



**República Democrática de São Tomé e Príncipe**

**(Unidade – Disciplina – Trabalho)**

**MINISTERIO DE OBRAS PUBLICAS, RECURSOS NATURAIS E  
AMBIENTE**

**Projeto de Desenvolvimento do Sector de Transportes e Proteção  
Costeira/Transport Sector Development and Coastal Protection  
Project**

**P161842**

**Quadro de Política de Reassentamento/Resettlement Policy  
Framework**

**Draft Final Report**

**English Version**

**São Tomé e Príncipe**

**July 2018**

## LIST OF ACRONYMS

EA	Environmental Assessment/Avaliação Ambiental
AFAP	Financial Agency for the Management of Projects/Agência Fiduciária e de Administração de Projetos
ESIA/AIA	Environmental and Social Impact Assessment/Avaliação de Impacte Ambiental
ESIS/EIAS PPE/EPI	Environmental and Social Impact Study/Estudo de Impacte Ambiental e Social
GSTP	Personal Protection Equipemnt/Equipamento de Proteção Individual Government of São Tomé & Príncipe/Governo de São Tomé e Príncipe (GSTP)
IBA	Important Bird Area/Área importante para aves
INAE	National Roads Institute/Instituto Nacional de Estradas
MaB	UNESCO's Man and Biosphere Program/Programa o Homem e a Biosfera da UNESCO
NAPA	National Action for Adaptation/Programa Nacional de Acção para a Adaptação
MDG/OMD	Millennium Development Goals/Objectivos de Desenvolvimento do Milénio
ESMP/PGAS	Environmental and Social Management Plan/Plano de Gestão Ambiental
GDP/PIB	Gross Domestic Product/Produto Interno Bruto
PNOST	São Tomé Obô Natural Park/Parque Natural Obô de São Tomé
PNP	Parque Natural do Príncipe
ESMF/QGAS	Environmental and Social Management Framework/Quadro de Gestão Ambiental e Social
RAP	Resettlement Action Plan/Plano de Acção do Reassentamento
NGI/RNB	National Gross Income/Rendimento Nacional Bruto
RPF/RPF	Resettlement Policy Framework/Quadro de Política de Reassentamento
AIDS/HIVSIDA/VIH	Acquired Immunodeficiency Virus/Immunodeficiency Virus/Síndrome da Imunodeficiência Adquirida/Vírus de imunodeficiência
STP	São Tomé e Príncipe
PDSTPC/TPC	Transport Sector Development and Coastal Protection Project/Projeto de Desenvolvimento do Sector de Transportes e de Proteção Costeira/
USD	United States of America Dollars/Dólares Norte-Americanos

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# EXECUTIVE SUMMARY

## Introduction

This document presents the Resettlement Policy Framework (RPF) of the Coastal Transport and Protection Sector Development Project in São Tomé and Príncipe (TPC).

The project is funded by the European Investment Bank, Dutch Bilateral Aid and the World Bank (WB), the Government of STP (GSTP) and aims to finance the rehabilitation of the National N1 Road (EN1) from São Tomé to Guadalupe and parts of the sections of the Road in Lembá/Neves, as well as to carry out the works to strengthen the protection of the coast/Marginal of the city of S Tomé.

The National Road N1 is used by more than 76,000 vehicles per week, most of which are light vehicles (47.7%) and motorbikes (47.4%), followed by buses (3.4%), trucks (1.3 %) and tractors (0.1%). The peak period is between 11:00 am and 4:00 pm (37.8%), followed by the period from 06:00 am to 11:00 am (32.4%) and finally the period from 16:00 to 20:00 hours (29.7%). From 20:00 onwards practically no traffic is noticed, or it is very limited. Projections will still be made to understand the potential variations over time, i.e. to 2040, which may be informed by attracted traffic, population growth and the economy itself. Volumes may become significant.

The implementation agencies of the project are the Fiduciary and Project Administration Agency (AFAP), the National Roads Institute (INAE) and the General Directorate of Environment (DGA). INAE is the owner's engineer for the EN1 while DGA is for the Coastal/Marginal protection component.

## Project Components

### **Component 1: Sao-Tome - Guadalupe -Neves road rehabilitation - Civil Works and project supervision.**

Under this component the following main interventions are highlighted:

- a) Rehabilitation of the current National EN1 Road from S. Tomé to Neves (27Km). The paved road is 5-7 meters wide on average with a dangerous horizontal and vertical alignment. The road is in poor condition and needs rehabilitation. The average traffic is about 1500 vehicles/day with high presence of motorbikes in urban areas. The road is also used by fuel and beer transportation trucks from Neves to the rest of the country. While the section of S Tomé to Guadalupe (about 15 km) is in a more inland region and comprises about 7 km of urban areas and the remaining rural areas, the section between Guadalupe and Neves (approximately 12 km) is a coastal road with steep slopes to the left and with the sea to the right. The rehabilitation of this section of the road also includes the possible stabilization of the rocky slopes, to eliminate/reduce the risk of overturning of rocks;
- b) Construction supervision and quality assurance services. The services to be funded will be for all civil works, including coastal protection.

Three (3) possible scenarios are currently being considered for the rehabilitation of the EN1, namely:

- **Scenario 0** - Scenario without any intervention (scheduled maintenance);

- **Scenario 1** - Scenario with rehabilitation of pavements and improvement of the safety conditions to a superficial level (without project change);
- **Scenario 2** - providing for a general review of the road's layout, both at a planimetry level and at an altimetry level, without however disrespecting the existing route, minimizing the intervention and the occupation of soils is that of the area of implantation of the existing route.

Three possible cross-sectional profile types are also considered for (i) rural areas (Type 1, with two lanes of 3.50 m each); (ii) urban areas without parking (Type 2, with two lanes of 3.50 m each); and (iii) urban areas with parking (Type 3, with two lanes of 3.0 each). Each of these types is accompanied by varied elements of the trenches, berms, sidewalks and drains and with different dimensions.

All these elements are still under study, which will culminate in the selection of the best scenario and/or possible combinations between them.

**Institutional strengthening:** This component will consolidate the road sector institutional set up and improve asset management practices, including:

- Road maintenance as well small scale coastal and slope protections of priority national road sections using performance-based approach, including technical and management capacity strengthening of GIME and local communities;
- Strengthening the institutional capacity of the road fund and INEA in mobilizing road maintenance financing and improving road asset management system.
- Increasing women's participation in GIMEs (the task force will assess whether 50% of GIMEs workers can be women) and raise gender awareness through training. Focus on specific issues will be determined by the results of the Social Assessment.

**Component 3:** Rehabilitation of the capital sea front Marginal roads and protection against coastal hazards, including:

- Coastal protection of 13 km of S. Tomé coastline, with the rehabilitation of existing sea walls, construction of breakwaters to reduce the energy of oncoming waves, rocky coverings to protect beaches and boats. Most of the existing coastal protection was built during the colonial period. The sea front is often flooded (at least 10 times a year) by surging waves during periods of high tide. Infrastructures, to be identified as part of the study supported by Dutch Cooperation, would help protect the entire sea front from flood and coastal erosion.
- Rehabilitation of the marginal road (10,1 Km) including the "reconstruction" of the road lining, reinforcement of pedestrian walkways, improved pedestrian safety with protected crossings. Due to poor maintenance and lack of massive rehabilitation in the last decades, the infrastructures of the sea front have been largely damaged, hindering the full use of its tourism potential.
- Construction supervision and quality assurance services.

During the formulation of environmental and social safeguards instruments (i.e., this ESMF and the accompanying RPF) there were still few details about this component.

**Component 4:** Project management support. This project component will finance the operation and incremental costs of the Project Implementation Unit (PIU) including:

- Implementation support to PIU for contract management for the main civil works and consulting services under the project;
- Preparation of supporting studies for future transport and coastal protection projects.

All aspects of project management, i.e. processual and physical, will have to be conducted in accordance with good practices endorsed by funding entities and those of the GSTP. However, Components 1: **Rehabilitation of the São Tomé-Guadalupe-Neves Road: Civil Works and Project Supervision** and 3: **Rehabilitation of the Marginal Road and Coastal Protection, including supervision of civil works** that have the greatest potential to generate significant impacts on the natural and social receiving environment, will be given special attention.

### **Objectives of the RPF**

Details on road rehabilitation and coastal protection interventions will be determined as soon as feasibility studies and final project design have been completed, and these will in part be based on studies that are still ongoing.

It is the lack of detail about the project at this stage that justifies the formulation of a Resettlement Policy Framework that is prepared as a complement to the Environmental and Social Management Framework (ESMF) to guide the project as to its potential impacts on people, communities and their assets and in response to the project triggering the involuntary resettlement policy (OP 4.12).

The RPF stresses the importance of avoiding/minimizing involuntary resettlement and ensuring that where necessary, consultation and engagement of the affected persons and their representatives are carried out and that Project Affected Persons (PAPs) are compensated and/or assisted prior to the commencement of any construction activity. They should have opportunities to participate in the planning and implementation of resettlement programs and be assisted in their efforts to improve their livelihoods and living standards or at least restore them, in real terms, to pre-displacement levels or levels prior to the start of project implementation, depending on what is best.

Under the World Bank policy on involuntary resettlement (OP 4.12), this phenomenon is defined in a broad sense. It is not restricted to its usual meaning, that is, "physical displacement." Depending on the cases, a resettlement action may include (i) loss of land or physical structures on land, including business; (ii) physical movement; and (iii) economic rehabilitation of people affected by the project (PAPs), economic displacement, to improve (or at least restore) existing levels of income or livelihood before the causative action of resettlement to have taken place. The policy applies to people who have or not to move from the area.

The RPF describes several principles, which include:

A complete list of project components, particularly those requiring land expropriation;

1. Public consultation and participation;
2. Determination of land use rights;
3. Screening of project sites and project activities;
4. Assessment of assets in accordance with the specific resettlement plan (s) (PAR);
5. Preparation and approval of the resettlement plan or action plans;
6. Implementation of resettlement plan or action plans;



7. Effective redress of grievances and complaints;
8. Monitoring the resettlement action plan or plans for the implementation of mitigation measures; and
9. A budget to ensure that the project has adequate resources to meet its involuntary resettlement requirements.

## **Formulation and Design of Project Components and Interventions**

The project triggers four (04) of the 10 + 2 Operational Policies of the World Bank Safeguards, namely the Environmental Assessment (OP/BP 04.01), Natural Habitats (OP/BP 04.04), Physical Cultural Resources (OP/BP 4.11) and Involuntary Resettlement (OP/BP 4.12).

According to the World Bank guidelines and due to what is initially recognized as low-magnitude, localized, limited and relatively easy-to-manage impacts, the project was classified as Category B. For simple Category B projects, with very limited / low environmental and social impacts, the preparation of an Environmental and Social Management Plan (EMSP) based on an ESIA may be sufficient, but in this case, it has also been decided to prepare an Environmental and Social Impact Assessment. The project is preliminarily assessed as having resettlement implications, hence this Resettlement Policy Framework (RPF) goes hand in hand with the Environmental and Social Management Framework.

Under this RPF, the planning, implementation, monitoring and evaluation of project activities will be carried out in a participatory manner to minimize negative impacts and ensure that the benefits of the project are generated for the affected people, particularly women, the poor and vulnerable people (e.g. households headed by women, children, the elderly and people with disabilities). Monitoring of resettlement actions should also be encouraged to ensure that affected people do not get worse than they were before the project.

The RPF also establishes an entitlement matrix to be applied in relation to the different categories of persons to be affected by the project according to the type of losses they may suffer, as well as valuation criteria of the different assets that could potentially be lost and finally a complaints mechanism to respond to complaints from project stakeholders (PAPs) in a timely and transparent manner.

The RPF will be made public both within the country as well as in the World Bank's InfoShop.

## **Training and Capacity Building**

There will be extensive training and capacity building to prepare relevant institutions at the various levels to plan, implement, monitor and evaluate the different aspects involved in social welfare and restoration of PAPs lifestyles, as recommended in the RPF.

It will be necessary to devise practical ways of reaching all target groups for the training and assessments of training needs, as well as for the provision of such training. The "learning by doing" approach will be given top priority.

## **Monitoring**

Monitoring will be critical to ensuring that the objectives set out in the RPF are being satisfactorily met and where discrepancies exist for timely corrective action to be taken. The Project Management Team will have overall responsibility for coordinating and monitoring the implementation of the RPF.

### **Budget Estimate for the Implementation of the Project RPF**

The total cost of preparing and implementing the RPF is being estimated at 3% of the total value of the intervention components with resettlement implications, namely: (i) **Rehabilitation of the São Tomé-Guadalupe-Neves Road: Civil Works and Project Supervision;** and (ii) **Rehabilitation of the Marginal Road and Coastal Protection, including supervision of civil works.** It stands at **US\$ xxx<sup>1</sup>**,

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<sup>1</sup> amount to be determined

# SUMÁRIO EXECUTIVO

## Introdução

O presente documento constitui-se Quadro de Política de Reassentamento (RPF) do Projeto do Desenvolvimento do Setor de Transporte e Proteção Costeira em São Tomé e Príncipe.

O Projeto é financiado pelo Banco Europeu de Investimento, a Ajuda Bilateral Holandesa e o Banco Mundial, o Governo de STP e visa financiar a reabilitação da Estrada Nacional N1 de São Tomé - Guadalupe – e parte da secção de Neves, assim como proceder às obras de proteção da orla costeira da Cidade de S Tomé.

A Estrada Nacional N1 regista um tráfego superior a 76.000 veículos por semana, a maioria das quais viaturas ligeiras (47,7%) e motorizadas (47,4%), seguidas de autocarros (3,4%), camiões (1,3%) e tratores (0,1%). O período de pico verifica-se entre as 11:00 e as 16:00 horas (37,8%), seguido do período da 06:00 às 11:00 horas (32,4%) e por último o período das 16:00 às 20:00 horas (29,7%). Das 20:00 em diante praticamente não se nota qualquer tráfego ou este é muito diminuto. Vão ainda ser feitas projeções para ter um entendimento sobre as potenciais variações ao longo do tempo, i.e. até 2040, que poderão ser informadas pelo tráfego atraído, crescimento populacional e da economia em si. Os volumes podem vir a tornar-se significativos.

As agências de implementação do projeto são a Agência Fiduciária e de Administração de Projetos (AFAP) e o Instituto Nacional de Estradas (INAE)

## Componentes do projeto

### **Componente 1: Reabilitação da Estrada S. Tomé-Guadalupe-Neves: Obras Civis e Supervisão do Projeto.**

Ao abrigo desta componente destacam-se as seguintes principais intervenções:

- a) Reabilitação da atual Estrada Nacional Nº 1 de S. Tomé para Neves (27Km). A estrada pavimentada tem 5-7 metros de largura com um perigoso alinhamento horizontal e vertical. A estrada está em más condições e precisa de ser reabilitada. O tráfego médio é de cerca de 1500 veículos/dia com alta presença de motorizadas nas áreas urbanas. A estrada também é usada por camiões de transporte de combustível e cerveja de Neves para o resto do país. Enquanto o troço de S Tomé a Guadalupe (cerca de 15 km) insere-se numa região mais do interior e compreende cerca de 7 km de áreas urbanas e as os restantes rurais, o troço entre Guadalupe e Neves (aproximadamente 12 Km) trata-se de estrada costeira com declive/inclinação acentuado a esquerda e com o mar à direita. A calçada deverá ser de pavimento asfáltico. A reabilitação desta secção da estrada também inclui a possível estabilização das encostas rochosas, para eliminar/diminuir o risco de derrocadas de pedras;
- b) Serviços de supervisão da construção e de garantia de qualidade. Os serviços a serem financiados serão para todos os trabalhos civis, incluindo a proteção costeira.

Conforme afirmado na introdução estão a ser considerados três (3) possíveis cenários na condução do processo de reabilitação:

- **Cenário 0** – Cenário sem qualquer tipo de intervenção (manutenção corrente prevista);
- **Cenário 1** – Cenário com reabilitação de pavimentos e melhoria das condições de segurança a um nível superficial (sem alteração do projeto);
- **Cenário 2** – Cenário que prevê uma revisão geral do traçado da estrada, tanto a nível de planimetria como a nível altimétrico, sem, contudo, desrespeitar a rota existente, minimizando a intervenção e a ocupação dos solos é a da área de implantação da rota existente.

Estão também em consideração três possíveis tipos de perfil transversal ao longo de toda a via para (i) áreas rurais (Tipo 1, com duas faixas de 3,50 m cada); (ii) áreas urbanas sem estacionamento (Tipo 2, com duas faixas de 3,50 m cada); e (iii) áreas urbanas com estacionamento (Tipo 3, com duas faixas de 3,0 cada). Cada um destes tipos é acompanhado de elementos variados das valetas, bermas, passeios e sumidouros e com diferentes dimensões.

Todos estes elementos ainda estão em fase de estudo que culminarão com a escolha da melhor opção e/ou de possíveis combinações entre estas opções.

## **Componente 2: Reforço Institucional**

Esta componente do Projeto irá consolidar a estrutura institucional do sector rodoviário e melhorará as práticas de gestão de ativos, incluindo:

- a) Manutenção de estradas, bem como melhor abordagem, da proteção das encostas e proteção costeira em pequena escala, dos troços de estradas nacionais prioritários, utilizando uma abordagem baseada no desempenho, incluindo reforço das capacidades técnicas e de gestão dos GIMes e das comunidades locais;
- b) Reforço da capacidade institucional do FRN (Fundo Rodoviário Nacional) e do INAE na mobilização de financiamentos para manutenção de estradas e melhoria do sistema de gestão de ativos de estradas;
- c) Aumento da participação das mulheres nos GIMes (a equipa de trabalho irá avaliar se é possível estabelecer como objetivo que 50% dos trabalhadores dos GIMes sejam mulheres) e aumentar a sensibilização quanto ao género através de realização de formações aos trabalhadores dos GIMes (qualquer enfoque em questões específicas será determinado pelos resultados da Avaliação Social).

## **Componente 3: Reabilitação da Estrada Marginal e Proteção Costeira, incluindo supervisão das obras civis**

- a) Proteção Costeira de 13 Km da costa de S. Tomé, com a reabilitação dos muros marítimos existentes, construção de quebra-mares para reduzir a energia das ondas recebidas, revestimentos rochosos para proteger praias e embarcações. A maior parte da proteção costeira existente foi construída durante o período colonial. A frente do mar é frequentemente inundada (pelo menos 10 vezes por ano) por excesso de onda durante os períodos de maré alta. As infraestruturas, a serem identificadas como parte do estudo apoiado pela cooperação holandesa, ajudariam a proteger toda a frente do mar da inundação e da erosão costeira.
- b) Reabilitação da estrada marginal (10,1 Km) incluindo a “reconstrução” do revestimento rodoviário, reforço das calçadas de pedestres, melhoria de segurança dos pedestres com cruzamentos protegidos. Devido a fraca

manutenção e falta de reabilitação massiva nas últimas décadas, as infraestruturas da frente do mar foram amplamente danificadas, impedindo exploração plena do seu potencial turístico.

- c) Serviços de supervisão de construção e de garantia de qualidade.

Aquando da formulação dos instrumentos de salvaguardas ambientais e sociais (i.e., este QGAS e o acompanhante RPF) ainda existiam poucos detalhes acerca desta componente.

#### **Componente 4: Apoio a Gestão do Projeto**

Esta componente irá financiar as operações e os custos da Unidade de Implementação do Projeto (UIP), incluindo:

- a) Apoio a UIP na gestão de contratos para as principais obras e serviços de consultoria no âmbito do projeto;
- b) Preparação de estudos de apoio para futuros projetos de transporte e proteção costeira.

Todos os aspetos de gestão do projeto, i.e. processuais e físicos, terão de ser feitos em conformidade com as boas práticas endossadas pelas entidades financeiras incluindo as do GSTP. Porém, são as Componentes **1: Reabilitação da Estrada S. Tomé-Guadalupe-Neves: Obras Civas e Supervisão do Projeto** e **3: Reabilitação da Estrada Marginal e Proteção Costeira, incluindo supervisão das obras civis** que têm maior potencial de gerar impactos significativos sobre o ambiente natural e social recetor.

#### **Objetivos do RPF**

Os detalhes acerca das intervenções de reabilitação e proteção costeira serão determinados assim que terminarem os estudos de viabilidade e desenho final do projeto e estes serão em parte baseados em estudos que ainda se encontram em curso.

É a falta de detalhes sobre o projeto nesta fase que justifica a formulação de um Quadro de Política de Reassentamento que é preparado como complemento do Quadro de Gestão Ambiental e Social (QGAS) para orientar o projeto quanto aos seus potenciais impactos sobre as pessoas, comunidades e seus ativos e em resposta ao facto de o projeto desencadear a política de reassentamento involuntário (OP 4.12).

O RPF destaca a importância de se evitar/minimizar o reassentamento involuntário e assegurar que, onde tal tenha de acontecer, a consulta e o engajamento necessários das pessoas afetadas e dos seus representantes sejam levados a cabo e que as Pessoas Afetadas pelo Projeto (PAPs) sejam compensadas e/ou assistidas antes do início de qualquer atividade de construção. Elas devem ter a oportunidades de participar na planificação e implementação de programas de reassentamento e ser assistidas nos seus esforços para melhorar os seus meios de subsistência e padrões de vida ou pelo menos restaurá-los, em termos reais, aos níveis anteriores ao deslocamento ou aos níveis predominantes antes do início da implementação do projeto, dependendo do que for melhor.

Ao abrigo da política do Banco Mundial sobre reassentamento involuntário (OP 4.12), este fenómeno é definido em sentido lato. Ele não se restringe ao seu significado usual, ou seja, "o deslocamento físico". "Dependendo dos casos, uma ação de reassentamento pode incluir (i) a perda de terra ou de estruturas físicas sobre a terra, incluindo negócios;

(ii) o movimento físico, e (iii) a reabilitação económica das pessoas afetadas pelo projeto (PAPs), deslocamento económico, a fim de melhorar (ou pelo menos restaurar) os níveis de renda ou meios de subsistência existente antes de a ação causadora do reassentamento ter tido lugar”. A política aplica-se às pessoas que tenham ou não que se mover da área.

O RPF descreve vários princípios, que incluem:

1. Uma lista completa das componentes do projeto, com destaque para as que requerem expropriação de terras;
2. Consulta pública e participação;
3. Determinação dos direitos de uso da terra;
4. Triagem dos locais do projeto e atividades do projeto;
5. Avaliação de ativos em conformidade com o plano ou planos de ação de reassentamento específico (s) (PAR);
6. Preparação e aprovação do plano ou planos de ação de reassentamento;
7. Implementação do plano ou planos de ação de reassentamento;
8. Reparação eficaz de queixas e reclamações;
9. Monitorização do plano ou planos de ação do reassentamento para a implementação de medidas de mitigação; e
10. Um orçamento para assegurar que o projeto tenha recursos adequados para ir de encontro às suas exigências de reassentamento involuntário.

### **Formulação e Desenho das Componentes e Intervenções do Projeto**

O projeto despoleta quatro (04) das 10 +2 Políticas Operacionais das Salvaguardas do Banco Mundial, ou seja, a Avaliação Ambiental (OP/BP 4.01), Habitats Naturais (OP/BP 4.04), Recursos Culturais Físicos (OP/BP 4.11), e Reassentamento Involuntário (OP/BP 4.12)

De acordo com a diretrizes do Banco Mundial e devido ao que à partida se reconhece serem impactos de baixa magnitude, localizados, limitados e relativamente de fácil e simples gestão o projeto foi classificado como sendo de Categoria B. Para os projetos de Categoria B simples, com impactos sociais e ambientais muito limitados/baixos a preparação de um Plano de Gestão Ambiental e Social (PGAS) baseado num QGAS pode ser suficiente, mas neste caso já se decidiu também preparar uma Avaliação de Impacto Ambiental e Social. O projeto é preliminarmente avaliado como tendo implicações de reassentamento, daí a necessidade formulação e adoção deste Quadro de Política de Reassentamento (RPF).

Ao abrigo deste RPF a planificação, implementação, monitorização e avaliação das atividades do projeto serão realizados de forma participativa para minimizar os impactos negativos e garantir que os benefícios do projeto sejam gerados para as pessoas afetadas, particularmente as mulheres, as pessoas pobres e mais vulneráveis (por ex. agregados familiares chefiados por mulheres, crianças, idosos e pessoas portadoras de deficiência). A monitorização das ações de reassentamento também deve ser incentivada para garantir que as pessoas afetadas não fiquem piores do que eram antes do projeto.

O RPF estabelece também uma matriz de direitos a ser aplicada em relação às diferentes categorias de pessoas a ser afetadas pelo projeto em função do tipo de perdas que poderão sofrer, bem como critérios de valoração dos diferentes ativos que potencialmente poderão ser perdidos e por último um mecanismo de apresentação e

atendimento de queixas com o objetivo de responder às reclamações das pessoas afetadas pelo projeto (PAPs) de uma forma rápida e transparente.

O RPF será divulgado publicamente, tanto dentro do país assim como no InfoShop do Banco Mundial.

### **Formação e Capacitação**

Vai haver extensiva formação e capacitação com o objetivo de preparar as instituições relevantes aos vários níveis para planificar, implementar, monitorizar e avaliar os diferentes aspetos envolvidos numa boa social e reposição dos modos de vida das PAPs, como preconizado no RPF.

Será necessário conceber maneiras práticas de se chegar a todos os grupos-alvo para a formação e avaliações de necessidades de capacitação, bem como para a prestação dessa formação. Será dada prioridade máxima à abordagem que consiste em “aprender a fazer fazendo”.

### **Monitorização**

A monitorização será fundamental para garantir que os objetivos estabelecidos no RPF estejam a ser alcançados de forma satisfatória e onde existirem discrepâncias para que sejam introduzidas ações corretivas oportunas. A Equipa de Gestão do Projeto terá a responsabilidade geral pela coordenação e acompanhamento da execução do RPF.

### **Estimativa de Orçamento para a Implementação do RPF para o Projeto**

O custo total da preparação e implementação do RPF está a ser estimado em 3% do valor total das componentes de intervenção com implicações de reassentamento, designadamente: (i) **Reabilitação da Estrada S. Tomé-Guadalupe-Neves: Obras Cívicas e Supervisão do Projeto**; e (ii) **Reabilitação da Estrada Marginal e Proteção Costeira, incluindo supervisão das obras cívicas.**

## TERMS AND DEFINITIONS

**Abbreviated Resettlement Action Plan (A-RAP)** a public document which specifies the procedures and actions to be undertaken to mitigate adverse effects, compensate losses, and provide development benefits to project affected households. A-RAP is recommended for less than 200 PAPs.

**Census** means any field survey carried out to identify and determine the number of Project Affected Persons (PAP) and their assets; in accordance with the procedures, satisfactory to the National legislation and WBG's Safeguard Policies. The meaning of the word shall also embrace the criteria for eligibility for compensation, resettlement and other measures, emanating from consultations with affected communities and the Local Leaders.

**Compensation** is the payment in cash, and jobs, houses, in kind, land and conservation measures, or other assets given in exchange for the taking of land including fixed assets thereon, in part or whole depending on the context, the nature of the right or use or occupancy, the type of losses and the purpose of the resettlement or economic displacement. Depreciation and the value of goods salvaged from the assets to be acquired will not be deducted from the compensation value.

**Cut-off date** is the date of commencement of the census of PAPs within the project area boundaries. This is the date on and beyond which any person whose land is occupied for project use, will not be eligible for compensation. The date has to be announced widely as the cut-off date and enough time has to be given to the PAPs for the subsequent actions to be valid.

**Environmental and Social Management Framework (ESMF)** is a safeguard instrument that establishes procedures and guidelines for the mitigation, adaptation, monitoring and governance measures to be considered and implemented during the design and operation of the Program as well as to provide orientation to the development of ESMPs. For the AFAP/INAE/DGA, the ESMF has been prepared as a separate and stand-alone document to be used in conjunction with this RFP.

**Grievance Redress Mechanisms** means all processes and tools that serve to channel conflict into an institutionalized mechanism for peaceful resolution. They facilitate communication between affected people and management (project, government, etc.) regarding problems that arise, and enable those affected to complain with dignity, knowing that there is a system of appeals leading to an impartial decision maker.

**Involuntary displacement** means the involuntary taking of land resulting in direct or indirect economic and social impacts caused by:

1. Loss of benefits from use of such land;
2. Relocation or loss of shelter;
3. Loss of assets or access to assets; or
4. Loss of income sources or means of livelihood, whether or not the project affected person has moved to another location.

**Involuntary Land Acquisition** is the taking of land by government or other government agencies, for the purposes of a public project against the will of the landowner. The



landowner may be left with the right to negotiate the amount of compensation proposed. This includes land or assets for which the owner enjoys uncontested customary rights.

**Land** refers to agricultural and/or non-agricultural land and any structures thereon whether temporary or permanent and which may be required for the Project.

**Land acquisition** means the taking of or alienation of land, buildings or other assets thereon for purposes of the Project.

**Project Affected Persons (PAPs)** relates to those persons who, for reasons of the involuntary taking or voluntary contribution of their land and other assets under the project, result in direct economic and or social adverse impacts, regardless of whether the said Project affected persons physically relocate. PAPs can include informal land occupants/users who lack formal and/or customary rights. These people may have their:

1. Standard of living adversely affected, whether the Project Affected Person must move to another location;
2. Right, title, interest in any house, land (including premises, agricultural and grazing land) or any other fixed or movable asset acquired or possessed, temporarily or permanently, adversely affected;
3. Access to productive assets adversely affected, temporarily or permanently; or
4. Business, occupation, work or place of residence or habitat adversely affected.

**Rehabilitation Assistance** means the provision of development assistance in addition to compensation such as land preparation, credit facilities, training, or job opportunities, needed to enable project affected persons to improve their living standards, income earning capacity and production levels; or at least maintain them at pre-project levels.

**Replacement Cost** means replacement of assets with an amount sufficient to cover full replacement cost of lost assets and related transaction costs. The cost is to be based on **Market rate (commercial rate)** according to the São Tomean legislation for sale of property. In terms of land, this may be categorized as follows;

**Replacement cost for agricultural land** means the pre-project or pre-displacement, whichever is higher, market value of land of equal productive potential or use located near the affected land, plus the costs of:

1. Preparing the land to levels like those of the affected land; and
2. Any registration, transfer taxes and other associated fees;

**Replacement cost for houses and other structures** means the prevailing cost of replacing affected structures of the quality equal to or better than that of the affected structures, in an area. Such costs shall include:

1. Purchase of building materials
2. Transporting building materials to the construction site;
3. Any labor and contractors' fees; and
4. Any registration costs.

Depreciation and value of the goods salvaged from the acquired assets will not be deducted from the compensation value.

