required

☐ Has No involuntary resettlement impact, no resettlement plan is required, due diligence report will be prepared.

Prepared By:	Verified by:
Signature:	Signature:
Name:	Name:
Position:	Position:
Date:	Date:

OUTLINE OF DUE DILIGENCE REPORT (DDR) INVOLUNTARY RESETTLEMENT IMPACTS

1. Following requirements of the ADB Safeguard Policy Statement (2009) and the *Operations Manual* section on safeguard policy (OM F1), ADB assumes the responsibility for conducting due diligence and for reviewing, monitoring, and supervising projects throughout the ADB's project cycle in conformity with the principles and requirements embodied in the SPS. To ensure appropriate categorization of involuntary resettlement safeguards during project preparation a careful screening activities are recommended to be done by the project team (or consultants) and the result is reported to ADB. This report is important as the supporting document, as well as for the baseline information/data, for a project to be categorized as C ("no impacts") on involuntary resettlement and for projects involving facilities and/or business activities that already exist or are under construction before ADB's involvement. The comprehensiveness of the report is commensurate with the complexity of the proposed project activities. An involuntary resettlement due diligence report (DDR) may include the following elements:

A. Executive summary

2. This section provides a concise statement of project scope and activities, key findings and proposed safeguards categorization and summary recommended actions, if any.

B. Background of the Report and Project Description

3. This section provides a general description of the activity, including:

- (i) Background/context of the due diligence report which includes the information on the proposed project and its components,
- (ii) Information on the scope of the due diligence activity and requirements

C. Legal and Policy Background

4. This section provides information on country regulations and laws related to land acquisition and involuntary resettlements relevant to the project activities. ADB SPS (2009) is also included as another policy reference of the assessment.

D. Methodology

5. This section describes the methodology used in conducting the due diligence activities for involuntary resettlement impacts. This includes schedule of the assessment activities, consultation meetings with projects affected communities and mobilized resources (institutions involved). The involuntary resettlement due diligence checklist as prepared by ADB can be used to conduct the assessment.

E. Findings

6. This section describes the results of the assessment. This includes:

- (i) Detail account of possible involuntary resettlement impacts due to the proposed project activities (each component/ sub project). The assessment of impacts should include permanent and temporary impacts for both land and non-land assets (i.e. immobile assets, crops/trees, income, access to land or resources, etc.)

- (ii) A chronology of past land acquisition and resettlement activities, if any. This includes assessment of adequacy of the previous land acquisition and resettlement activity against ADB policy on involuntary resettlement and whether there are pending issues related to the past activities.
- (iii) Other social issues observed during the field visits (i.e. opposition/ resentment from the communities in the project sites, social conflicts, etc.) that could affect the implementation of the project.

F. Recommendations

7. This section describes the summary findings of the assessment and recommendation for the appropriate involuntary resettlement categorization of the project. A time-bound action plan for preparing the required resettlement plan (RP) and/or corrective action plan (CAP), if any, maybe proposed.

Appendix

- (i) Completed involuntary resettlement due diligence checklist with signatures from the responsible agencies/ institutions
- (ii) Pictures and maps of the project sites
- (iii) List of existing assets observed/ recorded during the assessment
- (iv) Copy of land/assets ownership records
- (v) Copy of minutes of meeting during consultations

CENSUS SURVEY GUIDELINES

A. Census Requirement and Contents

1. Census of households and individuals located within the subproject has to be undertaken to register and document the status of potentially affected population within the subproject impact area. It will provide a demographic overview of the population covered by the Resettlement Plan and profiles of household assets and main sources of livelihood. It will cover 100% of the potentially affected population within the subproject impact area.

- (i) **Project Impact.** Write briefly on the project and its impact in regard to the resettlement in the project area.
- (ii) **Resource Base.** During the conduct of the census, legal boundaries of affected properties and the right of way (ROW) are to be verified. Structures, trees and other assets are to be recorded.
- (iii) **Economic Base.** The economic base of the affected people including the modes and magnitude of production, consumption pattern, related economic institutions.
- (iv) **Household Census.** Household census covering immovable property owned by the DPs and other resources in their possession/use. These surveys would be carried out in association with local and host communities as well as with the local representatives.
- (v) **Social Structures.** The social structure, norms, customs, cultural centers, traditions, patterns of leadership and institutions of social network.
- (vi) **Displaced Persons.** The census will identify tenants, leaseholders, sharecroppers, encroachers, squatters, and agricultural workers. During such census, those Displaced Persons dependent on the existing infrastructure link for their livelihood, shall also be identified and listed along with their identified income. Besides this, the census will also identify Displaced Persons who are from vulnerable groups.

