

RP1626 v6  
REV

World Bank-financed Chongqing Small Towns Water Environment  
Management Project

## RAP of the Tongnan County Flood and Wastewater Management Subproject

Tongnan Longquan Water Resources Development Co., Ltd

June 2014

## Letter of Commitment

The Tongnan Subproject of the World Bank-financed Chongqing Small Towns Water Environment Management Project involves resettlement. Therefore, this Resettlement Action Plan (RAP) has been prepared as the basis for land acquisition (LA), house demolition (HD) and resettlement in accordance with the Bank policy on involuntary resettlement (OP4.12), and the applicable state and local regulations and policies to protect the basic rights and interests of the affected persons (APs), and restore or even improve their production level and living standard after resettlement.

The Tongnan County Government has reviewed this RAP, and agrees to implement resettlement, make resettlement funds available fully and timely, and compensate and resettle the APs properly in light of this RAP. The Tongnan PMO is hereby instructed to implement and manage the resettlement of the Subproject in coordination with the agencies concerned.

Tongnan County Government

(Official seal)

Head (or deputy head in charge): \_\_\_\_\_ (signature) \_\_\_\_\_ (date)

## Foreword

### I. Purpose of preparing this RAP

- 1 The RAP is prepared in accordance with the applicable laws of the People's Republic of China and local regulations and a series of provisions in the Bank Operational Policy OP4.12 on Involuntary Resettlement for the purpose of "developing an action plan for resettlement and restoration for the people affected by the project, so that they benefit from the project, their standard of living is improved or at least restored after the completion of the project".

### II. Definitions of terms

#### Displaced persons

- 2 Based on the criteria for eligibility for compensation, "Displaced Persons" may be classified in one of the following three groups:
  - a) those who have formal legal rights to land (including customary and traditional rights recognized under the laws of the country);
  - b) those who do not have formal legal rights to land at the time the census begins but have a claim to such land or assets-provided that such claims are recognized under the laws of the country or become recognized through a process identified in the RAP; and
  - c) those who have no recognizable legal right or claim to the land they are occupying.
- 3 Persons covered under paragraphs 2(a) and (b) are provided compensation for the land they lose, and other assistance. Persons covered under paragraph 2(c) are provided resettlement assistance in lieu of compensation for the land they occupy, and other assistance, as necessary, to achieve the objective set out in this policy, if they occupy the subproject areas prior to a cut-off date<sup>1</sup> established by the borrower and acceptable to the World Bank. Persons who encroach on the area after the cut-off date are not entitled to compensation or any other form of resettlement assistance. All persons included in paragraph 2(a), (b), or (c) are provided compensation for loss of assets other than land.

### III. Compensation and resettlement measures

- 4 To address the following impacts of the involuntary taking of land: (i) displacement or loss of shelter; (ii) lost of assets or access to assets; or (iii) loss of income sources or means of livelihood, whether or not the affected persons must move to another location, an RAP or a resettlement policy framework shall be prepared to cover the following:
  - (a) The Resettlement Action Plan or resettlement policy framework includes measures to ensure that the displaced persons are:
    - informed about their options and rights pertaining to resettlement;
    - consulted on, offered choices among, and provided with technically and economically feasible resettlement alternatives; and
    - provided prompt and effective compensation at full replacement cost<sup>2</sup>, for losses of assets attributable directly to the project.
  - (b) If the impacts include physical displacement, the RAP or resettlement policy framework includes measures to ensure that the displaced persons are:
    - provided assistance (such as moving allowances) during displacement; and
    - provided with residential housing, or housing sites, or, as required, agricultural sites for which a combination of productive potential, locational advantages, and other factors is at least equivalent to the advantages of the old site.
  - (c) Where necessary to achieve the objective of the policy, the Resettlement Action Plan or resettlement policy framework also includes measures to ensure that displaced persons are:
    - offered support after displacement, for a transition period, based on a reasonable estimate

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<sup>1</sup> Normally, this cut-off date is the date the census begins. The cut-off date could also be the date the subproject areas was delineated, prior to the census, provided that there has been an effective public dissemination of information on the area delineated, and systematic and continuous dissemination subsequent to the delineation to prevent further population influx.

<sup>2</sup> "Replacement cost" is the method of valuation of assets that helps determine the amount sufficient to replace lost assets and cover transaction costs. In applying this method of valuation, depreciation of structures and assets should not be taken into account.

of the time likely to be needed to restore their livelihood and standards of living;

➤ provided with development assistance in addition to compensation measures described in paragraph 4(a)(iii), such as land preparation, credit facilities, training, or job opportunities.

- 5 Cut-off date: means the date of publication of the announcement of land acquisition and property demolition in this project. After this date, the displaced persons shall not build, rebuild or expand their properties; shall not change the uses of their properties and land; shall not lease their land, lease, sell or purchase their properties; and any person that moves in after this date shall not qualify as a displaced person.

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### ABBREVIATIONS

AH	-	Affected Household
AP	-	Affected Person
DMS	-	Detailed Measurement Survey
FGD	-	Focus Group Discussion
HD	-	House Demolition
LA	-	Land Acquisition
M&E	-	Monitoring and Evaluation
PMO	-	Project Management Office
PRC	-	People's Republic of China
RAP	-	Resettlement Action Plan
RIB	-	Resettlement Information Booklet

### Units

Currency unit	=	Yuan (RMB)
1.00 yuan	=	\$0.15
1 hectare	=	15 mu



## 1 Overview of the Subproject

### 1.1 Background of the Subproject

1 Tongnan County is located at the junction of Chengdu and Chongqing Municipalities, and is a hub in the Chengdu-Chongqing strategic development region. With the completion of the Chongqing-Suining Expressway and Railway, the county has entered a strategic period of accelerated development. According to the Master Development Plan of the Tongnan County Town (2002-2020), the county will be built into a vegetable producing area in western China, a new industrial base, an ecologically and culturally famous city, and a regional central city.

2 The Pujiang River segment in Tongnan County is located beside the Big Buddha Temple scenic zone, and at the old county town. In order to accelerate urban construction, the Tongnan County Government has applied for a loan with the Bank for the Subproject, which aims to improve urban flood control capacity, urban waterscape and the living environment, and promote rapid economic and social development through the integrated management of the Pujiang River segment in Tongnan County.

3 The gross investment in the Subproject is CNY300.44 million, including a Bank loan of CNY134.20 million, accounting for 44.67%.

### 1.2 Progress of Project Preparation and Resettlement

4 The owner of the Subproject, Tongnan Longquan Water Resources Development Co., Ltd. has appointed a design agency to prepare the Pre-feasibility Study Report of the Subproject. In May 2013, the preparation of the Feasibility Study Report, RAP, Environmental Impact Assessment, and Environmental Management Plan of the Subproject begun. With the careful planning of the county development and reform bureau, owner and design agency, subproject preparation progressed smoothly.

5 Chongqing SRM Consulting Co., Ltd. was appointed by the Tongnan PMO to participate in the preparation of this RAP as the resettlement consulting agency. Since early May 2013, the RAP preparation team conducted a one-week socioeconomic survey in the subproject area, and extensive public consultation with the APs. Further investigation and interview were conducted in October and November 2013. The RAP was completed in March 2014.

6 According to the Bank policy on involuntary resettlement (OP4.12), the cut-off date for the identification of APs and the determination of affected physical quantities of the Subproject will be the beginning date of the detailed measurement survey (DMS), which is expected to begin in April or May 2014. Anyone who moves in after this date will not qualify as an AP, and the APs should not build, rebuild or expand their houses, should not change the uses of their properties and land, and should not lease their land, lease, sell or purchase their houses. Any variation in physical quantity arising from any of the above acts will not be recognized.

### 1.3 Components

7 The Subproject is located on the right side of the Pujiang River in Tongnan County, and consists of river embankment and temporary drain ditches.

Table 1-1 Components

Component		Scope
River embankment	The first upper section	Length of 1.8km, with sloping dike
	Intermediate revetment section	Intermediate revetment length is 1.8km, the wall plus slope revetment, slope height is about 12.5m
	The second downstream section	Length of 3.24km, increased an average of 7.5m, crest width of 3m

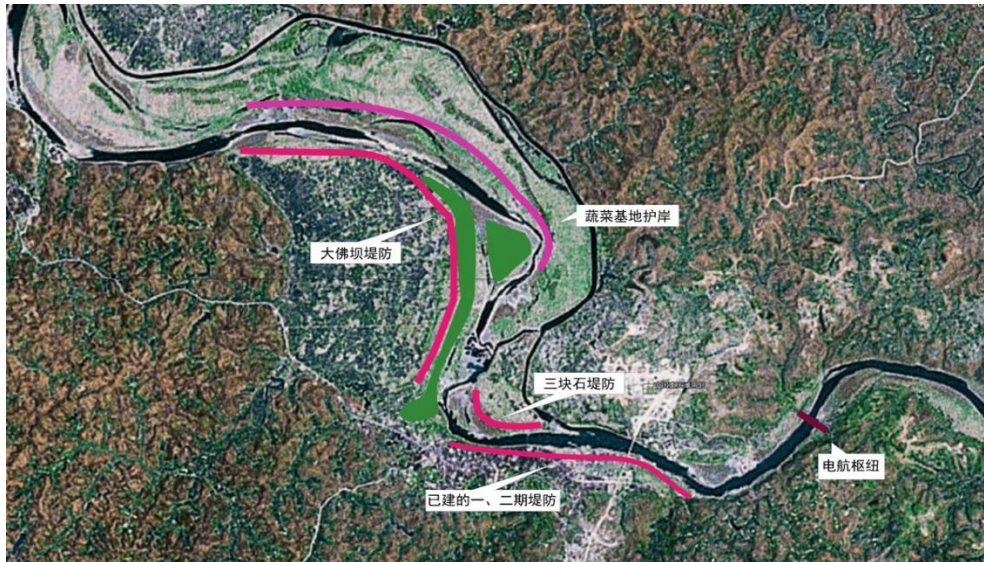


Figure 1-1 Location Map of the Subproject

8 According to the construction schedule, the construction period will be 24 months, from April 2014 to July 2014, including a construction preparation period of 3 months, a construction period of 20 months and a completion period of one month.

#### 1.4 Measures to Reduce Resettlement

9 At the design stage, the design agency and owner optimized the subproject design to minimize the local socioeconomic impacts of the Subproject..

10 At the early design stage, the design agency and owner compared two options in terms of permanent LA, earth excavation and back filling, revetment, protection range and static gross investment. Based on comparison, the permanently acquired land area under Option 1 is less than that of by 493 mu, and Option 1 has been chosen. After the pre-feasibility study, the design was further optimized, avoiding the acquisition of 50 mu of cultivated land and the demolition of houses of over 400m<sup>2</sup>.

11 At the RAP preparation and implementation stage, when LA or HD is unavoidable, the following measures will be taken to reduce the local impacts of the Subproject:

- Strengthen the collection of basic information, make an in-depth analysis of the local present socioeconomic situation and future prospect, and develop a feasible RAP based on the local practical conditions to ensure that the APs will not suffer losses due to the Subproject.
- Encourage public participation actively and accept public supervision.
- Strengthen internal and external monitoring, establish an efficient and unobstructed feedback mechanism and channel, and shorten the information processing cycle to ensure that issues arising from project implementation are solved timely.

## 2 Impacts of the Subproject

### 2.1 Overview

12 The Subproject will affect 12 groups of Xinsheng, Qianjin and Shengli Villages, Zitong Sub-district. 525.66 mu of land will be acquired permanently, including 488.69 mu of rural collective land, and 36.97 mu of state-owned river flat, affecting 735 households with 3412 persons; rural residential houses of 1,847.42m<sup>2</sup> will be demolished, affecting 4 households with 18 persons, who will also be affected by LA; two enterprises with 120 temporary workers, 4 breeding households (with a total demolition area of 1,135.35m<sup>2</sup>) with 10 persons and 14 types of ground attachments will be affected.

### 2.2 Impacts

#### 2.2.1 Permanent LA

13 12 groups of Xinsheng, Qianjin and Shengli Villages, Zitong Sub-district. 525.66 mu of land will be acquired permanently, including 488.69 mu of rural collective land (including 310.87 mu of cultivated land, 129.58 mu of woodland, 30.82 mu of grassland, 1.8 mu of housing land and 3.62 mu of traffic land), and 36.97 mu of state-owned river flat, affecting 735 households with 3,412 persons. See Table 2-2.

#### 2.2.2 Temporary Land Occupation

14 241.71mu of land will be occupied temporarily, including 211.79 mu of cultivated land, 25.49mu of woodland, 0.34 mu of grassland and 3 mu of rural traffic land<sup>3</sup>, 1.09 mu of Unused land See Table 2-2.

Table 2-1 Impacts of Temporary Land Occupation

Village	Group	Subtotal	Irrigated land	Non-irrigated land	Woodland	Grassland	Rural traffic land	Unused land
Xinsheng	1	17.75	0.00	11.03	6.72	0.00	0.00	0.00
	2	0.72	0.00	0.00	0.72	0.00	0.00	0.00
	4	65.15	0.58	61.38	2.95	0.00	0.24	0.00
	5	73.6	0.00	62.03	10.65	0.00	0.92	0.00
	6	51.57	0.8	45.92	3.42	0.34	0.00	1.09
	<b>Subtotal</b>	<b>208.79</b>	<b>1.38</b>	<b>180.36</b>	<b>24.46</b>	<b>0.34</b>	<b>1.16</b>	<b>1.09</b>
Qianjin	1	10.38	0.00	7.77	1.03	0.00	1.58	0.00
	4	11.25	1.11	10.14	0.00	0.00	0.00	0.00
	<b>Subtotal</b>	<b>21.63</b>	<b>1.11</b>	<b>17.91</b>	<b>1.03</b>	<b>0.00</b>	<b>1.58</b>	<b>0.00</b>
Shengli	2	6.41	0.00	6.28	0.00	0.00	0.13	0.00
	3	4.88	0.00	4.75	0.00	0.00	0.13	0.00
	<b>Subtotal</b>	<b>11.29</b>	<b>0.00</b>	<b>11.03</b>	<b>0.00</b>	<b>0.00</b>	<b>0.26</b>	<b>0.00</b>
<b>total</b>		<b>241.71</b>	<b>2.49</b>	<b>209.3</b>	<b>25.49</b>	<b>0.34</b>	<b>3</b>	<b>1.09</b>

#### 2.2.3 Demolition of Rural Residential Houses

15 4 households with 18 persons in one group of Shengli Village will be affected by HD for the Subproject, with houses totaling 1,847.42m<sup>2</sup> demolished, including 479.15m<sup>2</sup> in masonry concrete

<sup>3</sup> A rural tractor road with a length of 0.48Km will be affected.

structure, 1,071.5m<sup>2</sup> in masonry timber structure and 296.77m<sup>2</sup> in simple structure. See Table 2-3. In addition, interior decoration of 507.74m<sup>2</sup> will be affected by HD, including floor tiles of 180.09m<sup>2</sup>, wall tiles of 234.26m<sup>2</sup> and ceilings of 93.39m<sup>2</sup>.

Table 2-2 Impacts of Permanent LA

Village	Group	Subtotal	Rural collective land (mu)									State-owned land	Affected	
			Subtotal	Irrigated land	Non-irrigated land	Woodland	Grassland	Housing land	Rural traffic land	Water facility land	Unused land			
Xinsheng	1	50.08	41.81	0.00	18.40	21.48	1.93	0.00	0.00	0.00	0.00	8.27	42	188
	2	7.53	6.14	0.00	0.00	6.14	0.00	0.00	0.00	0.00	0.00	1.39	32	145
	4	25.97	25.97	0.00	25.34	0.51	0.00	0.00	0.12	0.00	0.00	0.00	46	224
	5	23.52	23.52	0.00	22.48	0.81	0.00	0.00	0.23	0.00	0.00	0.00	66	280
	6	37.45	37.45	0.10	26.87	0.80	1.00	0.03	0.35	0.00	8.30	0.00	66	312
<b>Subtotal</b>		<b>144.55</b>	<b>134.89</b>	<b>0.10</b>	<b>93.09</b>	<b>29.74</b>	<b>2.93</b>	<b>0.03</b>	<b>0.70</b>	<b>0.00</b>	<b>8.30</b>	<b>9.66</b>	<b>252</b>	<b>1149</b>
Qianjin	1	33.94	33.33	0.00	22.42	10.12	0.57	0.00	0.22	0.00	0.00	0.61	104	456
	2	36.39	36.39	0.00	21.52	14.61	0.00	0.00	0.26	0.00	0.00	0.00	47	240
	3	54.01	50.80	0.00	3.66	45.42	1.72	0.00	0.00	0.00	0.00	3.21	16	63
	4	74.98	58.76	2.11	18.44	22.92	15.29	0.00	0.00	0.00	0.00	16.22	60	273
<b>Subtotal</b>		<b>199.32</b>	<b>179.28</b>	<b>2.11</b>	<b>66.04</b>	<b>93.07</b>	<b>17.58</b>	<b>0.00</b>	<b>0.48</b>	<b>0.00</b>	<b>0.00</b>	<b>20.04</b>	<b>227</b>	<b>1032</b>
Shengli	2	64.45	63.67	0.00	47.29	5.67	4.31	1.77	0.93	0.93	2.77	0.78	90	409
	3	45.72	43.74	0.00	40.17	0.08	3.35	0.00	0.14	0.00	0.00	1.98	69	332
	4	71.62	67.11	0.00	62.07	1.02	2.65	0.00	1.37	0.00	0.00	4.51	97	490
<b>Subtotal</b>		<b>181.79</b>	<b>174.52</b>	<b>0.00</b>	<b>149.53</b>	<b>6.77</b>	<b>10.31</b>	<b>1.77</b>	<b>2.44</b>	<b>0.93</b>	<b>2.77</b>	<b>7.27</b>	<b>256</b>	<b>1231</b>
<b>Total</b>		<b>525.66</b>	<b>488.69</b>	<b>2.21</b>	<b>308.66</b>	<b>129.58</b>	<b>30.82</b>	<b>1.80</b>	<b>3.62</b>	<b>0.93</b>	<b>11.07</b>	<b>36.97</b>	<b>735</b>	<b>3412</b>

Table 2-3 Affected Rural Residential Houses

Village	Group	HH head	Housing size (m <sup>2</sup> )			Type (m <sup>2</sup> )		Affected		
			Subtotal	Masonry concrete structure	Masonry timber structure	Simple structure	Residential housing	Shed	HHs	Population
Shengli	2	LMY	506.76	130.19	330.88	45.69	461.07	45.69	1	6
		JMQ	530.2	189.62	239.61	100.97	429.23	100.97	1	4
		ZSR	497.28	159.34	260.02	77.92	419.36	77.92	1	4
		LQ	313.18	0.00	240.99	72.19	240.99	72.19	1	4

Village	Group	HH head	Housing size (m <sup>2</sup> )			Type (m <sup>2</sup> )		Affected		
			Subtotal	Masonry concrete structure	Masonry timber structure	Simple structure	Residential housing	Shed	HHs	Population
<b>Total</b>			<b>1,847.42</b>	<b>479.15</b>	<b>1071.5</b>	<b>296.77</b>	<b>1474.23</b>	<b>296.77</b>	<b>4</b>	<b>18</b>

16 The average housing size of the affected completed houses is 387.66m<sup>2</sup> per household or 86.15m<sup>2</sup> per capita. Most of the houses in masonry concrete structure were completed during 2,000-2010, and most of those in masonry timber structure were completed in the 1990s. See Figure 2-1.