**Resettlement Assistance** means the measures to ensure that project affected persons who may require to be physically relocated are provided with assistance such as moving allowances, residential housing or rentals whichever is feasible and as required, for ease of resettlement during relocation,

**Resettlement Policy Framework (RPF)** means this safeguards instrument, which has been prepared to guide on preparation of **Resettlement Action Plans (RAPs)** and Abbreviated Resettlement Action Plans (A-RAPs) throughout the AFAP/INAE/DGA implementation. The RPF will be disclosed to set out the resettlement and compensation policy, organizational arrangements and design criteria to be applied to meet the needs of the people who may be affected by the program. The **RAPs and A-RAPs** for the AFAP/INAE/DGA will be prepared consistent with the provisions of this RPF.

**Resettlement Action Plan (RAP)** is a resettlement instrument (document) to be prepared when project activity locations, affected PAPs/assets are identified. In such cases, land acquisition leads to physical displacement of persons, and/or loss of shelter, and/or loss of livelihoods and/or loss, denial or restriction of access to economic resources. The party impacting on the people and their livelihoods prepares RAPs. RAPs contain specific and legally binding requirements to be abided by AFAP/INAE/DGA to resettle and compensate the affected party before implementation of the project activities causing adverse impacts.

**Voluntary Land Contribution** refers to a process by which an individual or communal owner agrees to provide land or property for project-related activities. It must be obtained without undue coercion or duress from people with full knowledge of other options available and their consequences, the right not to contribute or transfer the land.

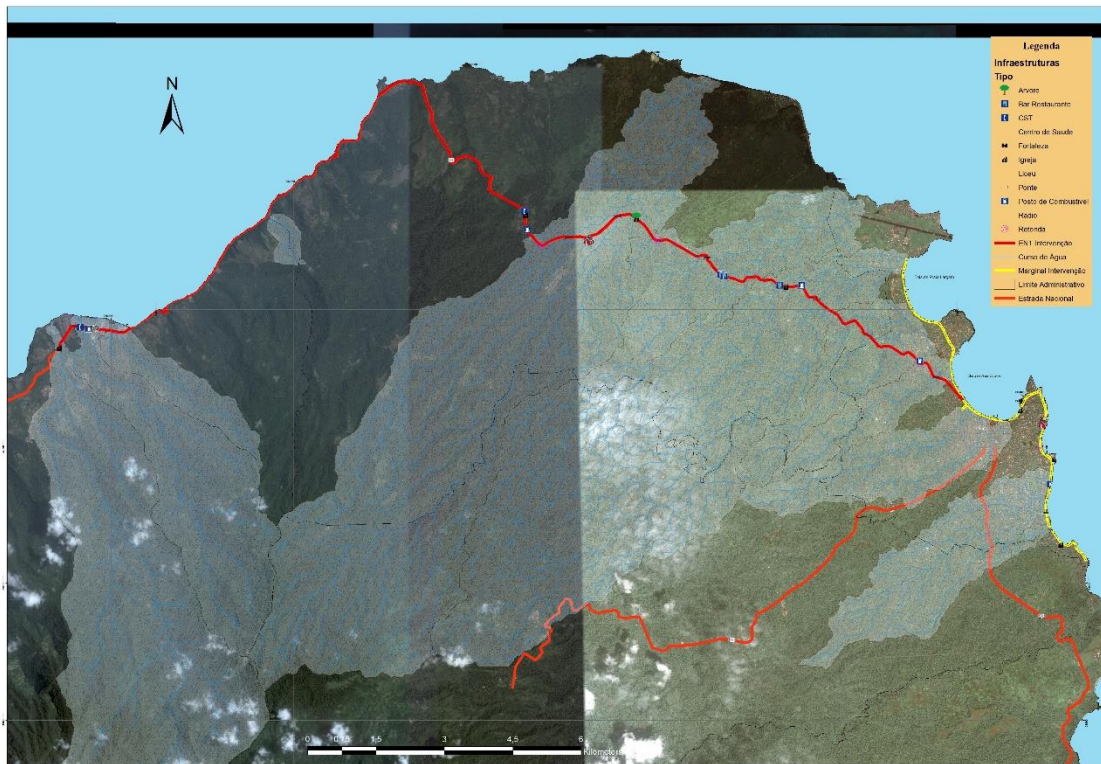
**Vulnerable Groups** refers to:

1. Low capacity households – especially those below the poverty line, the landless, the elderly, widows, ethnic minorities, low income households and informal sector operators;
2. Incapacitated households – those with no one fit to work and;
3. Child-headed households and street children. This group is among other things, characterized by low nutrition levels, low or no education, lack of employment or revenues, old age, ethnic minority and/or gender bias.

# 1. INTRODUCTION

This document constitutes the Resettlement Policy Framework (RPF) of the N1 National Road rehabilitation project, in the sections linking the city of S Tomé to Guadelupe and from there to Neves, as well as to reinforce the protection of the seafront of the city of Sao Tome and adjacent roads (Figure 1). The project is funded by the European Investment Bank, the Government of the Kingdom of the Netherlands, the World Bank (WB) and the Government of São Tomé and Príncipe (GSTP).

**Figure 1-1: Overview of the project area and its physical components**



By linking the three areas of S. Tome (70,000 inhabitants), Guadelupe (20,000 inhabitants) and Neves (15,000 inhabitants) the National Road N1 and above all the section referred to is the most active in the whole country. It serves about 60% of the country's population and extends over 27 km. Built during the Portuguese colonial domination the paved road is 5-7 meters wide with a dangerous horizontal and vertical alignment. In recent years it has been in poor condition and in need of rehabilitation and eventually a series of adjustments in its geometric design and features.

According to the most recent traffic count, the road is used by more than 76,000 vehicles per week, the majority of which are light motor vehicles (47.7%) and motorbikes (47.4%), followed by buses (3.4%), trucks (1.3%) and tractors (0.1%). The peak period is between 11:00 am and 4:00 p.m. (37.8%), followed by the period from 06:00 am to 11:00 am (32.4%) and finally the period of 16:00 to 20:00 hours (29.7%). From 20:00 onwards practically no traffic is noticed, or it is so small that it was not counted (Prospective, 2018). To the initial count, projections will still be made to understand the potential variations over time, i.e. up to 2040, which may be informed by increased traffic due to population growth and the economy itself. Volumes may become more significant.

Within the scope of the same project, the GSTP will also rehabilitate the coastal shoreline that stretches from Pantufo to the S. Tomé Airport, located within the city of S. Tomé, in a stretch of about 13 km where the road partly extends for 10,1 km. The coastal shoreline and the roads that characterize it have been subject to increasing degradation due to natural phenomena, especially those related to climate change (rainfall intensity, rising water levels, etc.) and due to lack of appropriate maintenance actions.

The natural and social environment in EN1 can be subdivided into two major regions, namely; (i) the interior region, stretching from São Tomé to Guadalupe (15 km) and (ii) the coastal region of Guadalupe to Neves (12 km).

Although from a certain perspective the whole area of study is in the coastal region<sup>2</sup>, each of the two regions described above have its own elements that must be considered in defining the geometric characteristics of the alignment, profiles and cross-sections, traffic volumes and composition, resilience to climate change and risks of environmental disasters, rehabilitation costs and economic and financial assessment.

Efforts are being made to ensure that roads guarantee, among other developments (i) comfort and time savings for users; (ii) savings in vehicle operating costs; and (iii) reduction in road accidents. Various teams and studies (e.g. engineering, economics, finance, environment, sociology, traffic, etc.) are being made to ensure that rehabilitation actions translate into environmental and economic gains for the Sao Tomean society.

Particularly In relation to the EN1, at the time of the preparation of this RPF, the project's engineering team had three (3) possible scenarios for its design and development, namely:

- **Scenario 0** – in this scenario there is the absence of any intervention in the EN1, maintaining the conditions of the road in the same way in which it currently is;
- **Scenario 1** – rehabilitation of the road, without any alteration to its layout, either in terms of planimetric or altimetric alignment;
- **Scenario 2** – providing for a general review of the road's layout, both at a planimetry level and at an altimetry level, without however disrespecting the existing route, minimizing the intervention and the occupation of soils is that of the area of implantation of the existing route.

Although it is understood that road rehabilitation and reinforcement of coastal protection will bring many benefits, it is not to be overlooked that if certain precautions and measures are not taken these actions may result in negative impacts on people and communities at large, as well as in various aspects of their lives, biota and physical environment (water, soil/soil, air, etc.).

One of the impacts that, while not expected to be of great magnitude, but which may not be completely avoided, is that of resettlement, understood in its broadest sense, as will be explained throughout this document.

The details of rehabilitation and protection interventions will be determined as soon as feasibility studies and final project design are completed, and these will in part be based on studies that are still ongoing. It is the lack of detail on these aspects and the project's

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<sup>2</sup> Different systems use different criteria to define coastal zone, for example. for the Millennium Ecosystem Assessment or McGranaham, Balk and Anderson the coastal area, i.e. the proximity to the sea, covers all areas up to 100 km from the sea or less than 50-10 m elevation.

implications on resettlement at this stage that justify, as will be seen below, the formulation of a Resettlement Policy Framework, that is, this document.

The RPF should be used in conjunction with the Environmental and Social Management Framework (ESMF), which was prepared separately to, among other things, guide how the Environmental and Social Impact Assessments (ESIA) and their Environmental and Social Management Plan (ESMP) and possibly the Resettlement Action Plan (RAP) will be prepared, implemented, monitored and evaluated. Both the ESMF and the RPF are also justified by the fact that the possibility exists that the various components of the project can be finalized and implemented in different time frames and even by different teams. The RPF describes several principles, including:

1. A full understanding of the project components, particularly those requiring land acquisition;
2. Public consultation and participation;
3. Determination of land use rights;
4. Screening of the project sites, resettlement sites and project activities;
5. Property and asset valuation in line with specific resettlement action plan or plans (RAP);
6. Preparation and approval of resettlement action plan or plans;
7. Implementation of the resettlement action plan or plans;
8. Effective redress of complaints and grievances;
9. Monitoring of the Resettlement Action Plan or Plans for implementation of mitigation measures; and
10. A budget to ensure that the Project has adequate resources to meet its own interests in terms of involuntary resettlement.

The RPF principles will be applied throughout the entire project life cycle.

In addition to this introductory chapter this RPF comprises sixteen (16) chapters that deal successively with:

1. project description;
2. project implementation arrangements;
3. development context in STP and the project area and project's targeted areas;
4. potential impacts of the project;
5. principles and objectives for the preparation and implementation of a resettlement policy framework;
6. the social screening process;
7. preparation review and approval of resettlement action plan or plans;
8. legal framework;
9. method for valuation and compensation for losses;
10. eligibility criteria and practical aspects of rap preparation and implementation;
11. institutional framework;
12. institutional strengthening and capacity building;
13. community participation and stakeholder involvement in planning, implementation, and monitoring;
14. grievance redress mechanism/procedures;
15. monitoring and evaluation arrangements;
16. arrangements for resettlement funding and estimated RPF budget

These chapters are complemented by a series of annexes from which the details of the Public Meeting of 22 June 2018 are highlighted and the Terms of Reference for conducting the Environmental and Social Impact Study (ESIA), formulation of the

Environmental Management Plan and Social Action Plan (ESMP) and Project Resettlement Action Plan (RAP).

The RPF formulation used a series of methodologies with emphasis on (i) reviewing secondary data; (ii) individual and group interviews and discussions with relevant stakeholders; (iii) preliminary socioeconomic assessment of the potential impacts of the project on the receiving social environment; (iv) direct observations and field measurements.

## 2. PROJECT DESCRIPTION

### 2.1. Project Components

The Transport Sector Development and Coastal Protection Project consists of four components:

**Component 1:** Sao-Tome - Guadalupe -Neves road rehabilitation - Civil Works and project supervision.

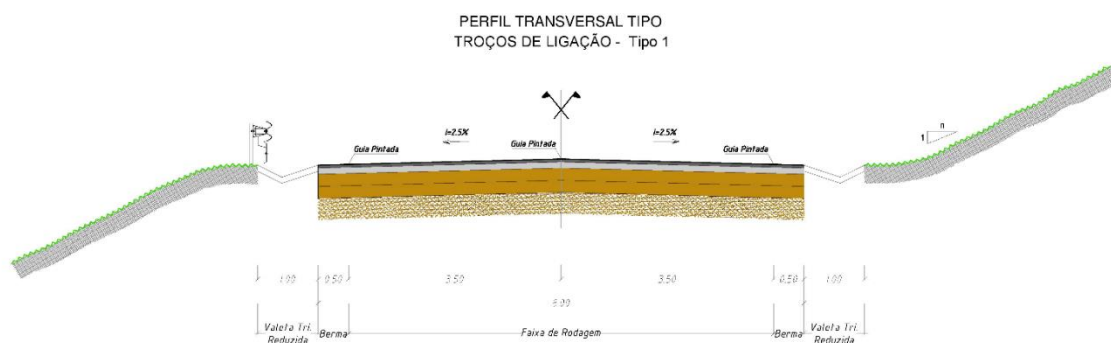
Rehabilitation of existing National Road N1 from Sao Tome to Neves (27 km). The paved road is 5-7 meters wide with a dangerous horizontal and vertical alignment. It is mostly in bad conditions and in need for rehabilitation. The average traffic is around 1500 vehicles/day with a high presence of motorcycles in urban/town areas. The road is also used by trucks to transport fuel and beer from Neves to the rest of the country. The road section between Guadalupe and Neves (around 12 km) is a coastal road bordering a non-stabilized high slope on the left and the sea on the right. The carriageway will be of asphalt pavement.

As stated in the introduction, three (3) possible scenarios are being considered:

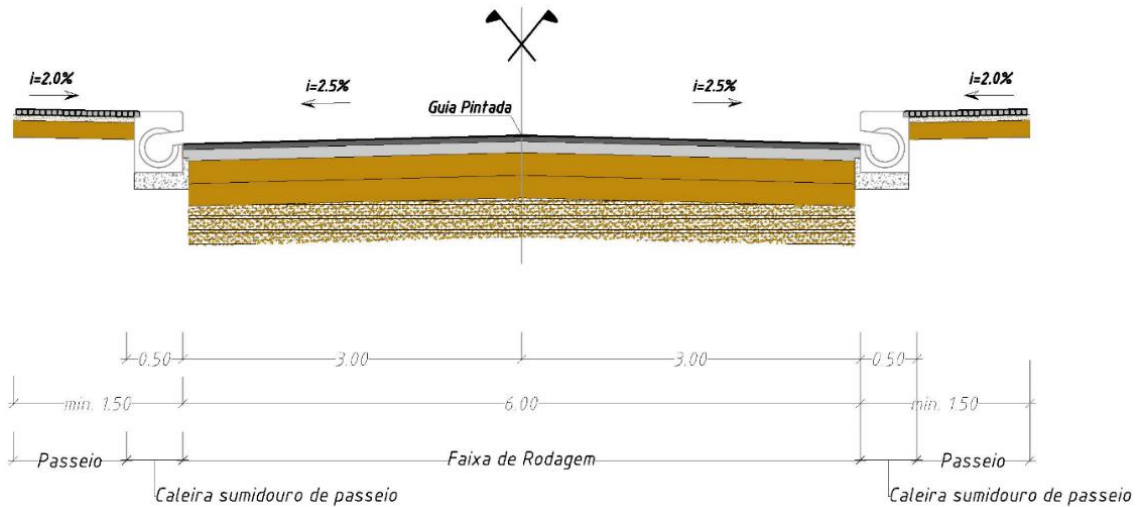
- **Scenario 0** – in this scenario there is the absence of any intervention in the EN1, maintaining the conditions of the road in the same way in which it currently is;
- **Scenario 1** - rehabilitation of the road, without any alteration to its layout, either in terms of planimetric or altimetric alignment;
- **Scenario 2** - providing for a general review of the road's layout, both at a planimetry level and at an altimetry level, without however disrespecting the existing route, minimizing the intervention and the occupation of soils is that of the area of implantation of the existing route.

Three possible cross-sectional profile types are also being considered for (i) rural areas (Type 1, with two lanes of 3.50 m each); (ii) urban areas without parking (Type 2, with two lanes of 3.50 m each); and (iii) urban areas with parking (Type 3, with two lanes of 3.0 each). Each of these types is accompanied by varied elements of the trenches, berms, sidewalks and drains and with different dimensions. The Figures below present an overall impression of the three described types.

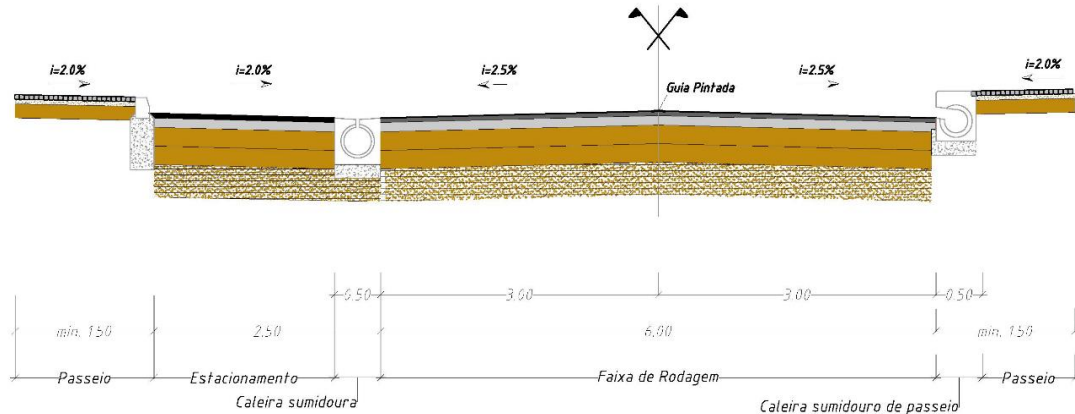
**Figure 2-1: Type 1 cross section (rural)**



**Figure 2-2: Type 2 cross section (urban without parking)**



**Figure 2-3: Type 3 cross section (urban with parking)**



Several studies and evaluations, including the formulation of this ESMF and its accompanying RPF, will lead to the choice of the best option and/or possible combinations between these options.

At the time of formulating the environmental and social safeguards instruments, the pre-feasibility studies for EN1 had already been completed, including preliminary environmental and social assessment. Road design and environmental and social impact assessment were being conducted.

**Component 2:** Institutional strengthening: This component will consolidate the road sector institutional set up and improve asset management practices, including:

- Road maintenance as well small scale coastal and slope protections of priority national road sections using performance-based approach, including technical and management capacity strengthening of GIME and local communities;
- Strengthening the institutional capacity of the road fund an INEA in mobilizing road maintenance financing and improving road asset management system.
- Increasing women's participation in GIMEs (the task force will assess whether 50% of GIMEs workers can be women) and raise gender awareness through training. Focus on specific issues will be determined by the results of the Social Assessment.



**Component 3:** Rehabilitation of the capital sea front Marginal roads and protection against coastal hazards, including:

- Coastal protection of 13 km of S. Tomé coastline, with the rehabilitation of existing sea walls, construction of breakwaters to reduce the energy of oncoming waves, rocky coverings to protect beaches and boats. Most of the existing coastal protection was built during the colonial period. The sea front is often flooded (at least 10 times a year) by surging waves during periods of high tide. Infrastructures, to be identified as part of the study supported by Dutch Cooperation, would help protect the entire sea front from flood and coastal erosion.
- Rehabilitation of the marginal road (10,1 Km) including the "reconstruction" of the road lining, reinforcement of pedestrian walkways, improved pedestrian safety with protected crossings. Due to poor maintenance and lack of massive rehabilitation in the last decades, the infrastructures of the sea front have been largely damaged, hindering the full use of its tourism potential.
- Construction supervision and quality assurance services.

During the formulation of environmental and social safeguards instruments (i.e., this ESMF and the accompanying RPF) there were still few details about this component.

**Component 4:** Project management support. This project component will finance the operation and incremental costs of the Project Implementation Unit (PIU) including:

- Implementation support to PIU for contract management for the main civil works and consulting services under the project;
- Preparation of supporting studies for future transport and coastal protection projects.

All aspects of project management, i.e. processual and physical, will have to be conducted in accordance with good practices endorsed by funding entities and those of the GSTP. However, Components 1: **Rehabilitation of the São Tomé-Guadalupe-Neves Road: Civil Works and Project Supervision** and 3: **Rehabilitation of the Marginal Road and Coastal Protection, including supervision of civil works** that have the greatest potential to generate significant impacts on the natural and social receiving environment, will be given special attention. What concerns this document is the potential of the interventions to result in **resettlement**.

## **2.2. Project Implementation Arrangements**

The project financiers are the European Investment Bank, Government of the Kingdom of the Netherlands (Netherlands); World Bank and the Government of São Tomé and Príncipe (GSTP) itself. Funds will be administered on behalf of the GSTP by the Ministry of Finances and Public Administration (MIFAP) through AFAP in coordination with the INAE and the Road Fund and the General Directorate of Environment (DGA). The owner's engineers are INAE for the EN1 and DGA for the Coastal Protection component. In coordination with local authorities, INAE and DGA will ensure that the development of the project is in line with national, district, municipal and local development strategies and plans and that the standards in force in the various spheres are adhered to.

In addition to the participation of the external financing entities, the project management will be guaranteed by a Management Committee that will include AFAP, INAE, Road Fund, DGA and the representatives of the governments of the districts of Água Grande,

Lobata and Lembá as well as the representatives of the local municipalities and localities of the cities of S. Tomé, Guadalupe and Neves.

The implementation of the project will be under the responsibility of AFAP/INAE, Road Fund and DGA, which will form the Project Implementation Unit (UIP/PIU), which will coordinate the participation of all other entities including contractors to provide goods and services during the pre-feasibility, feasibility and final design, including preparation of environmental and social safeguards and subsequent environmental and social impact studies and resettlement action plans and implementation (construction, works supervision, including compliance with environmental and social management requirements). The operation and maintenance will be carried out by INAE/Road Fund, DGA, District Governments and the Municipalities/Localities that host the two main physical components of the project. AFAP will participate in monitoring, evaluation and audit actions on a regular basis.

Particularly during construction and subsequent maintenance and operation, AFAP and INAE/Roads Fund and DGA, in close collaboration with suppliers of goods and services, will ensure the involvement of GIMEs and the fulfilment of the requirements related with the establishment of opportunities for broad participation of women to prioritize labor-intensive approaches, reduce costs, share benefits and contribute to poverty alleviation.

AFAP, through its Environmental and Social Safeguards Specialist (ESSS) and in coordination with the INAE/Roads Fund and DGA, will ensure that, especially during the preparation and implementation of the project, there is strict compliance with the environmental and social management requirements of this ESMF and subsequent ESIA/ESMP and RAP. This will be done directly and through selected and trained personnel from INAE /DGA and service providers in general.

**Diagram 2-1: Overview of the project's institutional arrangements**

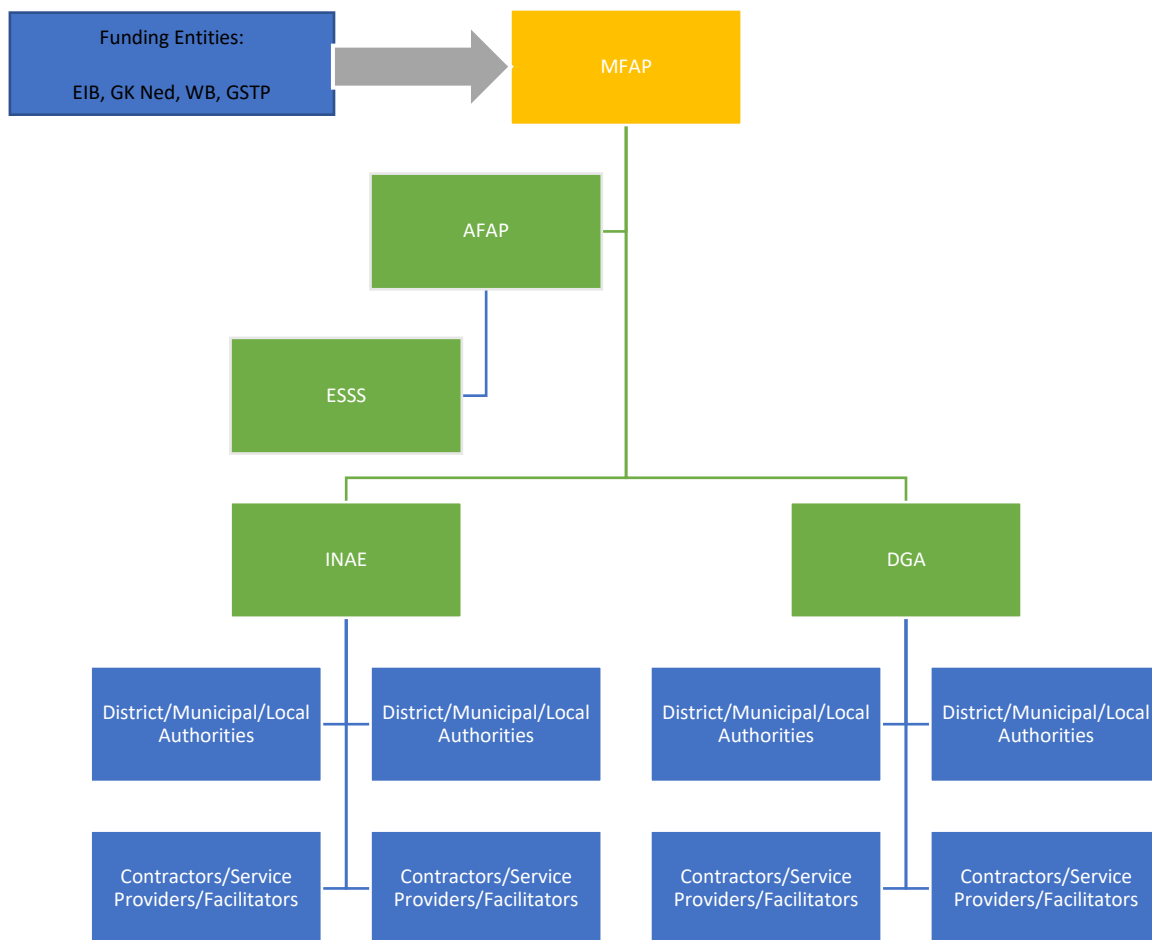


Diagram 2-1 is a graphical representation of the links between the main institutions in the execution of the project. It does not depict the collective management bodies, which in addition to the entities presented will include other stakeholders such as the transport, tourism, quality control and standards sectors (e.g. Engineering Laboratory, National Institute of Meteorology etc.).

## 3. DEVELOPMENT CONTEXT

### 3.1. Overview

Despite being one of the smallest economies in Africa Sao Tome and Principe is witnessing average annual GDP growth rates that are close to 5%<sup>3</sup> in real terms and is in one of the fastest growing economies situated a little above average in Africa and the world, with low inflation (around 4%<sup>4</sup>), which is due to good macroeconomic management policy, recovery of traditional sectors of its economy such as the production and export of cocoa, coffee, vanilla and pepper as well as exploring new areas such as tourism.

There was a certain period in which the country was placing high expectations on the oil industry as a driver of the economy, after discovering extensive reserves of this resource, but it did not take long for this to be associated uncertainties and it has been largely put aside. This has brought the traditional sectors of the economy back to central position

Tourism expansion and development to access foreign currency has been at the center of attention and fisheries continues to be one of the main economic activities of the country, which is also strengthened by the recovery of agriculture including the production of cocoa. The other agricultural products are coconut/copra, palm, coffee, various fruits (banana, papaya, etc.) and beans and livestock production is dominated by poultry and other small animals (sheep, goats, pigs) as well as cattle that appears to be less expressive.

The country consists of two main islands (Sao Tome and Principe Islands) and several other islets, and the set of islands total a surface area of 1,001 square kilometers, inhabited by about 190,000 inhabitants. The country's coastline totals 209 km and is the second smallest country in Africa. In terms of population density, the country occupies the 65<sup>th</sup> position in the world, with about 156.84 inhabitants /Km<sup>2</sup>.

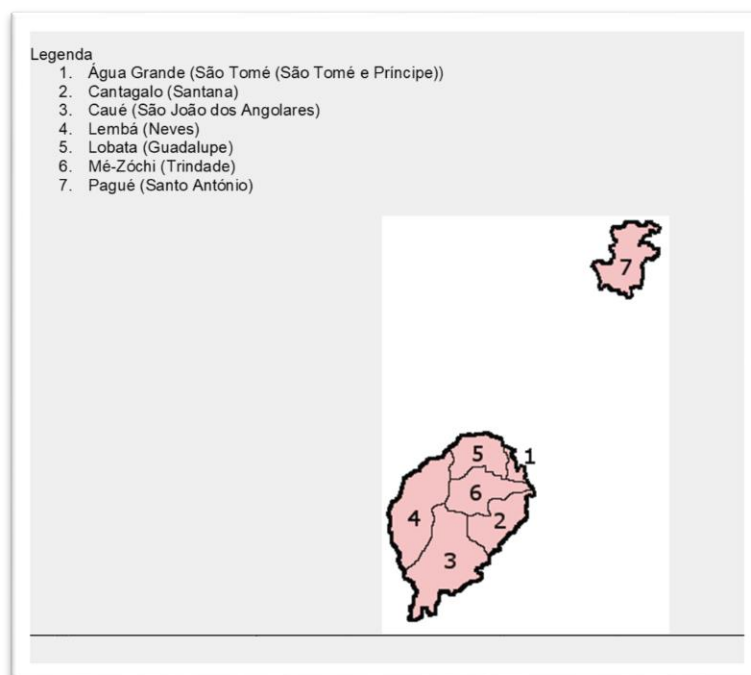
The country is subdivided into two territories, São Tomé and Príncipe, which in turn comprise seven administrative districts. Six of the districts are located on the main island of São Tomé while the other district (Pagué) covers the smaller island of Príncipe, also called autonomous region of the same name. The map below is the graphical representation of the administrative division of the country where the district capitals are indicated in parentheses. The project area is in the districts of Água Grande<sup>5</sup> (S. Tomé), Lobata (Guadalupe) and Lembá (Neves).

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3 The International Monetary Fund estimates that the economic growth of São Tomé and Príncipe was on average of 5 % over the last 3-4 years (IMF, Antoinette Sayeh, Director of the African Department, February 2016)

<sup>4</sup> Idem (FMI, 2016).

<sup>5</sup> That comprises around 39% of the country's total population.