B. Census Procedures

2. The following procedure is to be adopted in carrying out the census:

- (i) Preliminary screening to provide initial information on social impacts;
- (ii) Verification of legal boundaries of the subproject area, to document existing structures, land plots and others physical assets. This involves:
 - (a) Identification of suitable resettlement sites, in close proximity to the affected area if required;
 - (b) All encroachments, private land holdings and others assets in the sub-project area is to be documented;
 - (c) Assets, structures, land holdings, trees, etc. to be recorded; and
 - (d) All information is to be computerized; photography to be used to document existing structures.
- (iii) The baseline socio-economic survey shall cover information on the various categories of losses and other adverse impacts likely under the sub-project;
- (iv) The census will identify potentially affected populations with special attention to vulnerable groups; and
- (v) Assessment on the value of various assets to be made.

Impact of subproject - AP wise: The impact of the subproject AP wise to be listed as in the following table.

Sl. No.	Name and details of the beneficiary	ID Number	Pradeshiya Sabha / Division	Impact of subproject
1.				

C. Database Management

- (i) **Data Sources.** As a pre-requisite for conducting the primary household surveys, relevant information is to be collected from secondary sources. These include:
 - (a) Revenue records maintained, with regard to land particulars for facilitating acquisition of properties and resettlement of displaced;
 - (b) Census records for demographic information;
 - (c) Development agencies to get information on various development programs for special sections of population like those living below poverty line, Scheduled Tribes, Schedule Castes, etc.
- (ii) **Data Collection.** Household level contacts and interviews with each affected family for completing the household socio-economic profile. Each of the households surveyed and the structure/land likely to be affected by the subproject has to be numbered, documented and photographed. Public consultation exercises in different subproject areas to be conducted with the involvement of Displaced Persons. In these exercises, women among the Displaced Persons are to be involved to elicit their views and options on the overall planning of resettlement activities. Discussions with a cross-section of Displaced Persons will help towards understanding the problems and preference of the Displaced Persons.
- (iii) **Data Analysis.** The analysis would cover the following: population, population density, age, sex ratio, literacy rates/education, gender issues, tribal issues, religious groups, income, occupation and poverty line.

SOCIOECONOMIC BASELINE SURVEY FORMAT

Introduction: This questionnaire aims to collect socio-economic data of a sample of intended beneficiaries of the project.

Instructions for enumerators (INE):

- (i) Building up rapport with the respondents is essential to get reliable data.
- (ii) First explain the objective of this questionnaire survey, and ask for permission/willingness of the respondent to take parting the survey.
- (iii) Follow special instructions given with some questions.
- (iv) Tick off the appropriate cage when options for answers are given, and also follow the keys.
- (v) Thank the respondent at the end of the interview for taking part in the survey.

Section one: Basic general information of the Households

Household information

Name of the Head of the household:					
Subproject Impact Name:					
Sub Project Impact:					
Name of the Respondent:					
Respondent's relationship to the HH:					
1.Head	2. Wife	3... Daughter	4. .Son	5.daughter-in-law/ Son-in-law	6. Address
Grand	Mother/ Grand	Father	7.	Other Relative	8. Non relative
Other(Specify)					
Sex of the Respondent:		1.Male	2.Femle	Age:	

Size of the Household:

Demographic & Employment Information

INE

- (i) First, read the table given below and pay attention on the followings:
- (ii) Household's members: Consider those who are living relatively a long time or permanently with the selected family.
- (iii) Age can be considered approximately if exact figures are not available or not-known
- (iv) If some members are having more than one occupation indicate them as well while marking the major among them with a *
- (v) In the Remarks column, indicate special features of the Households members (if there is any)- e.g. disabilities, special achievements and the like

Position in the family C1	Sex (1.Male 2.Female)	Age	Occupation C2	Remarks

C1: 1.Head 2. Wife 3. Daughter 4. .Son 5.daughter-in-law/ Son-in-law 6. Grand Mother/ Grand Father 7. Other Relative 8. Non relative 9. Other (Specify)

C 2: 1. Farmer 2. Student 3. Self-employed (trade etc.) 4. Private sector employed 5.Public sector employed 6. Foreign employment 7. Skilled labor 8. Unskilled labor 9. Unemployed 10. Other (Specify)

Section Two: Economic Aspects of the Households

INE

- (i) First, read the table given below and pay attention on the followings:
- (ii) Sources of income: Help the respondent to be specific when indicating the sources; for example, if the respondent indicated Agriculture as the source of income, it income should be specified- whether it is plantation crop or paddy or upland crops or animal husbandry with poultry, cattle or any other and so on.
- (iii) In the second column, indicate the main source of income (which means the source that provides the biggest income for the household among several sources available) by the rank (1), and the source that provides the second largest by the rank (2), and so on. Continue ranking according to the descending order of the size of income)
- (iv) Regularity of the income: Key-S=seasonal regular income, O=other occasional incomes (usually not regular), M=Monthly regular income
- (v) For column four: take average of the approximate income received from each source in the last three years.