Figure 2-1 Photos of houses to be demolished

#### 2.2.4 Affected Enterprises

17 The Subproject will affect two enterprises with 120 temporary workers, both sandstone factories affiliated to the owner of the Subproject and operating on collective land. See Table 2-4.

Table 2-4 Affected Enterprises

Enterprise	Address	Degree of impact	Affected population
Hongyanzui Sandstone Factory	Xinsheng Village	Affecting the collective land leased by it, resulting in the relocation of production equipment	80
Dafo Sandstone Factory	Qianjin Village	Affecting the collective land leased by it, resulting in the relocation of production equipment	40
Subtotal	-	-	120

#### 2.2.5 Affected Breeding Households

18 The Subproject will affect 4 breeding households, in which 3 operate on collective land and one on its own cultivated land, with a total demolition area of 1,135.35m<sup>2</sup>, including 855.22m<sup>2</sup> in masonry timber structure and 280.13m<sup>2</sup> in simple structure, affecting 10 persons. See Table 2-5.

Table 2-5 Affected Breeding Households

Village	Group	HH	Degree of impact	Housing size (m <sup>2</sup> )			Affected population
				Subtotal	Masonry timber structure	Simple structure	
Xinsheng	1	HSQ	Demolition of breeding property	410.24	401.37	8.87	2
	6	LJG	Demolition of breeding property	400.49	375.20	25.29	4
Qianjin	1	FHQ	Demolition of breeding property	185.49	0.00	185.49	2
Shengli	4	TXZ	Demolition of storage property	139.13	78.65	60.48	2
<b>Total</b>				<b>1135.35</b>	<b>855.22</b>	<b>280.13</b>	<b>10</b>

## 2.2.6 Affected Vulnerable Groups

19 Vulnerable groups mainly refer to the poor (below the poverty line), five-guarantee households, the disabled, psychos, women-headed households, etc. According to the DMS, 6 households with 16 persons affected by the Subproject fall into vulnerable groups. All these households will be affected by LA only.

Table 2-6 Information of Affected Vulnerable Groups

Village	Group	Name	Age	Family size	Type of impact	Vulnerable group
Shengli	2	XZZ	69	1	LA	Widow
	3	MSX	64	1	LA	Widow
	4	JXQ	37	2	LA	Woman-headed
Qianjin	4	SMY	46	4	LA	Woman-headed, sick son
		YDH	52	5	LA	Poor
Xinsheng	2	LWF	64	3	LA	Poor, woman-headed

## 2.2.7 Affected Population

741 households with 3542 persons will be affected by the Subproject in total, in which 735 households with 3412 persons will be affected by LA, 4 households with 18 persons affected by HD (also affected by LD), two enterprises with 120 persons and 4 breeding households with 10 persons will also be affected. See Table 2-7.

Table 2-7 Information of Affected Population

Type of impact		Subtotal
Permanent LA	Affected households	735
	Affected population	3412
Demolition of Rural Residential Houses	Affected households	4
	Affected population	18
Affected enterprises	Affected number	2
	Affected population	120
Affected breeding households	Affected number	4
	Affected population	10
Where	Households affected by both LA and HD	4
	Population affected by both LA and HD	18
Total	Affected households	741
	Affected enterprises and breeding households	6
	Affected population	3542

Note: In "Total", the households and population affected by both LA and HD is deducted.

## 2.2.8 Affected Ground Attachments

20 The Subproject will affect 14 types of ground attachments, including 3 types of special facilities. See Table 2-8.

Table 2-8 Summary of Affected Ground Attachments

Type	Item	Unit	Qty.
<b>Special facilities</b>			
Water resources facilities	Pumping station	/	1
Power facilities	380V power distribution lines <sup>4</sup>	Km	0.65
	10kV power transmission lines <sup>5</sup>	Km	0.32
	Transformer (50A)	/	2
Traffic facilities	Tractor road <sup>6</sup>	Km	2.54
<b>Ordinary facilities</b>			

<sup>4</sup> Impact 380V power lines 0.65Km, which plans to resume 0.98Km

<sup>5</sup> Impact of 10KV power lines 0.32Km, which plans to resume 0.48Km

<sup>6</sup> Permanent occupation tractor road 1.21Km, which plans to resume 1.45Km; temporary occupation tractor road 1.33Km, which plans to resume 2.00Km

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Type	Item	Unit	Qty.
Enclosing walls	Brick	m <sup>2</sup>	56.42
Dams	Cement	m <sup>2</sup>	87.05
Pools	Earth	m <sup>3</sup>	3.84
Well	Pressure well	/	1
Water pipes	PVC4 branch pipes	m	220
Cooking ranges	Brick	/	4
Septic tanks	Tabia, cement	/	3
Water tower	Cement/brick	/	1
Scattered tombs	Single person	/	35
Fruit trees	Big	/	5
	Medium	/	8
	Small	/	13
Other trees	Big	/	7
	Medium	/	15
	Small	/	23

### 3 Socioeconomic Profile of the Subproject Area

21 In order to learn the socioeconomic profile of the subproject area, the RAP preparation team conducted a field survey in May r 2013 using such method as literature review, door-to-door survey, interview and FGD and conducted a further investigation and interviews in October and November 2013.

#### 3.1 Socioeconomic Background of the Subproject Area

##### 3.1.1 Chongqing City

22 Chongqing Municipality is located in the upper Yangtze River, and the junction of central and western China, being an important central city of China, a historically and culturally famous city, and the economic center and traffic hub of southwestern China, with a land area of 82,400 km<sup>2</sup> and a resident population of 28.8462 million (end of 2011), governing 40 districts/counties, 839 townships and 175 sub-districts. At the end of 2012, Chongqing's registered population was 29.45 million.

23 Since it became a municipality directly under the central government in 1997, significant progress has been made in economic and social development. In 2012, the city's GDP was 1.1459 trillion yuan, a year-on-year growth of 13.6%, per capita GDP 39,083 yuan, a year-on-year growth of 12.4%, and local fiscal general budgetary revenue 170.349 billion yuan, a year-on-year growth of 14.5%. With the rapid growth of economic strength, rapid progress has been made in urban and rural infrastructure construction, and social programs, and traffic, educational and medical care systems have been established preliminarily. However, the city's urban and rural infrastructure, and public service capacity remain weak, restricting the city's further development to a great extent. Therefore, the Chongqing Small Towns Water Environment Management Project has been implemented to promote infrastructure construction, and promote economic and social development.

##### 3.1.2 Affected Sub-district and Villages

24 Zitong Sub-district is the political, economic and cultural center of Tongnan County, and an important window for opening up and reform of Tongnan County. The sub-district governs 20 villages and 7 communities, with a land area of 127.8 km<sup>2</sup>, a built-up area of 12 km<sup>2</sup> and a population of 128,500 (including an urban population of 69,500 and a rural population of 59,000). In 2011, the sub-district's GDP was 2.66 billion yuan, fiscal revenue 44.84 million yuan and per capita net income of farmers 8,454 yuan. See Table 3-1 and Table 3-2.

Table 3-1 Socioeconomic Profile of the Affected Sub-district in 2012

Sub-district	Year-end population	Cultivated area (mu)	Food output (ton)	Rural economic income (0,000 yuan)	Per capita net income of farmers (yuan)
Zitong	128500	37136	26503	58843	8454

Source: Rural Economic Statistical Bulletin 2012 of Zitong Sub-district

Table 3-2 Socioeconomic Profile of the Affected Villages in 2011

Community	Group	HHs	Population	Agricultural population	Poor HHs	Poor population	Five-guarantee HHs	Per capita cultivated area (mu)
Xinsheng	1	85	347	343	2	7	0	0.45
	2	162	424	422	4	13	2	0.56
	4	125	475	475	4	14	0	0.57
	5	219	615	614	5	19	1	0.45
	6	210	602	601	3	11	1	0.47
	<b>Subtotal</b>	<b>801</b>	<b>2463</b>	<b>2455</b>	<b>18</b>	<b>64</b>	<b>4</b>	<b>0.50</b>
Qianjin	1	112	487	487	1	3	1	0.41
	2	120	395	334	5	15	2	0.57
	3	111	451	439	3	14	1	0.60
	4	149	573	573	5	16	1	0.56
	<b>Subtotal</b>	<b>492</b>	<b>1906</b>	<b>1833</b>	<b>14</b>	<b>48</b>	<b>5</b>	<b>0.53</b>



Community	Group	HHs	Population	Agricultural population	Poor HHs	Poor population	Five-guarantee HHs	Per capita cultivated area (mu)
Shengli	2	279	667	607	5	19	0	0.69
	3	191	496	494	3	11	2	0.85
	4	269	628	628	3	10	0	0.95
	<b>Subtotal</b>	<b>739</b>	<b>1791</b>	<b>1729</b>	<b>11</b>	<b>40</b>	<b>2</b>	<b>0.82</b>

Source: The data were provided by the relevant local governments when the interviews with village and group heads were conducted in May 2013.

25 In 2012, the per capita net income of rural residents of the affected sub-district and villages was 5,000-8,000 yuan, and that of Tongnan County 5,332 yuan, and the per capita net income of rural residents of Tongzi Sub-district and the project villages was higher.

#### **Qianjin Village**

➤ Agricultural income: The main crops in this village are paddy rice, corn, rape and vegetables, where the output value of paddy rice is 1,200 yuan/mu, that of corn 2,160 yuan/mu, that of rape 900 yuan/mu and those of vegetables 4,000-8,000 yuan/mu. Most of land of villagers has been transferred, with annual rental income of 1,500 yuan/mu.

➤ Nonagricultural income: Many villagers in this village are employed, so employment income is an important part of local household income. The number of employees has been growing in recent years. Those employed work in service and engineering industries mainly, including catering, retail and machinery operation.

➤ Flood impacts: This village is affected slightly by floods, and 70-80 mu of woodland would be inundated in every flood season, but cultivated and irrigated land is almost unaffected.

#### **Xinsheng Village**

➤ Agricultural income: Villagers do farm work mainly due to the flat terrain, fertile land, ample water supply and sound infrastructure. The main crops are vegetables, rape and paddy rice. However, agricultural income is unstable due to natural disasters and price fluctuations.

➤ Nonagricultural income: Nonagricultural income is from employment and doing business mainly. Over 600 villagers are employed, and those doing business run clinics, food stores, etc.

➤ Flood impacts: This village is located on the south side of the Pujiang River and is affected greatly by floods because there is no flood protection works except a flood forest. Riverside cultivated land would be inundated in almost every flood season. In the 1981 flood, over 1,700 mu of cultivated land was inundated.

#### **Shengli Village**

➤ Agricultural income: The main crops in this village are vegetables, rape and paddy rice, where the output value of paddy rice is 1,400 yuan/mu, that of corn 2,160 yuan/mu, that of rape 650 yuan/mu, and those of vegetables 4,000-8,000 yuan/mu.

➤ Nonagricultural income: 45.21% of villagers are employed. Many villagers do odd jobs locally, such as bricklaying and carpentry, with an average daily pay of 150 yuan and about 20 workdays per month. In addition, villagers having attained 60 years for men or 55 years for women will receive an old-age subsidy of 90 yuan per capita per month.

➤ Flood impacts: Tens of cultivated land would be inundated in almost every flood season. In the 1981 flood, over 400 mu of cultivated land was inundated.

### 3.1.3 Tongnan County

26 Tongnan County is located at the junction of Chengdu and Chongqing Municipalities, and is a hub in the Chengdu-Chongqing strategic development region. The county has a land area of 1,594 km<sup>2</sup> and a population of 950,000, and governs two sub-districts, 20 townships, 19 communities and 283 villages.

27 In 2011, the county's GDP was 14.693 billion yuan, fiscal revenue 2.029 billion yuan, fiscal expenditure 2.7 billion yuan, balance of personal deposits 10.086 billion yuan, balance of loans 4.527 billion yuan, fixed-asset investment 13.572 billion yuan, gross retail sales of consumer goods 4.664 billion yuan, a year-on-year growth of 16.3%, per capita disposable income of urban residents

17,910 yuan, a year-on-year growth of 15.2%, per capita net income of rural residents 7,285 yuan, a year-on-year growth of 23.7%, and agricultural output value 3.46 billion yuan, a year-on-year growth of 6.1%. See Table 3-3.

Table 3-3 Socioeconomic Profile of Chongqing Municipality and Tongnan County in 2011

Division	Chongqing Municipality	Tongnan County
Population (0,000)	2884.62	95
Land area (km <sup>2</sup> )	82400	1594
Per capita GDP (yuan)	34500	22875
Per capita disposable income of urban residents (yuan)	21794	17910
Per capita net income of rural residents (yuan)	8421.52	7285
GDP (00 million yuan)	10011.4	146.93
Agricultural gross output value (00 million yuan)	751.22	34.6
Industrial gross output value (00 million yuan)	4690.46	142
General fiscal budgetary income (00 million yuan)	2908.91	20.29

Source: Statistical Yearbook of Chongqing Municipality (2012), and website of the Tongnan County Government

28 It can be seen that in 2011, the per capita GDP, per capita disposable income of urban residents and per capita net income of rural residents of Tongnan County were slightly lower than the averages of Chongqing Municipality, and the county's economic level is below average among all districts and counties of Chongqing Municipality.

### 3.2 Basic Information of AHs

29 In order to learn the socioeconomic profile of the affected population, and their expected resettlement modes, the RAP preparation agency conducted a sampling survey on 131 households affected by LA and HD, including 110 valid samples (15% of all households affected by LA), in which the 4 households affected by HD were all affected by HD (all households affected by HD), and all the 2 enterprises and 4 breeding households. See Table 3-4.

Table 3-4 Sampling Rates

	Village	AHs	Sample HHs	Sampling rate (%)	Affected population	Sample population	Sampling rate (%)
LA impacts	Xinsheng	252	41	16	1149	187	16
	Qianjin	227	35	15	1032	166	16
	Shengli	256	34	13	1231	163	13
	<b>Subtotal</b>	<b>735</b>	<b>110</b>	<b>15</b>	<b>3412</b>	<b>516</b>	<b>15</b>

#### 3.2.1 Demographics

30 110 households with 516 persons were covered in this survey, including 252 females, accounting for 49%. See Table 3-5.

Table 3-5 Survey Data on Affected Population

Village		HHs	HHs	HHs	HHs
HHs		47	33	30	110
Population		214	155	147	516
Gender	Male	119	69	76	264
	Female	96	85	71	252
	Percent of females	44%	55%	48%	49%
Labor force	Total	137	99	94	330
	Farming at home	33	18	27	78
	Working outside and other	104	81	67	252
Educational level (6 years or above)	Junior college or above	5	4	5	14
	Senior high school	14	11	10	35
	Junior high school	94	66	53	213
	Primary school	77	59	61	197
	Illiterate or semilliterate	6	4	4	14

	Village	HHs	HHs	HHs	HHs
Age structure	0-6 years	17	9	13	39
	7-15 years	14	10	11	35
	16-60 years	146	118	97	361
	Over 60 years	38	17	26	81

### 3.2.2 Population Composition

31 The 110 sample households have a total population of 516, including 252 females, accounting for 49%; 265 males, accounting for 51%, and 330 rural laborers, accounting for 64%.

### 3.2.3 Age Structure

32 Among the 516 samples, 39 are aged 0-6 years, accounting for 8%; 36 aged 7-15 years, accounting for 7%; 361 aged 16-60 years, accounting for 69%; and 81 aged 60 years, accounting for 16%. Young people and adults account for over a half in total.

### 3.2.4 Educational Level

33 Among the 516 samples, 14 have received junior college or above education, accounting for 3%; 35 have received senior high / secondary technical school education, accounting for 7% (mostly aged 25-40 years and working outside); 213 have received junior high school education, accounting for 42%; 197 have received primary school education, accounting for 37% (mostly aged above 40 years), and 14 are illiterate or semiliterate (excluding pre-school children), accounting for 3% (mostly old people aged above 60 years and all doing farm work at home).

### 3.2.5 Labor Employment

34 The sample households have 330 laborers in total, mostly aged 20-60 years, in which 69 laborers do casual jobs locally, mostly in the slack season, accounting for 21% of labor force; 96 work locally all the year round (mostly aged 40-45 years), accounting for 29%; 86 work outside all the year round (mostly aged 25-35 years and working in couples), accounting for 24%, and 79 do farm work at home (mostly aged above 40 years and also taking care of families), accounting for 32%.

### 3.2.6 Annual Household Income and Expenditure

35 In the subproject area, household income is from nonagricultural sectors mainly, including employment, sideline, commerce and social insurance income, in which nonagricultural income accounts for 83% of household income; nonproductive expenses account for 85% of household expenditure. See Table 3-6.

Table 3-6 Annual Household Income and Expenditure

	Item	Average per household (yuan)	Percent
Annual household income	Agricultural income	5770	17%
	Nonagricultural income	28170	83%
	1) Employment income	23758	70%
	2) Other income	4412	13%
	Total	33940	100%
Annual household expenditure	Productive expenses	4200	15%
	Nonproductive expenses	23800	85%
	1) Food expenses	16240	68%
	2) Traffic expenses	1120	5%
	3) Educational expenses	2520	11%
	5) Medical expenses	1960	8%
	6) Other expenses	1960	8%
Total	28000	100%	

## 3.2.7 Basic Information of Affected Enterprises

36 The two enterprises affected by the Subproject (Hongyanzui Sandstone Factory and Dafo Sandstone Factory) are both affiliated to the owner of the Subproject. They have entered into mining agreements with the government, lease riverside collective land and hire local temporary workers for mining. Except the flood season of 2-3 months, the temporary workers work 9-10 months per annum. Their agreements are usually renewed annually, and the current agreements will expire at the end of 2013 and will not be renewed upon expiry. These two enterprises will find new places to resume production with the assistance of the owner, and their 120 temporary workers will be relocated with their enterprises .

37 See Table 3-7.

Table 3-7 List of Affected Enterprises

Name	Address	Basic information			Business status
		Size (m <sup>2</sup> )	Workforce	Annual pay (yuan)	
Hongyanzui Sandstone Factory	Xinsheng	32000	80	3,000-4000	Good
Dafo Sandstone Factory	Qianjin	28000	40	3,000-4000	Good

## 3.2.8 Basic Information of Affected Breeding Households

38 The 4 breeding households affected the Subproject are run by themselves, except that Li Jianguo hires two workers. Specifically:

39 Huang Shuangquan, 50 years, has dealt with duck raising with his wife beside the Pujiang River since 2002. This household raises 4,000-5,000 ducks annually, with annual income of about 100,000 yuan. It has never paid land rent, and its property for breeding has not been approved formally. Its property for breeding will be demolished for the Subproject.

40 Fu Hongquan, 35 years, has dealt with goose raising for over 10 years. Its property for breeding is built on household contracted land, used for goose raising and feed storage. This household no longer deals with goose raising, and its property for breeding is unoccupied, so its production will not be affected by the Subproject. Its property for breeding will be demolished for the Subproject.