**Figure 3-1: Districts of São Tomé and Príncipe**

Sao Tome and Principe GDP per capita income stands at US\$ 3,138<sup>6</sup> and the country is in the 143th position in the Human Development Index of the United Nations Development Program (UNDP), which places it at the tail of the least developed countries. These are countries with development index relatively higher than the Low development countries in which three PALOP<sup>7</sup>/CPLP (i.e. Angola, Guinea-Bissau and Mozambique) are placed. The country is relatively well positioned in terms of human development index, especially when considering that for several years it was marked by certain political instability with negative effects on the economic and social development. The political instability seems to be eased now and the future is more promising.

Analysts of socio-economic and political development processes of Sao Tome and Principe recognize that since the country's independence in 1975 it gone through the following main stages:

- 1<sup>st</sup> Republic, which went from independence in 1975 until 1990, and was marked by a one-party system and centralized/socialist orientation economy. It was during this phase that nationalizations took place in relation to the main productive sectors of the economy, based mainly in the production and export of cocoa. At the final period of this stage decentralization of production systems and of state services began in the form of (i) the establishment of district offices (for education, health, public security, postal services, etc.); (ii) creation of district popular municipalities appointed by the central government and therefore without effective decentralization.
- 2<sup>nd</sup> Republic extending from 1991 to 2003 marked by political opening, multiparty democracy and market economy. During this phase, among other laws, the Fundamental Law on Local Authorities (Law 10/92), which defines the operation of the municipalities and district assemblies and determines the powers of these

<sup>6</sup> Certain sources estimate that this stands only close to US\$ 1.500,00 (CGD, 2014).

<sup>7</sup> Portuguese speaking countries in Africa.

bodies (Article 22: State transfers to authorities) and the respective Law 16/92 of the local Finance, were established.

- 3<sup>rd</sup> Republic extending from 2003 to the most recent years in which the deepening of multiparty democracy was continued but with strong dosages of governmental instability due to a multitude of factors. It was during this period that the electoral process at the local level came to a relative standstill (e.g. more than 14 years without local elections). These developments shattered important gains made earlier mainly on decentralization and devolution of powers. It also led to a situation of virtual absence of regulation and consequent compliance with laws, etc.

It can be said that in most recent years (last 2-5 years) the country has entered in its 4<sup>th</sup> stage marked by increased stability and affirmation of the relative strength of democracy and Sao Tome development vision. This phase foretells stability, growth and continued development in which economic and social development, rehabilitation and expansion of basic infrastructure, including transport should be consolidated to sustain an economy and a society that can be expected to witness continued growth and consequently incessant demand for goods and services.

### **3.2. Road Infrastructures**

A considerable part of the country's general infrastructure and real estate was inherited from the colonial period and there has been no significant change in the last more than 40 years. Consequently, these assets are obsolete, undersized for the population and even the economic growth in the period under review, while at the same time inadequately adjusted for the climatic developments strongly influenced by the phenomenon of climate change. This is further made worse by the fact that, due to a combination of factors (human, institutional, economic, financial and technical, etc.), maintenance actions have been inadequate.

The road sector is one of the most affected. As a way of reversing the situation and placing the sector at the center of development processes and stimulating economic growth in the areas of agriculture, fisheries and tourism, the GSTP prepared, in 2012, inter alia, the "Mobility and Inter Municipal Transport Plan of the Island of São Tomé (PMTIIST)". Among other objectives, it is expected that the Plan will serve as a basis for the preparation of the Transport Master Plan to put in place an integrated transport system and its supporting infrastructures. The formulation of the PMTIIST, which resulted from an extensive consultation process, was done by a multidisciplinary team and provides indications for:

- changing the transport split between public transport and soft transport (pedestrian and cycling), improving the mobility of the population;
- increasing the quality of mobility and the urban environment by increasing synergies that may result from complementarity between different modes of travel;
- improving the functioning of the urban public transport network with the restructuring of the network for a good territorial and temporal coverage;
- increasing the safety, comfort and quality of the priority areas for pedestrians and bicycles and limiting the conditions of use of cars in the most sensitive urban centers;

- improving the current state of traffic by creating objective traffic rules through the introduction of road signs, which will result in the reduction of the number of accidents (with a special focus on motor-cycling transport);
- restructuring the taxi network;
- balancing the allocation of public space to different modes of transport;
- ensuring environmental quality;
- implementing differentiated parking policies, considering the specific needs of residents, employees and visitors;
- obtaining inputs for the São Tomé and Príncipe Transport Master Plan with respect to the Road Transport sub-sector.

While it is true that not all the Plan's measures are of a physical nature, it is a fact that the rehabilitation of EN1 could translate into an important step in materializing part of the objectives and goals pursued by the PMTIIST and in this sense the project is relevant and timely. It has the potential to influence other developments and contribute to new dynamics in Sao Tome's economy and society.

### **3.3. Gender Issues**

Gender issues are often highlighted in policy documents that have been prepared and circulated in the country since independence. However, it is noted that the corresponding concrete policy measures are still rare.

Formally the legislation in force in the country promotes equality of rights between men and women, which extends to property rights, legal recognition, marriage and access to economic activities and opportunities. However, in practice discriminatory social standards based on gender identity still prevail and further work still needs to be done to reduce gender disparities, especially regarding women's economic empowerment and access to the labor market. According to the 2012 National Census of Population and Housing, women's unemployment is twice as high as men's (19.7 and 9.3 percent, respectively), and women generally work the most in informal and/or precarious sectors of the economy and society. On the other hand, households headed by single women, which account for 38 per cent of all households, have lower incomes than those headed by men.

More promising developments are occurring in education and governance as the country is close to achieving gender parity in primary education and women's representation in Parliament has been growing.

Using the Road Maintenance Interest Groups (GIMes) vehicle to provide greater employment and income opportunities, even if it is on a seasonal basis, can make a significant contribution to a gradual gender balance. This is a positive trait of the project that should be encouraged and as much as possible complemented by other measures during construction and operation.

GIMes were established in the mid-2000s, with European Union (EU) support. These are community associations responsible for road and other related infrastructure maintenance, using a results-based approach while emphasizing intensive work and thereby contributing to the alleviation of the various forms of poverty and vulnerability and the sharing of benefits related to the development of infrastructures in STP. There are 31 GIMes throughout the country, 27 of which are in S. Tomé island and 4 in the

Autonomous Region of Príncipe. They comprise close to 1,310 associates of whom close to 70% are women. The GIMEs are further subdivided into 4 federations (North, Center, South of S. Tomé and the Autonomous Region of Príncipe), which in turn form the National Federation of Road Maintenance (FENAME).

Both FENAME and its associated federations and GIMEs have been proving to be a valid approach in maintaining roads and other low-cost infrastructure whose involvement in TCP is recommended to be pursued. This may be one of the privileged ways to contribute to increasing women's income generation opportunities, sharing the benefits of the project with local people while lowering project costs in the construction and maintenance phases.



## 4. OVERVIEW OF THE NATURAL AND SOCIAL RECEIVING ENVIRONMENT

### 4.1. Project Location

As shown in Figure 4-1, the project is located on the north side of S. Tomé Island and covers both ends of the island, i.e. east and west. It is the most populated area of the archipelago in absolute terms and density. In the North, the districts of Água Grande, Lobata and Lembá the inhabited areas surround the elevated area formed by the conical system defined by the Peak (Pico) of S Tomé and are of relatively low altitude and intense vegetation although not as exuberant as the one that prevails neither at the peak nor on its slopes.

The center-southwest region, which corresponds to approximately 2/3 of the national territory, is very difficult to reach and includes places that are impossible to access. It is known as the hydrographic center, since it is also from there that, the main rivers and water courses that then run radially in all directions to the sea, originate.

S. Tomé and Príncipe is an archipelago, where most of the economic and social infrastructure is in the coastal zone, which translates into a strong pressure on this zone. In a sense, this project has the potential of worsening the existing pressure.

Figure 4-1: The project area



São Tomé and the project area are characterized by the biophysical and socio-economic elements described in the sub-chapters that follow.

## 4.2. Socioeconomic Environment

This subchapter deals with the general socio-economic situation of STP and particularly that of the island of S. Tomé and the project area, with emphasis on the land occupation model and other factors that may have a bearing on the planning, construction and operation of the road and the coastline to be rehabilitated, including the possible need for resettlement.

São Tomé and Príncipe islands were uninhabited until 1470, when the Portuguese navigators João de Santarém and Pedro Escobar discovered them. From the 15th century until its independence on July 12, 1975 STP was a Portuguese colony.

Some of its most striking features highlight sugar cane and cacao cultivation introduced in the islands, which was associated with the importation of African slaves to the archipelago. The decline of the sugar business due to competition with Brazil is reported to have made the islands mere slave exchange points. And the economy was dominated by cocoa and its emblematic plantations that lasted until independence in 1975. These were then followed by the facts narrated in various sections of this report.

Presently, just over 95% of the population of the archipelago of S. Tomé and Príncipe lives on the island of S. Tomé, leaving only less than 5% living on Príncipe Island and S. Tomé being the main concentration of human activities, with all the beneficial and less beneficial consequences deriving from this.

The population density of the archipelago, i.e. above 156 inhabitants per km<sup>2</sup>, is already relatively high when compared to the standards of sub-Saharan Africa and this is mainly determined by what is happening on the island of S. Tomé. At around 65% of the total population, the urban population is relatively high despite the fact that this translates into concentrations of populations in small urban areas and above all settled horizontally (there are few high buildings in S. Tomé), with the exception, perhaps, of S. Tomé which together has a little more than 71,000 inhabitants concentrated on one side in a single consolidated small urban area and on the other disposed in a relatively dispersed way and mixing several economic activities throughout the district of Água Grande. Guadalupe is more like the second area of S. Tomé and Neves is a combination of small consolidated areas and many with more precarious but high-density housing. Migration from rural areas was strongly influenced by the disarticulation of the cocoa industry soon after Independence.

The whole population grows at a rate of about 1.84%, which, on the other hand, is relatively low when compared to the rest of Africa.

Increasing urbanization means, among other things, greater needs for transportation, energy pressure on natural resources. The use of fuelwood and wood for energy and housing is remarkable, which represents a significant threat to the sustainability of forests especially when, as it often seems to happen, their exploitation is not always regulated and good practices are not followed.

Access to clean water is about 90% with urban areas approaching 99%, which is also considerably high compared to sub-Saharan Africa standards. Sanitation coverage (based on improved services) is low, i.e. on average stands at 35% for the population as a whole and at around 41% for urban areas. The remaining population uses not recommended services. The deficiencies in environmental sanitation services are also visible and sensitive in urban centers in S. Tomé in the form of concentrations of municipal solid waste that is not collected regularly and spread in disorderly spaces,

open fecalism especially on the beaches that surround seaside towns and other harmful practices that translate into bad smells, proliferation of vectors, and so on.

The main industries and sectors that mobilize local labor force are agriculture, which is dominated by cocoa, coconut, coffee and vanilla, and by the industry itself, with the main occupation areas being light construction, textiles, fish processing, wood, manufacture of soaps and beverages, mainly beer. The latter is brewed in Neves, capital of the Lembá District and is the only brewery in the country.

**Figure 4-2: Typical wood houses in S. Tomé (Neves)**

The distribution of the active population by the main sectors of activity is as follows (i) agriculture (19%); (ii) industry (16%) and services (65%).

The level of unemployment is officially estimated at 14%, with a workforce of around 65,000 people. More than 63% of the population of São Tomé and Príncipe is between 0 and 24 years of age, which is a sign of a lot of youth and of significant growth and employment needs.

Urban and population growth tend to aggravate what can be termed a relative disordered occupation of physical spaces and may have implications for rehabilitation interventions, particularly as these relate to the possible realignment of roads and other related areas. At the outset there are many limitations to act without significantly interfering with the current land occupation pattern.

It seems that the urban centers of São Tomé were designed for small populations without concern for the projection of growth that has taken place in the last four decades.

One of the results of the above phenomenon is that the width of the roads is significantly small. This extends to the EN1 (between 5 and 7 m) and even sections of the Pantufo-São João and Aeroporto road that may be subject to the coastal protection works. Associated with what appears to be a regulatory loophole or enforcing on the minimum distances to be observed in establishing other infrastructure/economic activities along the roads, it is noted that, mainly along the EN1 and in urban areas, there are different types of infrastructure and other assets (e.g. areas of various uses and types of plants, electricity poles, lighting, telecommunications) at very short distances from the road (up to less than 2-3 meters) or even encroachment, i.e. various objects and social activities that practically invade the road (e.g., sidewalks, stairways, etc.).

In the three urban centers of the project area, examples of the above are abundant, and these are, in Neves (km 27), but not only, situations that can be considered critical as shown in Figure 4-3 and Figure 4-4, below.

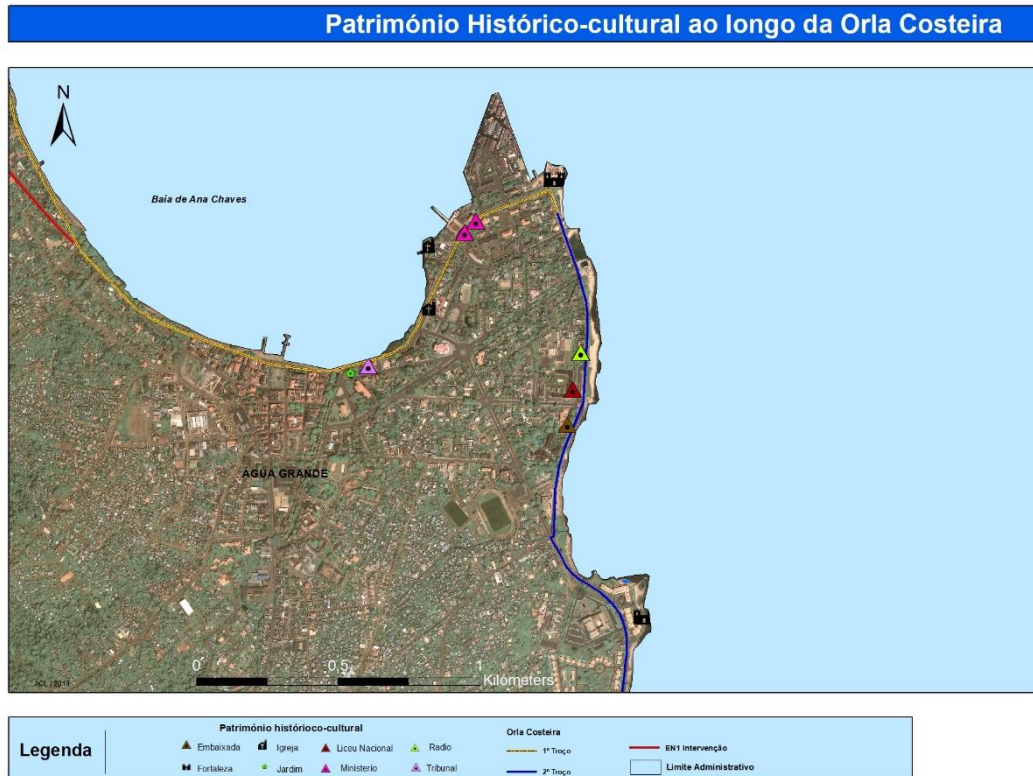
**Figure 4-3: An overview of socioeconomic activities encroaching on the road Neves (km 27)**

In this document and in the ESMF this will be a recurring subject in the discussion and consideration of rehabilitation/design actions and the project social receiving environment, with a view to recommending ways of harmonizing interests. The settlement and land use model along EN1 is clearly a limiting factor. This tends to be aggravated, in a series of sections, by the hypsometry of the area itself.

Figure 4-4: A restaurant close to the road in S Tomé

As listed below the two infrastructure components of the project are also located in areas with a certain presence of buildings and other objects of historical-cultural value that enjoy special local status. Mainly the rehabilitation of roads associated with the coastal protection process will have to deal with this phenomenon considerably.

Figure 4-5: An overview of monuments along the two project areas



Along the coastline of S. Tome, it was possible to make the following listing of places of historical-cultural interest, which Figure 4-5 seeks to portray.

1. **Church of the village of Pantufo/old neighborhood of Dr. Vieira Machado:** built in the fourth phase of urban development - consolidation of the city, beginning of the nineteenth and twentieth centuries, a period during which the island was considered a hostel of the Atlantic.
2. **Fortaleza de S. Jerónimo:** a simple construction, now in ruins, whose date according to the scoreboard in Roman numeration is: MDXXX. Built in the year 1613 or 1614. According to Lopes de Lima, "a fort was built - the fort of São Jerónimo - whose objective was to defend the fortress and the port connected to the city."

Figure 4-6: Vista da Fortaleza de S. Jerónimo ao longo da orla costeira da Cidade de S. Tomé



3. **Fortaleza de S. Sebastião/current National Museum:** with a quadrangular plan and four bastions, its construction begun in 1566, possibly restarted and completed in 1575, in the reign of D. Sebastião, due to the revolt of the Angolans in 1574, and due to the attacks of the French corsairs on the other Atlantic islands dominated by the Portuguese.
  - a) The concern to ensure the defense of the city, was at the base of the creation of a set of fortifications.
4. **The Customs Building:** built in the second phase of urban development, the implantation of new institutional buildings, with the increase of commercial activities, with emphasis on the slave trade and the cultivation of sugar cane. This building controlled the goods and its location is only known in a cartography of 1888/89.
5. **Building of the Post and Telephone Services/current building of the Courts:** built with stones resulting from the demolition in 1913 of the Misericórdia Hospital.
6. **Church of the Cathedral/Mother Church of N<sup>a</sup> S<sup>a</sup> da Graça:** it was built next to the foundation of the old church of Santa Maria, by order of D. Sebastião, in the year 1576, when a new church of the Cathedral was opened and continued to work on it until the year 1578. Construction was not completed. In March of 1863, repair works began.
7. **- Republic Square/current Independence Square:** it came about during the third phase of urban development - the expansion of the city, (late 16th century beginning of the 17th century). This is a period marked by the development of maritime-commercial activities. After 1975 it was renamed Independence Square.
8. **Ana Chaves Bay:** where the city of São Tomé had its headquarter: the village was founded by Alvaro de Caminha in 1506-1510. By then it already had 250 houses of modest construction, made of wood, only one or two rooms and covered with wood. The first constructions existing in the early sixteenth century were the Tower, the churches of Santa Maria and S. Francisco, the church Mother of Our Lady da Graça, the Conceição church and the church of the Misericórdia Hospital.

9. **Bom Jesus Chapel:** built in 1770, it benefited from restoration works in 1936, whose extension is unknown. The tombstone inscribed on the façade of the tower refers that it was "rebuilt in MCMXXXVI".
10. **Chapel of Our Lady of Belém/present Bom Despacho:** it was founded around 1617. It was restored in 1965 under the works of the architect Luis Benavente.
11. **Silva Cunha Technical School/current National High School:** with a balanced expression between the traditional and the modern, evident in several other Portuguese high schools around the world in the years 1950-60: a central and elevated portico presents on each side two long wings, of rational design in two floors, with spans modulated and sequential corridors.
12. **Porto and the warehouses to store sugar:** they constituted the fundamental urban elements of the origin of the city of São Tomé. The warehouses located near the coast and near the port, in the place where later (century XIX), warehouses were installed to store cocoa and coffee. This port, besides serving to increase the commercial activities, was the access by sea and the facility to access to the sea by the beach and revolving plate of the entrance and exit of the slaves (golden period of the slave traffic). It was during the second phase of urban development of the city of São Tomé.

The famous Oca tree (*Ceiba pentandra/Bombax pentandrum L.*) (Figure 4-7), in Conde, which, in addition to its magnificence, the locals consider that it possesses historical and cultural value. It is said that it could be more than one hundred (100) years old and is one of the most prominent references throughout EN1.



**Figure 4-7: Oca tree in Conde**



As can be seen in Figure 4-7 the tree shows a considerable encroachment on the road. This and other objects of similar value should be given appropriate attention.

#### **4.2.1. Important Socioeconomic Environment Traits in the Project Area**

The most striking socioeconomic trait in the project area is the one that stands out from the descriptions made above and it is related to the land occupation model. It translates into limitations for measures that may require more space for possible realignments of the roads.

The limitations practically tend to make most of the Scenario 0, i.e. without any kind of intervention (regular maintenance), as being the most feasible or the only one possible. This Scenario would be attractive if EN1 was to be reserved for other types of developments and uses as could be for example tourism. In this sense, it would serve as a facilitator for access to picturesque and typical areas of S. Tomé but would be of little use and marked by low load capacity, limitations of vehicle volume, speed of

movement and other limitations. Providing support to national traffic for most economic activities, opting for current maintenance (Scenario 0) raises many problems and clearly delays the development of a road or roads that are already necessary and will continue to be increasingly necessary as the population grows accompanied by other forms of economic and social development.

The issues raised above go beyond the scope of this project and its environmental and social safeguards and can only be referred to the highest levels of governance including the Road Master Plan that the country already feels is necessary. It will be up to this plan to equate in time and in space how to get out of the existing dilemma.

This ESMF and the associated RPF will attempt to optimize any of the Scenarios currently under consideration or any combinations of these three Scenarios. What is undeniable is that, given the problems that exist, practically any intervention will be better than doing nothing. On the other hand, it is possible to develop the various components of the project without causing major impacts and without extending to larger areas that go beyond the nearest places.

On the other hand, due to its history dating back to the fifteenth century, with the arrival of the first Portuguese navigators, the occupation that followed, the arrival of slaves and other inhabitants to the archipelago for the sugar and cacao businesses, the use of the archipelago as a trading center for slaves from the sixteenth century onwards, cocoa plantations, etc. the City of S. Tomé and its surrounding areas exhibit a considerable heritage wealth from the historical-cultural point of view, which, in its own way, documents these developments. This can be seen in monuments and other buildings in several points, but especially on the coastline of the capital city.

The planned coastal protection actions will have to be in line with the good practices recommended by the GSTP and the BM in dealing with this type of heritage.





## **5. POTENTIAL PROJECT IMPACTS**

### **5.1. Overview**

During planning, but especially during construction, operation and maintenance and eventually during project decommissioning activities there is the potential to interfere positively and negatively with the various components of the natural and social environment. The ESIA will make an inventory of all impacts and for each identified impact the following evaluation criteria will be used:

- Nature of impact (positive or negative)
- Recipient or resource affected (soil, water, air, cultural, social, economic, historical, aesthetic)
- How the project affects the receiver (directly, indirectly or cumulatively);
- The probability of occurrence;
- The scale of space (extension); and
- The time scale (duration).

Then, for each of the impacts, management measures will be drawn up, which in turn will be captured in an ESMP and in the Resettlement Action Plan (RAP). A preliminary identification and evaluation of these impacts is presented in the subchapters below, and some management measures to be subject to more detailed investigation during the preparation and implementation of the ESIA/ESMP and RAP are also outlined.

As illustrated in the preliminary assessment presented in the ESFM of this project, it should be characterized by moderate and localized impacts on the different components of the receiving environment.

Both in relation to the positive impacts, in relation to which optimization measures should be envisaged, and in relation to the negative impacts, which will require management and mitigation measures, it is in the social and economic environment that there is some potential for significant impacts to arise if the most appropriate are not taken. A preliminary listing of these impacts highlights the following descriptions.

### **5.2. Preliminary Socioeconomic Assessment of the Project Area**

#### **5.2.1. General Characteristics of the Households**

An initial assessment of the socio-economic environment and potential impacts and perceptions of the project was undertaken at the preliminary stage related to the formulation of the environmental safeguards instruments (ESMF and RPF).

The exercise was based on two main types of methodologies, that is, qualitative and quantitative, to gather and process the various types of information. It was a mix of evaluation methodologies. The qualitative methodologies were based on (i) continuous literature review including the consultation of maps and other forms of information; (ii) conducting interviews, focus group discussions with relevant people; and (iii) direct observations in the field. Focus groups interviews and discussions were conducted particularly with (a) municipal authorities, and (ii) representatives of GIMes.

The quantitative methodologies, which on the one hand express the attempt to gather more objective data on the socioeconomic environment, consisted mainly in the

administration of a questionnaire (Annex 5<sup>8</sup>) to the households (HH) that live along the EN1. Preference was given to registered HH living very close to the road at a level that already allows to predict potential interference with the expected rehabilitation actions.

As shown in Table 5-1 the exercise ended up focusing on 103 HH distributed by the three districts

**Table 5-1: Distribution of the interviewees by district**

District	Frequency	%
Água Grande	4	3.9
Lobata	78	75.7
Lembá	21	20.4
Total	103	100.0

It is evident that it is in Lobata district that there are likely to be more interferences between the road rehabilitation and local people while within this district the localities of Conde and Guadalupe are also those raising more concerns.

**Table 5-2: Distribution of interviewees by locality**

First Name	Frequency	%
Água Toma	4	3.9
Neighborhood da Liberdade	1	1.0
Neighborhood de Liberdade	1	1.0
Budu Budu	1	1.0
Budu-budu	1	1.0
Conde	29	28.2
Guadalupe	24	23.3
Guadalupe Kilombo	2	1.9
Ilheu	9	8.7
Laranjeira	1	1.0
Menguana	1	1.0
Muandy	1	1.0
Neves	6	5.8
Quilombo	2	1.9
Ribeira Funda	4	3.9
Rosema Neves	7	6.8
Santo Amaro	9	8.7
Total	103	100.0

#### 5.2.1.1. Demography, education and employment

The 103 HH represented 319 members, with the mode standing at 3 members (31%), followed by 2 members (23%), and in the third position the HH having only 1 member (18%). And in this case the average is 3 members per HH. This establishes a small

<sup>8</sup> The preliminary survey used a shorter version of the template presented in Annex 5.

contrast with the data from the 2005/06 INE<sup>9</sup> survey (accessed during the study), which states that “the average household size in the country is estimated at 4.5 people. The number of people per household is higher in the urban areas (4.8) than in rural areas (4.4)”. But it is quite possible that between 2005/06 to the present day there has been some change or simply that the data collected are not necessarily representative of the overall population. This would be normal given the small size of the sample and its bias.

It was uncovered that 62.1% (64) of the total number of heads of the surveyed HH are male and 37.9% (39) are female. This coincides significantly with the results of the 2005 National STP HH Survey (QUIBB-2005, INE (April 2006), which states that “of the total household heads, 63.4% are male-headed against 36.6% led by women”.

In general, 51% of the HH members are men and 49% are women. As a civil status 95% declared themselves to be unmarried and only 4% declared to be married while 1% indicated being widows/widowers. 94% live in the surveyed houses and only 6% reported being absent, usually out of the country working and/or studying.

Regarding the level of education, Table 5-3 shows that those who cannot read or write represent only a little less than 7%. The remainder are divided by various levels and types of education, including university degree holders (close to 7%).

**Table 5-3: Levels of education by the HH members**

Education Level	Frequency	%
None	21	6.5%
Can read and write your name and some numbers	9	2.8%
Kindergarten/School	7	2.2%
Primary (1st/7th grade)	56	17.3%
Secondary I (8th/10th grade)	62	19.2%
Secondary II (11th-12th class)	82	25.4%
Vocational Training/Basic Level (8th/10th grade)	41	12.7%
Vocational Training/Technical Level (11th-12th grade)	13	4.0%
University	22	6.8%
Do not know	10	3.1%
Total	323	100.0%

The employment situation confirms the significantly precarious situation in which the members of the HHs find themselves in. Only about 32% reported having formal employment. The remainder (also after taking out the minor children and students) are distributed as shown in Table 5-4.

**Table 5-4: Employment status of the members of the HH**

Employment	Frequency	%
Children (under 5 years old)	9	2.8%

<sup>9</sup> National Institute of Statistics

Employment	Frequency	%
Students	102	31.8%
With formal employment (formal contract and regular salary)	51	15.9%
With informal employment (no contract or formal agreement)	37	11.5%
Seasonal Worker	5	1.6%
Self-employment	56	17.4%
Unemployed (actively seeking employment)	35	10.9%
Domestic (not looking for a job)	17	5.3%
Retired (receiving pension)	2	0.6%
Disabled and not employed	7	2.2%
Total	321	100.0%

Outside the domestic work of those who work the main occupation is agriculture side by side with teachers/nurses, commerce and others.

**Table 5-5: Main area of occupation of the members of the HH**

Area of occupation	Frequency	%
Agriculture	30	14.6%
Fisheries	4	2.0%
Handicraft	2	1.0%
Housework	45	22.0%
Shopping (store)	27	13.2%
Trade (tent or other informal business)	20	9.8%
Mobile retail or on the ground	6	2.9%
Unskilled worker (no skill - e.g. housekeeper)	18	8.8%
Skilled worker (skillful, self-employed)	18	8.8%
Professional (with formal contract - teacher, nurse)	29	14.1%
Other (please specify)	6	2.9%
Total	205	100.0%

The most important employers are distributed as shown in Table 5-6, below.

**Table 5-6: Main employers**

Employers	N	Percent
Government	44	24.2%
Private company	19	10.4%
Individual	37	20.3%

Self-employment	73	40.1%
Relative (with remuneration)	7	3.8%
Relative (without remuneration)	2	1.1%
Total	182	100.0%

Most people (close to 70%) develop their own businesses (personal or family), followed by those working for the government and finally for the private sector as such.

#### 5.2.1.2. Housing, possession of goods and access to services

As for the time in which the HHs have been living in the project area it was uncovered that some of them have been there from 105 years to only 1 (one) year. The mode is made up of those who have been there for 20 years (10%) and then there are very scattered values although the 20 years are followed by 12 years (7%) and 2 years (6%).

**Table 5-7: How the house in which the HH currently lives was acquired**

Mode of acquisition	Frequency	%
Self-construction	61	64.9
Purchase	3	3.2
Heritage	16	17.0
Received as donation	4	4.3
Rent (pay rent)	10	10.6
Total	94	100.0
No information	9	
Total	103	

Nearly 65% of HHs live in self-built homes, followed by those who received them by inheritance (17%), and thirdly, those who rent and pay rent (close to 11%).

The HHs have a series of trees where the "fruit tree" ("fruteira") predominate, but in general the numbers are dispersed and do not present significant levels of concentration. The same goes for the possession of animals.

The main mode of locomotion of people is by foot (close to 50%), followed by paid motorized private transportation (30.4%). The use of personal transport (8.4%) and the public itself (7.4%) is still low.

**Table 5-8: Main mode of locomotion by the members of the HHs**

Mode of transportation	Frequency	%
On foot	154	49.8%
Personal Car	26	8.4%
Free transportation in private motor vehicle	10	3.2%
Paid transportation in private motor vehicle	94	30.4%
Public transportation	23	7.4%
Other	1	0.3%
No information	1	0.3%
Total	309	100

The picture shows relatively serious transport deficiencies, which can also be seen by the precarious means in which many people are transported in the project area (e.g. motorized and sometimes open carts). The costs of maintaining vehicles due to the precarious state of the roads and the costs that this translates into for the users and owners of the vehicles are certainly behind this scenario.