Main Source of household Income:

Source of income of the Households C3	Rank according to the Importance	Regularity of the income C4	Approximate size of the income /per year

C3: 1. Agriculture (1.1 Paddy, 1.2 Plantation Crop (Tea Rubber Coconut), 1.3 Perennial Crop, 1.4 Home Garden (Veg etc.), 1.5. other, 2. Animal husbandry (2.1. poultry 2.2. cattle 2.3. Goats), 3. Fishery, 4. Private sector employed 5. Public sector employed 6. Foreign Employment, 7. Self-Employed, 8. Skilled Labour (8.1. Mason 8.2. Carpenter), 9. Unskilled Labour, 10. Other (Specify.....)

C4: **M.** Monthly Regular Income, **S.** Seasonal Regular Income, **O.** Other Occasional Income (Irregular Income)

Household Income

INE: Once filled the above table calculate the followings:

- (a) Total of the monthly regular income/s: Rs:
 - (b) Total of the seasonal regular income/s: Rs:
 - (c) Total of the occasional income/s: Rs:
- Total Income Rs:

Respondent's perception towards the Households income

The monthly income of the household is;

A	Enough to fulfill day to day needs, and save some money at the end of the month.	
B	Enough to fulfill day to day needs without being indebted. But not enough to save.	
C	Not enough to fulfill day to day needs, so that sometimes we have to be indebted.	
D	Not sufficient at all to fulfill day to day needs, so that we are very much indebted.	
E	I have no idea about it.	
F	No response.	

Saving and debts

Method of saving	Approx.; size of the current saving	Debts	Approx. amount
Bank deposits		To banks	
Seetthu or informal rotating credit Group		To informal money lenders To the village boutique	
Other (specify)		Other (specify)	
No saving currently		No debts currently	
No response		No response	

Wealth of the Households:

- (i) Tick-off (in the second column) in front of the available items in the Households. Keep the cages empty if they don't have those items.
- (ii) When indicating the ownership (in the third column), please specify it based on the family positions- e.g. - mother, father, or mother and d father jointly, elder son, etc.

Item	Availability	Approximate worth (SLR)	Who owns it?
Land/s			
House/s			
Personal Vehicles/automobiles			
Agricultural/commercial			
Push cycle			
Motor-bikes			
Agricultural machinery			
TV			
Radio			
Computer			
Furniture			
Refrigerator			
Jewelry			
any other (Specify)			

C5: 1.Head 2. Wife 3. Daughter 4. .Son 5.daughter-in-law/ Son-in-law 6. Grand Mother/ Grand Father
7. Other Relative 8. Non relative 9. Other (Specify)

What are the major barriers hampering the improvements of Households income? INE:

- (i) First, let the respondent come up with his/her own explanations and tick the related answers in front of them in the second column of the below table. When the respondent finished answering, read the remaining possible barriers indicated in the column one, and verify whether any of them are also impede the Households income.
- (ii) Once the first column is filled, ask the respondent to rank those barriers based on the severity. The key should be, 1= most severe barrier, 2= next most severe barrier, 3= third most severe, and so on.

Possible Barriers	Presence /absence	Severity (rank
poor road facilities		
Lack of effective markets		
poor access to opportunities of employment s		
poor transport facilities		
inadequate land		
lack of or inadequate financial capital within the household		
heavy indebtedness		
poor availability of financial services in the region		
poor access to available financial services		
poor availability of economic information		
Not having access to available source of economic information		
Not having electricity or reliable source of energy		
poor availability of drinking water		
Poor availability of water for livelihood activities		
effects of adverse climatic factors		
effects of the war/civil conflicts		
pests and diseases		
inadequate levels of education		
poor availability of training and education opportunities		
Not having social capital (not having anybody or "able person" to help to improve Households economy		
Sicknesses of a member/s in the Households		
Any other (specify)		

** Economic information: It could be either information on new/better technologies or new/better sources of income, information about financial services, market information, information about employments etc.