41 Li Jianguo, 42 years, raises 50-60 heads of cattle on 3 mu of leased collective land in Qianjin Village. A rental of 10,000 yuan was paid at a time (1,000 yuan per annum, for 10 years). In addition, this household cultivates feeds on 400 mu of leased land, which is leased for 10 years at 100 yuan/mu per annum, and land rent is paid once every two years. Its self-built property for breeding (about 300 m<sup>2</sup>) will be affected by the Subproject.

42 Tu Xinzong, 58 years, deals with cultivation on about 200 mu of land in Shengli Village. Its affected property is used to store productive tools.

43 See Table 3-8.

Table 3-8 Basic Information of Affected Breeding Households

Name of HH head	Address	Basic information			
		Type of business	Affected size (m <sup>2</sup> )	Affected population	Annual income (yuan)
HSQ	Xinsheng	Self-run	410.24	2	100000
LJG		Self-run	400.49	4	200000
FHQ	Qianjin	Self-run	185.49	2	Closed down
TXZ	Shengli	Self-run	139.13	2	150000

## 3.2.9 Basic Information of Affected Vulnerable Groups

44 The basic information of these 6 households are as follows: Xia Zhizhen, female, 69 years: Her husband is dead, her children work outside all the year round, and her income is from her children and the government. Mo Shangxiu, female, 64 years: Her husband is dead, her children work outside all the year round, and her income is from her children and the government; she grows vegetables on scattered land for self-consumption. Jian Xiaoqin, female, 37 years, divorced: She takes care of her son alone, and deals with insurance marketing to pay living and educational expenses. Song Muying, female, 46 years: Her son suffers from epilepsy, and her income is from farming and odd jobs. Yuan Danhua, female, 46 years: Her income is from farming and odd jobs. Li

Wenfeng, female, 64 years: Her husband is dead and her household is poor. All these households will be affected by LA only.

## 4 Legal and Policy Framework

### 4.1 Regulations and Policies on Resettlement

45 The policies of the Subproject have been formulated in accordance with the laws and regulations of the People's Republic of China (PRC) and Chongqing Municipality, as well as the relevant requirements of the Bank's conduct. The resettlement work of the Subproject will be conducted in strict conformity with the policies in the RAP, and any change during implementation has to be approved by the Bank. See Table 4-1.

Table 4-1 Summary of Applicable Regulations and Policies

Level	Policy document	Effective date
State	Land Administration Law of the PRC	August 28, 2004
	Notice on Issuing the Guidelines on Improving Compensation and Resettlement Systems for Land Acquisition (MLR [2004] No.238)	November 3, 2004
	Regulations of the Ministry of Land and Resources on Public Hearing on Land and Resources	May 1, 2004
	Decision of the State Council on Deepening the Reform and Rigidly Enforcing Land Administration (SC [2004] No.28)	October 21, 2004
	Notice of the State Council on Issues Concerning the Strengthening of Land Control and Adjustment (SC [2006] No.31)	August 31, 2006
	Notice of the General Office of the State Council on Forwarding the Guidelines of the Ministry of Labor and Social Security on Doing a Good Job in the Employment Training and Social Security of Land-expropriated Farmers (SC [2006] No.29)	April 10, 2006
	Notice on Adjusting Fees for Using Additional Construction Land (CZ [2006] No.48)	November 7, 2006
	Real Right Law of the PRC	March 16, 2007
	Notice of the Ministry of Labor and Social Security, and Ministry of Land and Resources on Doing a Good Job in Social Security for Land-expropriated Farmers Practically (MLSS [2007] No.14)	April 28, 2007
	Notice on small loans to improve financial discount policy and promote women's entrepreneurship Employment (Choi blond [2009] NO.72)	July 27, 2009
	Notice of the Ministry of Land and Resources on Doing a Better Job in LA Management (MLR [2010] No.238)	June 26, 2010
	Opinion on Building Clean Party and Corruption Fighting (Ministry of Public Security Party [2011] No. 590)	January 1, 2011
Chongqing Municipality	Land Administration Regulations of Chongqing Municipality (Decree No.53 of the Chongqing Municipal Government)	March 22, 1999
	Land Acquisition Compensation and Resettlement Measures of Chongqing Municipality (Decree No.55 of the Chongqing Municipal Government)	January 1, 1999
	Interim Measures of Chongqing Municipality for Basic Endowment Insurance for Farmers Converted into Urban States in Land Acquisition after January 1, 2008	January 1, 2008
	Notice of the Chongqing Municipal Government on Adjusting Land Acquisition Compensation and Resettlement Policies (CMG [2008] No.45)	January 1, 2008
	Notice of the General Office of the Chongqing Municipal Government on Strengthening Land Acquisition and House Demolition Management Practically (CMGO [2013] No.27)	
	Notice of the Chongqing Municipal Government on Further Adjusting Land Acquisition Compensation Rates (CMG [2013] No.58)	January 1, 2013
Tongnan County	Notice of the Tongnan County Government on Further Adjusting Land Acquisition Compensation Rates (TCG [2013] No.39)	January 1, 2013
	Supplementary Notice of the Tongnan County Government on Further Adjusting Land Acquisition Compensation Rates	August 1, 2013
World Bank	Operational Policy OP4.12 on Involuntary Resettlement, and Bank Procedure BP4.12 on Involuntary Resettlement and appendixes	January 1, 2002

## 4.2 State Laws and Regulations

### **Land Administration Law of the PRC (2004)**

46 Any organization or individual that need land for construction purposes should apply for the use of land owned by the State according to law.

47 Whereas occupation of land for construction purposes involves the conversion of agricultural land into land for construction purposes, the examination and approval procedures in this regard shall be required.

48 Whereas agricultural land is converted into construction purposes as part of the efforts to implement the general plans for the utilization of land within the amount of land used for construction purposes as defined in the general plans for cities, villages and market towns, it shall be approved batch by batch according to the annual plan for the use of land by the organs that approved the original general plans for the utilization of land. The specific projects within the scope of land approved for conversion shall be approved by the people's governments of cities or counties.

49 In acquiring land, compensation should be made according to the original purposes of the land acquired. Compensation fees for land acquired include land compensation fees, resettlement fees and compensation for attachments to or green crops on the land.

50 Whereas the land compensation fees and resettlement fees paid according to the provisions of the second paragraph of this article are not enough to maintain the original level of living, the resettlement fees may be increased with the approval of the people's governments of provinces, autonomous regions and municipalities. But the combined total of land compensation fees and resettlement fees shall not exceed 30 times the average output value of the three years prior to the acquisition.

### **Notice on Issuing the Guidelines on Improving Compensation and Resettlement Systems for Land Acquisition (MLR [2004] No.238)**

#### **Provisions on the resettlement of land-expropriated farmers:**

51 Agricultural resettlement. When rural collective land out of urban planning areas is acquired, land-expropriated farmers shall be first provided with necessary arable land using mobile collective land, contracted land turned over by contractors and arable land arising from land development so that they continue to pursue agricultural production.

52 Reemployment resettlement. Conditions shall be created actively to provide free labor skills training to land-expropriated farmers and place them to corresponding jobs. Under equal conditions, land users shall first employ land-expropriated farmers. When rural collective land within urban planning areas is acquired, land-expropriated farmers shall be included in the urban employment system and a social security system established for them.

53 Dividend distribution resettlement. When any land with long-term stable income is to be used for a project, the affected rural collective economic organization may become a project shareholder with compensation fees for land acquisition or rights to use construction land in consultation with the land user. The rural collective economic organization and rural households will receive dividends as agreed.

54 Non-local resettlement. If basic production and living conditions are not available locally to land-expropriated farmers, non-local resettlement may be practiced under the leadership of the government in consultation with the rural collective economic organization and rural households.

#### **Provisions on information disclosure and supervision:**

55 Land acquisition approval shall be disclosed. For any land acquired with approval according to law, the Ministry of Land and Resources, and provincial land and resources department shall disclose land acquisition approval to the public through mass media except where any state secret is involved. The county (municipal) land and resources bureau shall disclose land acquisition approval to the affected village.

### **Decision of the State Council on Deepening the Reform and Rigidly Enforcing Land Administration (SC [2004] No.28)**

56 Basic farmland shall be protected strictly, because basic farmland is the basis for national food safety. Once identified, basic farmland shall not be occupied by any organization or individual, or not be reused without the approval of the State Council. Any basic farmland occupied after approval shall be compensated for at the highest applicable rate.

57 Improving measures of compensation for land acquisition. County-level and above local people's governments shall take practical measures so that the standard of living of farmers affected by land acquisition is not reduced by land acquisition. Land compensation, resettlement subsidy and compensation for ground annexes and crops shall be paid in full and timely pursuant to law. If the land compensation and resettlement subsidy pursuant to the prevailing laws and regulations are insufficient to maintain the former standard of living of the farmers affected by land acquisition or to pay the social security expenses of farmers who lose all land due to land acquisition, the people's governments of provinces, autonomous regions and municipalities directly under the Central Government shall approve an increased resettlement subsidy. If the sum of the land compensation and the resettlement subsidy attains the statutory upper limit and is still insufficient to maintain the former standard of living of the farmers affected by land acquisition, local people's governments may pay a subsidy from the income from compensated use of state land.

58 Resettling land-expropriated farmers properly. County-level and above local people's governments shall take specific measures to guarantee long-term livelihoods of farmers affected by land acquisition. For projects with a stable income, farmers may become a shareholder using the right to use of land used for construction approved pursuant to law. Within the urban planning area, local people's governments shall bring farmers who lose all land due to land acquisition into the urban employment system, and establish a social security system; out of the urban planning area, in acquiring land collectively owned by farmers, local people's governments shall reserve necessary arable land or arrange appropriate jobs for farmers affected by land acquisition within the same administrative area; farmers without land who do not have the basic living and production conditions shall be subject to non-local resettlement. The labor and social security authorities shall propose guidelines for the employment training and social security systems for farmers affected by land acquisition as soon as possible.

59 Improving land acquisition procedures. During land acquisition, the ownership of collective land of farmers and the right to contracted management of farmers' land shall be maintained. Before land acquisition is submitted for approval pursuant to law, the use, location, compensation standard and resettlement mode of the land to be acquired shall be notified to farmers affected by land acquisition; the survey results of the present situation of the land to be acquired shall be confirmed by rural collective economic organizations and farmers to be affected by land acquisition; if necessary, the land and resources authorities shall organize a hearing in accordance with the applicable provisions. The materials for notification to and confirmation by the farmers affected by land acquisition shall be taken as requisite materials for approval for land acquisition. Accelerate the establishment and improvement of the coordination and judgment mechanism for disputes over compensation and resettlement for land acquisition to protect the lawful rights and interests of farmers affected by land acquisition and land users. Approved matters of land acquisition shall be disclosed unless in special cases.

60 Strengthening Supervision over the implementation of land acquisition. If the compensation and resettlement for land acquisition has not been implemented, the acquired land shall not be used forcibly. The People's governments of provinces, autonomous regions and municipalities directly under the Central Government shall formulate the procedures for the distribution of the land compensation within rural collective economic organizations on the principle that the land compensation is used for rural households affected by land acquisition mainly. Rural collective economic organizations affected by land acquisition shall disclose the receipt, disbursement and allocation of land compensation fees to their members and accept supervision.

**Guidelines on Doing a Better Job in Employment Training and Social Security for Land-expropriated Farmers (SCO [2006] No.29)**

61 Doing a good job in employment training and social security for LEFs shall be an important part of land acquisition institutional reform. Local governments at all levels shall strengthen employment training and social security, include LEF employment issues in economic and social development plans, and annual plans, establish social security institutions suited to the characteristics and needs of LEFs, take effective measures to secure employment training and social security funds, promote LEFs' employment and integration into urban society, and ensure that LEFs' living standards are not reduced due to land acquisition and that their long-term livelihoods are secured.

62 Define the scope, highlight the key points and make unified planning. Subjects of employment training and social security for LEFs shall mainly be registered agricultural population losing all or most of land due to the unified acquisition of rural collective land by the government, and having the



right to contract rural collective land upon land acquisition. To do a good job in employment training and social security for LEFs, new LEFs should be the key group, LEFs of labor age be key subjects of employment training, and elderly LEFs be key subjects of social security. During implementation, all localities shall plan new and old issues of employment training and social security for LEFs in a unified manner based on local conditions, and the affordability of local public finance, village collectives and farmers. For eligible new LEFs, the government shall make employment training arrangements and implement appropriate social security policies upon land acquisition. Employment training and social security issues of former LEFs shall also be addressed properly.

63 Conduct classified guidance based on conditions within and out of urban planning areas. Within urban planning areas, local governments shall include LEFs in the urban employment system, and establish social security institutions. Out of urban planning areas, local governments shall ensure that cultivated land or jobs is/are reserved for LEFs within their administrative jurisdictions, and that LEFs are included in the rural social security system. LEFs in areas without adequate production and living conditions shall be relocated and included in the social security system of destinations.

64 Promote the employment of LEFs. A market-oriented employment mechanism should be stuck to, urban and rural employment planned in a unified manner, jobs developed in multiple ways, the employment environment improved, enterprises, public institutions and communities encouraged to absorb LEFs, and LEFs supported to find jobs and start up businesses themselves. Within urban planning areas, LEFs shall be included in the uniform unemployment registration system and urban employment service system. Unemployed LEFs may go through unemployment registration with local public employment service agencies, which shall provide employment consulting, guidance, training and referral services to LEFs so that LEFs of labor age and willing to get employed to be employed as soon as possible. Unemployed LEFs of labor age and willing to get employed to be employed shall be entitled to supporting policies on employment promotion and reemployment.

65 Ascertain the responsibility for LEF employment and resettlement. The government shall develop public welfare jobs actively to place LEFs with employment difficulties, and urge and direct land users to employ LEFs with priority. Employment modes may include that land users offer jobs and enter into labor contracts with LEFs directly, or that land users, employment service agencies and LEFs enter into a contract together.

66 Strengthen training for LEFs. Within urban planning areas, all localities shall develop vocational training programs suited to LEFs, and help LEFs get employed by various means, such as order-based training. Out of urban planning areas, all localities shall give vocational training to LEFs actively to improve their employment competitiveness and ability to start up business.

67 Secure basic and long-term livelihoods. All localities shall secure basic and long-term livelihoods of LEFs by various means based on practical conditions. For LEFs within urban planning areas, measures for maintaining basic living standards and old age security shall be developed based on local economic level and for different age groups. LEFs entitled to minimum living security for urban residents shall be included in the minimum living security system for urban residents. In areas where trials on urban medical assistance institutions have begun, LEFs eligible for medical assistance shall be included in the scope of medical assistance. In areas where conditions permit, LEFs shall be included in social insurance for urban employees, such as endowment, medical and unemployment insurance, to solve their basic living security issues through the prevailing urban social security system. In areas where rural social endowment insurance institutions have been established, trials on new-type rural cooperative medical institutions are ongoing, and rural minimum living security institutions are implemented, LEFs out of urban planning areas shall be included in the scope of security. In areas where the above institutions have not been established, local governments may secure LEFs' basic livelihoods by various means as the case may be, provide necessary old age support and medical services, and include eligible LEFs in local social assistance.

68 Determine security levels rationally. All localities shall fix social security standards for LEFs rationally on the principles of policy integration, fiscal affordability, living standard maintenance and feasibility. Basic living and old age security standards for LEFs shall not be less than local minimum living security standards.

69 Secure employment training and social security funds. Funds for the employment training of LEFs shall be disbursed from local finance; funds for social security shall be disbursed from resettlement subsidies and land compensation fees for land acquisition approved by local

governments. In areas where conditions permit, local finance and collective economy shall strengthen support for LEFs to cover urban and rural social insurance.

**Notice of the Ministry of Labor and Social Security, and Ministry of Land and Resources on Doing a Good Job in Social Security for Land-expropriated Farmers Practically (MLSS [2007] No.14)**

70 Subjects, rates and fund raising method of social security for land-expropriated farmers shall be subject to prior disclosure and public hearing to protect their rights of information and participation. Labor and social security, and land and resources departments should work effectively to ensure the proper implementation of social security for land-expropriated farmers.

71 All income from the transfer of the right to use state-owned land shall be entered into local treasuries, and disbursed from land transfer income under local budgets. Social security costs for land-expropriated farmers shall be transferred fully to the special account, and entered into the individual or pooling account within 3 months of approval of the land acquisition compensation and resettlement program.

**Notice of the Ministry of Land and Resources on Doing a Better Job in LA Management (MLR [2010] No.238)**

72 (1) Apply uniform AAOV rates and location-based composite land prices for land acquisition in all aspects. Fixing uniform AAOV rates and location-based composite land prices for land acquisition are an important measure for improving land acquisition compensation mechanism and realizing equal price for equal land, and also an essential requirement for increasing compensation rates for land acquisition, and protecting farmers' rights and interests. These rates shall be complied with strictly for rural collective land acquired for all types of construction. For any new construction project, strict control shall be exercised upon land use pre-examination to ensure that land acquisition compensation fees are calculated according to the published uniform AAOV rates and location-based composite land prices for land acquisition, and are included in the budgetary estimates in full. If the construction land is located in an area with the same AAOV or location-based composite land price, the level compensation for land acquisition shall be largely consistent, so as to realize equal compensation for equal land.

73 All localities shall establish a dynamic adjustment mechanism for compensation rates for land acquisition, adjust compensation rates for land acquisition every 2 or 3 years depending on economic level and local per capita income growth, and improve the compensation level for land acquisition gradually. Provinces where prevailing compensation rates for land acquisition have exceeded specified levels shall adjust and amend their compensation rates hereunder. Any province that fails to make timely adjustments shall not be pass land use examination.

74 (2) Explore and improve depository systems for land acquisition compensation fees. In order to prevent the default of land acquisition compensation fees, and ensure that compensation fees are made available timely and fully, all localities shall explore and improve depository systems for land acquisition compensation fees. When organizing land approval, a municipality or county shall estimate land acquisition compensation fees according to the size and compensation rate of land acquisition, and the land use applicant shall deposit land acquisition compensation fees in advance; for urban construction land and land for any construction project selected separately in the mode of transfer, the local government shall deposit land acquisition compensation fees in advance. After the land use has been approved according to law, the deposited land acquisition compensation fees shall be settled timely.

75 Province-level land and resources departments shall establish sound rules and regulations for the deposition of land acquisition compensation fees together with competent authorities based on local conditions, and exercise control during land use examination.

76 (3) Distribute land acquisition compensation fees rationally. After uniform AAOV rates and location-based composite land prices for land acquisition are practiced, province-level land and resources departments shall establish sound measures for the distribution of land acquisition compensation fees together with the departments concerned, and submit them to province-level governments for approval provided compensation fees for land acquisition should be used mainly on land-expropriated farmers.

77 Upon land acquisition, municipal and county land and resources departments shall pay compensation and resettlement fees timely and fully according to determined compensation and resettlement programs for land acquisition; fees payable to land-expropriated farmers shall be paid

directly to individual farmers, and the withholding or embezzlement of compensation and resettlement fees for land acquisition shall be prevented or corrected timely.