However, the need to travel seems to be great, as close to 60% of the respondents indicated that they do it "every day" and to move "in and around the same neighborhood" (27%), "to visit other neighborhoods" (25%), "in the same locality" (8.5%), "in the same district" and (22%) and "to go to the nearest city" (17%).

**Table 5-9: Reasons for locomotion**

Reason for travel	Frequency	%
Going to the agricultural field	33	10.9%
To work	72	23.7%
To study	92	30.3%
Make business	14	4.6%
Purchase	39	12.8%
Go to the hospital	2	0.7%
Go to the church	6	2.0%
Visiting family/friends	23	7.6%
Walk/leisure	23	7.6%
Total	304	100.0%

The reasons are presented in Table 5-9, which emphasizes the primacy of using transport to go to school, followed by going to work to go shopping and go to the agricultural fields.

### 5.2.1.3. Knowledge and perceptions about the project

The Transport and Coastal Protection Project (TCP) is still little known in the project area. This is conveyed by the fact that only 23.3% have mentioned having ever heard of it.

**Table 5-10: Main sources of information about the project**

Information sources	Frequency	%
Friends/neighbors	7	29.2
Press (radio, television, newspapers, magazines)	11	45.8
I participated in project presentation/discussion meetings	2	8.3
Heard rumors	4	16.7
Total	24	100.0
No information	79	
Total	103	

Sources of information vary, but the press (46%) and friends/neighbors are dominant. There is a certain prominence of knowledge through the "hear say" (rumors).

Nearly 65% of the respondents stated they were either very happy or happy with the project. 20% indicated waiting to see and close to 14% have no opinion and only 2% have declared themselves unhappy with the same.

In case of resettlement compensation preferences for the main areas of potential loss (i.e. infrastructure, trees, crops, etc.) are dominated by substitution followed by cash compensation.

#### **5.2.1.4. General considerations**

It is noted that the project is already somehow known, although this is still by a small number of people. People generally have few opinions about the project and are not aware of the possible environmental and social implications, especially since, unlike in some countries, resettlement actions are still not common in STP.

In certain countries barely speaking of road rehabilitation people soon evoke the issue of resettlement, which is sometimes accompanied by many types of reactions that can range from rejection to opportunism that can translate into “con” investments in the right-of-way and/or impact corridor only to claim compensation. So far, none of these aspects are apparent in this case.

Even the issue of employment opportunities has only been elaborated by representatives of GIME, who have received more systematic information about the project and expect to be able to have an increased source of work which, given the latest developments, since they were established in 2005, could be one of the most significant jobs they've ever been involved in. It is noted that GIME harbors a great expectation regarding the project that should not be defrauded, once the conditions are ready.

As for the remaining groups of people the public meeting to present and get feedback about the ESMF and the RPF was the most comprehensive open moment. Thereafter efforts should be made to make the main actions more public and informative, albeit without creating false expectations or spreading unjustified fears. The process of ESIA and ESMP preparation currently underway should be particularly used for this purpose.

### **5.3. Main Environmental and Social Concerns Related to the Project**

In addition to the direct observations and findings of the Consultant as well as data from interviews with a limited number of informants, including those obtained from GIME/FENAME members, there was, on 22 June 2018, at the United Nations building, in the City of São Tomé, a public meeting to present the Drafts of the ESMF and RPF and obtaining feedback from the participants on the project itself and on environmental and social safeguards instruments. The minutes of this meeting are presented in **Error! Reference source not found.**

The following lines present a summary of the main issues that seem to concern the different entities regarding TPC development.

1. The different stakeholders, especially those in the areas of transport, general infrastructure that normally coexist with roads (e.g. energy distribution, telecommunications, water supply and sanitation), engineering laboratory services, etc. believe the TPC has a considerably structuring character. Therefore, it is advisable to not develop it without proper consideration of what the interests of these entities can be in relation to its several characteristics such



as road geometry, alignment with other developments to make sure that in specific and agreed timetables the other complementary elements are developed without creating additional disturbances/losses;

2. Also related to the above subject, the Tourism sector understands that the development of the road should not be done at the expense of de-characterizing the area with respect to its enormous potential for tourism. The panoramic features typical of the area that give it its own San Tome identity should not be forfeited in the name of the convenience of the transport sector and without regard to tourism attractiveness;
3. In a more direct way the roads rehabilitation actions should go hand in hand with a work of converting the current fleet of vehicles characterized by being obsolete and therefore harmful to the roads. Other interventions are necessary aimed at giving the country newer and less polluting cars, especially those providing public service (collective transport and taxis);
4. There is concern about the type of interventions that will be adopted to stabilize mountain slopes from where it is possible to emphasize the interest in not seeing everything being solved using "concrete". "Green" measures should be adopted as far as possible. While at the same time providing security, they will lend a more aesthetic and healthier environment;
5. The Rehabilitation Scenarios to be adopted should not be seen in a juxtaposed way, i.e. that the different Scenarios are not mutually exclusive. As many combinations as those necessary to respond to the various conditioning factors (i.e. environmental, social, technical, economic, financial, etc.) should be considered;
6. While GIMEs believe that the rehabilitation actions foreseen in the two infrastructure components of the project offer a unique opportunity for the materialization of the mandate for which they were created in 2005, there are those who do not think that all the labor-intensive work should be given to these groups. There should be dedicated efforts to involve other members of the public not directly linked to GIMEs;
7. Both private and public entities, singular and collective, are concerned about how exactly the project will address the different categories of impact on their livelihoods and/or assets. What kind of compensation will be associated with each category of affected people/assets?
8. It is also necessary to take reasonably concerted measures to prevent "opportunistic" actions from different categories of entities who could use the knowledge that they may have about rehabilitation actions in order to engage in "bad faith" occupation, only for them to be able to claim compensation.

Even so, a part of public opinion is in favor of a rehabilitation action that introduces major changes because it is understood that this is what the road (mainly EN1) needs at this moment.

In the subsequent phases of development of the two infrastructural components of the project and beyond, all these issues must be duly considered and addressed in terms of the dissemination and involvement of the different interested and/or affected stakeholders.

## 5.4. Potential Project Impacts on Socioeconomic Environment and Mitigations Measures

The project is clearly associated with a variety of beneficial impacts on the socio-economic environment. These should be optimized, and the few potential negative impacts avoided and/or minimized to the maximum. Some of the most important of these impacts include, but are not limited to:

### 5.4.1. Job Creation

During **construction**, one of the direct positive impacts of the project will be the creation of employment and business opportunities for local communities and entities that will supply goods and services to the project. The Contractors will employ skilled and unskilled labor for the execution of the contracts, such as socio-economists, engineers, professional technicians, security, casual workers, cooks, cleaning staff to the sites, among others. The execution of works can increase income for local people and organizations improving their current conditions. Even during construction, there are indirect employment opportunities through other local services such as small businesses and services to be provided for workers in construction and construction sites in general. Among the small vendors, including women are the elderly and the poor. Within this project there is an intrinsic interest in deliberately engaging GIMEs and labor-intensive works where this is applicable as one of the ways to lower costs and increase the possibilities of benefit sharing. This will need to be properly considered in the project design.

The **operation** of the road means more traffic and more people using the road. This may create self-employment opportunities for small businesses for sale of local products and not only for travelers. Additionally, small businesses (ex.: passengers) may employ more people.

Road **maintenance** activities create job opportunities for national companies and for the poor local population with no formal education, as could be the case of members of the GIMEs and the women that these represent. The companies may include small/medium-sized construction companies for repairs and maintenance of roads. This will bring an increase of income for local communities and possibly improve their living conditions.

Important local organizations are the GIMEs, which bring together a little more than 70% of members who are female. Their recommended involvement in maintenance works (and where possible also in construction) will bring increased incomes to local communities and possibly improve their living conditions, especially those for women who might otherwise have no other opportunities.

All activities relating to demobilization and dismantling of sites and restoring of damaged areas can also create employment opportunities for small businesses and the local communities.

### Improvement measures

- Ensure the involvement of the local structures and the communities that live along the sections to be benefited directly by the employment opportunities necessary to carry out the works;
- Employment opportunities should be explained clearly and realistically not to raise false or too high expectations;

- The Contractors shall prepare lists of the type of hand-unskilled labor needed, clearly indicating the number of posts, duration, working conditions and remuneration;
- Create opportunity for small traders and suppliers of local goods and services to serve the Contractors during the execution of works;
- The positive impact on women's living conditions can be encouraged further if the Contractors have specific orientation to give opportunity to women at the time of hiring of unskilled labor;
- All contracts and relations established between the employer and employees must be guided by the national labor law.

#### **5.4.2. Increased agricultural and forests production**

The workers engaged in the road construction works will increase the demand for agricultural and livestock products and forestry (timber, fuel wood, food, and others), which can encourage local production.

The poor state of roads is one of the main constraints to agricultural marketing in STP and the area of influence of the project is a good example of this situation. During **operation phase**, a bigger and better exploitation of forest concessions, increased agricultural and greater marketing production areas can be expected. This increase will be the result of the improved circulation conditions that facilitate the placement of their products on the market. Additionally, the situation may be related to the increased availability of agricultural inputs or by using public programs as well as NGOs or private sellers, encouraged by the demand for these services by producers. This will result in higher family income of the households and operation of plant and animal production companies in that section.

#### **Improvement measures**

- Increase access to agricultural extension services to local producers;
- Deliver more agricultural inputs to encourage local production;
- Implement the mitigation measures listed in the project impacts on the biological environment and management measures to prevent habitat destruction and to prevent illegal hunting of animals, especially in the conservation area (PNOST).

#### **5.4.3. Attracting of investments**

The road construction works will attract companies and investors both during **construction** and **operation phases**. Improved mobility conditions can be expected to propel or attract investments that are currently operating on a limited way or that are not triggered because of the related operating costs associated with the poor state of the road. Among the investments that can be attracted by the good road conditions are: agriculture, tourism, timber industry and transportation.

New investments mean more jobs and consequently improvement of living conditions of local communities.

#### **Improvement measures**

- Increased monitoring of forest concessions;
- Involvement of the promotional institutions of agriculture, tourism, timber, transportation, etc. to attract investment to the region.

#### **5.4.4. Increased revenue for the state**

During the road **construction**, the contractors will be required to import some materials that require custom clearance and hence generation of revenue for the state. Additionally, the creation of direct and indirect jobs during the construction will increase the local tax base with direct effect on the tax revenue.

During the operation of the road, a large increase is expected in the movement of people and goods in the project area and beyond, with direct tax revenues to be collected from these activities. Additionally, it can be expected that the number of contributors will grow due to jobs creation in trade and other investments attracted by the improved road.

One can therefore conclude that, indirectly, the project may contribute to state revenues to be used to invest in other social infrastructure throughout the country.

#### **Improvement measures**

- Improve the revenue collection system by the tax authorities and the careful allocation of resources to ensure an adequate flow of funds for O&M of public and municipal roads and infrastructures.

#### **5.4.5. Reduction of transport costs**

long distances, high transportation costs, poor road and lack of transportation is a major challenge for poor and vulnerable communities (women, children and the elderly) to have access to markets, financial services, health centers and schools and vibrant community life in general. The transport cost is unbearable for the communities living along the road, almost prohibitive, hindering access to all basic services. Improved road conditions will allow existing carriers and new interested operators to introduce buses with capacity to carry more people and at a lower unit cost than current situation. Moreover, there will be reduced maintenance costs due to improved conditions of circulation. Thus, the operators should reduce the transportation costs.

Cumulatively and indirectly the reduction of transportation costs will provide an increased flow of goods and people, increased agricultural production and marketing, better access to basic services, etc., i.e. with direct impact on the living conditions of the poorest and vulnerable population.

#### **Improvement measures**

- Ensure the involvement of local associations of carriers to participate in the operation of the road section in the transportation of goods and services;
- Together with the protection of institutions, establish adequate tariffs for the transportation of goods and people;
- Create parking conditions with safety and convenience in the main stations/destinations.

#### **5.4.6. Social Inclusion and Community Participation**

Communities living along the EN1 have limited mobility due to their economic, social or physical dependence. Women, particularly the poor and those who have children, tend to be economically dependent on their husbands; young people and children and dependent on their parents and the disabled dependent on their relatives. The spatial isolation, poverty and social exclusion, prevent people from getting out of poverty.

Thereby improving access and mobility is crucial to reduce the isolation and dependence of women, youth, the elderly and people with disabilities and thus facilitate their participation in the economic, social and political processes.

People will visit each other more often once the road is in a better circulation condition and this will strengthen ties in the community bonds among its members.

#### **Improvement measures**

- Strengthening of public, private and NGOs initiatives in the areas of training, social services, education and health awareness, etc. especially for the most disadvantaged (elderly, children, differently able people, combating poverty associations, etc.).

#### **5.4.7. Improved Access to Social Services**

The improved road will contribute to improved mobility and therefore to improved access to health services. Additionally, it will help expand the distribution of medicines and facilitate the safe and timely transport of patients from other health facilities to the referral health facility in S. Tome, for example. Access to health services is particularly important for the treatment of chronic diseases such as tuberculosis, HIV treatment and other preventive treatments and/or immunization among communities with limited access to transportation.

Additionally, other services will be closer to the citizens, e.g. better access to other services such as birth registration. In addition to facilitating the work of the police, it is expected that the local governments will be closer to the relatively isolated communities due to the difficult conditions of mobility on the road.

#### **Improvement measures**

- Provision of basic social services to the local community.

#### **5.4.8. Potential Impacts on Gender**

The positive impacts of the project on employment opportunities, income generation, potential for increased local production, attracting investment, increased tax revenue, greater access to public services can have a significant impact on women. Women are directly engaged in the activity of agricultural production and small businesses that can prosper throughout the year, with rehabilitated roads and the coastal/marginal areas.

#### **Improvement measures**

- The important aspects to consider with respect to the gender issue are to ensure that the project design and implementation recognize that men and women have different needs and transport constraints and that they are affected differently by such projects;
- Through own internal policies and/or set in the contract, establish a minimum quota of direct participation of women in project implementation activities.

#### **5.4.9. Expectations on the short-term solution for road access and lack of employment**

Given the importance of circulation problems and consequent relative poverty along the EN1, the project creates very high expectations in the population of the impacted districts and cities and particularly in communities living along this road as an immediate solution to all problems. However, there are steps to be followed for materialization of the project and subsequent use of the benefits of this important infrastructure. The rehabilitation of the coastal/marginal areas are also promising in terms of promoting local business and employment opportunities. Apart from the specific improvement of access, there is a huge expectation for resulting employability from the project.

##### **Mitigation Measures**

- Dissemination of information in the local communities as to the scope of the measures to be taken in the short term, to prevent false expectations and to ensure the credibility of the project among the communities;
- Coordinate with local authorities, local and traditional leaders on the timing of the development process and the project implementation goals.

#### **5.4.10. Conflicts between workers and local population in the project area**

Large projects (and this project is significantly large for the STP conditions at present) often generate social conflicts between workers who are temporarily in place and resident community. These incidents are generally related to socially unacceptable behavior contrary to the local social standards, for example, cases of drunkenness and disregard/disrespect towards local customs. Although part of the manual labor will be recruited locally, this impact should be considered not only in the case of other workers from other areas, but also with respect to the local workers which could lead to social unrest in the community once some of the members start having regular income while their seasonal jobs last.

##### **Mitigation Measures**

- Reinforce the importance of maintaining a good relationship with the local communities in dialogue with the health and safety workers;
- Among local workers there should be a liaison group with the community responsible for establishing communication between the project staff and the community, which is particularly important in cases of conflict. This group should be familiar with the project in general and be able to properly eliminate any difficulties or pass on any complaints/claims;
- Asset of rules (or a Code of Conduct) must be established and implemented in the workplace. The standards should include, among others, the prohibition of entry of outsiders or unauthorized to project premises and the prohibition of prostitution in the construction sites and related areas (e.g. storage areas).

#### **5.4.11. Destruction and loss of assets**

Throughout the section there are several assets (parts of houses (stairs, walls, walkways), trees, businesses, poles, etc.) that are located on the road's right of way. Even though it looks possible to avoid having to relocate people to make road rehabilitation possible, parts of houses as well as trees, bunkers, fences and fields, etc.

may be affected by the rehabilitation of the road, specifically when making some detours and localized realignments to improve the road geometry. This is the impact that is more directly related with this document.

### **Mitigation Measures**

- A Resettlement Action Plan (RAP) or more than one RAP will have to be prepared for the Project in case the need for land expropriation is unavoidable. The RAPs will contain all the mitigation measures necessary that should be implemented before the start of works;
- When the Contractors accidentally damage any structure or property of the people, they should undertake the necessary compensation in coordination with the Local Authorities and the project Developer. Fair compensation must be paid to cover, among others the loss of tangible and intangible assets, disturbance of social cohesion and loss of productive assets;
- When the Contractors need to carry out activities around the houses and farmland, preference should be given to the use of manual working means;
- The locations for the installation of construction sites and warehouses along the road should be selected carefully, and whenever possible, in fields already open to avoid over compensation and destruction of the natural environment. The selected sites must be approved by the Developer;
- National legal instruments must be followed and reinforced by WB safeguards to ensure proper compensation and resettlement process.

#### **5.4.12. Disturbance of people and vehicle circulation during works**

The construction works will increase the traffic of heavy vehicles and equipment locally. This will disturb the patterns of access and circulation, involving traffic diversion and the difficulty of access, with the potential to create traffic congestion.

The transportation of goods or products to the markets could be negatively impacted during the **construction phase**. Inadequate planning of activities can affect the normal traffic, creating congestion and cause an increase in fuel consumption and the delivery time of the products.

Except in peak season for marketing of certain products (e.g. fish and other agricultural products), transportation of goods and products is only by means of some open vehicles. Thus, the project impacts during the construction phase and demobilization will be negligible on the current agricultural and fishing chain.

### **Mitigation Measures**

- Report traffic restrictions, where this is provided for;
- Install adequate signage in work areas, indicating alternative routes, speed restrictions and detours on the road while the works are taking place;
- Hire and train operators of traffic lights to guide drivers and pedestrians in high-traffic areas;
- Build a safe passage over the ditches that will be opened to minimize the inconvenience to the local population.

#### **5.4.13. Increased incidence of sexually transmitted diseases, including HIV/AIDS**

There is a potential for increased incidence of sexually transmitted diseases (STDs) and HIV/AIDS due to the project. During construction and maintenance, it relates to the possibility of local workers and outsiders who due to greater affordability having the power of attracting more women (both local and sex workers) to have sex. For workers outside the added fact is that they are working for some time away from their families. In addition, there is chance to attract or encourage sex workers to the project site. During operation, particularly because it is an important corridor, there is the possibility of an increase of sexually transmitted diseases because of helpers and drivers of trucks that are often associated with irresponsible sexual behavior. This risk is great. Awareness should continue mainly in busy areas.

##### **Mitigation Measures**

- Conduct awareness campaigns for workers on STDs and HIV/AIDS and how these are transmitted, including risk behaviors;
- Conduct or recruit a specialized organization to provide awareness services to community workers on prevention of STDs and HIV/AIDS. Special attention should be given to workers, local women and girls;
- Provide free condoms in the project area;
- Encourage workers and the community to do the HIV test in the existing health facilities;
- Encourage employees to submit to the treatment of STDs and HIV in early infection/diagnosis;
- Principles established in the law of protection of workers with HIV/AIDS must be followed, which include but are not limited to:
  - Employee who is infected with HIV in the workplace, as part of their professional occupation, in addition to compensation they are also entitled to, adequate medical care aimed at easing their state of health, according to the Labor Law and other applicable legislation, funded by the Employer;
  - HIV testing to workers, job seekers to assess them during their application, job maintenance or for promotion purposes is prohibited;
  - All testing is voluntary and should have worker's consent;
  - The developer/contractor must train and guide all workers to carry out their tasks even if they are infected with HIV/AIDS;
  - The developer/contractor must raise awareness among workers to prevent, and to know their status on HIV/AIDS and disseminate information about the disease and on how to prevent it.

#### **5.4.14. Risk of Malaria infection**

Despite the considerable progress made in reducing its incidence Malaria remains a serious health problem in STP. Therefore, preventive measures should be taken to prevent infection to workers and the community around the project.

##### **Mitigation Measures**

- focus should be given to preventing the occurrence of the vector (mosquito), i.e., the appearance of standing bodies of water and/or its increase (in number and surface area) which serves as a mosquito breeding site;



- Periodic Reduction of mosquitoes by spraying the dorms and the construction site in general;
- All construction sites should be kept clean to avoid formation of mosquito breeding areas.

#### **5.4.15. Road accidents**

During construction, there will be movement of vehicles and machinery with great intensity to and from sandpits, quarries, construction sites and especially along the stretches to be rehabilitated. The transport of materials and movements during earth moving increases the risk of road accidents both for workers and for the communities and animals.

The deviations will be required during the construction in some sections, but in general traffic will flow with some restrictions. These deviations are ideally kept in the road reserve. In sections where it is not possible, traffic will be diverted temporarily. The vehicles in such conditional situation as the deviations, increase the risk of road accidents.

Currently the road is unsafe for transporting in open box vans, for most pedestrians, cyclists and motorcyclists. In the operating phase, the improvement of the road conditions will allow people to be transported in the safest possible conditions, i.e., on buses or mini-buses instead of open vans. Additionally, the project provides an appropriate signaling including speed bumps, traffic signs.

On the other hand, improvement of road's mobility will encourage drivers to drive at a higher speed than which is possible with the current road condition and posing a risk for pedestrians, cyclists, bikers and pets.

#### **Mitigation Measures**

- Provide safety instructions to operators for vehicles and machinery in all aspects of the project operation, to prevent accidents and minimize injuries to employees and the public. Work instructions should include:
  - Training and capacity building of the drivers and machinery operators;
  - Training for drivers and machinery operators to improve their skills, if necessary;
  - Adoption of time limits for journeys and planning schedules and layovers for drivers to avoid fatigue.
- Provide adequate temporary signs and traffic controllers along the construction sections to prevent accidents and reduce traffic congestion;
- Ensure appropriate signage in all crossings to settlements and migration routes of animals (speed bumps, rumble strips, road signs, road markings) and to give alert on hazardous conditions;
- Do regular maintenance of vehicles and the use of original manufacturer parts to minimize potential accidents that can be caused by failures and malfunctions of equipment;
- Collaborate with local communities in education on road safety, particularly along the schools or other pedestrian concentration sites particularly those with children;
- Coordinate with the emergency team to ensure that in the event of an accident, first aid is always made available;

- Find the dormitories and other facilities next to the construction site and arrange transportation of workers, to minimize the external traffic;
- Restricted Access Areas to the public should be implemented and clearly demarcated.

The Contractors shall provide signaling and possibly regulate traffic in the deviations.

#### **5.4.16. Risk of destruction of historical-cultural resources**

Particularly during construction and especially along the coastal shoreline of the City of S. Tomé to be subject to protection measures, but also on that which extends through EN1, and as presented in Chapter 4, there are a series of assets of historical and cultural value for STP that could also be recognized as having value across borders. Coastal stabilization and protection actions are not directed at the monuments themselves and where there is an intersection between the actions that will be carried out and these assets all necessary precautions must be taken. And on the coastal shoreline as well as along the EN1 in general it may happen that unknown assets are found. This also requires that the appropriate procedures contained in this ESMF should be reflected in the ESIA/ESMP and subsequent actions.

#### **Mitigation Measures**

- Avoid interfering with any asset of historical cultural value
- Any intervention that has direct relations with objects of historical-cultural value must have the approval of the authorities of historical-cultural patrimony of STP
- Demarcation and protection (e.g. fence) of the area/object
- If something of historical-cultural value is accidentally found:
  - Immediately stop all activities in the area and surrounding areas;
  - Ensure controlled access and security to/of the area/object to prevent damage, theft or any other disturbance, until the competent authorities take charge and control of the situation;
  - Notify local and/or national competent authorities within a maximum of 24 hours after the finding;
  - Notify and inform all workers of the protective measures in force;
  - In case of objects/findings are collected, prepare an inventory and deliver it to the competent authorities;
  - From the moment of the finding, record all actions or events and report to the appropriate authorities.

### **5.5. Environmental and Social Management Plan (ESMP) and Resettlement Action Plan (RAP)**

The preliminary identified and measured impacts whose management and mitigation forms have also been preliminarily outlined will be subject to a more detailed evaluation in the ESIA and the ESMP and RAP will develop the more detailed management measures. The ESMP will be guided by the following objectives:

- Provide the entity that oversees the environmental area (now MRNEA), a tool to facilitate the environmental monitoring of all project activities considering STP environmental legislation;
- Provide clear guidance to the Developer/Contractors (their employees, service providers and others) regarding national legal requirements and international standards for sustainable environmental and social management;

- Incorporate environmental and social management into the Contractor's operational procedures;
- Serve as a plan of action for environmental and social management;
- Provide a framework for the implementation of measures to mitigate adverse environmental and social impacts;
- Prepare and maintain environmental and social performance records of project activities.

While the RAP will have the objectives and structure described in the subsequent chapters of this RPF.

## 6. PRINCIPLES AND OBJECTIVES UNDERPINNING THIS RESETTLEMENT POLICY FRAMEWORK

As soon as the details of land acquisition and involuntary resettlement become known, one or more Resettlement Action Plans (RAPs or A-RAPs (Abbreviated Resettlement Action Plans)) will be prepared to provide an implementation guide for the actions to be undertaken to avoid and minimize interference as well as to restore lost assets and livelihood standards.

When, however, the details of footprints of project intervention areas (that could lead to land acquisition and physical involuntary resettlement) are not fully known, as is the case with this project at this stage, a Resettlement Policy Framework (RPF) that establishes the policy principles and guidelines for the preparation, by the Borrower, of site specific A-RAPs (or RAPs) is developed for both compliance with WB OP/BP 4.12 and public information and discussion.

The principles outlined in the World Bank's Operational Policy OP/BP 4.12 as well as the GSTP guidelines have been used in preparing this Resettlement Policy Framework<sup>10</sup>. These principles and the resettlement measures related with them will apply to all relevant interventions, whether the scale and complexity of resettlement issues require preparation of an abbreviated RAP.

The Resettlement Policy Framework is being developed as part of Project preparation since the project is likely to involve acquisition of land use rights leading to some potential minimal losses/restriction of access to some livelihood support resources (although minimal) to open space for the road rehabilitation and coastal protection.

The objective of the Resettlement Policy Framework is to ensure that by screening changes in land-use and infrastructure development, it will be possible to identify where acquisition of land use rights for public use is inevitable, and where involuntary resettlement and compensation for local people's losses is unavoidable, that mitigating activities will be designed and carried out in a socially sustainable manner. This requires the provision of adequate resources to meet the needs of the project affected people (PAP) whether they are physically or economically affected by project activities. It also requires adequate, meaningful and participatory consultation with the project affected people to ensure that they fully understand their entitlements. Such participatory public consultation should include and pay attention to women, the poor and most vulnerable groups of the affected and host communities. This came out during the preparation of this RPF. Those who were consulted were not yet quite familiar with the various aspects around project and resettlement but were anxious to know what is likely to happen to the different categories of PAP.

Involuntary resettlement has the potential to cause severe long-term adversity, impoverishment, and environmental damage unless appropriate measures are carefully planned and carried out. The screening process provided through the development of this Framework is consistent with the Bank's safeguard OP/BP 4.12 principles and guidelines for Involuntary Resettlement. The policy requires that all activities financed by the Bank be screened for potential impacts, and that the required resettlement and

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<sup>10</sup> Involuntary resettlement should be avoided, or minimized, exploring all viable alternative project designs. Where it is unavoidable, 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.

compensation be carried out based on screening results. The Framework considers the provisions of the GSTP legislation and the World Bank's *policy objectives* on involuntary resettlement, which can be summarized as follows:

**Box 6-1: Essential principles to be adhered to in dealing with involuntary resettlement**

1. Resettlement should be avoided where feasible, or it should be minimized, exploring all viable alternative project designs.
2. Where it is not feasible to avoid resettlement, its 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 the benefits of the project;
3. Displaced people should be meaningfully consulted and be provided with opportunities to participate in planning and implementation of resettlement programs;
4. Affected people will have to be fully compensated prior to the taking of land and start of the civil works;
5. 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.

Moreover, WB adopts a broad view and the phenomenon "is not restricted to its usual meaning - that is "physical displacement," it also includes economic displacement, namely adversely affecting people's livelihoods even when they do not have to relocate. Depending on the cases, a resettlement action may include (i) loss of land or physical structures on the land, including business, (ii) the physical movement, and (iii) the economic rehabilitation of project affected persons (PAPs) to improve (or at least restore) the levels of income or livelihood prevailing before the action causing the resettlement has taken place". This is also increasingly endorsed by the São Tomean authorities.

Project planning, implementation, monitoring and evaluation will be carried out in a participatory way to minimize negative impacts and ensure that project benefits accrue to the affected people, particularly women, the poor and most vulnerable people (households headed by women, children, the elderly and differently abled people). Monitoring of resettlement actions should also be encouraged to ensure that affected people are not left worse off than they were before the project.

OP/BP 4.12 specifies that when the impacts of a project mean that less than 200 people must be relocated or if these people are not physically displaced but lose more than 10% of their assets due to the project an Abbreviated Resettlement Action Plan (A-RAP) may be prepared. A project causing impacts of a greater magnitude than these (< 200 people affected) would require a full Resettlement Action Plan (also covered by this RPF).

An Abbreviated Resettlement Action Plan is also prepared when there is no relocation required but where compensation for damages, loss of property or loss of access to livelihoods resources needs to be planned and budgeted for.

Whenever a project investment unavoidably entails a change in land use patterns that results in involuntary relocation or negative socio-economic impacts on beneficiary communities or users at large, TPC PIU will ensure the development for public information, discussion and agreement, of an abbreviated or full draft RAP to guide implementation of the resettlement and compensation operations. In the case that involuntary resettlement is required, assets are impacted, and/or there is an impact on livelihoods, each abbreviated or full RAP will accord with the principles and procedures

of this Policy Framework. Each draft RAP or A-RAP will be submitted to DGA and the World Bank for approval prior to implementing a compensation process and the start of civil works.