Household Annual Expenditure

Expenditure Source	Rs/year
Food	
Housing loans if any	
Rent	
Water & municipal services	
Health care	
Education	
Clothing	
Transportation	
Entertainment/recreation	
Others	

Section Three: Social Aspects

Social Infrastructure

Type of dwelling of the Household have: (Tick on relevant Category)

Ownership	Response
Own house	
Rented house/annex	
Ancestor's house	
Others (specify)	

1. Type of house

INE: Please specify the material/s that has been used to build up each component of the house indicates d below:

Ownership	Response
Roof C5	
Walls C6	
Floor C7	

C5: 1. Cadjan, 2.Galvanised Sheets, 3.Abbestos, 4.Tiles, 5.Other

C6: 1.Wattle and Daub, 2.Timber Planks, 3.Cement Blocks, 4.Bricks, 5.Other

C7: 1.Cow dung with Mud, 2.Timber Planks, 3.Cement, 4.Tiled, 5.Other

2. Availability and satisfaction to the level of infrastructure and services in and around the dwelling place

INE: Use the key- 1=highly satisfied 2=satisfied 3=somewhat satisfied 4= not satisfied
5=no idea 6= no response

Drinking Water & sanitation Facilities

Considered aspects		Level of satisfaction					
		1	2	3	4	5	6
Response							
Toilet facilities							
Type of facilities used: Public / Private							
If Private: Type of facilities:							
Bathing facilities C8							
Facilities for drinking water							
Current Sources C9							
Quality of Water							
Is source a municipal or private supply? C10							
Additional costs incurred if any?							
Distance to Source							
If source is distant who collects water? How often in a day and time spent per day							
Regularity of Supply: How frequent?							
Are you being billed for water supply?							

C8: 1. Owned well are used 2. Public/Common well 3. Tube well 4. Tank/river /canal 5. Other (specify).....

C9: 1. piped water 2. community stands post 3. own tube well 5. own dug well 5. Others(Specify)

C9: 1.Public 2.Privare 3. Common

Solid waste disposal

Considered aspects		Level of satisfaction					
		1	2	3	4	5	6
Response							
Human waste disposal within the dwelling place							
Human waste disposal in the vicinity or area							
Do you have a disposal facility near your house?							
How often do they collect waste in a week?							
Waste water disposal in the vicinity or area							
Rainwater disposal							
Have you experienced flooding in your area?							
What is the impact of flooding on your households- Loss if any? And value of loss.							

Road & Market Facilities

Considered aspects		Level of satisfaction					
		1	2	3	4	5	6
	Response						
Markets							
Distance to the nearest Market?							
Time taken							
Quality of the facility							
Road							
Typical Expenditure per trip and trips made by the family per year							
Quality of roads used in daily life							

Social Infrastructure

Considered aspects		Level of satisfaction					
		1	2	3	4	5	6
	Response						
Education, If there are children studying-							
Distance to School							
Time Taken							
Health Care							
Where do you visit for normal health problem?							
Distance to the facility and Time taken							
For Major health problems,							
Distance to the facility and	Time taken						
Typical Expenditure per trip & number of Trips made by the family per year							
Recreational Facilities							
Facilities for leisure activities in the house or dwelling place							
Common leisure facilities in the community							
Facilities available for the community to gather in meetings and discussions							
Quality of the facility							

If the local authority has budget to improve its infrastructure and/or services, what would you like to be improved?

INE: Please list up to three base on importance

1.
2.
3.

Equity in participation and gender parity

Let's say there is a meeting in the village temple to discuss an oncoming development project benefiting the villagers. Most likely who take part in it?

Adult male/males of the household	
Adult female/s of the Households	
Youth male/s of the household	
Youth female/s of the Households	
Depending on who is available regardless of gender or age?	
No idea	
No response	

Who will make decisions regarding the above matter of participation?

Adult male/males of the household	
Adult female/s of the Households	
All the family members jointly regardless of gender and age	
Male and female adults jointly	
Autonomously by any individual of the family	
No idea	
No response	

Signature of the household:

	Name	Date	Signature
Name of Investigator			
Name of Supervisor			

SAMPLE FORM FOR RAPID SURVEY OF BUSINESS IMPACTS AND INVENTORY LOSSES (FOR DETAILED MEASUREMENT SURVEY)

(A) SAMPLE FORM OF RAPID SURVEY OF BUSINESSES IMPACTS

Date of Survey	Serial No.				
Name of road	Address/Location:				
Name of affected person					
Father/Mother's name					
Type of business/hawker					
Status	Owner		Tenant		
	If owner: Titled		Non-titled		
	Mobile		Permanent		
Description of structure					
Since when operating in that location					
Frequency of operation in a week	Daily	2-3 days/week	1 day/week	Half day	Full day
Person(s) employed if any	No.				
Rent per month if any	Rs.				
Average profit per day	Rs.				
Salary per employee	Rs.				
Highest profits recorded in	Hours (AM/PM) _____ Weekend/Weekday (specify days) _____ Festival season (specify) _____				
Will employee(s) be affected	Yes/No				
Whether any affected person is	BPL/WHH/disabled/backward community/IP/elderly/child worker				
No. of dependents of owner					
No. of dependents of employees					
Whether road RoW used for	Parking/Display of wares/Storage/s Other purpose, specify				
Type(s) of distress likely					
Views/Concerns					

Note: BPL=below poverty line; WHH=woman headed household / Chief Wage Earner is a woman; IP=indigenous peoples; RoW=right of way.