78 (4) Give priority to agricultural resettlement. All localities shall adopt effective resettlement modes suited to local conditions. In rural areas where cultivated land has been added through land management or much mobile land is reserved by rural collective economic organizations, priority shall be given to the mode of agricultural resettlement upon land acquisition, where newly added cultivated land or mobile land shall be allocated to land-expropriated farmers so that they are able to maintain basic production conditions and income sources.

79 (5) Regulate resettlement on reserved land. Where land acquisition is conducted within the range of urban construction land identified in a master plan for land utilization, the resettlement mode on reserved land may be adopted based on local conditions. However, guidance and management shall be strengthened. Reserved land shall be provided in the range of urban construction land and converted into state-owned land; where farmland conversion is involved, it shall be included in annual land utilization plans to prevent expanding the size of urban construction land due to resettlement on reserved land; reserved land development shall comply with the urban construction plan and pertinent provisions. In areas where resettlement on reserved land is practiced, local governments shall develop strict administrative measures to ensure that reserved land is arranged normatively and orderly, and developed and utilized scientifically and rationally.

80 (6) Ensure social security funds for land-expropriated farmers are available. Including land-expropriated farmers in the social security system is an effective way of solving the long-term livelihood problem of land-expropriated farmers. Land and resources departments at all levels shall promote the building of the social security system for land-expropriated farmers together with the departments concerned under the leadership of local governments. Presently, the key to the social security for land-expropriated farmers is to secure social security funds. All localities are encouraged to expand sources of social security funds from land users in conjunction with compensation and resettlement for land acquisition. During land use examination and approval, all localities shall control the availability of social security funds for land-expropriated farmers.

81 In areas where trials on the new rural social endowment insurance system are conducted, the social security for land-expropriated farmers shall be linked up with the new rural social security system. Where land-expropriated farmers are included in the new rural social security system, the social security system for land-expropriated farmers shall also be implemented, and the new rural social security system shall not be used in place of the social security system for land-expropriated farmers.

82 (7) Implement compensation and resettlement for houses demolished in land acquisition practically. All localities shall attach great importance to farmers' house demolition in land acquisition, and strengthen management practically pursuant to the Emergency Notice. Compensation and resettlement for farmers' house demolition involves many aspects, such as land, planning, construction, household registration and civil affairs management, and also such social issues as public security, environmental management and folk customs. Municipal and county land and resources departments shall establish a coordination mechanism, develop measures and implement house demolition properly together with the departments concerned under the unified leadership of local governments. The applicable laws, regulations and policies shall be complied with strictly, and the relevant procedures performed, so that displaced rural households are resettled before their houses are demolished, and illegal or nonconforming compulsory demolition shall be avoided or corrected.

83 (8) Reasonable compensation and resettlement shall be provided for house demolition. Farmers' houses demolished in land acquisition shall be compensated for reasonably, and diversified resettlement modes suited to local conditions adopted to solve the housing problem for displaced rural households properly. In far suburbs and rural areas, the mode of relocation and reconstruction shall be adopted mainly, where housing sites shall be allocated for house construction. Compensation for house demolition shall cover both demolished houses and acquired housing sites. Demolished houses shall be compensated for at replacement cost, and acquired housing sites shall be compensated for at local compensation rates for land acquisition.

84 In outskirts and urban villages, no housing site shall be allocated separately for house construction in principle, while the mode of compensation in cash or in kind shall apply mainly, where displaced rural households shall purchase houses themselves or accept resettlement housing provided by the government. The sum of compensation fees and government subsidies

received by displaced rural households shall be sufficient for them to purchase houses at reasonable levels.

85 (9) Carry out LA and HD orderly under unified planning. In outskirts and urban villages, local governments shall forecast the scale of farmers' house demolition and resettlement within a certain period based on urban development plans, make advance arrangements for resettlement sites and housing, and organize house demolition orderly. Resettlement housing construction shall comply with urban development plans, and "repeated demolition" shall be avoided. In far suburbs and rural areas, in case of resettlement by relocation and reconstruction, relocation and reconstruction land shall be provided within village and town construction land, giving priority to the utilization of idle land and unused housing land. For villages included in the range of demolition and merger, relocation and reconstruction land shall be as close to planned settlements as possible. Where conditions permit, resettlement housing for displaced rural households shall be constructed in a unified manner in conjunction with new countryside or central village building.

86 (10) Conduct notification, confirmation and hearing carefully before reporting for approval. Land acquisition concerns farmers' immediate interests, and the rights of information, participation, appeal and supervision of farmers shall be protected. Municipal and county land and resources departments shall perform the procedures carefully to listen well to farmers' opinions before reporting for approval of land acquisition in strict conformity with the pertinent provisions. Land acquisition programs shall be notified practically to village groups and farmers by such means as broadcast, village bulletin board and announcement in conjunction with village affairs disclosure. If any land-expropriated farmer has an objection and proposes a public hearing, the local land and resources department shall organize a hearing timely. Reasonable requirements proposed by farmers must be addressed properly.

87 (11) Simply post-approval implementation procedures. In order to shorten the implementation time after land acquisition approval, where the notification, confirmation and hearing procedures have been performed, and the confirmation of land ownership, land type, size, ground attachments and young crops, and compensation registration have been completed before reporting for approval of land acquisition, the compensation and resettlement program for land acquisition may be drafted upon reporting for approval of land acquisition. After the approval of land acquisition, the land acquisition announcement, and the announcement of the compensation and resettlement program for land acquisition may be posted concurrently. If there is any further public opinion during announcement, the policies shall be publicized and explained carefully to win public understand and support.

88 (12) Strengthen the responsibility of municipal and county governments as the main subject of land acquisition. According to law, municipal and county governments are the main subject of land acquisition, and generally responsible for the fixation of compensation rates for land acquisition, compensation and resettlement for house demolition, the timely and full disbursement of compensation fees, the employment training of land-expropriated farmers, and the inclusion of land-expropriated farmers in the social security system. Land and resources departments shall perform its responsibilities under the unified leadership of the government to ensure that land acquisition is conducted normatively and orderly.

89 (13) Implement a feedback system after approval of land acquisition. Within 6 months of approval of construction land (for urban construction land approved by the State Council, after the approval of farmland conversion and land acquisition programs by province-level governments), municipal and county land and resources department shall submit information on the implementation of land acquisition, including the range and size of land acquisition, the performance of the post-approval procedures for land acquisition, the availability of land acquisition compensation fees, and the resettlement and social security implementation of land-expropriated farmers, to province-level land and resources department, and the Ministry of Land and Resources via the online submission system. Province-level land and resources departments shall urge and direct municipalities and county to submit information properly, check submitted information, correct non-submission, delayed submission and erroneous submission timely. Land and resources departments at all levels shall take full advantage of submitted information to master and analyze the post-approval implementation of land acquisition, strengthen post-approval land regulation, and ensure that land acquisition is implemented as required.

### 4.3 Municipal Regulations

#### **Land Administration Regulations of Chongqing Municipality (Decree No.53 of the Chongqing Municipal Government)**

90 Article 19 If farmland is to be converted into construction land for construction purposes, the farmland conversion approval formalities shall be completed according to law. If farmland is to be converted into construction land within the range of construction land in the master land utilization plan, the following conditions shall be met: (1) The master land utilization plan is complied with; (2) The master urban development plan is complied with; (3) An annual quota for farmland conversion is obtained; and (4) A measure for cultivated land replenishment has been taken.

91 Article 22 In case of land acquisition, the acquirer shall pay land compensation fees, resettlement subsidy, and compensation fees for young crops and ground attachments in full within 3 months from the date of approval of the land acquisition compensation and resettlement program.

#### **Land Acquisition Compensation and Resettlement Measures of Chongqing Municipality (Decree No.55 of the Chongqing Municipal Government)**

92 Article 19 For the following population converted into urban status, administrative authorities for land shall disburse land compensation fees and resettlement subsidies to civil affairs authorities at a time for resettlement or monthly payment of living expenses:

- (1) Orphans under 18 years;
- (2) Male widows aged over 60 years and female widows aged over 50 years;
- (3) Certified disabled persons without a guardian;
- (4) Certified psychos without a guardian.

#### **Notice of the General Office of the Chongqing Municipal Government on Strengthening Land Acquisition and House Demolition Management Practically (CMGO [2013] No.27)**

1. Strengthening centralized management on land acquisition;
2. Regulating land acquisition and house demolition behavior strictly;
  - 1) Performing the prior disclosure procedure carefully;
  - 2) Conducting the DMS properly;
  - 3) Acting strictly on the announcement and registration institution; and
  - 4) Strengthening control over land acquisition compensation and resettlement funds
3. Strengthening supervision and inspection to avoid crimes in land acquisition and house demolition

#### **Notice of the Chongqing Municipal Government on Further Adjusting Land Acquisition Compensation Rates (CMG [2013] No.58)**

93 1. Adjusting the land acquisition compensation rates of the main urban area

94 Land compensation fees shall be 18,000 yuan/mu based on acquired land area regardless of land type and location.

95 Resettlement subsidy shall be 38,000 yuan per capita based on the agricultural population converted into urban status. Young crops and ground attachments shall be compensated for at 22,000 yuan per mu.

96 2. District and county governments not in the main urban area shall adjust land acquisition compensation rates by reference to local conditions, and submit adjusted rates to the municipal government for record.

### 4.4 County Measures

#### **Notice of the Tongnan County Government on Further Adjusting Land Acquisition Compensation Rates (TCG [2013] No.39)**

(1) Land compensation fees and resettlement subsidy

97 Land compensation fees shall be based on land area approved for acquisition, being 17,000 yuan/mu for Tier-1 areas (Zitong and Guilin Sub-districts), 16,500 yuan/mu for Tier-2 areas (Guxi, Yuxi, Shanghe, Tangba, Shuangjiang, Baizi, Xiaodu, Wofo, Tai'an, Tianjia and Chongkan Towns), and 16,000 yuan/mu for Tier-3 areas (Mixin, Baolong, Qunli, Longxing, Huayan, Xinsheng, Biekou, Shouqiao and Wugui Towns).

98 Resettlement subsidy shall be based on agricultural population converted into urban status, being 36,000 yuan per capita.

(2) Compensation for rural houses, young crops and ground attachments

99 The compensation rates for rural houses are as specified in Table 4-2.

Table 4-2 Compensation Rates for Houses on Collective Land

Structural type	Detailed structure	Compensation rate (yuan/m <sup>2</sup> )
Reinforced concrete	Frame (shear wall) cast-in-situ roof	660
Masonry concrete	Brick wall (ashlar) with prefabricated roof	600
	Brick wall (ashlar) with tile roof	540
Masonry timber	Brick wall (stone sheet) with special tile roof	480
	Brick wall (stone sheet) with tile roof	420
	Brick wall, asbestos tile roof (or felt, fiberglass tile)	390
Earth wall	Earth wall with tile roof	360
	Asbestos tile roof	330
Simple	Brick (stone, timber) columns, asbestos tile roof (or felt,	120
	Simple shed	100

100 Young crops and ground attachments (except tombs) shall be compensated for at a fixed rate of 18,000 yuan per mu.

### Supplementary Notice of the Tongnan County Government on Further Adjusting Land Acquisition Compensation Rates

101 (1) In the planning area of the county town, construction and installation cost is 900 yuan/m<sup>2</sup>, overall cost 1,800 yuan/m<sup>2</sup>, and average market price of multi-storied ordinary commercial housing 2,400 yuan/m<sup>2</sup>; in urban planning areas of townships, construction and installation cost is 800 yuan/m<sup>2</sup>, overall cost 1,500 yuan/m<sup>2</sup>, and average market price of multi-storied ordinary commercial housing 1,800 yuan/m<sup>2</sup>.

102 (2) Households subject to cash compensation affected by land acquisition or house demolition within the planning area of the county town shall be provided with limited-price commercial housing and may purchase such housing voluntarily at 2,200 yuan/m<sup>2</sup>. Any excess housing size of not more than 10 m<sup>2</sup> shall be purchased at 2,200 yuan/m<sup>2</sup>, and any excess of over 10 m<sup>2</sup> purchased at 3,800 yuan/m<sup>2</sup> (not more than 15 m<sup>2</sup> per household). Subjects applying for limited-price commercial housing shall be granted a rental subsidy of 300 yuan per capita per month for the period from the month of application to the month of handover.

103 (3) For any household moving within the specified time, moving subsidy shall be paid at a time, being 1,000 yuan per household with 3 persons or less, with an increment of 200 yuan per capita with over 3 persons, but not more than 2,000 yuan per household.

104 (4) Transition subsidy shall be 300 yuan per capita per month.

105 (5) For any household moving within the specified time, a reward at 30% of the total amount of compensation (including compensation for interior decoration) shall be granted.

106 (6) Young crops and ground attachments (except tombs) shall be compensated for at a fixed rate.

### 4.5 Bank Policy on Involuntary Resettlement

107 The Bank's policy and procedure on involuntary resettlement (OP4.12 and BP4.12) are as the following:

➤ Involuntary resettlement should be avoided where feasible, or minimized, exploring all viable alternative project designs.

➤ Where it is not feasible to avoid resettlement, resettlement activities should be conceived and executed as sustainable development programs, providing sufficient investment resources to enable the persons displaced by the project to share in project benefits.

➤ Displaced persons should be meaningfully consulted and should have opportunities to participate in planning and implementing resettlement programs.

➤ Displaced persons should be assisted in their efforts to improve their livelihoods and standards of living or at least to restore them, in real terms, to pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher.

#### 4.6 Resettlement Principles of the Subproject

108 According to the above policy framework, the resettlement principles of the Subproject are as follows:

- Measures should be taken to minimize negative impacts on the APs;
- Community suggestions that can improve the APs' living standard and livelihoods should be adopted;
- Compensation and resettlement programs should improve the APs' living standard or at least restore it to the pre-project level;
- The APs should be meaningfully consulted and should have opportunities to participate in planning and implementing resettlement programs;
- Affected properties shall be compensated for at replacement cost;
- Identification of APs: The cut-off date for the identification of APs is the date of publication of the announcement of LA and HD. After this date, the APs should not build, rebuild or expand their properties; should not change the uses of their properties and land; should not lease their land, lease, sell or purchase their properties; and any person that moves in after this date should not qualify as an AP.

## 5 Compensation Rates for LA and HD

109 The compensation rates for different impacts of the Subproject have been fixed according to the above legal framework, and based on the practical situation of the subproject area. The compensation rates for LA and HD will be adjusted in practice, but will not be lower than those specified in this RAP. The cut-off date is the notice release date of land acquisition and demolition. After this date, the relocation households shall not build, expand and rebuild houses; shall not change the uses of the housing and land; shall not perform lease, rental and sale of land and housing, and persons moving into the zone after this date shall not be provided with qualification of compensation.

### 5.1 Compensation Rates for Permanent LA

110 According to the Land Administration Law of the PRC, Decision of the State Council on Deepening the Reform and Rigidly Enforcing Land Administration (SC [2004] No.28), Notice of the Chongqing Municipal Government on Adjusting Land Acquisition Compensation and Resettlement Policies (CMG [2008] No.45), Notice of the Chongqing Municipal Government on Further Adjusting Land Acquisition Compensation Rates (CMG [2013] No.58), and Notice of the Tongnan County Government on Further Adjusting Land Acquisition Compensation Rates (TCG [2013] No.39), LA compensation includes land compensation fees, resettlement subsidy and young crop compensation fees. Land compensation fees are based on acquired land area regardless of land type. Young crops will be compensated for at a fixed rate (including compensation for young crops and ordinary ground attachments, excluding special facilities), while young crops on state-owned river flat will be compensated for based on actual losses. See Table 5-1.

Table 5-1 Compensation Rates for Permanent LA

Land compensation fees (yuan/mu)	Resettlement subsidy (yuan per capita)	Fixed compensation rate <sup>7</sup> (yuan/mu)	Compensation rate for young crops on state-owned river flat (yuan/mu)
17000	36000	18000	1210

111 In 2012, the average annual output value of cultivated land in the subproject area was 1,600-1,800 yuan/mu. Based on the land compensation rate of 17,000 yuan/mu and the resettlement subsidy of 36,000 yuan per capita, LA compensation ranges from 33.9 times the average annual output value of Group 4 of Shengli Village to 64.2 times that of Group 1 of Qianjin Village, much higher than 14 (it is 14 years from the end of the current round of rural collective land contracting of 2027). Therefore, this compensation rate is sufficient for replacement.

Table 5-2 Compensation Multiples for Permanent LA

Village	Group	Average output value (yuan)	Per capita cultivated area (mu)	Multiple of land compensation fees	Multiple of resettlement subsidy	Overall multiple
Xinsheng	1	1800	0.45	9.4	44.4	53.9
	2	1800	0.56	9.4	35.7	45.2
	4	1800	0.57	9.4	35.1	44.5
	5	1800	0.45	9.4	44.4	53.9
	6	1800	0.47	9.4	42.6	52.0
Qianjin	1	1633	0.41	10.4	53.8	64.2
	2	1633	0.57	10.4	38.7	49.1
	3	1633	0.6	10.4	36.7	47.2
	4	1633	0.56	10.4	39.4	49.8
Shengli	2	1617	0.69	10.5	32.3	42.8
	3	1617	0.85	10.5	26.2	36.7
	4	1617	0.95	10.5	23.4	33.9

<sup>7</sup> Subjects of fixed rate compensation include young crops and ground attachments (except tombs), based on land area approved for acquisition less rural housing land area.



Note: Multiple of land compensation fees = land compensation fees / average annual output value; Multiple of resettlement subsidy = resettlement subsidy / per capita cultivated area / average annual output value

## 5.2 Compensation Rates for Temporary Land Occupation

112 Young crops on the land temporarily occupied for the Subproject will be compensated for based on twice the actual period of occupation, and the compensation rates are as shown in Table 5-3. The owner will pay a reclamation bond of 8,000-10,000 yuan/mu, and undertake the reclamation of the temporarily occupied land. The bond will be returned to the owner if the reclaimed land has passed inspection.

Table 5-3 Compensation Rates for Temporary Land Occupation

Item	Compensation rate (yuan/mu)	
Young crop compensation fees	Irrigated land	3630
	Non-irrigated land	4530
	Woodland	4530

Note: These rates cover young crops only. Ground attachments affected by the Subproject will be compensated under "ground attachments" separately.

## 5.3 Compensation Rates for Rural Residential Houses

113 According to the Notice of the Chongqing Municipal Government on Further Adjusting Land Acquisition Compensation Rates (CMG [2013] No.58), Notice of the Tongnan County Government on Further Adjusting Land Acquisition Compensation Rates (TCG [2013] No.39), resettlement modes for the households affected by HD include cash compensation and preferential housing purchase under property swap.

### 5.3.1 Cash Compensation

#### 1) Overall house compensation rates<sup>8</sup>

114 HD compensation rates: 795 yuan/m<sup>2</sup> for masonry concrete structure, 634 yuan/m<sup>2</sup> for masonry timber structure and 161 yuan/m<sup>2</sup> for simple structure

#### 2) Moving subsidy

115 For any household moving within the specified time, moving subsidy will be paid at a time, being 1,000 yuan per household with 3 persons or less, with an increment of 200 yuan per capita with over 3 persons, but not more than 2,000 yuan per household.