In accordance with the final characteristics of the project design and its resettlement implications, among other things, a PAR will present:

### **1 Project background**

- The Project Context
- Socioeconomic Profile of the Project Area
- Project Description and Main Components
- The Need for Resettlement/Compensation

### **2 Potential impacts**

- Description of the most important potential impacts of the project by project component

### **3 Socioeconomic studies and results of the census**

- Results of the census, assets inventories, natural resource assessments, and socioeconomic surveys; identification of all categories of impacts and people affected; summary of consultations on the results of the various surveys with affected people; the need for updates to census, assets inventories, resource assessments, and socioeconomic surveys, if necessary, as part of RAP monitoring and evaluation

### **4 Legal and policy framework**

- National Legal Framework including LNP Resettlement Policy Framework
- World Bank Policy on Resettlement
- Comparison between National/LNP Resettlement Policy Framework and WB policies, complementarities/discrepancies and the way forward

### **5 Institutional framework**

- Identification and listing of all relevant parties in the RAP

### **6 Eligibility for compensation**

- Entitlement Policies under the RAP – who is entitled to what under each category of losses included in the inventory

### **7 Valuation of and compensation of losses**

- Criteria, laws and regulations used for the valuation of losses included in the inventory

### **8 Resettlement and compensation measures**

- Public notification – intention to acquire land; the purpose; the details of the proposal or plan for which the land shall be acquired and where this can be

inspected; that any affected person may, by written notice, object to the transaction of his/her land and assets, giving reason for doing so to relevant

- Resettlement and compensation approach for all affected assets and PAPs in line with expressed preferences and other considerations (cash, substitution, etc.)

## **9 Resettlement areas and new market sites**

- Measures to be taken to prepare resettlement areas to restore and/or improve the living standards of PAPs

## **10 Housing, infrastructures and social services**

- Additional interventions in the areas of housing, infrastructures and social services including measures to deal with (i) HIV/AIDS prevention; (ii) preventing trafficking of people, etc.

## **11 Environmental protection and management**

- ESIA/EMPs and RAPs and other safeguard measures that may be required for RAP developments (RAP internal projects)

## **12 Stakeholder consultation and participation**

- Document community consultation and participation during RAP preparation and specify what will be done during the subsequent phases of RAP implementation

## **13 Integration with host population**

- Actions carried out or to be carried out to prepare host communities to welcome PAPs

## **14 Grievances registry and redress procedures**

- Description of the step-by-step process for registering and addressing grievances and
- Specific details regarding a cost-free process for registering complaints,
- Response time and communication modes.
- Description of the mechanism for appeal.
- Description of the provisions for approaching civil courts if other options fail

## **15 Organizational responsibilities**

- Institutions that will be required to provide general direction and management including day-to-day management of the various issues (at the various levels (household, community, local, district, LNP, provincial, central, etc.)

## **16 Implementation schedule**

- Chronological steps in implementation of the RAP, including identification of agencies responsible for each activity and with a brief explanation of each activity
- Month-by-month implementation schedule (using a Gantt chart, for example) of activities to be undertaken

- Linkages between resettlement implementation and initiation of works for each of the project components

## **17 Costs and budgets**

- Identification of resettlement costs, if any, and the mechanisms that will be established to ensure coordination of disbursements with the RAP and the project schedule.
- Preparation of an estimated budget, by cost and by item, for all resettlement costs including planning and implementation, management and administration, monitoring and evaluation, and contingencies.
- Description of the specific mechanisms to adjust cost estimates and compensation payments for inflation and currency fluctuations.
- Description of the provisions to account for physical and price contingencies.
- Description of the financial arrangements for external monitoring and evaluation and the process for awarding and maintenance of contracts for the entire duration of resettlement

## **18 Monitoring and evaluation**

- Description of the internal/performance monitoring process.
- Definition of key monitoring indicators derived from baseline survey.
- List of monitoring indicators that will be used for internal monitoring.
- Description of institutional (including financial) arrangements.
- Description of frequency of reporting and content for internal monitoring.
- Description of the process for integrating feedback from internal monitoring into implementation.
- Definition of methodology for external monitoring including key indicators
- Description of arrangements for final external evaluation

## **19 Conclusions and recommendations**

### **Annexes**

Copies of census and survey instruments, interview formats, and any other research tools; information on all public consultation including announcements and schedules of public meetings, meeting minutes, and lists of participants; examples of formats to be used in monitoring and reporting on RAP implementation.

The scope and level of detail of a RAP varies with the magnitude and complexity of the resettlement involved. The initial rapid field assessment indicates that planned project activities may result in minimal involuntary resettlement activities; depending on the scale, level of magnitude and breadth of these foreseen activities, AFAP/INAE/DGA may likely have to elaborate either a Full or an Abbreviated RAP to comply with WB safeguard policy requirements. The levels of organization and information required for an A-RAP should conform to requirements in the World Bank's policies on Involuntary Resettlement OP/BP 4.12 and this Framework.



## 7. THE SOCIAL SCREENING PROCESS

Projects must be compliant with the GSTP regulations and WB policies on involuntary resettlement in terms of avoiding/minimizing its occurrence in the first place and subsequently in turning into in a development opportunity where it is going to be unavoidable. All strategies should be combined to achieve this.

The Environmental and Social Screening Form (Annex 2) developed as part of the formulation of this document and the ESMF for the Project will be used to facilitate the pre-assessment process. It includes but it is not limited to:

1. identification of potential environmental and social impacts and the identification of health and safety risks;
2. determination of their significance;
3. assignment of the appropriate environmental category;
4. determination of appropriate environmental and social mitigation measures; and
5. determination of the need to conduct an ESIA, a freestanding ESMP and/or to prepare Full or Abbreviated Resettlement Action Plans (RAPs) where required or determine that no action needs to be taken.

Where the ESSF and the screening process will indicate that a RAP and/or A-RAP is necessary further assessment should be conducted to:

1. confirm that all reasonable efforts have been made to avoid and minimize land acquisition/resettlement;
2. identify that A-RAP is required because it wasn't possible to avoid it entirely;
3. determine whether there are vulnerable and/or severely impacted PAPs that require special provisions in the RAP or A-RAP. Households headed by women, children, the elderly and differently abled people fall under this category.

Preparation activities for the screening process will include a desk appraisal of the intervention (e.g. construction and rehabilitation plans) for project related infrastructure and development.

After the desk appraisal of the interventions, the initial screening of the proposed project activities will be verified in the field, with the Environmental and Social Screening Form (ESSF) prepared by Project Safeguards staff. The DGA Environmental Officers, and/or their representatives at district or municipal levels will do the verification. Subsequently, the DGA Officers will oversee the implementation of the required measures.

It is during this stage and through this initial information about the project that relevant entities become informed about the potential intervention and the category under which it falls in terms of the ESIA process (see project ESMF document). This offers an important opportunity for project screening and feedback, including assessing it in terms of resettlement implications.

The public participation process foreseen under the ESIA and RAP processes, mainly during the Scoping and Final Phases as well during the RAP itself also offers valid opportunities for continuous assessment and identification and communication of issues of interest for a proper management of resettlement issues.

Two other important aspects to be considered to ensure that the siting of the projects is compliant with the need to avoid/minimize resettlement are (i) integration and

harmonization with the district/municipal land use plans; and (ii) consultation and participation.

### **Consultation and participation**

Local people and communities as well as their representatives need to be continuously involved in the decision-making related with the diversity of Project interventions. São Tomean legislation on land and environmental management places public consultation and participation at the top of the agenda. The preparation of the ESMF and this RPF have started this process of public consultation and involvement. The main outcomes of the process can be seen in Annex 1 and in Chapters 5 and 14.

During the subsequent phases of the project implementation efforts should be made to ensure that the provisions in the regulatory documents on participation are strictly followed. Local people/communities and their representatives are properly placed to streamline the needs of local stakeholders and to promote the local resource management capacity.

The preparation of specific RAP/A-RAP, where this will occur, needs to ensure that all relevant stakeholders (disaggregated by gender) are actively involved and consulted. This is the only way of ensuring that their views and concerns are informed and captured. The consultation sessions must be adequately documented showing all the issues and information presented to the participants as well as the queries raised by the participants and the responses given. There should also be information on how the suggestions brought forward by the participants were incorporated in the RAP design and mitigation measures or reasons for their non-incorporation in the RAP.

It is fundamental that the Project does not contribute in any way to create land conflicts and/or exacerbate any such conflicts, where they exist. If adequately planned projects such as this have the potential to bring employment, infrastructure and modern technologies but if not, they can also contribute to landlessness, local food insecurity, environmental damages, rural-urban migration etc., which are not desirable outcomes. Chapter 14 of this document offers better insights and practical recommendations to be adopted in the conducting the public participation process.

Under the Project the feasibility studies as well as project final design and implementation will be carried out in such a way that there will always be attention paid to the need to avoid/minimize resettlement.

## **8. PREPARATION REVIEW AND APPROVAL OF (FULL OR ABBREVIATED) RESETTLEMENT ACTION PLANS ((A)-RAP)**

INAE and DGA will be the Project Developers, while AFAP will be the fund Manager, especially in relation to external funds. The Developers will work hand in hand with other ministries/sectors involved in different aspects of project development (e.g. public works/water, transport, tourism, agriculture, trade, and environment, etc.). The institutional framework that will be adopted for this project can be seen in Chapter 2 and 12/13. The role of a Project Developer (owner’s engineer) falls under INAE and DGA.

The Developer and other stakeholders following the steps foreseen in the ESMF for this project, and under the guidance of the PIU’s Environmental and Social Safeguards Specialist (ESSS) stationed at AFAP in collaboration with INAE/DGA relevant personnel and other interested parties responsible for subprojects will work together in project screening to determine and finalize categorization (this has already been done). The Screening Reports to be used for project categorization will be in the hands of the “Developers” and AFAP (also done) while categorization is done by DGA (also done).

In principle, due to the relatively minor and localized magnitude of its impacts, the project was classified as Category B under the WB ESIA process.

As soon as the need for resettlement is confirmed, a Private Consultant paid for by the Project, that is, funds managed by AFAP/INAE/DGA, will prepare and implement the RAP. Staff at the district and municipal level will be trained and assisted by the project to have a good understanding and practical skills to be involved in the work.

The extent and detail of project screening and planning and information needs will depend on the severity of the impact. The process should include, among other things, a baseline study and a census to determine the level of impact of the project on PAPs and their assets; and establishment of the cut-off-date. More specifically, the following steps summarized in Table xxx and better described in the text will be adopted.

**Table 8-1: Roles and responsibilities in implementing the RPF and preparing PAR-A-RAP**

<b>Roles</b>	<b>Institutional Responsibilities</b>	<b>Assistance/Collaboration</b>
Screening of project activities and sites	Developers: INAE/DGA	ESSS
Categorization including confirmation of the need for ESIA/ESMP <sup>11</sup> and RAP	DGA	ESSS
Preparation of RAP	PIU/ESSS	Hired Consultants PIU Developers: AFAP/INAE
Project Review and Approval (including Draft RAP approval before submission to PPP)	DGA	PIU/AFAP/WB

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<sup>11</sup> Already done.

<b>Roles</b>	<b>Institutional Responsibilities</b>	<b>Assistance/Collaboration</b>
Participative Public Consultation	Developers: AFAP/INAE/DGA PIU	Hired Consultants District/Municipal authorities
Reception and Forwarding of Complaints	PIU/District/Municipal Authorities	Hired Consultants District/Municipal authorities
Monitoring and Review Reports	Developers: PIU/AFAP/INAE DGA	Hired Service Providers District/Local authorities
Environmental and Social Audit	DGA/WB	PIU/ESSS/WB

## 8.1. General Considerations

The World Bank Involuntary Resettlement (OP/BP 4.12) principles and guidelines, stipulate that all AFAP/INAE/DGA construction activities and other activities that trigger the policy and therefore require resettlement action plans will be subjected to final approval by the World Bank, to ensure compliance with the Bank's safeguards. This should be ascertained as soon as subproject categorization is done and throughout all phases of the ESIA/ESMP processes and particularly during all phases of the RAP process. The Environmental Social Safeguards Specialists will continuously ascertain that land is acquired or access to resource is lost, denied, or restricted; and that the resettlement action plan or plans are consistent with this RPF.

The World Bank shall provide final clearance and approval of the RAP or RAPs, which shall be in accordance with the applicable by-laws, sectorial requirements as well as the World Bank Policy requirements.

## 8.2. Public Consultation and Participation

The participation and consultation of communities are privileged by national and international policies on involuntary resettlement. The World Bank OP 4.12, states that "*displaced persons should be consulted extensively and should have opportunities to participate in the planning and implementation of resettlement programs*".

Consultation is an ongoing process and must be present at all stages of resettlement planning and implementation.

The following are the main actors involved:

- People Affected by the Project (PAPs);
- The Project Developers (INAE/DGA);
- Local Authorities (Municipality, Government Departments);
- Local Business Operators;
- Resident Associations; and
- Individuals who feel they will be impacted (positive or negatively) by the project's establishment or by the resettlement process.

In the initial phase the public consultation will aim at:

1. Disseminating concepts about the proposed project activities, with a view of evoking project interest among communities;
2. Inviting contributions and participation in the selection of project alignments;

3. Determining the willingness of the community to contribute to the long-term maintenance of project assets;
4. Getting feedback from all affected and interested parties on how they see the project dealing with the potential losses it may cause to incorporate them later into the project design.

During the public consultation, it is necessary to clarify the compensation criteria and forms of conflict resolution, which will then be applied individually. The details of these processes are provided primarily in Chapters 11 and 14 of this document

### **8.3. Approval and Public Disclosure of the RAP**

Formally, final approval of the RAP falls under the DGA in response to submissions made by the project Developers assisted by hired consultants paid by AFAP/INAE/DGA/PIU funds. Once the RAP has been prepared, it must be forwarded to the Ministry of Environment (MRNEA/DGA). MRNEA/DGA will send the RAP to relevant institutions in each case, e.g. transport, public works, tourism, District/Municipal authorities for endorsement and recommendations.

The World Bank will also have to be asked to endorse the RAP. Once the WB No Objection (NOB) is provided along with the ESIA/ESMP, the RAP, like the ESMF and RPF, will also be disclosed publicly both in-country and at the World Bank Website prior to implementation. The RPF and ESMF will be available in both languages, i.e. English and Portuguese to be used by the various parties. Disclosure of RAP excludes the names of PAP as well as the amounts/entitlements involved in compensation/life restoration. These will be available separately to be used by project managers for various resettlement management tasks. Essential elements of the RAP will also be translated into local languages to ensure that all PAPs and interested parties understand their contents and practical implications. Reference is made to other São Tomean languages that are not Portuguese.

## 9. LEGAL FRAMEWORK

STP's Constitution established that the country has no land market as such. The land belongs to the state and people and other entities may acquire the right to use it. The principles and objectives guiding land acquisition, loss of assets or impact on livelihoods and resettlement in STP are embedded in the relevant policies and regulations, which remain largely dispersed. The main law is the Land Property Management Law (Law 3/91).

Among other, the guiding principles include:

1. There should be compensation upon land acquisition, resettlement, loss of assets and impact on livelihood;
2. There should be no distinction between compensation for land with formal title deed and customary land.

These and other principles are presented in this Chapter, which highlights the relevant policies and legislation.

### 9.1. Relevant São Tomean Laws and Regulations

The Law of State Land Management and Ownership (Law no. 3/91) defines the framework of issues related to land belonging to the State. It deals with land property, identifying State public and private property, and sets the basis for private rental and the use of state land, particularly in the distribution for investment purposes.

Among other aspects, the law specifies that "Land occupied by roads or public roads, as well as those occupied by airports, airfields of public interest, belong to the state domain" (point e), Chapter I, Section I, Article 1 of the Public Domain). The land corresponding to the beds of rivers and maritime waters (point (a) of the same Chapter and Section) also falls within the same category.

In a sense, Law No. 3/91 is one of the attempts to correct land problems in STP that resulted from the processes initiated in the post-independence period, which were strongly marked by agricultural "nationalization". This is a process that led to the nationalization and distribution of land to the population. This step continues to be seen by many as being at the root of most of the problems in the land sector that Sao Tome and Principe still faces today.

Nationalizations converted more than 90 percent of land that had formerly belonged to colonial occupiers into state owned land and soon later into large state-run agricultural enterprises, with a share of parcels being held privately in the hands of national citizens who have received them by inheritance in the family. The privatization process that took place in 1990s, after recognizing the failure of state-owned enterprises, was marked by problems, which Law 3/91 attempts to correct.

Even under Law N.º 3/91, ultimately, in STP, all lands whose owners are not private entities belong to the state, under the public or private domain. The law also specifies that land reserves are created or established by government decree (Article 11).

Under this law STP does not formally have a land market. Citizens and other national or foreign entities acquire rights to the land (land use rights). Private land ownership is provided for "glebas (fiefs)" and "rustic or urban lands which have not been subject to nationalization", mentioned above. But it is noted that both the technical aspects (demarcations) and those that define the processes to be followed to create reserves,

acquire use rights, concessions, exchanges, etc. provided for by law, have not been following a linear path. This establishes an environment of relative deregulation in the land sphere. For example, concrete aspects of road right-of-way are marked by the omission of definitions (distances to be considered as exclusively reserved for the interests of running and developing roads) and irregular adaptations at the field level (there is relative chaos in the settlement model along the roads).

Chapter 4 of this document outlined the land occupation regime in the country in general and in the project area and this should be considered in the subsequent phases of finalization, implementation and operation of the project. The fact is that the STP Constitution guarantees to all citizens the right to private property, housing and the environment as well as the duty to defend these rights (Articles 47 and 49).

### **Involuntary resettlement**

Sao Tome and Principe does not have a specific legal provision regulating resettlement issues as they are defined by the Bank, i.e. "(i) the loss of land or physical structures on the land, including businesses; (ii) physical movement, and (iii) the economic rehabilitation of those affected by the project (PAPs), economic displacement, in order to improve (or at least restore) income levels or existing livelihood before the action causing resettlement has taken place". Some of the aspects are included in the Law of State Land Management and Ownership (Law no. 3/91), which is blank in many aspects.

In addition, the country has a history without relevant records related with resettlement actions. The developments that have occurred in the country so far are perceived as not having triggered the need for a specific law on this matter which may be the result of a mix between perceptions and local realities, which in fact may not yet have been very demanding on this field.

Resettlement issues that are likely to arise will have to deal with these facts and ensure that ultimately Bank regulations prevail.

The ESMF, informed by the Environmental Assessment (OP/BP 4.01), which is also the umbrella OP under the WB regulatory framework makes a fuller listing of the laws and regulations governing the environmental and social safeguards applicable to the project.

Among other aspects, it will still be relevant to follow World Bank OP 4.12 on Involuntary Resettlement which are endorsed by the Sao Tome government, as has been the case with the few resettlement processes carried out, so far, for development initiatives.

In short, where national legislation is not in line with the intrinsic interest set out in the WB OP 4.12 the practice in STP in the last 15-20 years has been to adopt the WB guidelines. This will be the case under this project regarding the aspects that have been presented.

## **9.2. World Bank Policy Requirements**

The World Bank has adopted the following policy objectives in relation to involuntary resettlement:

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

2. 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; and
3. 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.

Under the WB definition a resettlement action may include (i) loss of land or physical structures on the land, including business, (ii) the physical movement, and (iii) the economic rehabilitation of project affected persons (PAPs) to improve (or at least restore) the levels of income or life prevailing before the action causing the resettlement has taken place”.

Where resettlement is unavoidable, the bank has provided the following guiding principles to achieve the above-mentioned objectives:

1. Preparation of a resettlement policy framework and resettlement action plan that ensures that displaced people are:
  - a. Informed about their options and rights pertaining to resettlement;
  - b. Consulted on, offered choices among, and provided with technically and economically feasible resettlement alternatives;
  - c. Provided prompt and effective compensation at full replacement cost for losses of assets attributable directly to the project;
  - d. Aided (such as moving allowances) during relocation;
  - e. Provided with residential housing, or housing sites, or, as required, agricultural sites for which a combination of productive potential, locational advantages, and other factors are at least equivalent to the advantages of the old site;
  - f. Offered support after displacement, for a transition period, based on a reasonable estimate of the time likely to be needed to restore their livelihood and standards of living;
  - g. Provided with development assistance, in addition to compensation such as land preparation, credit facilities, training, or job opportunities; and
  - h. Provided with an opportunity to resolve disputes through a grievance resolution mechanism.

The policy also advocates that:

1. Attention should be paid to the needs of vulnerable groups among those displaced, especially those below the poverty line, the landless, the elderly, women and children, indigenous peoples, ethnic minorities, or other displaced persons who may not be protected through national land compensation legislation;
2. Implementation of resettlement activities should be linked to the implementation of the investment component of the project to ensure that displacement or restriction of access does not occur before necessary measures for resettlement are in place. These measures include provision of compensation and of other assistance required for relocation, prior to displacement, and preparation and provision of resettlement sites with adequate facilities, where required. Taking of land and related assets may take place only after compensation has been paid



- and, where applicable, resettlement sites and moving allowances have been provided to the displaced persons;
3. Displaced persons and their communities, and any host communities receiving them, are timely provided with relevant information, consulted on resettlement options, and offered opportunities to participate in planning, implementing, and monitoring resettlement. Appropriate and accessible grievance mechanisms are established for these groups;
  4. In new resettlement sites or host communities, infrastructure and public services are provided as necessary to improve, restore, or maintain accessibility and levels of service for the displaced persons and host communities. Alternative or similar resources are provided to compensate for the loss of access to community resources (such as fishing areas, grazing areas, fuel, or fodder); and
  5. Patterns of community organization appropriate to the new circumstances are based on choices made by the displaced persons. To the extent possible, the existing social and cultural institutions of resettled people and any host communities are preserved and the preferences of the resettled people with respect to relocating in pre-existing communities and groups are honored.

The policy also sets out the following guiding principles on which to base the criteria for determining eligibility for compensation, resettlement and rehabilitation assistance measures for PAPs:

1. Persons that have formal legal rights to land, including customary and traditional; and religious rights recognized under the laws of STP;
2. Persons who do not have formal legal rights to land or assets at the time the census begins; but have a recognized claim to such land or assets through the national and customary laws of STP. This class of people includes those that come from outside the country and have been given land by the local authorities to settle, and/or to occupy in matrimonial society; and
3. Persons who have no recognizable legal right or claim to the land they are occupying, using or getting their livelihood from. This class of people includes those that settle at a place on semi-permanent basis, or those settling at a place without any formal grant or authority.

If found, PAPs classified under paragraph (i) and (ii) shall be provided compensation, resettlement and rehabilitation assistance for the land, buildings or fixed assets on the land and buildings taken by the project. The compensation shall be in accordance with the provisions of this RPF and if PAPs occupied the project area prior to the cut-off date (date of commencement of the Census).

If found, persons covered under sub-paragraph (iii) above are to be provided with compensation for the improvements on the land. In addition, they must be given the necessary assistance to satisfy the provisions set out in this Project, if they occupy the project area prior to the established cut-off date.

In the event of that happening, communities including districts, towns, neighborhoods and villages permanently losing land, resources and/or access to assets shall be eligible for compensation. Compensation to communities will include for public toilets, market places, and health posts or other appropriate compensation chosen by the community. Compensation measures shall ensure that pre-resettlement socio-economic status of the communities are restored or improved.

### 9.3. Gaps Between Local Laws and WB's Policy

The large gap between the São Toméan and the WB laws is related to the fact that STP does not have a specific law on Resettlement, although general laws, such as the Constitution, the Regulation on the environmental impact assessment process (Decree-Law no. 37/99) and Law on the Management of State Land Ownership (Law No 3/91), etc. contain provisions on citizens' rights to land and compensation in case of loss of assets in the public interest.

There are also omissions in the São Toméan legislation with respect to details relating to the Valuation of Loss-Based Compensation.

#### Valuation of Compensation for Losses

OP/BP 4.12, on the other hand, states that all affected properties must be compensated at the total replacement value - including all inputs (materials, labor, seeds, seedlings, agricultural chemicals, etc.) and that there should be no discounts on depreciation, salvaging (i.e. crops or building materials), and any other resettlement assistance provided. This seems to make sense in a situation where resettlement is involuntary, and this should be pursued within the Project.

Therefore, it is recommended and accepted in the project that the OP/BP 4.12 guidelines will determine how these issues will be handled.

Under OP 4.12, for example, owners should also be compensated for the improvements they have made to the land they use (structures, plantations). Under OP 4.12, compensation must be made at full replacement costs, i.e. without depreciation based on the age of the asset, while in the national system, age is a factor in determining the level of compensation. **In all instances where there are discrepancies between OP 4.12 and the STP system, the standard of OP 4.12 shall be applied in the project.**

#### Community Consultation, Participation and Grievance Procedures

Despite valuing public consultation and participation and the right of citizens to seek justice to enforce their rights, São Toméan legislation also presents gaps in the definition of specific procedures and regulations on how this should be done on a day-to-day basis and particularly in case of involuntary resettlement. In general, these matters are referred to the common law. This is an aspect that seems to be related to the fact that, at least until now, resettlement actions are not usual in STP. In this case, the Project must comply with what is commonly accepted, which consists of extensive public participation to be conducted as part of the ESIA/ESMP process and in this case RAP, involvement of local authorities at municipal, district, local, community and neighborhoods, making timely notifications to affected persons and entities and signing clearing agreements.

Systems and mechanisms will be in place to ensure that in Portuguese and local languages and using local media PAPs and all other relevant stakeholders are timely informed about:

1. The government's intention to acquire the land;
2. The purpose for which the land shall be acquired;
3. That the details of the proposal or plan for which the land shall be acquired can be inspected at public places to be selected (e.g. AFAP, INAE, DGA, district, municipality, locality, neighborhood, etc.), during normal working hours;

4. That any affected person may, by written notice, object to the transaction of his/her land and assets, giving reason for doing so to the PIU and project management with copies to the Municipality/District and the local Headquarters of his/her jurisdiction within 14 days of the public announcement or appearance of the notice. This system to present and circulate grievances will be maintained throughout all the phases of RAP implementation and monitoring.

OP/BP 4.12 requires involvement of affected people in planning and implementation of all aspects of resettlement planning and implementation – including assessment of the nature and scale of resettlement impacts, compensation and resettlement measures required including review of alternatives and in relation to selection and preparation of resettlement sites, and monitoring and evaluation. OP/BP 4.12 also requires publishing of the final resettlement plan to local people in a form that is readily understandable and establishing of grievance mechanisms that are accessible and meaningful for project-affected people. Under OP/BP 4.12 project-affected persons can include members of host communities as well as those who are physically displaced or lose assets through land acquisition.

In short, there are several gaps between the São Tomean system and the World Bank's policy on involuntary resettlement (OP4.12). Under OP 4.12, for example, squatters must be compensated for improvements they have made to the land they are using (structures, crops). Also, under OP 4.12 compensation should be made at full replacement costs i.e. without depreciation for age of the asset, whereas under the national system age is a factor to determine the level of compensation. **In all instances where there are discrepancies between OP 4.12 and the São Tomean system, the standard of OP 4.12 shall be applied in the project.** This approach has been common practice in STP in the last 15-20 years and will strictly apply to this project.

The table below is an attempt of summarizing the major differences between the OP/BP 4.12 and the STP relevant legislation in regard to resettlement and compensation.

**Table 9-1: Comparison of São Tomean Law World Bank OP4.12 regarding compensation**

Category of Affected People/Type of Assets/Issues	São Tomean Laws and Regulations (Constitution, Decree-Law n ° 37/99 and Law n ° 3/91)	World Bank OP4.12	Measures to Bridge the Gaps
People involuntarily affected by economic and social activities	Where economic and social activities require people to be displaced RAPs should be prepared	Involuntary resettlement should be avoided where feasible, or minimized, exploring all viable alternative project designs	<p>STP does not deal specifically with issues related with resettlement.</p> <p>There are serious differences between the two regulations. In line with the WB OP 4.12 the RAP will be prepared only after exploring all viable alternative project designs to avoid/minimize resettlement</p>
Resettlement as a development opportunity	An omission of the resettlement process as such is noted, although the rights of people losing assets in the public interest are recognized	<p>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; and</p> <p>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</p>	While there is a void in STP regulation, WB regulation, OP 4.12, clearly identifies the RAP as being a development opportunity and if happens this policy will be adopted
Consultation and participation of affected people	Development initiatives should be participative throughout all their phases.	PAP should be informed about their options and rights pertaining to resettlement;	Despite a great level of convergence, the WB guidelines offer a more valid framework, which highlights the consistency of the process and the

Category of Affected People/Type of Assets/Issues	São Tomean Laws and Regulations (Constitution, Decree-Law n ° 37/99 and Law n ° 3/91)	World Bank OP4.12	Measures to Bridge the Gaps
		Consulted on, offered choices among, and provided with technically and economically feasible resettlement alternatives	attainment of its ultimate objectives. The World Bank OP 4.12 guidelines will be adhered to.
Vulnerable people	STP laws and regulations make several references to the special involvement of women and vulnerable people and groups to ensure equity and social cohesion in development initiatives. This is dealt with in dispersed documents.	Attention should be paid to the needs of vulnerable groups among those displaced, especially those below the poverty line, the landless, the elderly, women and children, indigenous peoples, ethnic minorities, or other displaced persons who may not be protected through national land compensation legislation	Under the national laws special attention is given to women and vulnerable people but this is not done in a way that is specific to resettlement actions. The World Bank OP 4.12 guidelines will be adhered to in dealing with women and other vulnerable people and groups
Host communities	Referred to only in the general rights of communication and information	Displaced persons and their communities, and any host communities receiving them, are timely provided with relevant information, consulted on resettlement options, and offered opportunities to participate in planning, implementing, and monitoring resettlement. Appropriate and accessible grievance mechanisms are established for these groups	The STP laws and regulations are not specific about host communities as these relate to involuntary resettlement actions. The WB OP 4.12 is more specific about the grievance mechanisms, which offers considerable protection to PAP in case of nonconformities with the principles behind resettlement.
<b>Grievance redress mechanism</b>	Except for general references to access to justice by the citizenry, there are no clear guidance's for the Grievance Mechanism defined in the law although there are several references to the need to conduct monitoring and resolution of Grievances.	Appropriate and accessible Grievance Redress Mechanism should be established	OP 4.12 is more specific about the Grievance Mechanism and offers considerable protection to PAP in case of nonconformities with the principles behind resettlement. It will be followed under AFAP/INAE/DGA RAPs/A-RAPs

## 10. METHOD FOR VALUATION AND COMPENSATION FOR LOSSES

This chapter deals with methodologies for calculating compensation that should be applied consistently to all people affected by the project to protect the Project Developers and PAP from unjustified and exaggerated claims or disregard for the basic principles set out in the resettlement regulations in what concerns livelihood restoration to the same level or better than the pre-displacement. This is an area usually open to dissent and disagreements and should be tackled with care and much objectivity as possible.

As seen above, in STP the resettlement action is "based on a combination of a variety of laws and regulations as well as on the creative use of the guidelines of the main funding agencies for development, such as the World Bank, African Development Bank and other agencies and institutions related to development such as IFC (International Finance Corporation), and others. This extends to the valuation of assets of the people and entities affected by the project such as infrastructure, farmlands, crops, trees and other assets. All of these should be adjusted to the specific conditions existing on the ground.