(B) SAMPLE FORM FOR INVENTORY OF LOSSES

Questionnaire No.:

Name of the Enumerator: _____

Date: _____

Field Supervisor: _____

Time: _____

1.0 GENERAL IDENTIFICATION:

1.1	Name of road and address	1.4	Address _____
1.2	GN Division: _____	1.5	Structure No.: _____
1.3	Location/PIN CODE:	1.6	Owner/Squatter/Encroacher _____

2.0 HOUSEHOLD IDENTIFICATION:2.1 **Name of the head of the Household:** _____2.2 **Name of the Respondent:** _____2.3 **Relationship of the respondent with the head of the household: (Code)**2.4 **Type of loss** Structure only Land only Land & structure

Orchard/Tree

Other assets

3.0 SOCIO-ECONOMIC PROFILE3.1 Whether BPL (receiving or applied for Samrudhi benefits) / woman headed* household?
(Tick)

BPL Woman-headed Other

(Note: woman headed household is one where the Chief Wage Earner is a woman)

3.2 Average household expenditure per month (Rs.) _____

4.0 Details of affected structure

Sl. No	Details	Materials used			Length in mts.	Breadth (m)	Height(m)	valuation
		Roof	Wall	Floor				
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)
1	Room 1							
2	Room 2							
3	Room 3							
4	Room 4							
5	Room 5							
6	Room 6							
7	Room 7							
8	Room 8							
	Total of rooms							
9	verandah							
10	Kitchen							

Sl. No	Details	Materials used			Length in mts.	Breadth (m)	Height(m)	valuation
		Roof	Wall	Floor				
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)
11	Store							
12	Toilet							
14	cowshed							
15	compound wall							
16	Others/							
	Total Area							

Materials used (Col 3, 4, 5)

- | | | | |
|--------------------|------------|------------------|------------------|
| 1. Tin/Zinc sheets | 2. Mud | 3. Brick Masonry | 4. Stone Masonry |
| 5. RCC | 6. Stone | 7. Wood Shingles | 8. Concrete |
| 9. Thatched | 10. Timber | 11. Masonry | 12. Stone/Bricks |

5.0 Summary of affected structure

Use of structure	Type of Structure 1=permanent 2=semi-permanent 3=temporary	No. of Storey	No. of rooms	Size	Whether in use 1= In use 2=Vacant/ abandoned	General condition 1=good 2=bad 3=poor	Age of structure	Owner ship
Residential								
Commercial								
Resi.-cum commercial								
Work shed/HH industry								
Cattle shed								

5.1 Do you have legal rights/documents of this affected structure? 1 - Yes 2 - No

5.2 If yes, name the docs in support of your ownership

5.3 Is there any tenant in this affected structure? 1 - Yes 2 - No

5.4 If 'Yes' number of tenants: _____

5.5 What is the market value of this affected structure as on today?

5.6 How much house tax are you paying? (Last tax paid) (FY) _____

OUTLINE OF A RESETTLEMENT PLAN

1. This outline is part of the ADB SPS Safeguard Requirements 2. A resettlement plan is required for all projects with involuntary resettlement impacts. Its level of detail and comprehensiveness is commensurate with the significance of potential involuntary resettlement impacts and risks. The substantive aspects of the outline will guide the preparation of the resettlement plans, although not necessarily in the order shown.

A. Executive Summary

2. This section provides a concise statement of project scope, key survey findings, entitlements, and recommended actions.

B. Project Description

3. This section provides a general description of the project, discusses project components that result in land acquisition, involuntary resettlement, or both, and identify the project area. It also describes the alternatives considered to avoid or minimize resettlement. It includes a table with quantified data and provides a rationale for the final decision.

C. Scope of Land Acquisition and Resettlement

4. This section:
- (i) discusses the project's potential impacts, and includes maps of the areas or zone of impact of project components or activities;
 - (ii) describes the scope of land acquisition (provides maps) and explains why it is necessary for the main investment project;
 - (iii) summarizes the key effects in terms of assets acquired and displaced persons; and
 - (iv) provides details of any common property resources that will be acquired.

D. Socioeconomic Information and Profile

5. This section outlines the results of the social impact assessment, the census survey, and other studies, with information and data disaggregated by gender, vulnerability, and other social groupings, including:

- (i) defining, identifying, and enumerating the people and communities to be affected;
- (ii) describing the likely impacts of land and asset acquisition on the people and communities affected, taking social, cultural, and economic parameters into account;
- (iii) discussing the project's impacts on the poor, indigenous, and/or ethnic minorities, and other vulnerable groups; and
- (iv) identifying gender and resettlement impacts, and the socioeconomic situation, impacts, needs, and priorities of women.