#### 3) Transition subsidy

116 Based on registered population at the time of LA approval, 300 yuan per capita per month, for a transition period of two years, paid for 12 months at a time, namely 3,600 yuan per capita

#### 4) Cash compensation rates

117 Cash compensation will be granted to AHs choosing cash compensation only. The amount of compensation will be the purchase price of local affordable housing of 2,400 yuan/m<sup>2</sup> multiplied by resettlement housing size of 30m<sup>2</sup> per capita, namely 72,000 yuan per capita.

118 Households subject to cash compensation affected by HD may apply for purchasing limited-price commercial housing at 2,200 yuan/m<sup>2</sup>. Any excess housing size of not more than 10 m<sup>2</sup> will be purchased at 2,200 yuan/m<sup>2</sup>, and any excess of over 10 m<sup>2</sup> purchased at 3,800 yuan/m<sup>2</sup> (not more than 15 m<sup>2</sup> per household). Such housing has sound public facilities, with a market price of about 4,000 yuan/m<sup>2</sup> (the average housing price in Tongnan County is 4,300 yuan/m<sup>2</sup>).

119 Based on the above rates, this resettlement mode is sufficient for replacement.

### 5.3.2 Preferential Housing Purchase under Property Swap

#### 1) Overall house compensation rates

<sup>8</sup> According to Document TCG [2013] No.39, "overall house compensation rate" in this report includes house compensation rate, incentive and residual value subsidy. "House compensation rates" are subject to 30% of the compensation rates specified in TCG [2013] No.39, , and residual value subsidy is 15 yuan/m<sup>2</sup> for masonry concrete structure, 10 yuan/m<sup>2</sup> for masonry timber structure and 5 yuan/m<sup>2</sup> for other structures.

120 HD compensation rates: 795 yuan/m<sup>2</sup> for masonry concrete structure, 634 yuan/m<sup>2</sup> for masonry timber structure and 161 yuan/m<sup>2</sup> for simple structure

2) Moving subsidy

121 For any household moving within the specified time, moving subsidy will be paid at a time, being 1,000 yuan per household with 3 persons or less, with an increment of 200 yuan per capita with over 3 persons, but not more than 2,000 yuan per household.

3) Transition subsidy

122 Based on registered population at the time of LA approval, 300 yuan per capita per month, for a transition period of two years, paid for 12 months at a time, namely 3,600 yuan per capita

4) Preferential purchase prices

123 Resettlement housing will be purchased at the compensation rate for masonry concrete structure for not more than 30m<sup>2</sup> per capita, or the construction and installation cost of 900 yuan/m<sup>2</sup> for any excess of not more than 5m<sup>2</sup> per capita, or the overall cost of 1,800 yuan/m<sup>2</sup> any excess of more than 5m<sup>2</sup> but not more than 10m<sup>2</sup> per capita, or the average market price of multi-storied ordinary commercial housing 2,400 yuan/m<sup>2</sup> for any excess of more than 10m<sup>2</sup>.

124 This resettlement mode is sufficient for replacement.

125 According to the local policy, each household affected by HD will receive compensation for interior decoration at 150 yuan/m<sup>2</sup> for floor tiles, 130 yuan/m<sup>2</sup> for wall tiles and 120 yuan/m<sup>2</sup> for ceilings.

126 See Table 5-4.

Table 5-4 Compensation Rates for HD

Mode	House compensation rate (yuan/m <sup>2</sup> )			Other compensation			
	Masonry concrete structure	Masonry timber structure	Simple structure	Moving subsidy (yuan/ household)	Transition subsidy (yuan/ month per capita)	Cash compensation (yuan per capita)	Interior decoration (yuan/m <sup>2</sup> )
Property swap	795	634	161	3 persons or less: 1,000, over 3 persons: plus 200 yuan per capita, (not more than 2,000 yuan in total)	300	-	150 yuan/m <sup>2</sup> for floor tiles, 130 yuan/m <sup>2</sup> for wall tiles and 120 yuan/m <sup>2</sup> for ceilings.
Cash compensation	795	634	161			72000	

#### 5.4 Compensation Rates for Affected Enterprises

127 The two enterprises affected by the Subproject (Hongyanzui Sandstone Factory and Dafo Sandstone Factory) have entered into mining agreements with the government, which will expire at the end of 2013, not involved LA and HD. These two enterprises will find new places to resume production with the assistance of the owner, and their 120 temporary workers will be relocated with their enterprises.

#### 5.5 Compensation Rates for Affected Breeding Households

128 The houses of the 4 breeding households to be demolished for the Subproject will be compensated for at the compensation rates for rural residential houses, and they will also receive moving and transition subsidies. See Table 5-5.

Table 5-5 Compensation Rates for Affected Breeding Households

House compensation rate (yuan/m <sup>2</sup> )		Other compensation	
Masonry timber structure	Simple structure	Moving subsidy (yuan/ household)	Transition subsidy (yuan/ month per capita)
634	161	1000	300

## 5.6 Compensation Rates for Affected Ground Attachments

129 The young crops and ground attachments affected by the Subproject will be compensated for at a fixed rate of 18,000 yuan/mu. Compensation for ordinary attachments (except tombs) will be included in such fixed rate, which is sufficient for replacement.

130 Compensation for tombs and special facilities is not included in such fixed rate, and their compensation rates are as shown in Table 5-6.

Table 5-6 Compensation Rates for Affected Ground Attachments

Item	Spec.	Unit	Rate (yuan)
Fixed rate compensation	Rural collective land other than housing land	mu	18000
Tombs	Single-person	/	2500
Water resources facilities	Pumping station	/	1000000
Traffic facilities	Tractor road	Km	300000
Power facilities	Transformer (50A)	/	50000
	10kV power transmission lines	Km	150000
	380V power distribution lines	Km	60000
Telecom facilities	Mobile base station	/	1900000

## 6 Production and Livelihood Restoration Programs

### 6.1 Restoration Program for Permanent LA

#### 6.1.1 Appraisal of Lost Income

131 12 groups of Xinsheng, Qianjin and Shengli Villages, Zitong Sub-district will be affected by permanent LA for the Subproject. Since the acquired land is linear in shape, the acquired land areas of the affected groups are small, with per capita land loss rates of 0%-21.75%. Since the acquired land is mostly beside the river and rarely used to grow commercial crops due to frequent floods, income loss rates are low. Through calculation based on local average annual output value (see Table 6-1), per capita income losses range from 0 yuan to 391.49 yuan.

Table 6-1 Land and Income Losses after LA

Village	Group	Affected population	Per capita cultivated area (mu)	Acquired cultivated area (mu)	Acquired per capita cultivated area (mu)	Land loss rate (%)	Average annual output value (yuan)	Per capita lost income (yuan)	Per capita income loss rate <sup>9</sup> (%)
Xinsheng	1	188	0.45	18.4	0.10	21.75%	1800	391.49	7.34%
	2	145	0.56	0	0.00	0.00%	1800	0.00	0.00%
	4	224	0.57	25.34	0.11	19.85%	1800	357.24	6.70%
	5	280	0.45	22.48	0.08	17.84%	1800	321.14	6.02%
	6	312	0.47	26.97	0.09	18.39%	1800	331.06	6.21%
Qianjin	1	456	0.41	22.42	0.05	11.99%	1633	195.83	3.67%
	2	240	0.57	21.52	0.09	15.73%	1633	256.89	4.82%
	3	63	0.6	3.66	0.06	9.68%	1633	158.12	2.97%
	4	273	0.56	20.55	0.08	13.44%	1633	219.51	4.12%
Shengli	2	409	0.69	47.29	0.12	16.76%	1617	270.96	5.08%
	3	332	0.85	40.17	0.12	14.23%	1617	230.17	4.32%
	4	490	0.95	62.07	0.13	13.33%	1617	215.61	4.04%

#### 6.1.2 Income Restoration Program

132 LA compensation includes land compensation fees, resettlement subsidy and young crop compensation fees. Compensation fees for permanently acquired rural collective land (land compensation fees) are based on acquired land area regardless of land type, being 17,000 yuan/mu. For population converted into urban status, resettlement subsidy is 36,000 yuan per capita. Young crop and ground attachments will be compensated for at fixed rates. 80% of land compensation fees will be used to cover endowment insurance for land-expropriated farmers, and the remaining 20% will be paid to the affected rural collective economic organization for payment to the AHs.

#### 6.1.3 Endowment Insurance for Population Converted into Urban Status

##### ➤ Population converted into urban status

133 The population to be converted into urban status will be acquired cultivated area (including garden and pasture land) plus 0.5 time non-cultivated area divided by the per capita cultivated area of the affected collective economic organization. The population to be converted into urban status in the Subproject is 670. See Table 6-2. If the remaining cultivated area of an AH is less than 0.5 mu per capita after LA, the AH may apply for increasing population to be converted into urban status until its remaining cultivated area reaches 0.5 mu per capita. In addition, since the Subproject is located in the planning area of the county town, an AH may apply for full conversion by returning all contracted land.

<sup>9</sup>Per capita income loss rate = per capita lost annual income on cultivated land / per capita net income (the per capita net income of local farmers is about 5,332 yuan/year).

Table 6-2 Population Converted into Urban Status

Village	Group	Acquired cultivated land (mu)(1)	Acquired non-cultivated land (mu)(2)	Per capita cultivated area (mu)(3)	Population converted into urban status (4)=[(1)+(2)*0.5]/(3)
Xinsheng	1	18.4	23.41	0.45	67
	2	0	6.14	0.56	6
	4	25.34	0.63	0.57	45
	5	22.48	1.04	0.45	51
	6	26.97	10.48	0.47	69
Qianjin	1	22.42	10.91	0.41	68
	2	21.52	14.87	0.57	51
	3	3.66	47.14	0.6	45
	4	20.55	38.21	0.56	71
Shengli	2	47.29	16.38	0.69	80
	3	40.17	3.57	0.85	49
	4	62.07	5.04	0.95	68
<b>Total</b>		310.87	177.82	-	670

➤ Endowment insurance for population converted into urban status

134 The population to be converted into urban status of each village will be determined at a village meeting based on acquired land area. All households affected by HD may apply for conversion into urban status voluntarily. Most of the AHs prefer to convert old or 40s-50s family members into urban status. The resettlement subsidy of any land-expropriated farmer aged under 16 years will be fully paid to the individual; one aged 16 years or above will pay endowment insurance premiums based on age group, where the government and individual shall pay 50% each. See Table 6-3.

Table 6-3 Endowment Insurance Premiums and Pensions by Age Group

	Age group	Population	Endowment insurance premium paid at a time (yuan)	Pension receivable (yuan)	Starting age of pension payment
Old people	80 years or more	3	7500	750	Month following the approval of LA compensation & resettlement program
	75-79	16	7500	650	
	70-74	24	8150-10750	550	
	Male 60-69 Female 55-69	54	11400-20500	500	
40s-50s people	Male 50-59 Female 40-54	203	20500	500	Month following the attainment of statutory retiring age
Middle-aged or young people	Male 40-49 Female 30-39	141	11532	500	Month following the attainment of statutory retiring age
	Male 20-39 Female 20-29	94	5766	500	
	16-19	135	1153.2-4612.8	500	

Note: The resettlement subsidy of any land-expropriated farmer aged under 16 years shall be fully paid to the individual.

135 Old people having attained retiring age will receive pensions from the month following the approval of the compensation and resettlement program after paying endowment insurance premiums at a time (According to 2013 standards, the basic pension is 500 yuan/month, and starting from January 1, 2013, increase the monthly pension benefit per person 35 yuan, on the basis, and in line with personnel pay period (excluding converted seniority) per year plus three yuan. For December 31, 2012 and before the age of 75 years old people, will increase the monthly pension benefit per person 50 yuan. After January 1, 2013 the age of 75 years old people, from the age of 75 years old of month, will improve the original standards from 50 yuan to 100yuan per person per month for elderly people.), so that each person converted into urban status will receive an annual pension of at least 6,420 yuan.

136 Among the 516 samples, 88 can receive pensions after covering endowment insurance, 184 are 40s-50s people who mostly do odd jobs locally, such as bricklaying and carpentry, and would do

farm work at home in the busy season, and 202 are middle-aged or young who mostly deal with services in the Tongnan county town and the urban area of Chongqing.

#### 6.1.4 Employment Services for the APs

137 In order to improve the production level and living standard of the APs, the local competent authorities offer a number of employment promotion policies, including labor skills training and employment assistance.

##### ➤ Labor skills training

138 During project implementation, the county government will organize skills training for LEFs to help them find suitable jobs. Currently, there are 9 appointed training agencies in Tongnan County, which are the Employment Training Center, Enwei Vocational School, Angong Vocational School, Aihua Computer School, Yucui Computer School, Jinlong School, Popular Science School, Yuanrong Vocational School and Hope Cook School. Training offered includes employment, reemployment, SIYB business startup (for small-amount secured loans), micro-enterprise startup, rural surplus labor transfer and skills training. Most of training courses are for free or subsidized. Training is focused on highly demanded jobs, such as computer, cooking, machinery, sewing and services. Qualified trainees will receive certificates and be recommended by training agencies.

139 In Tongnan County, various training programs have been implemented together with local enterprises and farmers' associations in various forms and by various means, with focus on preferential policies for farmers, disaster relief, crop management, key cultivation and stockbreeding skills, food product processing and marketing. In 2012, 10,000 men-times in the county received practical skills training and consulting services, 10,000 men-times trained under the Sunshine Program, and 2,000 men-times received vocational skills training. In 2012, 39,000 men-times were trained in total, accounting for 4.8% of the county's agricultural population. See Table 6-4.

Table 6-4 Training Courses Offered by the Local Government

Authority	Scope of training	Scope of training
Agriculture bureau	Vegetable cultivation skills, crop pest control skills, farm product quality and safety, resettlement policies, etc.	LEFs mainly
Labor and social security bureau	1) Service worker training 2) Business startup training 3) SIYB startup training 4) Migrant worker training 5) Pre-job training	Reemployed rural laborers, registered urban unemployed residents, fresh graduates, returned laborers
Poverty reduction office	1) Practical skills training 2) Vocational, employment and practical skills training for the poor and unemployed together with training schools	Farmers, registered unemployed residents, returned laborers
Women's federation	1) Maternity matron training (together with the labor and social security bureau) 2) Business startup training	Women, laid-off workers

##### ➤ Employment assistance and unemployment insurance

140 Farmers converted into urban status of labor age (16-60 years for men and 16-55 for women) may apply for an unemployment certificate with the county labor and social security bureau, and enter the labor market. The county government will help them get employed through job referral, job fair, etc.

141 In Tongnan County, employment platforms have been established at multiple levels to offer employment services, and external employment channels are developed actively to promote the non-local employment of farmers. The labor market information network has been extended to cover all townships and sub-districts for the convenience of job applicants. Trials on village-level employment and social security platforms are being rolled out, and each platform is granted a subsidy of 5,000 yuan from county finance. Labor export bases have been established in cooperation with large enterprises, and business startup promotions are organized in various forms.

142 The county labor and economic development bureau has organized "Employment Assistance Month" to help 40s-50s people and members of zero-employment families to get employed or reemployed, and a special job fair for migrant workers that offers suitable jobs, including machinery, electronics, commerce, construction, logistics, property management,

marketing, accounting, etc. Competent authorities have also provided free consulting services on endowment insurance, medical insurance, industrial injury insurance, vocational guidance, startup training, right protection, etc. See Table 6-5.

Table 6-5 Employment Services Offered by the Local Government

Authority	Program	Details
Labor and economic development bureau	“Employment Assistance Month”	40s-50s people and members of zero-employment families
Labor and social security bureau	Job fair for returned migrant workers	Machinery, electronics, commerce, construction, logistics, property management, marketing, accounting, etc.
	Spring Action job fair	Recruitment of local migrant workers by enterprises in the industrial park (toy and shoe factories, etc.)
	Sunshine Program	Farmer business startup, biogas, animal quarantine, machinery operation and repair, fishery, rural tourism, marketing, feed processing, vegetable and fruit cultivation, etc.
	Small-amount secured loans	For returned migrant workers starting up businesses independently, 50,000-80,000 yuan per capita, or not more than 1 million for partnerships

143 LEFs will be included in the basic endowment insurance system for urban enterprise employees after registration as urban residents. LEFs of labor age converted into urban residents may cover unemployment insurance. In addition, LEFs converted into urban residents starting up business independently will be entitled to applicable preferential policies, such as tax reduction or exemption, and small-amount secured loans.

144 The Subproject will generate some job opportunities for local laborers. These jobs will be first made available to the APs to increase their income.

➤ **Small-amount secured loans for women**

145 Local women starting up business individually or together may apply for small-amount secured loans with the local women’s federation. In Tongnan Industrial Park, the women’s business startup and employment demonstration base offers preferential policies to women, such as no rent for the first year, to encourage and support their business startup.

## 6.2 Restoration Program for Temporary Land Occupation

146 Young crops on the land temporarily occupied for the Subproject will be compensated for based on twice the actual period of occupation, and the compensation rates are sufficient to cover losses. The owner will pay a reclamation bond of 8,000-10,000 yuan/mu, and undertake the reclamation of the temporarily occupied land. The bond will be returned to the owner if the reclaimed land has passed inspection.

## 6.3 Resettlement Program for Demolished Rural Residential Houses

147 The resettlement modes for the households affected by HD include cash compensation and preferential housing purchase under property swap. Most of the AHs choose cash compensation.

Table 6-6 Resettlement Program for Demolished Rural Residential Houses

Cash compensation	Preferential housing purchase under property swap	Self-construction on allocated land
√	√	

### 6.3.1 Cash Compensation

148 In case of cash compensation, the county land and resources bureau will enter into a compensation agreement with each AH, and pay compensation at a time at 72,000 yuan per capita. For example, a household with 4 members and a house (masonry concrete) of 200m<sup>2</sup> will receive cash compensation of 72,000\*4 = 288,000 yuan, and house compensation of 200\*795 = 159,000 yuan, totaling 288,000 + 159,000 = 447,000 yuan.

149 Households subject to cash compensation affected by HD may apply for purchasing limited-price commercial housing at 2,200 yuan/m<sup>2</sup> (the market price of such housing is about 4,000 yuan/m<sup>2</sup> and the average housing price in Tongnan County is 4,300 yuan/m<sup>2</sup>). The above household

can purchase over 200m<sup>2</sup> of limited-price commercial housing with a full range of supporting facilities.

150 The above household will receive a transition subsidy of 300 yuan per capita per month, while the monthly rental of a local 100m<sup>2</sup> house is 500-600 yuan, so the transition subsidy is sufficient for house renting during the transition period.

#### 6.3.2 Preferential Housing Purchase under Property Swap

151 Resettlement housing will be purchased at the compensation rate for masonry concrete structure for not more than 30m<sup>2</sup> per capita, or the construction and installation cost of 900 yuan/m<sup>2</sup> for any excess of not more than 5m<sup>2</sup> per capita, or the overall cost of 1,800 yuan/m<sup>2</sup> any excess of more than 5m<sup>2</sup> but not more than 10m<sup>2</sup> per capita, or the average market price of multi-storied ordinary commercial housing 2,400 yuan/m<sup>2</sup> for any excess of more than 10m<sup>2</sup>.

152 For example, a household with 4 members and a house (masonry concrete) of 200m<sup>2</sup> may purchase 120m<sup>2</sup> of resettlement housing, and also receive HD compensation of 63,600 yuan (795\*80). The location of the resettlement community will be agreed on between the owner, village committees and AHs. However, the owner promises that the community will have an advantaged location, convenient traffic and sound supporting facilities.