The existing laws and regulations do not provide concise answers and are open to different forms of interpretation which make them very difficult to use and develop common acceptance, especially in a project like TPC that must adhere to specific timelines.

Existing laws and regulations do not provide concise answers and are open to different forms of interpretation that make them very difficult to use and develop common acceptance.

In the absence of specific and official guidelines for the valuation of infrastructures common practice has been to use values calculated by engineering/consultancy companies in the construction sector to carry out this valuation.

Under the guidance of the Environmental and Social Safeguards Specialist and the Project Implementation Unit experienced consultants will be hired to assist in the calculation of costs for all categories of affected assets including intangible assets. However, World Bank Operational Policy on Involuntary Resettlement (OP 4.12) requires that compensation be made at current replacement cost, i.e. without depreciation for age of a structure. Therefore, WB OP 4.12 will be applied. For a project that enjoys WB funding this is acceptable to the GSTP and all involved institutions as seen in many other similar projects.

A few guiding elements are suggested in the boxes below. These should be adjusted and used as soon as the projects gets to the stage of dealing with valuation for compensation:

### Box 10-1: Method valuation for infrastructures

#### Valuation of infrastructures

The following elements related to the property are taken into consideration:

1. Type
2. Location
3. Age
4. Construction value
5. Current value

These variables were expressed by the formula below:

$$V_n = A \times P \times K_1 \times K_2 \times K_3 \times K_4 \quad V_n = P \times A \times K_1 \times K_2 \times K_3 \times K_4$$

Where:

1.  $V_n$  - Is the value of the property when new.
2. A - Area inside the property;
3. P= Construction price of the property (per square meter);
4.  $K_1$  = Factor expressing the typology;
5.  $K_2$  = Factor which reflects the importance of the housing;
6.  $K_3$  = Factor that reflects the quality of construction;
7.  $K_4$  = Factor that reflects the location of the property.

Finally, the actual value of the property is based on the following formula:

$$V = A \times P \times K_1 \times K_2 \times K_3 \times K_4 \times (1 - d \times l \times C \times M)$$

Where: V = is the value of the property.

A “y” factor was added to the calculations for the loss of intangible assets. The “y” factor reflects the intangible assets and the disturbance to social cohesion inflicted to the affected people by the project. This factor may vary from 0 to 20% of the property value, in line with local regulations

Salvaging parts of the affected assets and depreciation will not be discounted from the value to be paid to the PAPs.

### Box 10-2: Method valuation for crops and trees

#### Valuation of crops and trees

For crops valuation the team used the total area of each unit and estimated the area for each crop. To this effect the total area of farm was divided by the number of the crops existing in the farm to obtain the percentage of each crop. Subsequently, the percentage of crops per farm was multiplied by the price per m<sup>2</sup> for the crop based on values provided by the Ministry of Agriculture and Rural Development to which an inflation factor of  $x \times 12\%$  should be considered, as per Banco de Moçambique (BM) estimate of the level of inflation within the period. Thus, the total compensation = Percentage of the crop in the farm \* Price of the crop per m<sup>2</sup> \* Total area of the farm.

The values of the trees were found multiplying the number of each tree species by the prices per tree supplied by the Ministry of Agriculture (2010) plus the inflation factor of 10% to adjust to 2012.

<sup>12</sup> In line with the inflation variations in the country for the period to be covered.

### Box 10-3: Method valuation for lost income

#### Valuation of Lost Income

Assuming the social compensation process will involve the removal of the business and the replacement of physical infrastructure, the loss of revenue will be associated with downtime, i.e. the period the business will be off during physical relocation. This period, plus time to adapt to the new situation in the new surroundings, constitutes the cost of business opportunities. Thus, the total period should not be less than three months, despite two months being a reasonable period for adaptation. In fact, although the process of change can occur in a time limit of no more than two months, it is realistic to assume that a period of an additional month adaptation (or more) to be considered for the purposes of accounting for lost revenue.

Since the business will not actually lose their inventories (defined as non-perishable goods and services for sale), compensation is justified based on the income opportunity cost (income) lost in the period of transition. In the case of perishable goods, because the amount of compensation cannot be estimated prior to its implementation can be done using the current prices prevailing at the time of effecting the change, considering, the quantities of products as stated above

Since small businesses do not keep records of their transactions, and forecast cash flows it is difficult to make reliable estimations. Average monthly income calculated based on the values of business owners with similar business that have declared their income via the conducted survey. Alternatively, inference based on official data on small and medium business income can be made.

The final value of each type of business is calculated by discounting to the present the average profit for the three months relevant in the analysis. The discount rate used is calculated based on the actual average inflation rate in the area concerned, multiplied by the number of people involved in each type of identified business (e.g. selling firewood, carpentry, bakery, fruit, vegetables, etc.).

The amounts of revenue and profits collected through the questionnaire will be used to assess the degree of reliability of the data, by analyzing the degree of dispersion of values between the different operators of each business.

Experienced consultants in public works, agriculture and business should be engaged to undertake valuation work. They need to be involved from the beginning to ensure that data collection tools to be designed and used already take all these aspects into consideration. Such consultants, although few, exist in STP, especially in S. Tomé City and major cities. Should that become necessary experienced consultants from other countries can be brought to STP to work with local consultants and build a base to be used for this project and other projects.

Principles to be followed include:

1. That the affected families agree with methods of assessment and valuation, deeming them fair and adequate. This should be established at the start of the process through consultation at community level;
2. The compensation level will be sufficient to enable people to restore their productivity and standards of living after compensation/resettlement;
3. Compensation payments will be made before assets are acquired for the project development and prior to resettlement;
4. Compensation payments will not be made in any way that puts the receiver in a position of insecurity. It is preferable to make payments through a post office, bank or other recognized institution;



5. Local currency payments should take local currency fluctuations and inflation into account using a correction index.

All compensation agreements should be recorded and signed with local witnesses as well as the signed verification of the local authorities. Copies of these documents should be kept by the affected family and AFAP/INAE/DGA, PIU/ESSS for a period not shorter than five years.

## 11. ELIGIBILITY CRITERIA AND PRACTICAL ASPECTS OF RAP PREPARATION AND IMPLEMENTATION

The Project Affected Persons (PAP) are entitled to diverse forms of compensation for their losses with the aim of improving or at least restoring the living standards that they had before the need for resettlement became a reality.

Once the certainty of land taking is confirmed under the various project interventions, a census and socio-economic study will be undertaken. The results of the census and socioeconomic surveys and asset inventories and respective verification will be used to communicate to local people that any land occupation within the Corridor of Impact (COI) done after the cut-off date (the date of the beginning of the census inventory and verification/confirmation) will not be eligible for consideration under the Project RAP and/or A-RAP.

Local authorities will be monitoring the enforcement of this principle and ensuring that those disregarding it are fully aware of the implications. Thus, the date of the completion of the socioeconomic surveys/asset inventories will be considered as **the cut-off date** for Project RAP.

Based on preliminary assessment of the receiving socioeconomic environment as well as experience with similar projects the assets most likely to be affected under Project comprise:

1. Loss of land through permanent land acquisition
2. Loss of land through temporary land acquisition
3. Loss of houses
4. Loss of other domestic structures
5. Loss of commercial enterprises
6. Loss of crops
7. Loss of socio-economic trees
8. Loss of non- socio-economic trees
9. Loss of ornamental plants
10. loss of income from other sources resulting from project interventions
11. Loss of cultural property
12. Loss/relocation of sacred sites, graves and public infrastructure
13. Loss of mobility and accessibility

In line with both the GSTP and WB policies and regulations each category of assets will be compensated in a certain way. The descriptions below offer a practical way of dealing with compensation for the loss of these assets.

### Entitlements under the Project A-RAPs

Entitlements under Project RAP are set out according to the categories of impact likely to be found as described above and considering applicable national legislation and OP/BP 4.12, namely:

1. Entitlement for loss of land through permanent land acquisition;
2. Entitlement for loss of land through temporary land acquisition;
3. Entitlement for loss of houses;
4. Entitlement for loss of other domestic structures;

5. Entitlement for loss of commercial structures;
6. Entitlement for loss of crops, trees and other plants;
7. Entitlement for loss of income from other sources resulting from project interventions; and
8. Project responsibilities for displacement of sacred sites and graves (including traditional ceremonies) and public/utilities infrastructure.

As the loss of houses and housing infrastructures seems unlikely under the TPC, part of the cases and their rights are given for reference only and/or as a preventive consideration, should these be found in the project area.

### **Entitlement for Loss of Land through Permanent Land Acquisition**

In line with the legal framework above, under the Project the loss of land will be dealt with in accordance with OP/BP 4.12, which requires compensation for land at full replacement cost (in cash or in kind) for land that has formal title or recognized customary use rights, including for any improvements made and any disturbance or transaction costs incurred.

OP/BP 4.12 also requires that focus be paid to land acquisition impacts on vulnerable groups – particularly, where livelihoods are land-based and in contexts of limited security of tenure, efforts should be made to ensure that lost land is replaced by land. In line with the practice in place in STP for projects funded by the WB and/or funding institutions adhering to the WB guidelines the following will be adopted:

1. Depending on specific cases and based on concise assessment in-kind and cash payments for loss of land (or land-use) will be payable.
2. Most affected households will fall under customary user rights over their residential land and farmland. Mechanisms will have to be developed with District and Municipal/Locality Authorities to ensure that where land is lost this will be replaced within users' surroundings, where possible immediately contiguous to their existing homesteads or farming areas or just be compensated for the loss of crops and trees and/or temporary and partial inability to use the land for cultivation. Where such will prove to be advantageous for the affected people cash compensation will be paid for people to restore their livelihoods at their will and choice.
3. Tenants, where they will exist, and the preliminary socioeconomic survey shows that these exist in the project area at least for housing (they represented 6.4% of the 103 households surveyed during the initial stage), of land will get notice and be compensated for the lost value, either through getting a replacement lease or through appropriate cash compensation. The time for such a notice will be defined in due course but should give them enough time to prepare relocation and livelihood restoration in a different place. Where tenants will have formal leases that are cut short because of the project they must be compensated for the lost value, either through getting a replacement lease or through appropriate cash compensation
4. There will be also the need to consider and examine whether any "third party" informal land occupants/users will be displaced/impacted by a deal negotiated between land owner and contractor and give notice to them and compensate accordingly in the same way as done for direct tenants.

In all cases, targeted provision of advocacy to consultation with and monitoring of vulnerable households will be carried out to ensure that their livelihoods are sustained or restored following resettlement and that their vulnerability is not increased.

## **Entitlement for loss of land through temporary land acquisition**

There is no specific provision for temporary land acquisition under São Tomean law or OP/BP 4.12, although under OP/BP 4.12 all land acquisition indirectly associated with the main project (such as ancillary works) should be addressed, as well as that associated with the main project itself.

Under the Project RAP, holders of formal or customary use-rights over land to be used by the contractor will be given the option of choosing the compensation/restoration of their lost land, which can be in-kind (replacement) or cash. As ancillary sites are selected, the contractor will enter into negotiated rental agreements with current users. Affected parties will be entitled to support by the Project Implementation Unit and/or by entities of their choice in reviewing draft rental agreements to ensure that their terms and provisions are legal and equitable.

## **Entitlement for Loss of Houses**

Although the chances of finding houses that will need to be compensated as such under the project are assessed as almost nil, as a precautionary measure these are considered here under the condition that should they be found.

For lost houses the current São Tomean legislation foresees fair compensation without specifying the meaning of this aspect regarding building type, materials costs, and various factors for location, quality of construction and age (i.e., depreciation).

Under OP/BP 4.12 structures should be replaced (with similar or better locational characteristics or advantages to those of the previous structure and, in the case of housing, full security of tenure), or compensated for in cash at full replacement cost, including all associated transaction and registration costs. Locational advantages can include proximity to services (schools, markets, healthcare, etc.) as well as access to important social relationships and networks (including immediate and extended families, friends and neighbors, and additional wives living separately but close by in cases of polygamous marriages). These social relations are particularly important for women who typically carry reproductive (family health and education) responsibilities within the household, and who frequently need to call upon the support of relatives and friends living close by, for example for childcare or other forms of assistance, e.g. farming.

Although not a requirement as such, OP/BP 4.12 allows for improvements in housing construction quality. This is consistent with the principle of ensuring that resettlement is conceived as an opportunity to promote sustainable development and improve people's living standards – particularly the poorest and most vulnerable.

Housing improvements can also be appropriate when project-affected people may otherwise be more likely to seek cash compensation. Experience shows that since cash can easily be diverted to other priorities (e.g. consumption, payment of debts, etc.), this can increase household insecurity – a situation that potentially and disproportionately disadvantages women given men's traditional control over household finances and decision-making. Offering improved housing may encourage more households to accept this rather than cash at straightforward replacement (and thus lower) value – particularly where women are encouraged to participate in discussions on this the subject.

## **Entitlement for Loss of Other Domestic Structures**

Loss of domestic structures (fences, toilets, etc.) will be compensated for in cash at full replacement cost, including material and labor, with no deductions for depreciation or salvaging/reuse of materials, in line with the provisions of OP/BP 4.12.

Any vulnerable affected houses will be aided in reconstruction of replacement structures.

### **Entitlement for Loss of Commercial and Industrial Enterprises**

These are also considered here as a precautionary measure as chances of them being found in the project area are almost nil.

In relation to the various commercial and industrial structures that will be lost or relocated through land acquisition (roadside shops kiosks, trader's stalls/*bancas*, mills, bars, etc.), OP/BP 4.12 requires compensation for (at least temporary) loss of income associated with these as well for the structures themselves at full replacement cost and any other disturbance costs, with no deductions for depreciation or permitted salvaging of materials. It is recommended:

1. **Cash compensation at full replacement value for all structures that will be lost** – full replacement value to cover all materials, labor and associated materials-transport costs.
2. **Preparation of new market areas** – with incentives provided (i.e. rental waivers and tax breaks) to attract traders to move away from the locations from where they will be displaced.
3. **Targeted assistance, support and monitoring to be provided to vulnerable households** – as required, ensuring that their vulnerability is not increased.

### **Entitlement for Loss of Moveable Commercial Businesses**

In the same way as above but if found they will get a notice to stop using the areas within the COI to conduct their activities and compensated for the lost opportunities in line with the systems and procedures detailed in Chapter 11.

### **Entitlements for Loss of Crops and Trees**

As with land and structures, OP/BP 4.12 requires that crops and trees be compensated for at full replacement cost in line with the systems and procedures detailed in Chapter 11. This includes taking account of land preparation costs and (in the cases of economic trees and some perennial crops) time to production and years of remaining production.

As with other livelihood activities (e.g. commercial enterprises, as described above), OP/BP 4.12 recommends investment in improved or alternative livelihood skills where agricultural land is affected – given the importance of farming to household income, which of extreme relevance for most households in the project area. As a matter of fact, OP 4.12 recommends replacing land with land where livelihoods are agriculture-based with helping development of alternative livelihood skills being a “second best” option.

Efforts will be made to update the values of the assets taking into consideration their current market values.

### **Entitlement for Loss of Income from Other Sources Resulting from Project Interventions**

In the same way as for any industrial and commercial enterprises. If found operators of any other forms of income they will get a notice to stop using the areas within the COI to conduct their activities and compensated for the lost opportunities in line with the systems and procedures detailed in Chapter 11.

### **Livelihood Restoration and Community Development**

The project area is predominantly urban where there are high levels of monetization of transactions and where there are also many limitations to operating substitutions in the vicinity given the levels of congestion.

That is why avoidance and minimization of resettlement will be essential in project design, even if it means postponing problems. In less urbanized environments with greater space for maneuver for replacements, compensation for affected assets (replacement) aims to facilitate complete, smooth and sustainable recovery without exposing PAPs to vulnerability and impoverishment.

To ensure an acceptable livelihood standard, the RAP might consider a Livelihood Restoration Program (LRP) considering that actions during pre-construction phase and during construction will be able to be accomplished and timely complement project social development objectives. The LRP is based on PAP participative process supported by the assessment of local and regional community initiatives, potential partnerships with actors and interaction with other social programs in the territory, feasibility of implementation, socioeconomic baseline studies and PAPs' willingness to be engaged fully or partially on Project social development activities.

Nevertheless, an alternative and comprehensive social package shall be considered by RAP for those not eligible or willing to be part of Project activities described under Components 1 and 3. Support to agriculture extension services; inclusive business (i.e. poultry, bee keeping and horticulture), environmental management and preservation, vocational and basic managerial training linked with community micro-credit are interventions proposed to address livelihood restoration through food security, boosting employment conditions and income generation. The programs will pay special attention to gender balance and vulnerable groups. Where there will be uncertainties related to mitigation of impact driven for families considered at risk according to vulnerability criteria in determining areas and their livelihood restoration would not be not fully ensured, the activity shall not be implemented.

### **Project Responsibilities for Relocation of Public Utilities and Services**

Many lighting, energy transport and telecommunications poles were noted along EN1 with potential to be affected.

If they are to be displaced, negotiations between project developers and managers of such infrastructures will be carried out with the aim of determining the best options of compensating/restoring losses and above all preventing that the public utilities behind such infrastructures are not interrupted in the interests of all stakeholders.

### **Relocation and Compensation of Billboards**

If found, private sector companies that own billboards will be notified of project objectives and be involved in discussions and actions aimed at finding the best ways of harmonizing their assets with the project and they will be compensated in

accordance with the preferences at replacement value including potential loss of opportunity that relocation may trigger.

### **RAP Entitlement Matrix**

In summary the RAP Entitlement Matrix generally foreseen under this RPF is given as a table below. The responsibility for ensuring that the various measures set out in the matrix are adhered to will be the responsibility of the Environmental and Social Safeguards Specialist. He/she will work in close collaboration with the District/Municipal/Locality authorities and PAPs to ensure that what is foreseen in the Matrix is adhered to consistently.

**Table 11-1: Entitlement Matrix (Summary)**

<b>Project Impact</b>	<b>Affected Population/Entity</b>	<b>Asset Compensation</b>	<b>Transport and disturbance allowance</b>	<b>Other Compensation Measures</b>	<b>Additional Provisions for Vulnerable Groups</b>
<b>Loss of land through permanent land acquisition</b>	PAPs holding title or traditional rights to land located in the project affected area/COI	Provision of equivalent land within each PAP's locality – where possible contiguous with their existing field(s) and/or cash compensation at replacement value		Guidance or advocacy (where required/sought) in identification of suitable replacement land within locality/neighborhood to ensure appropriateness.	Targeted offers of advocacy in identification of suitable replacement land within appropriateness. Targeted consultation/monitoring to ensure livelihoods sustained/restored and vulnerability not increased.
	Tenants of land located in the COI	Cash compensation at full replacement cost for lost crops and opportunities and/or land replacement. Targeted assistance for livelihood restoration			Targeted consultation/monitoring to ensure livelihoods sustained/restored and vulnerability not increased.
	Free-users of land located in the COI (squatters)	Cash compensation at full replacement cost for lost crops and opportunities and/or land replacement. Targeted assistance for livelihood restoration			Targeted consultation/monitoring to ensure livelihoods sustained/restored and vulnerability not increased.
<b>Loss of land through temporary land acquisition</b>	PAPs with title or traditional rights to land subject to temporary acquisition	Rental of land by contractor based on market prices (negotiated agreement).		TA to review rental agreements to ensure legal/ equitable	Targeted consultation/monitoring to ensure livelihoods sustained/restored and vulnerability not increased.
	Tenants of land subject to temporary acquisition	Rental of land by contractor based on market prices (negotiated agreement).		Allocation of land with similar value nearby	Targeted consultation/monitoring to ensure livelihoods sustained/



Project Impact	Affected Population/Entity	Asset Compensation	Transport and disturbance allowance	Other Compensation Measures	Additional Provisions for Vulnerable Groups
					restored and vulnerability not increased.
	Free users of land subject to temporary acquisition (squatters)	Rental of land by contractor based on market prices (negotiated agreement). Where there will be any third parties using the land lost income, business opportunities and assets will be determined and compensated/restored for		Allocation of land with similar value nearby	Targeted consultation/monitoring to ensure livelihoods sustained/restored and vulnerability not increased.
<b>Loss of houses</b>	Owners of houses located in the COI	In-kind replacement OR Cash compensation at full replacement cost based on replacement value (no discount for depreciation).  Where possible, replacement houses to be located within boundaries of existing homestead.  Where not possible for replacement houses to be located within boundaries existing homestead, suitable resettlement land to be identified and prepared within existing locality or district.	Lump sum allowance to cover removal/relocation costs based on formula: weight x Kilometer x Cost/kilometer. Transport allowance	Building materials will be allowed to be salvaged from old structures, without being discounted from full cash compensation.  Cash payment as disturbance allowance  Encourage contractors to employ PAPs in construction of any replacement houses, or in preparation of resettlement sites including allowing the PAPs to indicate where they would like replacement house to be built	Prioritized in provision of resettlement/moving assistance and other measures.  Targeted consultation/monitoring to ensure livelihoods sustained/restored and vulnerability not increased.

Project Impact	Affected Population/Entity	Asset Compensation	Transport and disturbance allowance	Other Compensation Measures	Additional Provisions for Vulnerable Groups
	Tenants of houses (and any associated ancillary facilities) located in the COI	Compensation for loss of house will be to owner.  Calculation of lost business opportunities and compensation of tenants for the estimated losses  Where tenants use facilities for housing targeted assistance for them to find new houses, including cash compensation for disturbance period	Transport allowance  Disturbance allowance	Facilitation/compensation to relocate affected assets	Offer of in-kind assistance in identifying replacement house.  Targeted consultation/monitoring to ensure livelihoods sustained/restored and vulnerability not increased.
<b>Loss of other domestic structures</b>	Owners of ancillary domestic structures (kitchens, ablution facilities, walls/fences, doorways, granaries, etc.) located in the COI	Cash compensation at full replacement cost based on replacement value (no discount for depreciation).	Transport allowance	Building materials may be salvaged from old structures.  Cash payment for replacement cost allowance	Offer of in-kind assistance for reconstruction of replacement domestic structures.  Targeted consultation/monitoring to ensure livelihoods sustained/restored and vulnerability not increased.
<b>Loss of commercial enterprises (mostly informal)</b>	Owners of kiosks, stalls, etc. located in the COI	In-kind replacement  OR  Cash compensation at full replacement cost (no discount for depreciation).	Lump sum allowance to cover removal/ relocation costs based on formula: weight x Kilometer x Cost/kilometer.  Disturbance allowance	Cash payment for loss of earnings (where owner is also the enterprise operator <sup>13</sup> If not, the enterprise operator, this allowance is not paid.	Targeted resettlement/moving assistance and other measures.  Targeted consultation/monitoring to ensure livelihoods

<sup>13</sup> The owner of a *kiosk* and the proprietor of the enterprise within it may not necessarily be the same person

Project Impact	Affected Population/Entity	Asset Compensation	Transport and disturbance allowance	Other Compensation Measures	Additional Provisions for Vulnerable Groups
		<p>Where possible, replacement structures to be located within boundaries of existing property</p> <p>Where not possible for replacement structures to be located within boundaries existing property, suitable resettlement land to be identified and prepared within existing locality or district.</p>		<p>Building materials may be salvaged from old structures.</p> <p>Suitable site for reestablishment of enterprise to be offered.</p> <p>Assistance in obtaining any required legal registration and documentation at new site (licensing, etc.).</p> <p>Encourage contractor to employ PAPs</p>	<p>sustained/restored and vulnerability not increased.</p>
<b>Loss of business opportunities by tenants</b>	Tenants of kiosks, stalls, etc. located in the COI.	Assistance to rent similar business facilities nearby	Facilitation/allowance to relocate any assets that will need to be relocated	Cash payment for loss of earnings.	<p>Targeted resettlement/moving assistance and other measures.</p> <p>Targeted consultation/monitoring to ensure livelihoods sustained/restored and vulnerability not increased.</p>
<b>Loss of business opportunities by mobile enterprises</b>	Proprietors of mobile enterprises, e.g. tables or on the ground.	No compensation, for loss of mobile enterprises. Owners/managers will get a notice to stop using the COI to conduct their businesses			

<b>Project Impact</b>	<b>Affected Population/Entity</b>	<b>Asset Compensation</b>	<b>Transport and disturbance allowance</b>	<b>Other Compensation Measures</b>	<b>Additional Provisions for Vulnerable Groups</b>
<b>Loss of crops</b>	Owners of crops located in COI	Cash compensation for season of crops based on adjusted price tables from DNSA		Targeted assistance to resume agricultural production in the new land	Offer of in-kind assistance for land-preparation (including payment of wages at market rates for people employed).  Targeted resettlement/moving assistance and other measures.  Targeted consultation/monitoring to ensure livelihoods sustained/restored and vulnerability not increased.
<b>Loss of economic trees</b>	Owners of economic trees located in COI (e.g. mango, banana, guava, sap-sap, matabala, etc.)	Cash compensation for replacement seedlings/saplings plus cash compensation for value of lost production based on adjusted price tables from DNSA		Targeted assistance to resume agricultural production in the new land	Targeted consultation/monitoring to ensure livelihoods sustained/restored and vulnerability not increased.
<b>Loss of non-economic trees</b>	Owners of non-economic/non-edible trees located in COI (e.g. acacia, eucalyptus)	Cash compensation to cover cost of replacement based on adjusted price tables from DNSA	Cash payment for replacement cost as disturbance allowance	Targeted assistance to resume agricultural production in the new land	Targeted consultation/monitoring to ensure livelihoods sustained/restored and vulnerability not increased
<b>Loss of cultural property</b>	Cemeteries located in the COI.	Relocation of remains and assistance to PAP to carry out the relocation process in line with their cultural and belief customs	Facilitation/allowance to relocate any assets that will need to be relocated	Consultation and performance of customary ceremonies to appease affected people in line with their cultural and belief customs	Targeted consultation/monitoring to ensure livelihoods sustained/restored and vulnerability not increased.

Project Impact	Affected Population/Entity	Asset Compensation	Transport and disturbance allowance	Other Compensation Measures	Additional Provisions for Vulnerable Groups
<b>Loss/relocation of public infrastructure</b>	Power lines, telegraph poles; fiber-optic; telecommunications cable, water valve boxes, road signage, post boxes, etc.	Cash compensation.	Facilitation/allowance to relocate any assets that will need to be relocated	Consultant to facilitate communication and coordination between parties as required.	Targeted consultation/monitoring to ensure livelihoods sustained/restored and vulnerability not increased.

Central to compensation lies the provision of the means to each of the affected households and other entities for them to restore their lost assets. The value of the replacement should correspond to the market value of the affected assets. However, this should not lose sight of the fact that the ultimate objective of all actions will be to ensure that households and institutions affected by project interventions improve their living standards or that at least they maintain the living standards that prevailed before project commencement. They should also feel that they are being treated fairly.

The following will form the backbone of all the actions to be considered to conduct the compensation process:

1. Compensation should be done and completed for all assets before the beginning of any works;
2. Using the RAP database and the agreed compensation values, where these were concluded, payment should start as soon as possible (within the first weeks into RAP implementation);
3. Where applicable (for the households that may opt for the replacement of their affected assets) aid rebuild affected infrastructures;
4. Ensure that the fixed vending stalls and kiosks and other important businesses are compensated/substituted/relocated in such a way that there is no disruption of local markets;
5. All the households that will lose land for cultivation need to be assisted by the Project Management in collaboration with local authorities to timely identify and carry out basic preparation of the new land areas (clearing, demarcation, water management facilities, etc.);
6. All the affected households need to be timely informed about the overall project schedule and particularly the various milestones with direct implications in their livelihoods. Among others, this should focus on providing relevant information and other practical directions to all the PAPs.

### **Important Issues and Suggestions:**

Although, from the resettlement point of view, this project is not expected to result in any significant changes in local people's livelihoods, where resettlement and mostly compensation will happen, it will be fundamental to work towards the creation of awareness towards the need for the households who will receive compensation money to use it for the purpose that it is designed for. This is an aspect that should be in the hands of the ESSS and the Resettlement Committees as explained in the chapter on institutional framework.

The ESSSs and the district/municipal/locality authorities should embark on targeted education/information campaigns to sensitize PAPs about the importance of adequate use of resources. Experience shows that under similar circumstances there is often the risk of certain beneficiaries using that money for other purposes that may not necessarily add value to the family and community life (e.g. alcohol and other negative practices) and consequently impoverish the families and the communities.

At the household level it will be important to involve both men and women in the management of all resettlement aspects and not only men. In case of issuing of title deeds option must be given to register both names (husband and wife), for new land or house. This has proved to be consistent with the relevance of involving women to ensure that restoration measures are used to build household capital.

Where PAPs are qualified to work competently as contractors that can be engaged under the project and particularly RPF/RAP implementation they should be encouraged to give their temporary and/or permanent jobs as priority workforce to select on site. Whenever appropriate jobs should be given to women. A certain degree of training should also be considered to increase the chances of employing local people if this does not translate into significantly elevated costs for the project.

## 12. INSTITUTIONAL FRAMEWORK

As seen, the STP regulations do not yet have a specific instrument to deal with resettlement issues. These are dealt with in general in the laws and regulations on the rights and duties of citizens (constitution and others), participation and dissemination (environmental and social impact assessment and others), compensation and others (land law and others).

Based on the principles contained in these instruments and the WB guidelines, this chapter attempts to outline the roles and responsibilities of the different agencies in the preparation, implementation, monitoring, evaluation and audit of the RAP, as soon as this is confirmed as inevitable in the subsequent stages of project development.

In the absence of details on how the São Toméan mechanisms are translated into practical for resettlement, indications offered here should be considered to have practical value, without interfering negatively with the essence of the law and above all going in the direction of the WB Guidelines.