E. Information Disclosure, Consultation, and Participation

6. This section:
- (i) identifies project stakeholders, especially primary stakeholders;
 - (ii) describes the consultation and participation mechanisms to be used during the

- different stages of the project cycle;
- (iii) describes the activities undertaken to disseminate project and resettlement information during project design and preparation for engaging stakeholders;
- (iv) summarizes the results of consultations with affected persons (including host communities), and discusses how concerns raised and recommendations made were addressed in the resettlement plan;
- (v) confirms disclosure of the draft resettlement plan to affected persons, and includes arrangements to disclose any subsequent plans; and
- (vi) describes the planned information disclosure measures (including the type of information to be disseminated and the method of dissemination) and the process for consultation with affected persons during project implementation.

F. Grievance Redress Mechanisms

7. This section describes mechanisms to receive and facilitate the resolution of affected persons' concerns and grievances. It explains how the procedures are accessible to affected persons and gender sensitive.

G. Legal Framework

8. This section:

- (i) describes national and local laws and regulations that apply to the project, identifies gaps between local laws and ADB's policy requirements, and discusses how any gaps will be addressed;
- (ii) describes the legal and policy commitments of the executing agency for all types of displaced persons;
- (iii) outlines the principles and methodologies used for determining valuations and compensation rates at replacement cost for assets, incomes, and livelihoods, and sets out the compensation and assistance eligibility criteria and how and when compensation and assistance will be provided; and
- (iv) describes the land acquisition process, and prepares a schedule for meeting key procedural requirements.

H. Entitlements, Assistance, and Benefits

9. This section:

- (i) defines entitlements and eligibility of displaced persons, and describes all resettlement assistance measures (includes an entitlement matrix);
- (ii) specifies all assistance to vulnerable groups, including women and other special groups; and
- (iii) outlines opportunities for affected persons to derive appropriate development benefits from the project.

I. Relocation of Housing and Settlements

10. This section:

- (i) describes options for relocating housing and other structures, including replacement housing, replacement cash compensation, and/or self-selection (ensuring that gender concerns and support to vulnerable groups are identified);
- (ii) describes alternative relocation sites considered, community consultations conducted, and justification for selected sites, including details about location,

- environmental assessment of sites, and development needs;
- (iii) provides timetables for site preparation and transfer;
- (iv) describes the legal arrangements to regularize tenure and transfer titles to resettled persons;
- (v) outlines measures to assist displaced persons with their transfer and establishment at new sites;
- (vi) describes plans to provide civic infrastructure; and
- (vii) explains how integration with host populations will be carried out.

J. Income Restoration and Rehabilitation

11. This section:
- (i) identifies livelihood risks and prepares disaggregated tables based on demographic data and livelihood sources;
 - (ii) describes income restoration programs, including multiple options for restoring all types of livelihoods (e.g. project benefit sharing, revenue sharing arrangements, joint stock for equity contributions such as land, while discussing sustainability and safety nets);
 - (iii) outlines measures to provide a social safety net through social insurance and/or project special funds;
 - (iv) describes special measures to support vulnerable groups;
 - (v) explains gender considerations; and
 - (vi) describes training programs.

K. Resettlement Budget and Financing Plan

12. This section:
- (i) provides an itemized budget for all resettlement activities, including for the resettlement unit, staff training, monitoring and evaluation, and preparation of resettlement plans during loan implementation;
 - (ii) describes the flow of funds (the annual resettlement budget should show the budget-scheduled expenditure for key items);
 - (iii) includes a justification for all assumptions made in calculating compensation rates and other cost estimates (taking into account both physical and cost contingencies), plus replacement costs; and
 - (iv) includes information on the source of funding for the resettlement plan budget.

L. Institutional Arrangements

13. This section:
- (i) describes institutional arrangement responsibilities and mechanisms for carrying out the measures of the resettlement plan;
 - (ii) includes institutional capacity building programs, including technical assistance, if required;
 - (iii) describes the role of NGOs, if involved, and organizations of affected persons in resettlement planning and management; and
 - (iv) describes how women's groups will be involved in resettlement planning and management.