#### 6.4 Resettlement Program for Affected Enterprises

153 The two enterprises affected by the Subproject (Hongyanzui Sandstone Factory and Dafo Sandstone Factory) have entered into mining agreements with the government, which will expire at the end of 2013. These two enterprises will find new places to resume production with the assistance of the owner, and their 120 temporary workers will be relocated with their enterprises.

#### 6.5 Resettlement Program for Affected Breeding Households

154 The breeding and storage properties of 4 breeding households will be demolished for the Subproject. The resettlement program is as follows: (1) These properties will be compensated for at the compensation rates for rural residential houses; (2) They will be notified in advance, and receive a moving subsidy of 1,000 yuan per household and a transition subsidy of 300 yuan per capita per month (for 6 months); (3) They will receive HD information in advance so that they can sell or relocation their livestock to minimize impacts; and (4) They will be assisted by the owner in finding new places to resume operation if necessary.

#### 6.6 Affected Vulnerable Groups

155 The vulnerable households affected by the Subproject will have land loss rates of 2-8%. The two poor households may be included in rural MLS if eligible, and receive a benefit of 185 yuan per capita per month from the county civil affairs bureau. Eligible widows will be included in rural five-guarantee support and receive 270 yuan per capita per month. Young members of the women-headed households may receive free training, and have priority in employment at the construction and operation stages. In addition, the members of the vulnerable households will have priority in conversion into urban status.

#### 6.7 Affected Ground Attachments

156 The ground attachments affected by the Subproject mainly include young crops, scattered trees, ground structures and special facilities. Ordinary attachments (except tombs) on land other than housing land will be compensated for at a fixed rate, and single-person tombs at 2,500 yuan each, which is sufficient for relocation and restoration. Special facilities will be restored to the former size, standard and function, or compensated for at certain rates.



## 7 Public Participation and Consultation

157 According to the policies and regulations of the state, Chongqing Municipality and the Bank on LA, HD and resettlement, great importance will be attached to the participation of and consultation with the APs at the resettlement policy-making, planning and implementation stages in order to protect the lawful rights and interests of APs and entities, reduce grievances and disputes, and realize the resettlement objectives properly by developing sound policies and implementation rules on displacement and resettlement, preparing an effective RAP, and organizing implementation properly.

### 7.1 Means of and Measures for Public Participation

#### 7.1.1 Means of Participation

158 Before the survey, terms of reference were prepared to specify the scope, methods and requirements of survey, listen to comments of local governments, and had local governments assign representatives to the survey team. During the general survey, town, village and group heads, and AP representatives were invited to participate, the necessity, benefits and impacts of the Subproject, principles for compensation and resettlement progress were communicated to them, and the survey team discussed possible resettlement sites with them. At the RAP preparation stage, the resettlement planning staff discussed with county and town leaders, listened to their comments, requirements and issues, and selected resettlement sites. During the field survey, local residents and staff of departments concerned were involved in site selection. These consultation activities will be meaningful for the successful implementation of the RAP.

159 At the preparation stage, many public participation activities were conducted in such forms of meeting, FGD, interview and questionnaire survey, including 15 men-times with the owner and government departments, 4 village group FGDs, and survey on 110 AHs, with 624 men-times of participants in total.

160 On the basis of effectiveness and feasibility, public participation activities were conducted in the following manners:

#### 1) FGD

161 FGDs covering all affected population were organized at the village groups, including ordinary residents affected by LA and HD, old people, women and other special groups.

#### 2) Structured questionnaire survey

162 At the preparation and design stages of the Subproject, a structured questionnaire was designed to fully understand the expected resettlement modes of the affected population.

#### 3) Discussion meeting and personal interview

163 Depending on public participation activity, discussion meetings and personal interviews were organized to collect relevant information.

#### 7.1.2 Measures for Participation and Consultation

164 Public participation and consultation activities were conducted in the form of discussion meeting and sampling willingness survey to explain the purpose, scope and importance of the Subproject, and discuss resettlement programs with AP representatives. Through the survey, public opinions will be well considered, and incorporated into house reconstruction and production resettlement programs as where possible without breach of the overall plan so as to satisfy the APs.

165 At the resettlement implementation stage, the above two forms will be still used to collect resettlement information, investigate expectations of the APs, and further improve resettlement programs. In addition, the APs may reflect grievances, comments and suggestions to village committees, resettlement agencies and M&E agencies, which will be handled according to the established procedures.

166 In order that the APs and the affected local governments are fully aware of the RAP, and the compensation and resettlement programs under the Subproject, the state laws and regulations on resettlement, and the Bank's policy on involuntary resettlement through public participation (in the form of discussion meeting, etc.) or local news media (e.g., TV) to the APs from the beginning of the

Subproject to the whole process of resettlement implementation, so that the APs know the compensation calculation method, compensation measures of physical indicators, resettlement measures, the disbursement and use of resettlement funds, and the rights and preferential policies to which they are entitled. Resettlement information will also be disclosed to the residents of the resettlement communities, so that they know information on LA, land compensation rates and fund uses. This will increase the transparency of the resettlement work, win the support of the APs for resettlement and ensure the successful completion of resettlement.

## 7.2 Public Participation Activities at the Preparation Stage

167 At the preparation stage, the following public participation and consultation activities were held to provide a basis for subproject design and implementation:

- Community meetings: Before the fieldwork, the background information of the Subproject was communicated to community residents, including the Subproject's scope, necessity, possible impacts, and potential compensation and resettlement programs, involving representatives of APs and women, town and community officials, etc.
- FGD with the owner: learning the background, scale and impacts of the Subproject
- Sampling questionnaire survey: learning local socioeconomic profile and attitudes to the Subproject, expected resettlement and livelihood restoration measures, etc. On May 2013, 516 people in 110 households were surveyed, accounting for 15% of the total affected households.
- FGDs with community officials: learning local socioeconomic profile, expectations for the Subproject, comments and suggestions on LA compensation and resettlement, etc.
- Interviews with heads of enterprises and breeding households: learning their basic information, attitude to the Subproject, and expected compensation modes and restoration measures;
- Government interviews: Heads of the county development and reform bureau, water resources bureau, land and resources bureau, labor and social security bureau, women's federation, ethnic and religious affairs bureau, and statistics bureau were interviewed, acquiring some information and policies related to the Subproject, and learning their comments and suggestions on the Subproject.

Table 7-1 Public Participation Activities at the Preparation Stage

Item	Mode	Time	Participants	Topic
Community meetings	Meeting	May 2013	4 village officials and 35 residents	Communicating background information of the Subproject
FGD with the owner	Meeting	May 2013	5 persons from the owner	Learning the background, scale and impacts of the Subproject
Sampling questionnaire survey	Door-to-door survey	May 2013	110 households with 516 persons	Learning local socioeconomic profile, expected resettlement and livelihood restoration measures, etc.
FGDs with village officials	Meeting	May 2013	8 officials from the affected villages	Learning local socioeconomic profile
Interviews with heads of enterprises and breeding households	Interview	May – Oct. 2013	8 persons	Learning their basic information, and expected compensation modes and restoration measures
Government interviews	Interview	May – Nov. 2013	10 staff members of government departments concerned	Acquiring information and policies related to the Subproject

168 Through extensive public participation and consultation, the Tongnan PMO and departments concerned have learned the AHs' comments and requirements, and developed appropriate measures, which have been incorporated into this RAP. See Table 7-2.

Table 7-2 Suggestions on and Solutions to Public Participation

No.	Main suggestion	Solution
1	Timely payment of compensation fees	The land and resources bureau promises to pay compensation fees to the APs timely and fully, and will consider the AHs' needs for the location and supporting facilities of resettlement housing.
2	Good location of resettlement housing	

### 7.3 Public Participation Plan for the Next Stage

169 With the progress of project preparation and implementation, the Tongnan PMO will conduct further public participation. See Table 7-3.

Table 7-3 Public Participation Plan for the Implementation Stage

Purpose	Mode	Time	Agencies	Participants	Topic
RAP disclosure	Village bulletin board, village meeting	Dec. 2013	County land and resources bureau, Zitong Sub-district Office	All APs	Disclosing the RAP
RIB	Distribution	Mar. 2014		All APs	RIB distribution
LA announcement	Village bulletin board, village meeting	Apr. 2014		All APs	Disclosure of LA area, compensation rates and resettlement modes, etc.
Announcement of compensation and resettlement program for LA	Village bulletin board, village meeting	Apr. 2014		All APs	Compensation fees and mode of payment
Determination / implementation of income restoration program	Village meeting (many times)	May –Dec. 2014		All APs	Discussing the final income restoration program and the program for use of compensation fees
Public participation during the construction	Village meeting\interviews	2015-closure of the project	Project IAs, Zitong Sub-district Office, E&M institution	All APs	Income restoration; house restoration; compensation on the temporary impacts

### 7.4 Women's Participation

170 The implementing agencies and the local governments have attached special importance to the role of women in resettlement implementation, and cared about their personal and household needs from the beginning of the Subproject.

171 In the subproject area, women enjoy the same rights and status as men, and play a crucial role in economic activities and housework, especially in rural areas, where most women stay at home. Except family responsibility, women play a crucial role in farming and nonagricultural operations. Therefore, in the subproject area, women even show greater enthusiasm about the Subproject than men. They not only participate actively in all stages of resettlement, but also play an outstanding role in the consultation about resettlement sites and modes. All women support the Subproject. In particular, in a public participation activity in Shengli Village, some women expected the Subproject to break ground and is even to be relocated as soon as possible.

172 During the general survey, the women representatives of all affected villages were invited to the survey team to ensure communication with the affected women. At the small-scale discussion meetings of all villages, over 40% of attendees were women. They not only showed great support for the Subproject, but were also concerned about the accuracy of DMS results, the rationality of compensation rates, and if compensation fees could be available timely. At the resettlement planning stage, the design agency invited women representatives to discuss the project design, and listened to their comments, requirements and issues about production resettlement, relocation and resettlement housing construction. These consultation activities have positive significance in addressing women's worries about livelihoods and traditional production patterns, and ensuring that women benefit equally from the Subproject.

173 In addition, each resettlement implementation and management agency has at least one female official. Priority will be given to women during resettlement, especially in livelihood

restoration and project construction activities, to provide them with more job opportunities and relevant skill trainings.

## 8 Grievance Redress Procedures

174 During LA, HD and resettlement, the following measures shall be taken to reduce grievances and appeals: 1) The implementing agencies and the local governments will give extensive publicity to the LA, HD and resettlement policies in such forms as meeting, discussion and door-to-door survey so that the APs can understand the LA, HD and resettlement policies and principles, and compensation rates; 2) Disclose information on LA and HD losses, resettlement agreements, compensation fee disbursement, the construction progress of resettlement housing, and the resettlement agencies through mass media and bulletin boards to accept public supervision; 3) Strengthen communication and consultation with the APs. The implementing agencies and the local governments will listen to the APs' comments and requirements carefully, conduct honest communication and consultation with them, help them solve difficulties and problems encountered during resettlement, and meet their reasonable requirements where possible.

175 During preparation and implementation of the RAP, consistent attention will be paid to the participation of the APs and the affected entities, and an appeal mechanism established. If any AP is dissatisfied with any compensation arrangement or thinks that he/she is treated unfairly or unreasonably during resettlement, he/she may seek a solution through the appropriate procedure.

### 8.1 Grievance Redress during LA and HD

176 Since the resettlement work is conducted with the participation of APs, no substantial dispute will arise. However, to ensure that APs have a channel to file an appeal on any issue concerning land acquisition and resettlement, a four-stage grievance redress mechanism has been established during the preparation and implementation the RAP:

➤ Stage 1: If any AP is dissatisfied with the RAP, he/she can file an oral or written appeal to the community committee, which shall make a disposition within two weeks.

➤ Stage 2: If the AP is dissatisfied with the disposition of Stage 1, he/she may file an appeal to the Zitong Sub-district Office orally or in writing. In case of an oral appeal, the office shall handle such appeal and keep written records. Such appeal should be solved within two weeks.

➤ Stage 3: If the AP is still dissatisfied with the disposition of Stage 2, he/she may file an appeal to the county land and resources bureau or HD management office after receiving such disposition for arbitration, which shall make an arbitration award within four weeks.

➤ Stage 4: If the AP is still dissatisfied with the arbitration award, he/she may file a suit in a civil court in accordance with the Administrative Procedure Law of the PRC after receiving such judgment.

177 The APs may file an appeal about any aspect of resettlement, including compensation rates, etc. The above appeal channel will be notified to the APs at a meeting or otherwise, so that the APs are fully aware of their right of appeal. Mass media will be utilized for publicity, and opinions and advice about resettlement will be compiled into messages for study and disposition by the resettlement agencies. All agencies will accept grievances and appeals from the APs for free, and costs so reasonably incurred will be disbursed from contingency costs.

178 See Table 8-1.

Table 8-1 Contact Information of Agencies Concerned

Agency	Name	Title	Tel
County land and resources bureau	Li Hongbo	Section Chief	13896005508
Zitong Sub-district Office	Yang Silu	Deputy Director	13370713809
Tongnan Longquan Water Resources Development Co., Ltd.	Li Qiuyue	Staff member	13896086692
Xinsheng Village Committee	Fan Shuhong	Director	13808337428
Qianjin Village Committee	Mi Yongping	Secretary	13509428005
Shengli Village Committee	Xia Xubo	Director	15922694070

## 8.2 Grievance Redress during Construction

179 At the implementation stage, the APs may file an appeal directly to the owner or construction agency, which should make a disposition as soon as possible. The disposition could be delay if difficulty, but the delay may not exceed more than two weeks. The owner or construction agency should keep records on such appeals for future evaluation.

## 9 Organizational Structure and Implementation Progress

### 9.1 Organizational Structure

180 In order to organize the preparation and construction of the Subproject, the Tongnan County Government has established the Subproject Leading Group as the decision-making and management agency of the Subproject. The leading group is responsible for coordination, management, supervision and service in project implementation, reporting the progress of project implementation to the Tongnan County Government and Bank, coordinating agencies concerned, organizing bid invitation and procurement, preparing annual financial plans, project quality control, and coordinating technical assistance, etc.

181 Each affected village has 1-2 chief leaders responsible for resettlement. See Figure 9-1.

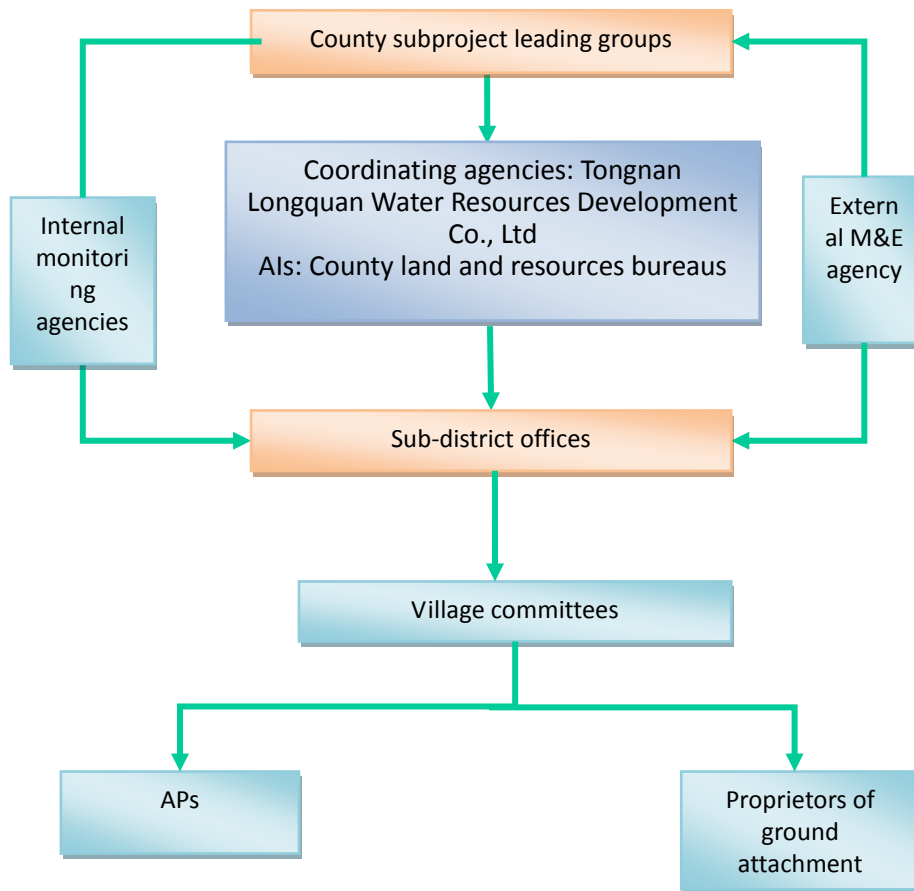


Figure 9-1 Organizational Chart

### 9.2 Organizational Responsibilities

#### 1) Subproject Leading Group

182 Responsible mainly for organizing the resettlement of the Subproject, formulating policies on resettlement activities of the Subproject, and coordinating relations among the resettlement agencies at all levels

- Coordinating the work of the government agencies concerned at the preparation and implementation stages;

- Making decisions on major issues during project construction and resettlement.

#### 2) Tongnan PMO

183 Responsible mainly for handling day-to-day affairs in resettlement planning and implementation, and exercising the management, planning, implementation, coordination, supervision and monitoring functions of resettlement as the project management agency

- Coordination, management, supervision and service in project implementation;
- Reporting the progress of project implementation to the Chongqing Municipal Government and the Bank;
- Preparing annual financial plans;
- Organizing the preparation of the RAP;
- Project quality control;
- Coordinating technical assistance, research and training;
- Leading and inspecting internal monitoring activities, and preparing resettlement progress reports;
- Assisting in external M&E

3) Owner

184 The owner is Tongnan Longquan Water Resources Development Co., Ltd. Its main responsibilities are:

- Organizing bid invitation and procurement;
- Appointing a consulting agency to prepare the RAP;
- Coordinating the DMS;
- Coordinating resettlement implementation;
- Supervising and managing resettlement activities;
- Reporting resettlement progress and submitting internal monitoring reports to the Tongnan

PMO

4) Resettlement agency

185 The resettlement agency of the Subproject is the county land and resources bureau.

- Participating in the preparation of the RAP;
- Conducting resettlement activities according to the RAP approved by the Bank;
- Going through LA and HD formalities;
- Communicating the resettlement policies;
- Organizing public participation;
- Entering into compensation agreements with the AHs, and submitting to the PMO for

reference;

- Implementing resettlement programs, and submitting to the PMO for reference;
- Disbursing funds, and submitting copies of payment vouchers to the PMO for reference;
- Handling issues arising from resettlement

5 ) Sub-district office

186 Sub-district project implementation office is a government agencies, consisting of civil servants from the Sub-district office .Its main responsibilities are:

- Conducting LA and HD;
- Settling disputes arising from project implementation;
- Supervising the payment of compensation fees

6) Community committee and groups

187 The resettlement working team of a community or group is composed of its key officials. Its main responsibilities are:

- Participating in the socioeconomic survey and DMS;
- Organizing public consultation, and communicating the policies on LA and HD;
- Selecting resettlement sites and allocating housing sites to APs;
- Organizing the implementation of resettlement activities;
- Disbursing and managing relevant funds of the village level;
- Reporting APs' opinions and suggestions to the competent authorities;
- Reporting the progress of resettlement implementation;
- Providing assistance to displaced households in difficulties

7) Design agency

188 The design agency of the Subproject is China Water Resources Pearl River Planning, Surveying and Design Co., Ltd., responsible mainly for:

- At the planning and design stage, it will survey the physical indicators of LA and HD, the environmental capacity, the usable resources, etc. accurately, and assist the governments in the



subproject area in formulating resettlement programs, preparing budgetary investment estimates for compensation for LA and HD, and drawing the relevant drawings.