The issues are broken down by the main stages of project development and particularly of RAP, namely: (i) screening of project activities in terms of preparation of the Initial Screening Report on resettlement issues will be under the responsibility of the Consultant Hired by the Developers using TPC funds. This should already be happening during the current phase of environmental and social impact studies (ongoing); (ii) determination of the need for an ESIA/ESMP that has already been made by the DGA in compliance with the provisions of the ESIA Regulation and mainly the WB requirements. The determination of the need for RAP should also be made by the DGA based on the Consultant's assessment under the current ESIA/ESMP; and (iii) Preparation of the RAP as such by the Hired Consultant and (iv) Approval of the ESIA/ESMP/RAP will be the responsibility of the DGA in compliance with the same regulatory provisions. The process must be practical while being adequately inclusive and participatory. The general distribution of responsibilities should be as follows:

**Table 12-1: Institutional roles and responsibilities**

Functions	Responsibilities
Formation of the Districts/Municipal Resettlement Working Group	District/Municipal Councils working closely with local leaders and the PAP's and their representatives.
Collaboration with the Developer in the implementation of the project and particularly to deal with the problems related to the assets they own/manage.	EMAE, Public and Private Telecommunications, district/municipal authorities
The district and the municipality will be responsible for ensuring that the implementation of the RAP is in accordance with the strategic land use plans and infrastructural development in the district and in the cities/localities. Where relevant, municipal and district authorities will use their technical departments to address specific issues emanating from the resettlement process.	AFAP Environmental and Social Specialist, INAE and DGA assisted by Districts and Municipalities Staff
Coordination, implementation and oversight of all RAP activities to ensure that overall project planning, implementation, monitoring and evaluation are in line with RAP principles and guidelines through: 1. Continuous update of the RAP databases, including ensuring that all the PAPs behind all affected assets are	Local consultants and assistants (NGOs, other local service providers) To ensure good quality, the entity being hired by the PIU to conduct this work must have extensive experience



Functions	Responsibilities
<p>identified in good time and everyone sign the compensation arrangements;</p> <ol style="list-style-type: none"> <li>2. Follow up and find the missing PAPs;</li> <li>3. Monitor the process for PAPs to vacate the area where this is necessary;</li> <li>4. Ensure that unoccupied areas are not invaded again;</li> <li>5. Help prepare the PAPs to receive financial compensation; for example, through communication on impacts and options associated with compensation;</li> <li>6. PAPs to obtain the necessary documentation (e.g., IDs) to perform the various steps required in the RAP (for example, opening of bank accounts);</li> <li>7. Get bank account numbers or help to open bank accounts for PAPs that will receive bank payments;</li> <li>8. Provide lists of PAPs to be cleared according to the payment method. Provide lists to AFAP/INAE/DGA;</li> <li>9. Help prepare the PAPs are to receive financial compensation; for example. communication on impacts and options associated with compensation</li> <li>10. Check the payment with the bank account number;</li> <li>11. Supervise that PAPs receive cash compensation:</li> <li>12. if the compensation was deposited in the bank account or if the cheques were issued by the designated payer.</li> <li>13. Notify PAPs and facilitate the process where the PAPs cannot access bank accounts or cash cheques.</li> <li>14. Receive the statement that the PAPs have received compensation.</li> <li>15. Provide facilitation assistance (e.g. for the reconstruction of assets, involvement of district/municipal authorities when necessary, eg land identification and allocation);</li> <li>16. Provide special assistance to vulnerable PAPs (e.g. households headed by female, children, the elderly and the chronically ill, women owned/managed enterprises, etc.);</li> <li>17. Coordination of the process between the various jurisdictions (central, and municipal, communities/neighborhoods, families, etc.) involved in the process. The consultant coordinates the involvement of all implementing agencies.</li> <li>18. Involvement of public/private institutions in the process of restoring income (for example tree restoration and general cultivation where necessary and relevant) and mechanisms to ensure the adequate performance of these institutions and to identify gaps as well as find ways to deal with these;</li> <li>19. Work with Developers in description mechanisms to ensure independent monitoring, evaluation and financial auditing of RAP and to ensure that corrective measures are implemented timely.</li> </ol>	<p>in conducting RAPs and conducting local development projects.</p> <p>When necessary, the consultant will hire subconsultants (e.g., construction, agriculture, information dissemination (radio, TV), etc.). They will not need to work on a permanent basis for the project but will always be called as needed.</p> <p>In collaboration with other entities, such as local and community authorities, the Consultant will be particularly active in creating awareness of the need for households/owners of other assets that receive compensation money to use it for the purpose for which it was designed.</p>
<p>Ensure that ESIA/ ESMP and RAP and ESMF and RPF processes are followed appropriately in accordance with the country's legislation and accepted traditions</p>	<p>MRNEA/DGA and their representatives at district and municipal level</p>

Functions	Responsibilities
Ensure that genuine PAPs voice and the interests and concerns are properly considered at all stages of the process, including assistance to PAPs to address and correct the issues raised in the complaints and claims	PAPs and District/Municipal Resettlement Committes

It is worth to stress that RAP design, preparation, implementation, supervision and monitoring is labor intensive, time consuming, sensitive, and even potentially conflicting, hence to assure good quality and success of the exercise, experienced and appropriate consultants and service providers will be hired. AFAP, INAE and DGA personnel will need appropriate and dedicated capacity building to lead the process.

## **13. INSTITUTIONAL STRENGTHENING AND CAPACITY BUILDING**

The limited capacity to carry out all the activities around ESIA/ESMP and RAP particularly at the district and municipal levels, but also within AFAP, INAE and DGA due to inadequate practical experience, makes it relevant to identify capacity building needs and design respective interventions to develop the necessary skills among institutions and staff. RAP processes may become common in STP and require considerable development of practical skills by those who are involved. The Project will make resources available to accommodate the satisfaction of this important requirement.

### **13.1. Institutional Capacity Assessment and Analysis**

As said in legal and regulatory framework chapter in this document and the ESMF there has been considerable progress in institutional, legal and regulatory processes related with environmental and social management in STP. However, coordination and law enforcement and lack of routines remain as serious challenges.

The various institutions, development strategies, laws and regulations are still in need of harmonization to ensure that they achieve common goals in the sustainable management of natural and social resources. Human and material investments are required to translate the various provisions into concrete actions. This is further compounded by the predominance of the informal sector in the economy's landscape. The informal sector can be very difficult to work with and regulate.

In general, there are no solid routines in STP to deal with these matters, i.e. ESIA, ESMP and RAP. Such capacity is even more inadequate at the district and municipal levels. This is further compounded by the fact that resettlement in STP is not yet regulated by a single document. It is a process that requires a combination of multiple legal instruments to reach a certain conclusion. This adds to the potential for problems and disorientation.

In the foreseeable future, resettlement may require concerted efforts to ensure that it is carried out in a manner that meets the stated objectives and particularly the principles set out in World Bank OP 4.12.

### **13.2. Proposed Training and Awareness Programs**

The general objective of the training and awareness creating programs for implementation of the ESIA/ESMPs, and particularly RAPs is to:

1. sensitize the various stakeholders on the linkages between environment and social impacts and Projects, particularly roads and infrastructure in general, land demarcation and titling, etc.;
2. demonstrate the role of the various key players in the implementation and monitoring of the safeguards instruments (ESMF-ESIA/ESMP, RPF/RAP, , etc.), by disseminating these instruments as such and by drawing and disseminating lessons learned;
3. sensitize representatives and leaders of community groups and associations (who will in turn convey the message to their respective communities) on the implementation and management of the mitigation measures; and on their roles in achieving environmental and more importantly social sustainability;

4. ensure that both municipal and district level personnel can provide leadership and guidance as well as supervise the implementation of their components in the ESIA/ESMP, RPF/RAP, etc.;
5. ensure that Developers and PAP can analyse the potential environmental and social impacts, and competently prescribe mitigation options as well as supervise the implementation of management plans;
6. strengthen local NGOs and teams of extension workers to provide technical support to the farmers, traders and other local people.

The stakeholders have different training needs for awareness raising, sensitization, and comprehensive training, namely:

1. awareness-raising for participants who need to appreciate the significance or relevance of environmental and social issues, that go even beyond just safeguards (i.e. gender mainstreaming, social accountability and/or grievance redress mechanism, etc.);
2. sensitization for participants who need to be familiar with the ESIA/ESMP, and RAP and to monitor respective implementation; and
3. Comprehensive training for participants who will need to understand the potential adverse environmental and social impacts and who will at times supervise implementation of mitigation measures and report to relevant authorities.

Training should be practical in as much as possible. Working sessions to prepare/fill the various forms that need to be filled under resettlement preparation (e.g. screening of subprojects for their social implications), implementation (e.g. household surveys) and monitoring (e.g. grievance documents) should be at the forefront of the capacity building process. The “*Learning by Doing*”<sup>14</sup> approach as opposed to lectures and studies and other forms of advice and assistance will be given priority consideration. The training of trainers is also seen as a relevant approach as it will assist in the creation of basic conditions for sustainability and replication of the interventions. The outcomes of such a process will live beyond the life span of the project.

Training and capacity building will be in the form of:

**Knowledge transfer between institutions:** this will be aimed at promoting and supporting AFAP/INAE/DGA personnel at the central and municipal/district level to participate in activities that encourage the transfer of experiences and knowledge through participation in forums, conferences and national and international courses and seminars that deal with specific resettlement issue;

**Institutional Strengthening to Local Governments:** it will consist of the design and implementation of activities such as the development of management models, to systematize processes or activities of control, implementation of Resettlement Action Plans covering the entire cycle.

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<sup>14</sup> In which relevant personnel at the various levels are exposed to examples of good practices and/or where they learn by seeing and/or doing how things are approached and done

## **14. COMMUNITY PARTICIPATION AND STAKEHOLDER INVOLVEMENT IN PLANNING, IMPLEMENTATION, AND MONITORING**

The guidelines specify that community consultation and participation should be at the center of the entire process as a way of providing an opportunity for all relevant stakeholders and particularly affected households and communities to get informed about the project. The process is also designed to instill a sense of project ownership and to provide an opportunity for all concerned parties to present their views and interests and expand options to deal with sensitive matters.

The participatory and public involvement principles have already been present in the formulation of the ESMF and this RPF.

In addition to contacts with central level institutions in the cities of S. Tomé, Guadalupe and Neves, relevant individuals in the project area were initially consulted to prepare drafts of the safeguards documents. On June 22, 2018, a public meeting was held in the city of S. Tomé to present this RPF and its ESMF.

As a way of meeting the requirements of the national and World Bank ESIA/ESMP and RAP laws, regulations, policies and guidelines all phases of the Project including those that will come after ESMP and RFP approval should continue to make concerted efforts to derive maximum benefits from public consultation and involvement. This will be the main responsibility of the ESSS as well as of the entire PIU and AFAP/INAE/DGA. The following should be considered during the main phases of the RAP process:

### **RAP Preparation**

The RAP or RAPs under the Project will benefit greatly from the public participation process as many stakeholders are expected to suggest useful ways of tackling the various problems that may arise during the ESIA/ESMP and RAP processes.

Other privileged occasion to be adequately used to keep PAPs informed and get their views will be during the socioeconomic surveys that will lead to the preparation of the RAP documents as such. The Consultants responsible for RAP preparation, in collaboration with the Developers and District/Municipal authorities, should be given the responsibility of contacting all the relevant Local and Neighborhood authorities in the project to provide general information about the Project, specific components and to prepare the households and to get stakeholders to collaborate with the project.

The questionnaires to be used for the data collection should include a briefing on the project background and specific elements of the project components at hand, as suggested in the template provided in Annex 5.

### **RAP Implementation**

The Resettlement Action Plan or Plans will include a time frame for implementing the resettlement in line with the Project development.

It is important to include the affected communities as integral part of the resettlement plan. Communities must have their own representatives (both male and female representatives), who will be part of the District/Municipal Resettlement Committees (RC) in representation of all relevant clusters of PAPs, as specified in the previous

chapter. *Community leaders* shall get involved in the resettlement process to integrate community wishes and institutional arrangements to reach agreements.

The community management bodies will be responsible for:

1. Participating in resettlement/compensation monitoring
2. Receiving and giving advice on grievances and play an active role in grievance redress
3. Assisting families that will be affected and rebuild their lost assets:

Each Committee shall be organized and all contacts with affected families shall be made through these organizational structures, without hindering the lines of communication that should exist between the Project Management and the affected people.

The District/Municipal Resettlement Committees (RC) will also be useful for monitoring voluntary resettlement in case it takes place.

### **Communication**

There will be a need to ensure that a practical communication system is established to strengthen the ability of all affected people to articulate, disseminate and make their own decisions. On the other hand, it will be necessary to create conditions to help individuals and communities to understand and endorse the eligibility criteria and rules that will be agreed upon, in a transparent way.

The main social groups to be targeted will be:

1. Those that will be compensated in cash
2. Those that will have their assets substituted
3. The vulnerable households that may be identified during RAP implementation

To empower the communities and the affected households, the communication systems to be adopted should embrace the “rights base approach”. NGOs and other entities with experience in this area should be engaged to promote it. In the specific case of this project the “rights base approach” means, among other aspects, that people understand their entitlement to be compensated for the losses to be incurred and do not look at these as handouts/favors from local authorities. At times it happens that local leaders taking advantage of inadequate PAPs information and knowledge use processes like resettlement to promote other agendas, including buying allegiances, which are contrary to the spirit of resettlement and should be prevented. Adequate and permanent communication can help substantially to counteract this.

Communication should be conducted in different ways and using different methods as found fit for each case and circumstance, such as:

1. General meetings with groups of project/subproject affected people;
2. Focus group discussions involving specific and separate groups mainly women, men, the youth, business people, etc. This segregation process makes it easy to tailor specific messages for the concerned groups and makes it easy for members of the groups to express themselves more openly once they are among their peers as opposed to being integrated with other people who might inhibit their frankness.

Every meeting should be properly documented. The minutes of such meetings should, among other aspects, contain:

1. Date
2. Venue
  - a) District/Municipality
  - b) Locality
  - c) Neighborhood
3. Summary of the main issues presented during the meeting
4. Summary of the main issues presented by the participants (obs. all the concerns and interests should be recorded)
5. List of participants including the names and position of the organizers as well as contact details of all who attended the meeting.

Meetings should be conducted in both languages, Portuguese and local languages.

Other means of communication should also be used to disseminate information and all different kinds of instructions to affected people. These should include but not be limited to:

- Radio – national, provincial and community
- Television – national, provincial and community
- Newspapers and news bulletins – national, provincial and community
- Leaflets
- Letters
- Word of mouth
- Etc.

Communication material produced specifically to foster RAP interests should be circulated in Portuguese.

Throughout RAP implementation it will be fundamental to bear in mind that institutions in STP in general are weak and that these weaknesses will have a bearing in the entire process in one way or the other. Government/municipal institutions have weak capacity to deal with these additional tasks. They have limited human, material, financial and technological resources while they are overwhelmed by a multitude of other priorities and have limitations to articulate issues that do not fall under their usual agendas as is often the case with resettlement.

Sometimes corruption hampers service delivery and accountability. This is further compounded by weak demand at community level, where vulnerability, dependency, cultural constraints and low levels of social capital, prevent poor people and their representatives from demanding their basic rights.

The involvement of external organizations with a strong track record of addressing the above-mentioned issues will be fundamental. The **“rights-based approach”** to education/capacity building should be at the forefront of the entire process. Local people and their organizations need to be empowered to know and understand their rights and be provided with adequate communication channels to foster their legitimate interests.

## **15. GRIEVANCE MECHANISM/PROCEDURES**

## **REDRESS**

Conflicts or grievances arising from the resettlement planning and implementation process are generally associated with poor communication, inadequate or lack of consultation, inadequate flow of accurate information, or restrictions that may be imposed on project affected people. Communities must be involved in awareness-raising and training concerning their rights and obligations; how to obtain legal advice and representation, and how to seek redress against what they regard as unfair practices.

Training in conflict management for technical personnel from AFAP/INAE/DGA and district/municipal entities by the Central PIU should be carried out. Resettlement Committee members and local leaders should be trained in conflict management by the Service Provider to assist in minimizing the negative impact of conflicts.

Special attention should be paid to women, the poor and most vulnerable groups in affected households as well as in host communities to ensure they understand their rights and entitlements. This may be assisted using women social facilitators and ensuring women are included in the local Resettlement Committees and with other relevant vulnerable groups in Monitoring Commissions.

Project affected people with grievances concerning proposed or actual resettlement and/or compensation arrangements should be able to present these to trusted leaders who can act as linkages as necessary to others who may be needed to resolve the problems.

This section will describe the Project Grievance Redress Mechanism in relation to the following aspects:

- Registration and response to complaints;
- Mechanisms of appeal;
- Provisions for recourse to civil courts if the other options are unsuccessful.

The aim is to respond to PAP complaints in a timely and transparent manner. It is believed that the proposed institutional mechanism for this project will ensure that PAPs have channels to present and resolve their complaints related to any aspect of the RAP. All relevant stakeholders should work hand in hand to ensure that processes are effective in terms of timely communication and reaction. AFAP/INAE/DGA should always be informed about all issues, even in cases where they may not be directly involved in responding to those issues that may be in the limelight in a case.

The process and procedures should be structured in the following ways:

### **General principles**

As mentioned during the notification, i.e., when the AFAP/INAE/DGA express their intention to acquire land, it should be clear that “any affected person may, by written notification, challenge the expropriation of their land and property, to AFAP/INAE/DGA, with copies to the District Administration/City Council and to the Local Districts of their jurisdiction within 14 days after the public announcement or notification”. This system of filing and circulation of complaints will be maintained during all phases of the RAP implementation.



## **15.1. Available and Accessible Procedures to Resolve Conflicts Associated with Resettlement**

Grievance redress mechanisms should involve the local community influential leaders in providing a first level of listening and informal resolution. These leaders should be represented or involved in the co-management committees and working groups and be involved in creating awareness that they may also be used for the transmission of grievances to these *fora* for informal resolution. Some land and resource-use related conflicts may be resolved by traditional leaders. If they are beyond their scope they may be passed on to the local community court where it exists.

If issues are concerned with relationships with secondary or external stakeholders, and/or are outside the capacity of the community or local authorities to resolve, they should be presented to the co-management committees for transmission upwards to district/municipal level. If the issues are not resolvable at these levels, they should be transmitted through the local authorities to the District Government for redress or mediation.

In the case of grievances, decisions on redress and communication of these to the complainant should be timely at all levels. This will promote greater trust in the communication system and improve attitudes about the Project within the community. Information should normally be returned to the community using the same channels as for its initial transmission. The results should be communicated to all other levels and relevant structures at the same time for coordination and awareness purposes. If the community member/group who lodged the complaint is not satisfied with the decision of the Project Authority, then as an ultimate recourse he/she/they may submit it to the court system.

In cases where conflicts or complaints are directed against governmental agencies, project management or private entities, whenever possible, Project affected people and communities will be encouraged to resolve conflicts harmoniously through informal mediation by external agencies, such as NGOs or government officers. When disputes cannot be resolved informally, more formal mechanisms will be required. Where one or more communities conflict with a private-sector entity, the issue will be taken to the Ministry (MRNEA, in this case) or agency (i.e. INAE/DGA or AFAP) with titular responsibility for the investment.

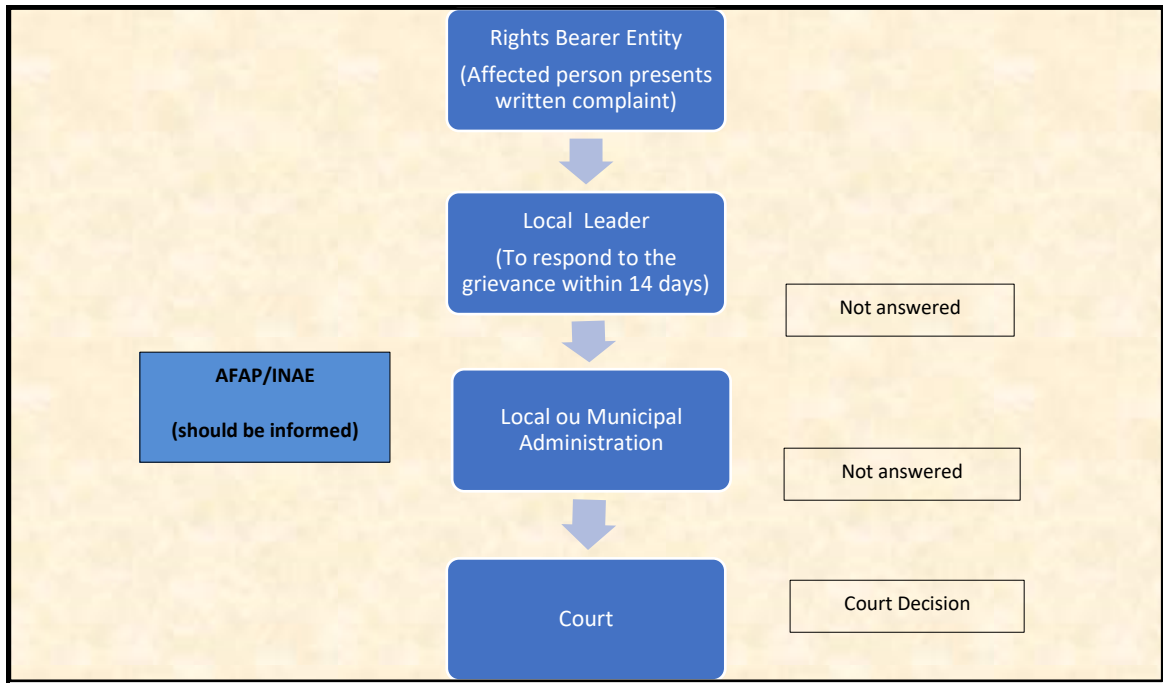
The general rule is that all grievances related with non-fulfilment of contracts, levels of compensation, seizure of assets or certain restrictions of access to resources without compensation should be brought to the attention of relevant officers and dealt with.

Communication should be done in relevant languages mainly (for verbal communication mainly written material will be only in Portuguese). General grievance forms to be used should be prepared by Project Implementation Unit/Environmental and Social Safeguards Personnel/Teams and made known and available to all potential users, although people should also feel free to use their own grievance documents at wish.

At the grassroots level, mainly neighborhood and neighborhood there are no unified structures to manage common matters affecting those who live there. Depending on the specific cases, these should be chosen to organize and represent the households throughout program implementation and particularly during the presentation and redressing of grievances. They should by themselves and/or assisted by other people be able to carry out all the secretarial work involved in the process, such as preparing/writing the grievances where needed, collecting them, filing, sending,

translating, etc. Where affected people/households/entities want to handle the whole process by themselves they should be allowed to do so. Representation may be the best approach but it should not be imposed.

**Diagram 15-1: Procedures to present and redress complaints**



The following stages are suggested

**Stage 0:**

Potential PAP claim documented on the appropriate form to be delivered by Project Implementation Units/Environmental and Social Safeguards personnel/teams; if during the process it appears that the PAP did not get it right, this can be explained. The Project Implementing Entity should not discourage filing a complaint. The complaint will include the Complaint Registration/Project Issues.

**Stage 1:**

Depending on the nature and characteristics of the subject in question, the Staff/teams of the Project Implementation Units/Environmental and Social Safeguards make an initial assessment to decide whether to accept or reject a claim. If accepted, the Committee recommends a final solution.

**Stage 2:**

If the aggrieved person is not satisfied with the decision made in Step 1, he/she can refer the case to the district authority with a preliminary report prepared by the Project Implementing Entity. The report shall contain the details of the complaint, the day of the complaint and the decision taken by the joint management committee of the project.

**Stage 3:**

If the PAP continue dissatisfied with the decision made after Step 2, he/she can take the case to the ESMP Monitoring Committee and Technical Supervision of his/her jurisdiction (district, town, county, etc.). The complaint will be forwarded with all the details documented on the case to date.

#### **Stage 4**

It is assumed that all cases will be resolved at the level of the Advisory Council of the District/Municipal Council. However, there are cases that may remain unresolved. For such cases, the PAP will have the option to forward his/her case to the District Administrator/President of the Municipal Council for friendly end solution.

#### **Stage 5**

Failing an amicable solution in Step 4, the PAP may appeal to the District/City/Town courts. These will deal with the matter their own terms of court proceedings for issues of the same nature. This is the step in which although it should always be made available, should be discouraged by all positive means, such as the timely communication and open negotiation. The institutional mechanism and the principles of consultation and community participation that are intrinsic to the processes of environmental and social management are intended to allow the process to detect and resolve problems in a timely and satisfactory manner for all parties involved.

Each step should be limited to a maximum of 15 days/two weeks from the receipt of a complaint to the decision-making.

It is strongly recommended that all necessary measures to ensure that solutions are adopted by consensus based on negotiation and agreement are taken.

Detailed procedures for compliance with the complaints and the appeal filing process should be disseminated among the PAP, which should be trained to use them when so deemed necessary. The empowerment process described in previous chapters should focus on these procedures, among other things. The procedures should be disseminated during all stages of the ESIA and ESMP and RAP.

## **16. MONITORING AND EVALUATION ARRANGEMENTS**

Different forms of resettlement tend to take a while before the livelihoods of those affected get back to normal. The restoration and normalization of PAPs livelihoods may be a slow process. It may take a few months or more to reach stability. It is to be expected that the first 6 to 12 months of implementation of the RAP will be of significant changes. It is during this stage that adequate and prompt interventions to correct any deviations will be mostly required. The remaining time will be dedicated to process maintenance. But it will be crucial to have systems and procedures to ensure that the ultimate objectives of the RAP are attained.

A participatory monitoring and evaluation process will be fundamental during Project implementation. This process should be conducted in such a way as to enable all interested parties and particularly the beneficiary households and communities to get involved in all aspects of planning, monitoring and evaluation. The process should be as simple as possible to enable all stakeholders to regularly reflect on progress at each stage and identify what needs to be done to ensure that the Project interventions benefit all and do not impact negatively on the lives of directly affected people and other people along the directly affected areas.

Monitoring and Evaluation (M&E) is an essential part of RAP implementation to measure actual performance against what was planned according to several selected indicators – in terms of outputs and outcomes and particularly in relation to livelihoods and living standards of project affected people.

The following aspects of M&E will be important:

1. RAP Performance Indicators;
2. Internal performance monitoring process;
3. Feedback from internal monitoring to implementation;
4. External Monitoring;
5. Final External Evaluation.

### **RAP Performance Indicators**

RAP Performance Indicators will be derived from the socioeconomic baseline survey and will form the basis on which RAP performance will be measured. Any changes in indicators (qualitative or quantitative) will be assessed to identify the extent to which these changes have been caused by resettlement or come because of other factors. In many cases the link is direct and obvious (such as in number of people who opt for replacement rather than cash compensation or number of people provided with livelihood restoration training). Changes in other cases (such as changes in income or educational levels or aspirations of women) may require further investigation to attribute causality.

Specific forms/tables will be prepared for the Project RAP setting out several indicators against which RAP performance can be monitored and assessed – for the purposes both of internal and external monitoring.

The results of the socioeconomic surveys that will have led to the formulation of the RAP will be used as baseline indicators to objectively measure progress as the implementation of RAPs evolves. The findings of the RAP on the number of households and people that will have to be compensated and will have their affected assets

substituted, as well as the principles to be followed and the quality of livelihood restoration will form the basis of the entire process.

### **Internal Monitoring**

Quantitative analyses will use the database containing information on each family that will have been prepared as part of each RAP. The database or just parts of it will continue to be used throughout implementation to regularly generate reports on progress made by each household and RAP in terms of:

1. Assets status, occupation and living conditions and supervision of implementation of compensation and substitution as agreed upon with the affected households/entities;
2. Monitor whether the implementation of all aspects is progressing as provided in the RAP and/or its updated version;
3. Monitor the timely and sufficient disbursement of funds;
4. Investigate and assess each case of complaint and grievance;
5. Monitor and assess the quality of life restoration and progress towards poverty alleviation and improvement of living standards.

Qualitative analyses will draw from community level review/reflection on progress, matters arising and identification of issues to be dealt with as times progresses. Selected people at community level will take and prepare minutes during community meetings and these will be used by project management to carry out relevant actions. Forms and templates for preparing these reports should be prepared by the Consultant and TA in general, under PIU Managers' supervision. People should receive training to make their adequate use.

The RAP/Project Implementation Unit as well as the ESSS and the PIU and other interested parties (e.g. district and municipal authorities) will monitor project activities, as per the coordinating mechanism set forth in the RAP through visits to selected project sites using performance review checklists. Checklists will also be developed. Corrective actions will be taken immediately as soon as deviations are identified.

The above-mentioned institutions will prepare regular status quo reports using a reporting format agreed upon and performance indicators. The annual report will feed into an annual review by presenting achievements, lessons learnt and recommendations.

### **External Monitoring and Evaluation**

This will be sourced outside the project, i.e. individuals and/or organizations independent from the project and preferably those that did not have any other role to play in project design or implementation. Besides evaluating the regular reports (e.g. quarterly) produced by internal monitors and conduct the same kind of investigation assigned to internal monitoring, the external monitoring agency will be responsible for the following:

- a) Evaluation of inventory survey
- b) Evaluation of socio-economic project impact on the PAPs
- c) Supervision of the implementation of the RAPs to achieve the objectives and in particular "to improve or at least maintain the incomes and living conditions of the PAP after the resettlement/compensation".

A final participatory evaluation will be conducted three months before the end of the RAP to measure outcomes and impacts. This will be done by an external team specifically hired to conduct this final evaluation process, which will focus on:

- a) Evaluation of inventory survey
- b) Evaluation of socioeconomic impact of the RAP
- c) Ascertain the extent to which the principles stated in each RAP have been fulfilled particularly in what concerns “improvement of living standards of the affected people or at least restoration of living standards to pre-project time”

In short monitoring and evaluation will be continuous and will focus on short and medium/long term objectives of the RAPs.

The table below provides an example of a structure and issues that can be adopted to undertake monitoring and evaluation of resettlement implementation. The hired consultants that will be engaged to supply goods and services will take the lead in all instances and be actively assisted by local authorities under the supervision of the PIU at the district/municipal level and the Social Safeguards Specialist.

The issues covered by the household questionnaire and respective results after data collection, processing and reporting also offer examples of items that can be used to prepare and conduct socioeconomic and sociodemographic monitoring and evaluation of the resettlement impact on the households over time. Reference is made to aspects such as:

- a) Quantitative and qualitative changes in access to goods and services (water supply, sanitation, education, health, etc.)
- b) Changes in levels of income
- c) Changes in diversification/improvement of housing, income generating activities
- d) Etc.