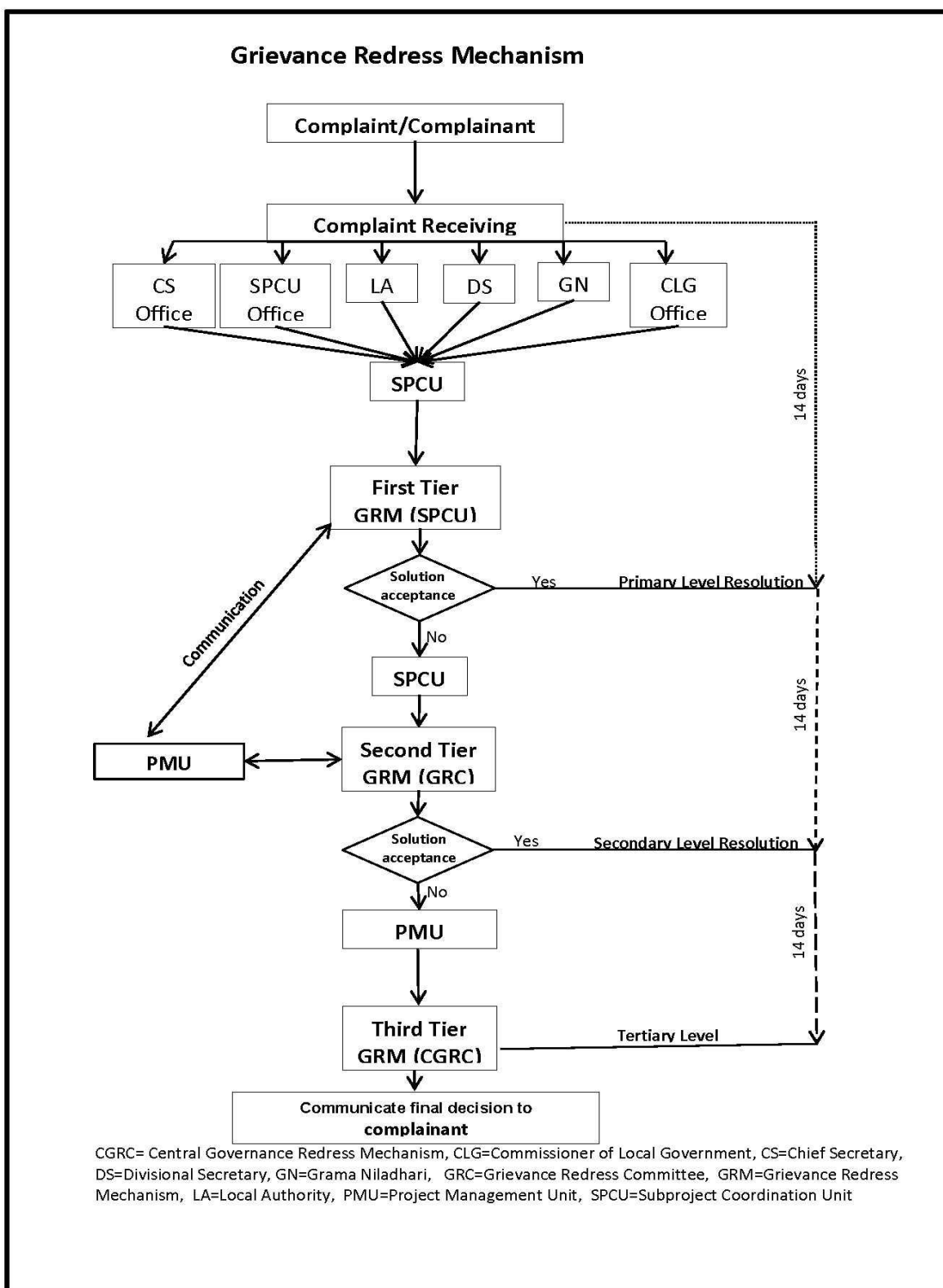
M. Implementation Schedule

14. This section includes a detailed, time-bound implementation schedule for all key resettlement and rehabilitation activities. The implementation schedule should cover all aspects of resettlement activities synchronized with the project schedule of civil works construction, and provide land acquisition process and timeline.

N. Monitoring and Reporting

15. This section describes the mechanisms and benchmarks appropriate to the project for monitoring and evaluating the implementation of the resettlement plan. It specifies arrangements for participation of affected persons in the monitoring process. This section will also describe reporting procedures.

LGESP - Grievance Redressal Mechanism



TERMS OF REFERENCES OF SOCIAL SAFEGUARD STAFF

Social Safeguards and Gender Manager - PMU

1. The Social Safeguards and Gender Specialist should have a Master degree in Social science or equivalent and should have around 10 years of relevant work experiences which include Up- to- date knowledge of various social safeguards policies of Government of Sri Lanka and ADB with specific importance to Land Acquisition and Resettlement. Experience in implementation of land acquisition procedure and resettlement activities and gender mainstreaming will be preferred with specific experiences in ADB funded project implementation or any other donor agency funded project will be desirable. Experience in similar activities in Sri Lanka will be an added advantage.