➤ At the implementation stage, it will submit the design documents, technical specifications, drawings and notices to the owner timely, make design disclosure to the PMOs of all levels, assist in the implementation of the relocation and resettlement for production of the APs, and improve the resettlement programs based on the practical situation.

8) External M&E agency

189 The Tongnan PMO will appoint a qualified M&E agency as the external resettlement M&E agency. Its main responsibilities are:

➤ Observing all aspects of resettlement planning and implementation as an independent M&E agency, monitoring and evaluating the resettlement results and the social adaptability of the APs, and submitting resettlement M&E reports to the PMO and the Bank; and

➤ Providing technical advice to the PMO in data collection and processing.

### 9.3 Staffing and Equipment

190 To ensure the successful implementation of the resettlement work, all resettlement agencies of the Subproject have been provided with full-time staff, and a smooth channel of communication has been established. Each resettlement agency is composed mainly of administrative staff and specialized technicians, all of whom have certain professional and management skills, and considerable experience in LA, HD and resettlement. See **Error! Not a valid bookmark self-reference.** and Table 9-2.

Table 9-1 Staffing of Resettlement Agencies

Agency	Workforce	Composition
Subproject Leading Group	2	Government officials
Owner	2	Government officials, civil servants
County land and resources bureau	10	Civil servants
Village committees and groups	8	Officials and AP representatives
Design agency	4	Senior engineers, engineers
External M&E agency	4-6	Resettlement experts

Table 9-2 Heads of Resettlement Agencies

Agency	Responsibility	Head	Title
County development and reform bureau	Coordinating the Subproject on behalf of the Subproject Leading Group	Li Guoyuan	Director
County finance bureau	Financial management	Zhang Yiqiang	Deputy Director-general
County water resources bureau	Conducting preparatory coordination, assisting the owner in implementation, reporting, etc.	Chen Shiquan	Director-general
County land and resources bureau	Guiding policy advice and guidance on LA compensation	Xiang Yi	Director-general
Owner	Owner, implementing the Subproject	Long Xiaopo	General Manager
Sub-district office	Implementing LA and other preparatory work	Zhang Wenjun	Director
Xinsheng Village Committee	Implementing LA and other preparatory work	Fan Shuhong	Director
Qianjin Village Committee	Implementing LA and other preparatory work	Mi Yongping	Secretary
Shengli Village Committee	Implementing LA and other preparatory work	Xia Xubo	Director

#### 9.3.1 Equipment

191 All county and sub-district resettlement agencies of the Subproject have been provided basic office, transport and communication equipment, including desks and chairs, PCs, printers, telephones, facsimile machines and vehicles.

### 9.3.2 Training Program

192 Purpose of training: to train the management staff and technicians related to LA and HD in the Subproject, so that they understand and master information on LA and HD, and ensure that the action plan for LA and HD of the Subproject is fully implemented.

193 Trainees: There are two types of training:

➤ For management staff of LA and HD—The purpose is to train the management staff of the Subproject on LA, HD and emergency measures, so that they learn experience in highway resettlement and management from advanced countries, and communicate it to all LA and HD staff of the Subproject.

➤ Resettlement staff—The purpose is to make them understand the scope of construction, resettlement policies and restoration measures of the Subproject, and ensure the successful implementation of the RAP.

194 Mode of training: Training is divided into two levels: The management staff training will be given by the Chongqing PMO, and World Bank officials, government officials and experts will be invited to give lectures; the resettlement staff training will be given by the district/county PMOs under the direction of the Chongqing PMO at the district/county level.

195 Scope of training: overview and background of the Subproject, applicable laws and regulations, details of the RAP, management and reporting procedures, cost management, M&E, reporting, and grievance redress, etc.

### 9.4 Implementation Progress

196 According to the implementation schedule of the Subproject, the LA, HD and resettlement schedules of the components will be linked up with the construction schedules of the components; the main part of LA, HD and resettlement will begin in April 2014 and end in December 2014.

197 The basic principles of scheduling are as follows: (1) The LA, HD and resettlement work shall be completed at least one month before the commencement of construction so that the APs have sufficient time to prepare for production resettlement and income restoration; (2) During resettlement, the APs should have opportunities to participate in the Subproject; the range of land acquisition should be published, the Resettlement Information Booklet (RIB) issued, and public participation should be carried out before the commencement of construction; and (3) all kinds of compensation should be paid directly to the affected proprietors within 3 months from the date of approval of the RAP; no organization or individual should use property compensation fees on their behalf, and such compensation should not be discounted for any reason.

198 The overall resettlement schedule of the Subproject has been drafted according to the progress of preparation and implementation of LA, HD and resettlement. The times listed in the table are subject to adjustment with actual progress, as shown in Table 9-3.

Table 9-3 Resettlement Implementation Schedule

No.	Resettlement activity	2013						2014						2015						2016-19			
		4	5	6	8	10	11	12	3	4	5	6	7	8	10	12	2	4	6	8	10	12	1-12
1	<b>RAP preparation</b>																						
1.1	Appointing the RAP preparation agency	█																					
1.2	Conducting the socioeconomic survey	█	█	█																			
1.3	Preparing the RAP		█	█	█	█	█	█															
2	<b>RAP finalization and disclosure</b>																						
2.1	Consulting with agencies concerned and APs		█	█	█	█	█	█															
2.2	RAP finalization								█														
2.3	Disclosing the RAP on the Bank's website								█	█													
2.4	Disclosing the RAP to APs								█	█													
3	<b>RAP approval</b>									█													
4	<b>Construction land application</b>																						
4.1	Preliminary land examination									█	█												
4.2	Land approval									█	█												
5	<b>Implementation stage</b>																						
5.1	RIB distribution									█	█												
5.2	Entering into land compensation agreements and paying compensation fees											█	█	█	█	█	█						
5.3	HD											█	█	█	█	█	█						
5.4	Determination of income restoration measures											█	█	█	█	█	█						
5.5	Commencement of construction											█	█	█	█	█	█						
5.6	Skills training											█	█	█	█	█	█	█	█	█	█	█	█
6	<b>M&amp;E</b>																						
6.1	Baseline survey	█	█	█								█	█										
6.2	Internal monitoring													█			█			█			█
6.3	External M&E																						█

Note: In the above table, an item in black is completed, one in dark gray is ongoing and one in light gray is not started.

## 10 Budget and Funding Sources

### 10.1 Budget

199 The general resettlement budget of the Subproject is 73.3035 million yuan, including compensation fees for permanent LA of 32.4725 million yuan (land compensation fees 8.3077 million yuan, resettlement subsidies 24.12 million yuan, and compensation fees for young crops on state-owned river flat 44700 yuan), compensation fees for temporary land occupation of 4.0912 million yuan, compensation fees for demolished rural residential houses (based on the cash compensation mode) of 2.9738 million yuan, compensation fees for breeding households of 609,300 yuan, compensation fees for ground attachments of 10.496 million yuan, taxes and fees on LA of 13.9436 million yuan, and other costs (including planning and design costs, implementation management costs, skills training costs, M&E costs, basic contingencies, etc.) of 8.7146 million yuan, See Table 10-1.

Table 10-1 Resettlement Budget

No.	Item	Unit	Compensation rate (yuan)	Qty.	Total
<b>Part 1</b>	<b>Permanent LA</b>				
1.1	Land compensation fees	mu	17000	488.69	8307730.00
1.2	Resettlement subsidy	Person	36000	670	24120000.00
1.3	Young crops on state-owned river flat	mu	1210	36.97	44733.70
<b>Subtotal</b>		<b>yuan</b>			<b>32472463.70</b>
<b>Part 2</b>	<b>Temporary land occupation</b>				
2.1	Young crop compensation fees	mu	3630	2.9	10527.00
		mu	4530	209.3	948129.00
		mu	4530	25.49	115469.70
2.2	Reclamation bond	mu	10000	241.71	2417100.00
2.3	Temporary occupation of tractor road	Km	300000	2	600000.00
<b>Subtotal</b>		<b>yuan</b>			<b>4091225.70</b>
<b>Part 3</b>	<b>Demolition of rural residential houses</b>				
3.1	House compensation				
	Masonry concrete structure	m <sup>2</sup>	795	479.15	380924.25
	Masonry timber structure	m <sup>2</sup>	634	1071.5	679331.00
	Simple structure	m <sup>2</sup>	161	296.77	47779.97
3.2	Other compensation				
	Transition subsidy	Person	3600	18	64800.00
	Moving subsidy	Household	1067	4	4268.00
3.3	Cash	Person	72000	24	1728000.00

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No.	Item	Unit	Compensation rate (yuan)	Qty.	Total
	compensation				
3.4	Interior decoration				
	Floor tiles	m <sup>2</sup>	150	180.09	27013.50
	Wall tiles	m <sup>2</sup>	130	234.26	30453.80
	Ceilings	m <sup>2</sup>	120	93.39	11206.80
<b>Subtotal</b>		<b>yuan</b>			<b>2973777.32</b>
<b>Part 4</b>	<b>Affected breeding households</b>				
4.1	House compensation				
	Masonry timber structure	m <sup>2</sup>	634	855.22	542209.48
	Simple structure	m <sup>2</sup>	161	280.13	45100.93
4.2	Transition subsidy	Person	1800	10	18000.00
4.3	Moving subsidy	Household	1000	4	4000.00
<b>Subtotal</b>		<b>yuan</b>			<b>609310.41</b>
<b>Part 5</b>	<b>Affected ground attachments</b>				
5.1	Ordinary attachments				
	Fixed rate compensation	mu	18000	486.89	8764020.00
	Tombs	/	2500	35	87500.00
5.2	Special facilities				
	Water resources facilities	/	1000000	1	1000000.00
	Power facilities	km	60000	0.2	12000.00
		Km	150000	0.65	97500.00
		/	50000	2	100000.00
Traffic facilities	Km	300000	1.45	435000.00	
<b>Subtotal</b>		<b>yuan</b>			<b>10496020.00</b>
<b>Subtotal of Parts 1-5</b>		<b>yuan</b>			<b>50642797.13</b>
<b>Part 6</b>	<b>Other costs</b>		<b>Percent of subtotal of Parts 1-5</b>		
6.1	Planning and design costs	yuan	0.004	50642797.13	202571.19
6.2	Implementation management costs	yuan	0.004	50642797.13	202571.19
6.3	Skills training costs	yuan	0.004	50642797.13	202571.19
6.4	M&E costs	yuan	0.005	50642797.13	253213.99
<b>Subtotal</b>		<b>yuan</b>			<b>860927.55</b>
<b>Part 7</b>	<b>Taxes and fees</b>				
7.1	LA management fees	yuan	0.028	50642797.13	1417998.32
7.2	Land reclamation fees	m <sup>2</sup>	15	207247.7029	3108715.54
7.3	Farmland occupation tax	m <sup>2</sup>	20	207247.7029	4144954.06
7.4	LA planning fees	mu	10000	482.01	4820100.00
7.5	Vegetation	m <sup>2</sup>	5	90367.12	451835.60

No.	Item	Unit	Compensation rate (yuan)	Qty.	Total
	restoration fees				
<b>Subtotal</b>		yuan			13943603.52
<b>Part 8</b>	Basic contingencies	yuan	0.12	65447328.2	7853679.38
	<b>Total</b>	<b>yuan</b>			<b>73303507.59</b>

## 10.2 Funding Sources

200 According to the construction plan of the Subproject, the resettlement funds of the Subproject are from county finance.

## 10.3 Fund Flow and Disbursement Plan

### 10.3.1 Disbursement Process

201 During the implementation of the Subproject, the county land and resources bureau will pay compensation fees for LA and HD directly to the affected entities/households according to compensation agreements with the affected entities/households under the compensation policies and rates specified in the RAP under the supervision of the Subproject Leading Group. See **Error! Reference source not found..**

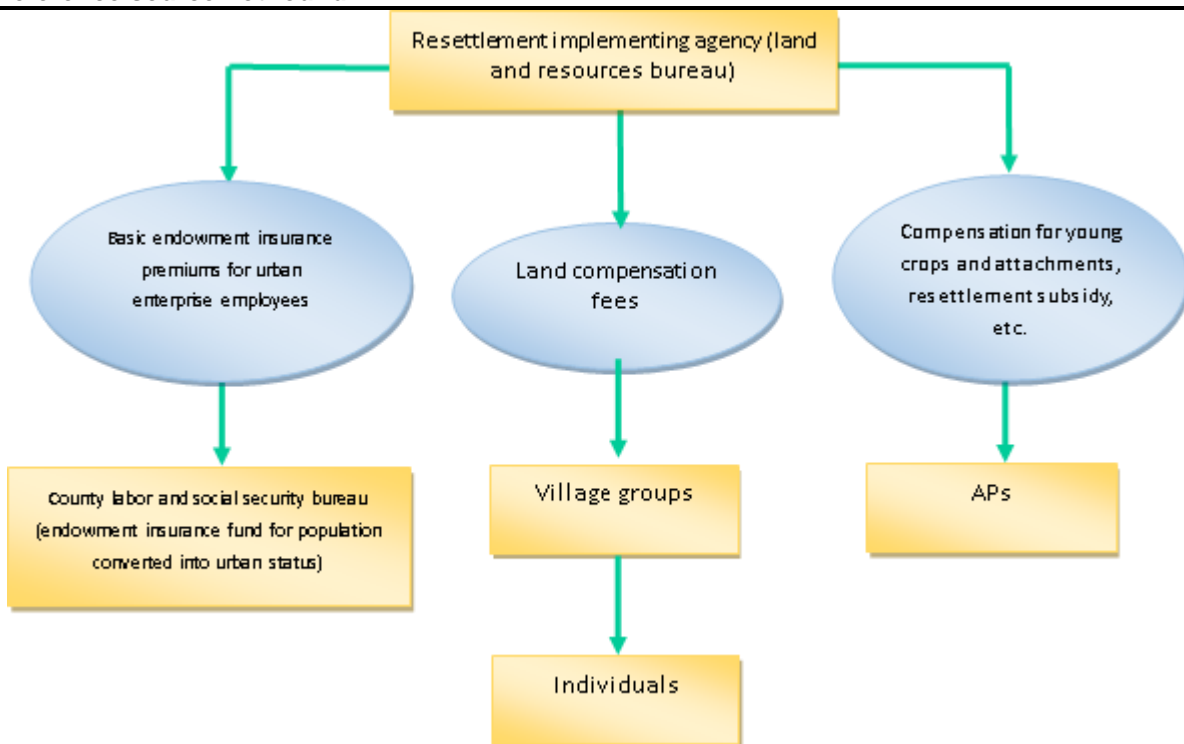


Figure 10-1 Disbursement Flowchart of Resettlement Funds

### 10.3.2 Disbursement Plan

202 Compensation fees will be disbursed by the PMO and used under the supervision of the internal monitoring agency and the auditing of the external M&E agency:

- All costs related to resettlement will be included in the general budget of the Subproject;
- LA: The PMO will enter into LA and ground attachment compensation agreements with the village/community committees, and disburse compensation fees to the village/community committees according to such agreements, and pay compensation fees for ground attachments to proprietors through the village/community committees.

- HD: The owner will enter into compensation agreements with the affected households and entities, and pay compensation fees directly to them.
- Other costs: The owner has the right to use contingencies. If contingencies are insufficient due to price rise, a notice should be given to the competent authority immediately.

## 11 M&E

203 In order to ensure the successful implementation of the RAP and resettle the APs properly, periodic M&E of LA, HD and resettlement activities will be conducted in accordance with the Bank Operational Policy OP4.12 on Involuntary Resettlement and the Operational Guide to the Monitoring and Evaluation of Resettlement of World Bank Financed Projects in China. Monitoring is divided into internal monitoring of resettlement agencies and external independent monitoring. M&E will begin in March 2014, and end half a year after the completion of resettlement activities and, production and livelihood restoration. According to the construction and resettlement schedule of the Subproject, internal and external monitoring reports will be submitted to the Bank semiannually, and an evaluation report on overall resettlement prepared upon completion of the Subproject.

### 11.1 Internal Monitoring

204 The Tongnan PMO will establish an internal monitoring mechanism to monitor resettlement activities. It will also establish a database of LA, HD and resettlement, and use it to prepare the RAP, monitor all displaced households and entities, and conduct internal supervision and inspection of the whole process of resettlement.

#### 11.1.1 Procedure

205 During implementation, the owner will establish a corresponding resettlement database, collect and record information on the resettlement of APs from the monitoring sample, and report real-time activity records to the PMO timely to maintain continuous monitoring. The PMO will inspect implementation regularly.

#### 11.1.2 Scope

- Payment of compensation fees
- House reconstruction
- Staffing, training, working schedule and efficiency of the resettlement organization
- Registration and handling of grievances and appeals of APs

#### 11.1.3 Reporting

206 The owner will prepare an internal monitoring report semiannually, and submit it to the Tongnan PMO, which will in turn submit it to the Chongqing PMO and be included in the project progress reports.

## 11.2 Independent External Monitoring

### 11.2.1 Purpose and Task

207 Independent monitoring is conducted on all resettlement activities by an agency independent of resettlement implementation with a comprehensive, long-term point of view. The external M&E agency will follow up the resettlement activities to see if the state laws on resettlement, and the Bank's operational policy on involuntary resettlement (OP4.12) are complied with, and if the production level and living standard of the APs are improved or at least restored to pre-project levels. The external M&E agency will give suggestions to the implementing agencies based on issues found during monitoring so that such issues can be solved timely.

### 11.2.2 External M&E Agency

208 As required by the Bank, a qualified agency will be appointed as the external M&E agency, which will provide technical assistance to the implementing agencies, and implement basic monitoring through resettlement survey and standard of living survey.



### 11.2.3 Procedure and Scope

- Preparing the terms of reference of M&E
- Preparing a survey outline, survey form and record card of affected residents and typical affected entities
- Design of sampling survey plan and sample size: If households affected by LA is less than 100, the sampling ratio should not less than 20%; case where households affected by LA is between 100 to 500, according to 15% of the sample; case where more than 500 households affected by LA, according to 10% of the proportional sampling; not less than 50% of households affected by HD; all affected entities
- Baseline survey: A baseline survey required for the independent M&E of the households affected by land acquisition will be conducted to acquire baseline data on the standard of living (livelihood, production and income levels) of the monitored displaced households.
- M&E survey
  - Capacity evaluation of resettlement implementing agencies;
  - Monitoring of resettlement progress, compensation rates and payment to typical displaced households;
  - Public participation and consultation;
  - Monitoring the registration and disposition of appeals of APs
- Compiling monitoring data, and establishing a database
- Comparative analysis
- Preparing M&E reports according to the monitoring plan

### 11.2.4 Monitoring Indicators

209 According to the purpose of M&E, the main monitoring indicators are as follows:

1. Resettlement agencies
  - Consistency between the resettlement activities and policies;
  - Organizational management and internal control of resettlement agencies, and appropriateness thereof;
  - Accuracy of internal monitoring reports
2. Resettlement progress
  - Adequacy and timeliness of preparation of the resettlement site and compensation fees;
  - Relocation progress of APs;
  - Reasonableness and timeliness of compensation to APs and affected entities;
  - Reasonableness house allocation (including location, floor, size, etc.)
3. Production and livelihood restoration
  - Livelihood restoration of APs, especially vulnerable groups;
  - Use of compensation fees;
  - Relocation, replacement and reconstruction of infrastructure;
  - Availability of other subsidies
4. Other
  - Adequacy and rationality of public participation and consultation;
  - Response to appeals from Aps
  - The satisfaction of the Aps

### 11.2.5 Reporting

210 The external M&E agency will prepare external monitoring reports based on its observations and survey findings, and report independently to the Chongqing PMO and PMO submits the reports to the Bank after the review.

211 M&E will begin in April 2014, and end half a year after the completion of resettlement activities and, production and livelihood restoration. As required by the Bank, external monitoring will be conducted twice a year since the beginning of resettlement, i.e., in the middle and at the end of each year; after the completion of resettlement and before the completion of the project, external monitoring will be conducted once a year.

### 11.3 Post-evaluation

212 After the completion of the Subproject, the resettlement activities will be subject to post-evaluation using the theory and methodology for post-evaluation on the basis of M&E. The resettlement performances, successful experience and lessons of land acquisition will be evaluated to provide experience that can be drawn on for future resettlement. Post-evaluation will be conducted by an external independent M&E agency appointed by the PMO. The post-evaluation agency will prepare terms of reference for post-evaluation to establish a system of evaluation indicators, conduct socioeconomic analysis and survey, and prepare the Resettlement Post-evaluation Report for submission to the Chongqing PMO and Bank.

## 12 Entitlement Matrix

Type of impact	Degree of impact	Entitled persons / entities	Affected population	Implementation
Permanent LA	488.69mu of rural collective land (including 310.87 mu of cultivated land, 129.58 mu of woodland, 30.82 mu of grassland, 1.8 mu of housing land and 3.62 mu of traffic land,0.93 mu of Water facility land,11.07 mu of unused land) .	1) Collective economic organization owning the land; 2) Households have the right to use the land	735 households with 3412 persons in 12 groups of 3 villages in one sub-district	1) A certain portion of land compensation fees in land acquisition will be used to cover basic endowment insurance for urban enterprise employees for LEFs, and transferred by the county land and resources bureau to the county labor and social security bureau; the remaining 20% will be paid to the affected rural collective economic organization for payment to the AHs; 2) Resettlement subsidy will be paid based on age group. The resettlement subsidy of any LEF aged under 16 years will be fully paid to the individual; and a certain portion of that for one aged 16 years or above will be used to pay basic endowment insurance premiums for urban enterprise employees voluntarily, and the remainder will be paid to the individual for production and livelihood restoration.
Temporary land occupation	241.71mu, including 211.79 mu of cultivated land, 25.49 mu of woodland, 0.34 mu of grassland and 3.00 mu of rural traffic land,1.09 mu of unused land	1) Collective economic organization owning the land; 2) Households have the right to use the land	9 groups of 3 villages in one sub-district.	1) Young crops on the land temporarily occupied for the Subproject will be compensated for based on twice the actual period of occupation at 3,630 yuan/mu for irrigated land, 4,530 yuan/mu for non-irrigated land and 4,530 yuan/mu for woodland. 2) The owner will also pay a reclamation bond of 8,000-10,000 yuan/mu, and undertake the reclamation of the temporarily occupied land.
Demolition of rural residential houses	1,847.42m <sup>2</sup> , including 479.15m <sup>2</sup> in masonry concrete structure, 1,071.5m <sup>2</sup> in masonry timber structure and 296.77m <sup>2</sup> in simple structure. In addition, interior decoration of 507.74m <sup>2</sup> will be affected by HD, including floor tiles of 180.09m <sup>2</sup> , wall tiles of 234.26m <sup>2</sup> and ceilings of 93.39m <sup>2</sup>	Proprietors	4 households with 18 persons	1) Cash compensation: HD compensation rates: 795 yuan/m <sup>2</sup> for masonry concrete structure, 634 yuan/m <sup>2</sup> for masonry timber structure and 161 yuan/m <sup>2</sup> for simple structure; Cash compensation: 72,000 yuan per capita; Moving subsidy: For any household moving within the specified time, moving subsidy will be paid at a time, being 1,000 yuan per household with 3 persons or less, with an increment of 200 yuan per capita with over 3 persons, but not more than 2,000 yuan per household. Transition subsidy: 300 yuan per capita per month; 2) Preferential housing purchase under property swap: HD compensation rates: 795 yuan/m <sup>2</sup> for masonry concrete

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Type of impact	Degree of impact	Entitled persons / entities	Affected population	Implementation
				structure, 634 yuan/m <sup>2</sup> for masonry timber structure and 161 yuan/m <sup>2</sup> for simple structure Moving subsidy: For any household moving within the specified time, moving subsidy will be paid at a time, being 1,000 yuan per household with 3 persons or less, with an increment of 200 yuan per capita with over 3 persons, but not more than 2,000 yuan per household. Transition subsidy: 300 yuan per capita per month; 4) 150 yuan/m <sup>2</sup> for floor tiles, 130 yuan/m <sup>2</sup> for wall tiles and 120 yuan/m <sup>2</sup> for ceilings. 5) Compensation fees will be paid to the AHs directly according to the above rates.
Enterprises	Two enterprises	Proprietors	Two enterprises with 120 workers	Their agreements with the government will expire at the end of 2013. The enterprises planned to move to new places for production, temporary workers will be relocated with their enterprises.
Breeding households	Total demolition area 1,135.35m <sup>2</sup>	Household heads	4 households with 10 persons, including two temporary workers	1) Their affected houses will be compensated for at the compensation rates for rural residential houses, namely 634 yuan/m <sup>2</sup> for masonry timber structure and 161 yuan/m <sup>2</sup> for simple structure; 2) Moving subsidy: 1,000 yuan per household; transition subsidy: 300 yuan per capita per month (for 6 months); 3) Compensation fees will be paid to the AHs directly according to the above rates.
Ground attachments	Enclosing walls, protective works, roads, etc.	Proprietors	Proprietors	Former attachments will be disposed of by the owner.
Conversion into urban status	670 APs	All persons converted into urban status	All persons converted into urban status	The county land and resources bureau, and town government will handle this; and the county labor and social security bureau will be responsible for their social insurance.

## Appendix: Resettlement Information Booklet

### 1. Background of the Subproject

The Subproject is a subproject of the World Bank-financed Chongqing Small Towns Water Environment Management Project, and consists of river embankment and temporary drain ditches.

### 2. RAP

The RAP has been prepared in accordance with the applicable policies of the PRC and Bank, and based on the DMS and in consultation with the APs. The RAP outlines the policy framework, and proposes effective measures to mitigate the Subproject's negative impacts based on adequate public participation and consultation. For the Chinese government and Bank, the primary goal of the RAP is to ensure that those losing land or assets inevitably in the Subproject enjoy production level and living standard that are at least equivalent to pre-project levels. All policies, suggestions and measures in the RAP are designed to fulfill this goal.

### 3. Basis for preparation

- The Bank's policy and procedure on involuntary resettlement (OP4.12 and BP4.12);
- Applicable laws and regulations of the PRC;
- Local regulations and policies of Chongqing Municipality and Tongnan County;
- Feasibility Study Report and Environmental Impact Assessment;
- Field survey of the subproject area;
- Interviews with municipal, county, town and village/community officials;
- Socioeconomic survey and resettlement willingness survey;
- FGDs with representatives of APs and village/community officials on compensation policies and rates, resettlement modes, restoration measures, etc.;
- Interviews with vulnerable groups.

### 4. Information disclosure

Great importance will be attached to the participation of and consultation with the APs at the resettlement policy-making, planning and implementation stages. The APs will be fully informed of the grievance redress mechanism through an information release conference, RIB or otherwise, and their grievances and appeals will be handled timely. An independent M&E agency will be appointed to supervise and report resettlement progress.

### 5. Impacts of the Subproject

The Subproject will affect 12 groups of Xinsheng, Qianjin and Shengli Villages, Zitong Sub-district. 525.66 mu of land will be acquired permanently, including 488.69 mu of rural collective land, and 36.97 mu of state-owned river flat, affecting 735 households with 3412 persons; rural residential houses of 1,847.42m<sup>2</sup> will be demolished, affecting 4 households with 18 persons, who will also be affected by LA; two enterprises with 120 temporary workers, 4 breeding households (with a total demolition area of 1,135.35m<sup>2</sup>) with 10 persons and 14 types of ground attachments will be affected.

### 6. Compensation rates

The compensation rates for different impacts of the Subproject have been fixed according to the above legal framework, as shown in Tables 1-5.

Table 1 Compensation Rates for Permanent LA

Land compensation fees (yuan/mu)	Resettlement subsidy (yuan per capita)	Fixed compensation rate (yuan/mu)	Compensation rate for young crops on state-owned river flat (yuan/mu)
17000	36000	18000	1210

Table 2 Compensation Rates for HD

Mode	House compensation rate (yuan/m <sup>2</sup> )	Other compensation

	Masonry concrete structure	Masonry timber structure	Simple structure	Moving subsidy (yuan/household)	Transition subsidy (yuan/month per capita)	Cash compensation (yuan per capita)	Interior decoration (yuan/m <sup>2</sup> )
Property swap	795	634	161	3 persons or less: 1,000, over 3 persons: plus 200 yuan per capita, (not more than 2,000 yuan in total)	300	-	150 yuan/m <sup>2</sup> for floor tiles,
Cash compensation	795	634	161			72000	130 yuan/m <sup>2</sup> for wall tiles and 120 yuan/m <sup>2</sup> for ceilings.

Table 3 Compensation Rates for Temporary Land Occupation

Item	Compensation rate (yuan/mu)	
Young crop compensation fees	Irrigated land	3630
	Non-irrigated land	4530
	Woodland	4530

Table 4 Compensation Rates for Affected Breeding Households

House compensation rate (yuan/m <sup>2</sup> )		Other compensation	
Masonry timber structure	Simple structure	Moving subsidy (yuan/household)	Transition subsidy (yuan/month per capita)
634	161	1000	300

Table 5 Compensation Rates for Affected Ground Attachments

Item	Spec.	Unit	Rate (yuan)
Fixed rate compensation	Rural collective land other than housing land	mu	18000
Tombs	Single-person	/	2500
Water resources facilities	Pumping station	/	1000000
Traffic facilities	Tractor road	Km	300000
Power facilities	Transformer (50A)	/	50000
	10kV power transmission lines	Km	150000
	380V power distribution lines	Km	60000

The cut-off date for the identification of APs is the date of publication of the announcement of LA and HD. After this date, the APs should not build, rebuild or expand their properties; should not change the uses of their properties and land; should not lease their land, lease, sell or purchase their properties; and any person that moves in after this date should not qualify as an AP. See Table 6.

## 7. Resettlement and income restoration

The compensation rates will be based on the Land Administration Regulations of Chongqing Municipality, Notice of the Chongqing Municipal Government on Further Adjusting Land Acquisition Compensation Rates (CMG [2013] No.58), the applicable policies of Tongnan County and the Bank's policy on involuntary resettlement.

LA compensation includes land compensation fees, resettlement subsidy and young crop compensation fees. Land compensation fees are based on acquired land area regardless of land type, being 17,000 yuan/mu. For population converted into urban status, resettlement subsidy is 36,000 yuan per capita. Young crops will be compensated for at 1,540 yuan/mu for commercial crops or 1,210 yuan/mu for food crops.

All LEFs converted into urban status will be included in basic endowment insurance for urban enterprise employees, and provided job opportunities and skills training at the construction and operation stages.

The resettlement modes for the households affected by HD include cash compensation and preferential housing purchase under property swap.

The affected breeding households will receive house compensation, and moving and transition subsidies.

Table 6 Entitlement Matrix

Type of impact	Degree of impact	Entitled persons / entities	Affected population	Implementation
Permanent LA	488.69mu of rural collective land (including 310.87 mu of cultivated land, 129.58 mu of woodland, 30.82 mu of grassland, 1.8 mu of housing land and 3.62 mu of traffic land, 0.93 mu of Water facility land, 11.07 mu of unused land) . .	1) Collective economic organization owning the land; 2) Households have the right to use the land	735households with 3,412 persons in 12 groups of 3 villages in one sub-district	1) A certain portion of land compensation fees in land acquisition will be used to cover basic endowment insurance for urban enterprise employees for LEFs, and transferred by the county land and resources bureau to the county labor and social security bureau; the remaining 20% will be paid to the affected rural collective economic organization for payment to the AHs; 2) Resettlement subsidy will be paid based on age group. The resettlement subsidy of any LEF aged under 16 years will be fully paid to the individual; and a certain portion of that for one aged 16 years or above will be used to pay basic endowment insurance premiums for urban enterprise employees voluntarily, and the reminder will be paid to the individual for production and livelihood restoration.
Temporary land occupation	241.71mu, including 211.79 mu of cultivated land, 25.49 mu of woodland, 0.34 mu of grassland and 3.00 mu of rural traffic land, 1.09 mu of unused land	1) Collective economic organization owning the land; 2) Households have the right to use the land	9 groups of 3 villages in one sub-district.	1) Young crops on the land temporarily occupied for the Subproject will be compensated for based on twice the actual period of occupation at 3,630 yuan/mu for irrigated land, 4,530 yuan/mu for non-irrigated land and 4,530 yuan/mu for woodland. 2) The owner will also pay a reclamation bond of 8,000-10,000 yuan/mu, and undertake the reclamation of the temporarily occupied land.
Demolition of rural residential houses	1,847.42m <sup>2</sup> , including 479.15m <sup>2</sup> in masonry concrete structure, 1,071.5m <sup>2</sup> in masonry timber structure and 296.77m <sup>2</sup> in simple structure. In addition, interior decoration of 507.74m <sup>2</sup> will be affected by HD, including floor tiles of 180.09m <sup>2</sup> , wall tiles of 234.26m <sup>2</sup> and ceilings of 93.39m <sup>2</sup>	Proprietors	4 households with 18 persons	1) Cash compensation: HD compensation rates: 795 yuan/m <sup>2</sup> for masonry concrete structure, 634 yuan/m <sup>2</sup> for masonry timber structure and 161 yuan/m <sup>2</sup> for simple structure; Cash compensation: 72,000 yuan per capita; Moving subsidy: For any household moving within the specified time, moving subsidy will be paid at a time, being 1,000 yuan per household with 3 persons or less, with an increment of 200 yuan per capita with over 3 persons, but not more than 2,000 yuan per household. Transition subsidy: 300 yuan per capita per month; 2) Preferential housing purchase under property swap:



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Type of impact	Degree of impact	Entitled persons / entities	Affected population	Implementation
				<p>HD compensation rates: 795 yuan/m<sup>2</sup> for masonry concrete structure, 634 yuan/m<sup>2</sup> for masonry timber structure and 161 yuan/m<sup>2</sup> for simple structure</p> <p>Moving subsidy: For any household moving within the specified time, moving subsidy will be paid at a time, being 1,000 yuan per household with 3 persons or less, with an increment of 200 yuan per capita with over 3 persons, but not more than 2,000 yuan per household.</p> <p>Transition subsidy: 300 yuan per capita per month;</p> <p>4) 150 yuan/m<sup>2</sup> for floor tiles, 130 yuan/m<sup>2</sup> for wall tiles and 120 yuan/m<sup>2</sup> for ceilings.</p> <p>5) Compensation fees will be paid to the AHs directly according to the above rates.</p>
Enterprises	Two enterprises	Proprietors	Two enterprises with 120 workers	Their agreements with the government will expire at the end of 2013. The enterprises have planned relocated, temporary workers will be relocated with their enterprises.
Breeding households	Total demolition area 1,135.35m <sup>2</sup>	Household heads	4 households with 10 persons, including two temporary workers	<p>1) Their affected houses will be compensated for at the compensation rates for rural residential houses, namely 634 yuan/m<sup>2</sup> for masonry timber structure and 161 yuan/m<sup>2</sup> for simple structure;</p> <p>2) Moving subsidy: 1,000 yuan per household; transition subsidy: 300 yuan per capita per month (for 6 months);</p> <p>3) Compensation fees will be paid to the AHs directly according to the above rates.</p>
Ground attachments	Enclosing walls, protective works, roads, etc.	Proprietors	Proprietors	Former attachments will be disposed of by the owner.
Conversion into urban status	670APs	All persons converted into urban status	All persons converted into urban status	The county land and resources bureau, and town government will handle this; and the county labor and social security bureau will be responsible for their social insurance.

## 8. Organizational structure and implementation plan

The resettlement implementing agency of the Subproject is the county land and resources bureau, which is responsible for project preparation and coordination, and resettlement implementation. The affected town government and village/community committees will have staff members responsible for resettlement coordination.

## 9. Grievance Redress

A grievance redress mechanism will be established during RAP preparation and implementation, so that any AP may resort to this mechanism when he/she is dissatisfied with compensation, or thinks that he/she is unfairly treated during resettlement.

### 1) Grievance Redress during LA and HD

Stage 1: If any AP is dissatisfied with the RAP, he/she can file an oral or written appeal to the community committee, which shall make a disposition within two weeks.

Stage 2: If the AP is dissatisfied with the disposition of Stage 1, he/she may file an appeal to the Zitong Sub-district Office orally or in writing. In case of an oral appeal, the office shall handle such appeal and keep written records. Such appeal should be solved within two weeks.

Stage 3: If the AP is still dissatisfied with the disposition of Stage 2, he/she may file an appeal to the county land and resources bureau or HD management office after receiving such disposition for arbitration, which shall make an arbitration award within four weeks.

Stage 4: If the AP is still dissatisfied with the arbitration award, he/she may file a suit in a civil court in accordance with the Administrative Procedure Law of the PRC after receiving such judgment.

The APs may file an appeal about any aspect of resettlement, including compensation rates, etc. See Table 7.

Table 7 Contact Information of Agencies Concerned

Agency	Name	Title	Tel
County land and resources bureau	Li Hongbo	Section Chief	13896005508
Zitong Sub-district Office	Yang Silu	Deputy Director	13370713809
Tongnan Longquan Water Resources Development Co., Ltd.	Li Qiuyue	Staff member	13896086692
Xinsheng Village Committee	Fan Shuhong	Director	13808337428
Qianjin Village Committee	Mi Yongping	Secretary	13509428005
Shengli Village Committee	Xia Xubo	Director	15922694070

### 2) Grievance Redress during Construction

At the implementation stage, the APs may file an appeal directly to the owner or construction agency, which should make a disposition as soon as possible, but the delay may not exceed more than two weeks. The owner or construction agency should keep records on such appeals for future evaluation.