2. Specific tasks and responsibilities of the Social Safeguards and Gender Specialist will include the following:

- (i) Responsible for overall planning, co-ordination and implementation of social safeguards and resettlement activities including land acquisition, and Gender Action Plan provisions
- (ii) Overall coordination in all social issues in the PMU and ensuring that all subprojects comply with Government and ADB social safeguard policy.
- (iii) Assist the PMU in review of updated Resettlement Plans and new Resettlement Plans from the SPCUs.
- (iv) Ensure the implementation of Resettlement Plans is consistent with Government and ADB policies, and the Resettlement Framework agreed upon by the Government and ADB for all sub-projects.
- (v) Provide necessary guidance in the classification, and development of all social safeguards documents to SPCUs, including the provision of training in the development and implementation of Resettlement Plans.
- (vi) Coordinate valuation process for land and assets impacted and finalization of compensation packages.
- (vii) Review all classifications documents (Resettlement Plans) developed by SPCUs and ensure comments from ADB are integrated in finalized documents.
- (viii) Coordinate monitoring of Resettlement Plan implementation including reporting.
- (ix) Supervise the preparation and updating of resettlement Plans for future subprojects.
- (x) Supervise the preparation and monitor the implementation of any corrective action plan (CAP) for any unanticipated involuntary resettlement impacts during project implementation and report to ADB.
- (xi) Endorsement of Resettlement Plans and obtaining the approval from ADB.
- (xii) Responsible for project monitoring with review and finalization of monthly progress reports.
- (xiii) Liaisoning with funding agency, executing agency for smooth functioning and implementation of social safeguards issues, i.e., land acquisition, resettlement, etc.
- (xiv) Help the PMU to make the necessary budgetary arrangements available in advance for the preparation, updating and implementation of Resettlement Plan.
- (xv) Will be responsible for addressing the grievance on a timely manner.
Prepare and submit the consolidated semiannual social safeguard monitoring report for ADB for review and disclosure.

Safeguards Manager - Social and Gender - SPCU

3. The Safeguards Manager - Social and Gender should have a degree in Social science or equivalent and should have minimum 10 years of relevant work experiences which include knowledge of various social safeguards policies of Government of Sri Lanka with specific importance to Land Acquisition and Resettlement. Experience in implementation of land acquisition procedure and resettlement activities will be preferred.

4. Specific tasks include the following:

- (i) Support the Social Safeguards and Gender Specialist at PMU towards ensuring the conformance of the subproject to the social safeguards requirements including preparation and updating of required document (Resettlement Plan).
- (ii) Work closely with the engineering team at SPCU as well as the DSC engineer in minimizing the land acquisition and involuntary resettlement in the subproject and select the subproject site based on the selection criteria as mentioned in the Resettlement Framework for the project.
- (iii) Carry out close consultation with affected people and ensure that all the stakeholders are involved in the project activities, such as planning and implementation of the project.
- (iv) Work with the DSC Social Development & Resettlement Specialists in the preparation of the Social Safeguard Documents.
- (v) Collect necessary data related to land status and work closely with the DSC expert for carrying out the Detailed Measurement Survey and census survey.
- (vi) Preparation, updating and implement the resettlement Plans for sub projects.
- (vii) Work closely with all the stakeholders including the DPs to address the entire grievance on time and keep the records of the entire grievance.
- (viii) Liaise with the local relevant government departments for finding alternate site for relocation (if needed).
- (ix) Provide input to the PMU on progress of the implementation of Resettlement Plan and internal project monitoring progress report.
- (x) Submit semi-annual safeguard monitoring report to PMU for consolidation and submission to ADB.
- (xi) Prepare and implement any corrective action plan (CAP) for any unanticipated impacts during project implementation.
- (xii) Responsible for smooth functioning of R&R activities and implementation of Resettlement Plan and provisions of Gender Action Plan.
- (xiii) Liaise with funding agency, executing agency for smooth functioning and implementation of social safeguards issues, i.e., land acquisition, resettlement, and gender mainstreaming etc.
- (xiv) Work closely with the SPCU Resettlement Specialist, with the DSC's safeguards specialist and with relevant government organization to set the compensation option.
- (xv) Carry out close consultation with the affected people and will be responsible for disclosure of the Resettlement Plans at various project locations.
- (xvi) Responsible for all the field level activities required for updating, preparation, and implementation and monitoring of Resettlement Plans in all the subprojects.
- (xvii) Responsible for addressing the grievance at subproject level and keeping the records of the grievance. Responsibility will include promptly making the PMU aware about the grievance and helping the stakeholders participate in the grievance redress mechanism.

INVOLUNTARY RESETTLEMENT COMPLIANCE STATUS AND ACTION REQUIRED

[illegible]

INSTITUTIONAL FRAMEWORK - MONITORING SOCIAL SAFEGUARDS