**Table 16-1: Monitoring and evaluation of resettlement performance indicators**

<b>N.º</b>	<b>Activity/Development to be Monitored</b>	<b>Indicators</b>	<b>Responsible Entity</b>
<b>1</b>	<b>Commencement of RAP Implementation</b>		
<b>1.1</b>	Finalization of identification of all stakeholders and stakeholder profiling and definition of roles and responsibilities	List of relevant project stakeholders	<b>HIRED CONSULTANTS<sup>15</sup></b>
<b>1.2</b>	Setting of the RAP Working Groups from the municipal level to the neighborhood/household level and establishment of the various subgroups	Number of working groups created and in operation	<b>HIRED CONSULTANTS</b> <b>District/Municipal Councils</b> <b>Community Leaders</b>
<b>1.3</b>	Establishment of an effective management, administrative and reporting system. Development/improvement of all relevant working forms/templates	1. Household data sheets; 2. Final contracts/agreements with the PAPs; 3. Bank accounts 4. Checks 5. Grievance redress system and respective tools	<b>HIRED CONSULTANTS</b>
<b>1.4</b>	Develop and establish a communication strategy to be adopted by RAP Working Groups	Number of radio, TV, newspapers/bulletins, leaflets, letters, word of mouth, meetings programs activities dedicated to RAP	<b>HIRED CONSULTANTS</b> <b>AFAP/INAE/DGA Communication Officer</b>
<b>2</b>	<b>RAP Dissemination</b>		
<b>2.1</b>	Formal notification of all stakeholders of DEVELOPER's intention to acquire land and the need for resettlement and initial dissemination of RAP schedule	Number of radio, TV, newspapers/bulletins, leaflets, letters, word of mouth, meetings programs activities dedicated to notification of land taking	<b>HIRED CONSULTANTS</b> <b>AFAP/INAE/DGA Communication Officer</b>

<sup>15</sup> Consultants will be hired by the Developers using AFAP/INAE/DGA funds allocated under the ESMF and RPF to prepare and implement ESIA/ESMP and PAR.

N.º	Activity/Development to be Monitored	Indicators	Responsible Entity
			District/Municipal Resettlement Committee
<b>3</b>	<b>Land Acquisition/ RAP preparation and implementation (prior to taking of the land)</b>		
3.1	Continuous communication and dissemination of relevant information to all stakeholders, including communication of cut-off dates and community consultation/participation	Number of radio, TV, newspapers/bulletins, leaflets, letters, word of mouth, meetings programs activities dedicated to communication of cut-off dates and RAP issues in general	<b>HIRED CONSULTANTS</b> District/Municipal Resettlement Committee AFAP/INAE/DGA Communication Officer
3.2	Demarcation of authorized area to be affected	Number of stickers other markers demarcating COI	<b>HIRED CONSULTANTS</b>
3.3	Do the tracking and finding absent PAPs	Number of PAPs identified after RAP commencement	<b>HIRED CONSULTANTS</b>
3.4	Help prepare the PAPs for receipt of financial compensation; e.g. communication on impacts and options associated with co	Minutes of meetings on project impacts and options for compensation/relocation	<b>HIRED CONSULTANTS</b> District/Municipal Resettlement Committee
3.5	Assist PAPs to obtain necessary documentation (e.g. ID) to carry out the various steps required under RAP (e.g. opening of bank accounts)	Number of PAPs with IDs that did not have before RAP commencement	<b>HIRED CONSULTANTS</b> District/Municipal Resettlement Committee
3.6	Obtain bank account numbers or help open bank accounts for all PAPs who will receive bank payments	Number of bank accounts opened by PAPs with HIRED CONSULTANTS assistance	<b>HIRED CONSULTANTS</b>
3.7	Provide lists of PAPs to be compensated according to method of payment. Provide list to AFAP/INAE/DGA Fiscal Agent	Lists and number of PAPs and entitlements delivered to AFAP/INAE/DGA Fiscal Agent	<b>HIRED CONSULTANTS</b>
<b>4</b>	<b>Delivery of Entitlements (Resettlement/Compensation)</b>		<b>HIRED CONSULTANTS</b>
4.1	Continuous communication and dissemination of relevant information to all stakeholders and community consultation/participation as well as training and capacity building as needed and identified	Number of radio, TV, newspapers/bulletins, leaflets, letters, word of mouth, meetings programs activities dedicated to RAP issues and progress in general	<b>HIRED CONSULTANTS</b>



<b>N.º</b>	<b>Activity/Development to be Monitored</b>	<b>Indicators</b>	<b>Responsible Entity</b>
4.2	Check payment with bank account number	Number of PAPs paid through bank checks/transfers	<b>HIRED CONSULTANTS</b>
4.3	Oversee that PAP receives cash compensation	% of PAPs with compensation paid	<b>HIRED CONSULTANTS</b>
4.4	Verify that compensation has been deposited in to the bank account or that check has been issued by AFAP/INAE/DGA Fiscal Agent	To be developed	<b>HIRED CONSULTANTS</b>
4.5	Notify PAPs and facilitate process where PAP can access bank account or cash check	Number of notification received by PAPs notifying about bank accounts and check payments	<b>HIRED CONSULTANTS</b> <b>District/Municipal Resettlement Committee</b>
4.6	Receive statement that PAP has received compensation	Number of signed statement by PAPs as compared to number of PAPs	<b>HIRED CONSULTANTS</b> <b>District/Municipal Resettlement Committee</b>
4.7	Ensure that areas vacated are not encroached again	To be developed	<b>HIRED CONSULTANTS</b> <b>District/Municipal Resettlement Committee</b>
4.8	Verification and handling of grievances including looking for the lost in the process	To be developed	<b>HIRED CONSULTANTS</b> <b>District/Municipal Resettlement Committee</b>
<b>5</b>	<b>Post Resettlement Activities and Monitoring and Evaluation</b>		<b>HIRED CONSULTANTS</b>
5.1	Assisting compensated households to normalize and where possible to improve their productive systems in relevant areas	Assessment of income and livelihoods in project affected areas as compared to pre-RAP implementation	<b>HIRED CONSULTANTS</b> <b>District/Municipal Resettlement Committee</b>
5.2	Reestablishment of local markets	Assessment of supply of goods and services and customer satisfaction in the project affected areas comparing with pre-RAP implementation	<b>HIRED CONSULTANTS</b> <b>District/Municipal Resettlement Committee</b>

<b>N.º</b>	<b>Activity/Development to be Monitored</b>	<b>Indicators</b>	<b>Responsible Entity</b>
5.3	Ensure that areas vacated are not encroached again	Number of people within COI after RAP implementation	<b>HIRED CONSULTANTS</b> <b>District/Municipal Resettlement Committee</b>
5.4	Verification and handling of grievances	Number of grievances and settlements processed	<b>HIRED CONSULTANTS</b> <b>District/Municipal Resettlement Committee</b>
6	<b>Final Evaluation</b>	Final RAP Report by external evaluation	
5	<b>Post Resettlement Activities and Monitoring and Evaluation</b>		<b>HIRED CONSULTANTS</b>
5.1	Assisting compensated households to normalize and where possible to improve their productive systems in relevant areas	Assessment of income and livelihoods in project affected areas as compared to pre-RAP implementation	<b>HIRED CONSULTANTS</b> <b>District/Municipal Resettlement Committee</b>
5.2	Reestablishment of local markets	Assessment of supply of goods and services and customer satisfaction in the project affected areas comparing with pre-RAP implementation	<b>HIRED CONSULTANTS</b> <b>District/Municipal Resettlement Committee</b>
5.3	Ensure that areas vacated are not encroached again	Number of people within COI after RAP implementation	<b>HIRED CONSULTANTS</b>
5.4	Verification and handling of grievances	Number of grievances and settlements processed	<b>HIRED CONSULTANTS</b> <b>District/Municipal Resettlement Committee</b>
6	<b>Final Evaluation</b>	Final RAP Report by external evaluation	<b>HIRED CONSULTANTS</b> AFAP/INAE/DGA PIU

## 17. ARRANGEMENTS FOR RESETTLEMENT FUNDING AND ESTIMATED RPF BUDGET

According to the ESMF and RPF, under the project, financial resources will be made available, among other things, to finance the management of environmental and social safeguards including training, preparation of ESIA/ESMP and RAP and monitoring of the implementation of safeguards instruments, as well as impact evaluation in many areas of project activity.

Based on the structure and content of the Project and on what is known about the social environment, the need to resettle people should be avoided and/or brought to a minimum, even at the expense of what might be the structural interests of EN1). The unavoidable residual impacts will be captured in the resettlement action plan (RAP), which should be acceptable to both the GSTP and the World Bank.

In addition to the overall management of issues under the Project's RPF, the funds will be used to cover the costs of preparing, managing and supervising the RAP or RAPs if it is decided to prepare more than one RAP.

The funds will also cover the costs of hiring facilitators in the implementation and monitoring of resettlement. All compensation and mitigation measures, including the payment of cash compensation and the issuance of environmental licenses after completion of studies and preparation of the ESIA, ESMP and RAP will be under the responsibility of the GSTP.

The initial budget lines and the estimate of the fixed amount needed to cover this component of the Project are calculated on the basis of the percentage of the amounts allocated to each of the main areas of intervention with ESIA/ESMP and RAP implications, namely: (i) **Rehabilitation of the EN1 Road S. Tomé-Guadalupe-Neves: Civil Works and Project Supervision (xxx \$ millions)**<sup>16</sup>; and (ii) **Rehabilitation of the Marginal Road and Coastal Protection, including Supervision of Civil Works (xxx \$ million)**<sup>17</sup>. The two components together make up **xxxx \$ millions**<sup>18</sup>.

An initial 3% cost share of these two components was adopted to cover this component. This is a slightly higher proportion than the one established for the Contador Project (1%) for environmental and social safeguards, which was a simpler project. Moreover, Contador did not have any resettlement implications. In general, between 1 and 5% is acceptable and common for this type of projects. In due time, the necessary adjustments may be made in respect of the amount to be allocated to the different headings to be covered.

At the outset it is estimated that the dissemination, training/capacity building around the requirements of the RPF will mobilize a considerable portion of the funds. This will be followed by ensuring that the formulation, monitoring and evaluation of implementation are done consistently with this guiding document. Payment of all forms of compensation and restoration of livelihoods, followed by provision of various types of services, will form the other cost area, which will be directly covered by the GSTP. Below are the items to be considered for the implementation of the RPF, as well as for the preparation, implementation, monitoring and evaluation of the RAP.

**Table 17-1: Estimated budget for ESMF implementation**

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<sup>16</sup> amount to be determined

<sup>17</sup> amount to be determined

<sup>18</sup> amount to be determined

Nr.	Item	Montante Total em US\$1,000.00
1	RAP dissemination	
2	Training and capacity building of the district, municipal and local agents involved in the implementation of the RAP	
3	Community capacity building and facilitation of the resettlement	
4	Training and capacity building of contractors and other service providers	
5	Hiring Technical Assistance	
6	RAP preparation	
7	Organization of management and supervision	
8	Internal monitoring	
9	External monitoring and evaluation	
10	RAP auditing	
	<b>Total</b>	

The total cost of the preparation and implementation of the RPF and RAP stands at **US\$ xxxx (xxxx United States Dollars)<sup>19</sup>**.

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<sup>19</sup> amount to be determined

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# **ANNEXES**

**Transport Sector Development and Coastal Protection Project**

**P161842**

**Preparation of the Environmental and Social Management Framework (ESMF) and  
the Resettlement Policy Framework (RPF)**

**Public Meeting with the Project Stakeholders**

**Minutes of the Meeting**

**São Tomé, 22 June 2018**





## **Annexes**

### **Annex 1: List of Entities Directly Invited to the Meeting**





**Annex 4: Images from the Meeting**

**Annex 2: Model of Environmental and Social Screening Form for Projects**

Nr of order: .....	Date of filling
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This ESSF form is designed to assist in the environmental and social screening of the Project to be executed in the field on-site.

Project Location:.....

Project Leaders:.....

**Part A: Brief description of the project**

.....

**Part B: Identification of environmental and social impacts**

Environmental and social concerns	Yes	No	Remarks
<b>Sector resources</b>			
Will the project require large volumes of construction materials from the local natural resources (sand, gravel, laterite, water, wood construction, etc.)?			
Does it require vast clearing or acquisition of land areas?			
<b>Biodiversity</b>			
Will the project cause impacts on endemic, rare, vulnerable species (i.e. IUCN Red List species) and or important economic, ecological, physical cultural resources and components			
Are there any areas of environmental or ecological sensitivity that could be adversely affected by the project? E.g., forests, wetlands (lakes, rivers, seasonal floodplains, critical habitats, other natural habitats), etc.			
<b>Protected areas</b>			
Does the project area (or its components) have impact on protected areas (national parks, national reserves, protected forests, a World Heritage Site, etc.)?			
If the project is outside protected areas, but at a short distance from protected areas, could it adversely affect the ecology within the protected area? (e.g. interference with the flight of birds, migration of mammals)			
<b>Geology and Soils</b>			
From the geological or soil point of view are there unstable areas (erosion, landslide, collapse)?			
Are there any areas at risk of soil salinization?			
<b>Landscape/aesthetics</b>			
Will the project have any adverse effect on the aesthetic value of the landscape?			
<b>Historical, archaeological or cultural sites</b>			
Has the project the potential to change one or several historic, archaeological, cultural sites, or require excavations?			
<b>Loss of assets and other</b>			
Does the project trigger the temporary or permanent loss of natural or built assets, including crops, agricultural land, grazing, fruit trees, houses and domestic infrastructure, business and business opportunities?			
<b>Pollution</b>			
Is the project likely to cause high levels of noise?			
Has the project the potential to generate significant amounts of solid and liquid wastes? (i.e. waste oils, high BOD effluents, heavy metals, other toxic chemicals, pesticides, fertilizer pollution, etc.)			
If "yes" has the project client prepared a plan for waste collection and disposal or management?			
Is there Environmental and Social Management Capacity and Equipment?			
Is there any risk that project could affect the quality of surface water, groundwater, drinking water sources			
Has the project any potential of affecting the atmosphere and causing air pollution (dust, PM10, various gases such NOx, SO2, etc.)			
<b>Lifestyle</b>			
Does the project have any potential of causing alterations in the lifestyle of local people?			
Could the project lead to the accentuation of social inequalities?			
Does the project have the potential to lead to incompatible uses of resources or to social conflicts between different users or is there a risk that local communities could lose the access to their land or lose the use rights of their land?			

<b>Environmental and social concerns</b>	Yes	No	Remarks
<b>Health and Safety</b>			
Does the project have the potential to lead to risks of accident for workers and communities?			
Does the project have the potential to cause risks to the health of workers and the communities? (i.e. HIV/Aids)			
Does the project have the potential to lead to an increase in the population of disease vectors? Malaria, Intestinal and Urinary Bilharzia and others			
<b>Local Incomes</b>			
Does the project create temporary or permanent jobs?			
Does the project promote the increase of agricultural production and/or create other income generating activities?			
<b>Gender Concerns</b>			
Does the project promote the integration of women and other vulnerable groups and provide them access to resources such as AFAP/INAE/DGAted agriculture, markets, etc.?			
Does the project take into account the concerns of women and does it encourage their involvement in decision-making?			

**Public Consultation and Participation**

Have public consultation and participation been sought?

Yes \_\_\_ No \_\_\_

If "Yes", briefly describe the measures taken to this effect.

**Part C: Mitigation**

For all "Yes" given answers briefly describe the measures taken to that effect.

**Part D: Project classification and environmental and social work**

- No environmental and social work needed .....
- Freestanding ESMP or ESCs) .....
- ESIA with an Environmental and Social Management Plan (ESMP)
- Contractor ESMP

Project classified as category:

                     A              B              C

Annex 3: Grievance Complaint Form

GRIEVANCE COMPLAINT FORM

This form can be filled out by clicking or tapping where indicated, then typing to enter the requested information. When completed, you may print and sign, or you may upload a photo of your signature (instructions provided below) and e-mail the completed form.

1. **Complainant's Information** (This information must be provided. The identity of complainants will be kept confidential if they request so. Anonymous complaints will not be accepted.)

**Names and Titles:** Click or tap here to enter text.

(Dr., Mr., Ms., Mrs. Please check one or)

Positions/Organizations (If any) Click or tap here to enter text.

Addresses: Click or tap here to enter text.

Contact numbers: Click or tap here to enter text.

E-mail addresses: Click or tap here to enter text.

Please indicate how you prefer to be contacted (e-mail, mobile, etc.): Click or tap here to enter text.

**Do you request that identity be kept confidential?** Check Yes or No below

Yes No

2. **Information on Authorized Representative (If any).** (If Authorized Representatives are not complainants themselves, their names will be disclosed as needed, to ensure transparency).

Names and Titles Click or tap here to enter text.

Positions/Organizations (If any) Click or tap here to enter text.

Addresses Click or tap here to enter text.

Contact numbers Click or tap here to enter text.

E-mail addresses Click or tap here to enter text.

3. **Project Information**

Project name (and project number if known) TPC Project

Project location (Province, City, etc.) Click or tap here to enter text.

4. **The Complaint**

6. What harm do you believe the World Bank-financed project caused or is likely to cause to you?

Click or tap here to enter text.

Why do you believe that the alleged harm results directly from the World Bank-financed project?

Click or tap here to enter text.



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Please include any other information that you consider relevant.

Click or tap here to enter text.

---

### 5. Previous Efforts to Resolve the Complaint

7. Have you raised your complaint with the grievance mechanism of the project or the grievance mechanism of the project implementing agency?

**Yes** If YES, please provide the following:

8. When, how and with whom the issues were raised.

Click or tap here to enter text.

9. Please describe any response received from and/or any actions taken by the project level grievance mechanism. Please also explain why the response or actions taken are not satisfactory.

Click or tap here to enter text.

**No** If NO, why not?

Click or tap here to enter text.

---

How do you wish to see the complaint resolved?

Click or tap here to enter text.

---

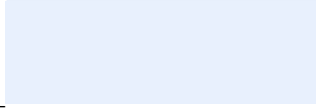
Do you have any other matters or facts (including supporting documents) that you would like to share?

Click or tap here to enter text.

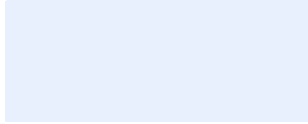
---

**Signature of Complainant (if an Authorized Representative is submitting the complaint and has a separate letter providing authorization that has been signed by the Complainant, the Complainant is not required to sign below):**

*You may print the form and sign it. Alternatively you may click in the box below and add a photo of your signature if you prefer.*



**Signature of Authorized Representative:** *You may print the form and sign it. Alternatively you may click in the box below and add a photo of your signature if you prefer.*



**Date:**

Click or tap to add date or select from drop down list.

**Name of the person who completed this form if different from Complainant and/or Authorized Representative:**

Click or tap here to enter text.

Please send the complaint to:

***The World Bank***

***Grievance Redress Service (GRS)***

***MSN MC 10-1018***

***1818 H St NW***

***Washington, DC 20433, USA***

***Email: [grievances@worldbank.org](mailto:grievances@worldbank.org)***

***Fax: +1 – 202 – 614 – 7313***

**Complaints may be submitted by mail, fax, e-mail, or hand delivery to the World Bank headquarters or any World Bank country office.**

**GRIEVANCE RESOLUTION FORM**

**Part 1 – General Information**

Date of the grievance resolution form  
submitted to Project Staff

Complainant full name

Area/community

Province/district

Project manager in the area

**Part 2 – Details of the grievance**

Please specify the date that the  
problem or concern arose

Please provide details of the  
complaint/problem/concern you are  
seeking to resolve

(Please attach more information to this form if required)

**Part 3 – Informal resolution attempts (complainant to complete)**

I have attempted to resolve this grievance informally	Details of informal resolution attempts
----------------------------------------------------------	--------------------------------------------

I have not attempted to resolve this grievance informally	Reasons for not attempting to seek informal resolution
--------------------------------------------------------------	--------------------------------------------------------------

(Please attach more information to this form if required)

**Part 4 – Remedy sought (complainant to complete)**

Please detail what you are seeking to  
resolve this grievance

(Please attach more information to this form if required)

## Part 5 – Outcome of the grievance resolution

### Step 1 – Conciliation

Details of resolution proposed

Has the complainant agreed to the proposed resolution?

Yes

No

### Step 2 – Investigation

Details of the resolution proposed

Has the complainant agreed to the proposed resolution?

Yes

No

### Step 3 – Review (by local/district authorities and other delegated to do so)

Details of the resolution proposed

Has the complainant agreed to the proposed resolution?

Yes

No

Step 4 – Final determination by relevant entity (local/district authorities, TPC Managers and other delegated to do so)

**Part 5 – Outcome of the grievance resolution**

Details of the resolution proposed

Has the complainant agreed to the proposed resolution?

Yes

No

(Please attach more information to this form if required)

**Part 6 – TPC (e.g. ESSS or other Project Managers) to complete**

Filed on confidential file by

Date

**Annex 5: Template of the Household Questionnaire**

**HOUSEHOLD QUESTIONNAIRE**

<b>NR. Of Questionnaire</b>		<b>Date</b>	
<b>Enumerator</b>			

**INSTRUCTIONS TO THE ENUMERATOR:**

10. Request to speak with head of the household or the spouse for consent to conduct the interview.
11. The questionnaire should preferably be administered to the head of household together with the spouse. If only one of them is available, talk to him/her alone. If neither is available the possibility of meeting either of them elsewhere or waiting for them to return should be examined and/or a different household should be selected for the interview.

**INTRODUCTION:**

Good morning/afternoon. My name is ..... I am an interviewer for (Consultancy Company), hired by (Project Developer) to prepare the Resettlement Action Plan for (Name of Project).

Our focus with this questionnaire is to get a better understanding of the socioeconomic conditions of the households living along the (road, river, area, etc.) directly affected by the subproject. Your responses will be used to prepare a report that will characterize the living conditions of the families in the project area but will otherwise remain confidential. Your participation is extremely valuable to the study and we would appreciate if you and/or your spouse would spend some time with us and explain about how you and your household live.

**12. HOUSEHOLD IDENTIFICATION**

Household Coordinates	x  __   __   __   __
	y  __   __   __   __
District	
Locality	
Village/Town/Neighborhood	
Quarter	
House number	
Name of household head	
Name by which the household head is better known	
Name of respondent	

**13. HOUSEHOLD COMPOSITION**

Instructions to interviewer:

14. List everyone in the household from the eldest to the youngest. Do not forget to include babies, toddlers and the person providing the information.
15. Consider as 'household member' everyone eating from or contributing to the same pot, whether living or not presently at the homestead.

#	Name of the household member	Relationship to the household head	Gender	Age	Marital status	Highest level of education completed
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						
11						
12						
13						
14						
15						
	<b>Total number of people in the household</b>   _ _	16. Household head (HH) 17. Spouse of HH 18. Son/daughter of HH 19. Son-in-law/Daughter-in-law of HH 20. Parent of HH 21. Parent-in-law of HH 22. Brother/sister of HH	28. Male 29. Female	99. Doesn't know	30. Single 31. Married civil 32. Married church 33. Married traditional 34. Married mixed ceremony	None Knows how to write and read the name and some numbers Kindergarten/pre-school Primary Secondary Pre-university Vocational training University 99. Doesn't know

		23. Grandparent of HH			ies (civil and/or church and/or traditional)	
		24. Grandchild of HH				
		25. Adopted/foster/stepchild of HH				
		26. Other relative of HH (specify)			35. De facto married (living together)	
		27. Not related to HH (specify)			36. Separated/divorced	
					37. Widower	



**46. HOUSEHOLD HEAD CHARACTERISTICS**

*Instructions to interviewer:*

47. Cross [x] the correct option in the questions with codes.

**1. What is the HH mother tongue?**

- [01] xxxxxx (a language relevant in the area)
- [02] xxxxxx (a language relevant in the area)
- [03] Portuguese
- [04] English
- [98] Other (specify) \_\_\_\_\_

**2. What is the religion of the household?**

- [01] None
- [02] Catholic
- [03] Protestant (specify) \_\_\_\_\_
- [04] Other Christian (specify) \_\_\_\_\_
- [05] Muslim
- [06] Animist
- [07] Zion
- [08] Jehovah Witness
- [98] Other (specify) \_\_\_\_\_

**3. How many spouses does the HH have?**

\_|\_|\_|

*Register 00 if the HH is not married (single, separated/divorced or widowed) then pass to Section C.*

**4. Do all spouses live in the same compound?**

- [1] Yes
- [2] No

**48.**

**49. EDUCATION**

*Instructions to interviewer:*

50. Please list all the children in school age (from 6 to 15 years of age)

51. Provide information based on the listing above in Section A, i.e. the numbers attributed to the household member in the first table should remain the same throughout the questionnaire.

#	C1. Is the child currently enrolled in school?	C2. In what education level is the child enrolled?	C4. How does the child usually go to school?
1	[1] Yes [2] No	___	___
2	[1] Yes [2] No	___	___
3	[1] Yes [2] No	___	___
4	[1] Yes [2] No	___	___
5	[1] Yes [2] No	___	___
6	[1] Yes [2] No	___	___
7	[1] Yes [2] No	___	___
8	[1] Yes [2] No	___	___
9	[1] Yes [2] No	___	___
10	[1] Yes [2] No	___	___
11	[1] Yes [2] No	___	___
12	[1] Yes [2] No	___	___
13	[1] Yes [2] No	___	___
14	[1] Yes [2] No	___	___
15	[1] Yes [2] No	___	___
	<i>If [2] No: pass to question C5</i>  <i>If [1] Yes: pass to the next person</i>	52. Kindergarten  Primary (grades 1-7)  Secondary (grades 8-10)  High School (grades 11-12)  Basic Level Vocational Training (grades 8-10)  Technical Level Vocational Training (grades 11-12)  University  99. Does not know	01. By foot  02. Bicycle  03. Personal motorized vehicle  04. Free ride from private motorized vehicle  05. Paid ride from private motorized vehicle  06. Public road transportation (machimbombo/chapa)

			98. Other (specify)
--	--	--	---------------------

**59. OCUPATION AND EMPLOYMENT**

*Instructions to interviewer:*

Provide information based on the listing above in Section A, i.e. the numbers attributed to the household member in the first table should remain the same throughout the questionnaire

Fill the table in relation to each member of the household

#	Employment status – Does the household member work?	Main occupation – What type of work	Type of Employer
1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
60.	Yes	1. Farming	1. Government
61.	No	2. Fishing	2. Private company
		3. Handcraft	3. Individual
		4. Domestic work	4. Self-employed
		5. Trading (with store)	5. Relative (with remuneration)
		6. Trading (stall or other informal infrastructure)	6. Relative (no remuneration)
		9. Skilled labourer (mechanic, electrician, etc.)	

#	Employment status – Does the household member work?	Main occupation – What type of work	Type of Employer
		10. Professional (teacher, nurse, etc.)	
		98. Other (specify)	

## 62. ASSETS

Does any of the household members have any of the assets listed below?

*Instructions to interviewer:*

63. Cross [x] the correct option.  
 64. Consider only goods that are in use and are functional.  
 65. All rows should be crossed at one option or the other.

Assets	Possession	Quantity	Main user
66. Radio/Hi-Fi	[1] Yes [2] No	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
67. TV	[1] Yes [2] No	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
68. Video/DVD/CD player	[1] Yes [2] No	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
69. Telephone/Mobile phone	[1] Yes [2] No	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
70. Watch/Clock	[1] Yes [2] No	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
71. Bed (not only mattress or straw mat)	[1] Yes [2] No	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
72. Electrical stove	[1] Yes [2] No	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
73. Gas stove	[1] Yes [2] No	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
74. Iron	[1] Yes [2] No	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
75. Fridge	[1] Yes [2] No	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
76. Sewing machine	[1] Yes [2] No	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
77. Plough	[1] Yes [2] No	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
78. Hoe	[1] Yes [2] No	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
79. Axe	[1] Yes [2] No	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
80. Ox-Cart	[1] Yes [2] No	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
81. Tractor	[1] Yes [2] No	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
82. Bicycle	[1] Yes [2] No	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
83. Motorbike	[1] Yes [2] No	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
84. Motor vehicle (car, truck, bus, van, etc.)	[1] Yes [2] No	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
85. Water pump	[1] Yes [2] No	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
86. Other important asset (specify)	[1] Yes [2] No	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
87. Other important asset (specify)	[1] Yes [2] No	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
88. Other important asset (specify)	[1] Yes [2] No	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>

Assets	Possession	Quantity	Main user
89. Other important asset (specify)	[1] Yes [2] No	_ _	_ _
			1. HH Head 2. Wife/Husband of the HH Head 3. Sons/Daughter of the HH Head 4. All

**90. PROPERTY**

**For how long have you and your household been living in this house? (years)**

|\_|\_|

**91. HOMESTEAD CHARACTERIZATION**

**92. What is the shape of the main house of the homestead?**

[1] Round

[2] Quadrangular (four equal sides)

[3] Rectangular

[4] L shape

**How was it acquired?**

*Instructions to interviewer: select only one option.*

[01] Purchase

[02] Built locally

[03] Other (specify)

**How many rooms/compartments compose the homestead?**

<b>Compartments</b>	<b>Quantity</b>
93. Lounge	_ _
94. Dining room	_ _
95. Sleeping rooms	_ _
96. Toilets	_ _
97. Washing rooms	_ _
98. Latrine	_ _
99. Kitchen	_ _
100. Barn	_ _
101. Chicken coop	_ _
102. Piggery	_ _
103. Kraal	_ _
104. Worship space	_ _
105. Garage	_ _
106. Kiosk/vending stall	_ _
107. Other compartment (specify use)	_ _
<b>Total number of compartments</b>	_ _

**What is the household's primary source of water?**

<b>Source of Water</b>	<b>Human Consumption</b>	<b>Cooking</b>
[01] Piped water to the house/yard	[1] Yes [2] No	[1] Yes [2] No
[02] Piped water from neighbors	[1] Yes [2] No	[1] Yes [2] No
[03] Water tank in yard	[1] Yes [2] No	[1] Yes [2] No
[04] Well/borehole in yard	[1] Yes [2] No	[1] Yes [2] No
[05] Public well/borehole	[1] Yes [2] No	[1] Yes [2] No
[06] River/lake/dam	[1] Yes [2] No	[1] Yes [2] No
[98] Other (specify)	[1] Yes [2] No	[1] Yes [2] No
[01] Piped water to the house/yard	[1] Yes [2] No	[1] Yes [2] No



**How often does the household fetch water outside the homestead?**

- [01] More than once a day
- [02] Every day
- [03] Every other day
- [04] 2-3 Times a week
- [05] Once a week
- [06] 2-3 times per month
- [07] Once a month
- [08] Never. Use household piped water
- [98] Other (specify) \_\_\_\_\_

**How much time do you spend each time you fetch water? (minutes)**

*Instructions to interviewer:*

108. 1 Hour = 60 minutes

109. If the household does not fetch water outside the homestead, write 00 and move to I11.

**What means of transportation do you use to go fetch water?**

- [01] By foot
- [02] Bicycle
- [03] Household's own vehicle
- [04] Ride in private vehicle
- [05] Paid transportation in private vehicle
- [06] Public transportation
- [98] Other (specify) \_\_\_\_\_

**What is the household's primary source of fuel for lighting?**

- [01] Electricity
- [02] Paraffin
- [03] Grass
- [04] Wood
- [05] Candles
- [06] Flashlight
- [07] Battery/solar panel

[98] Other (specify) \_\_\_\_\_

**110. What sanitation facility does the household own and use?**

[01] Bathroom and WC inside the house

[02] Simple pit latrine in yard

[03] Latrine with shower in yard

[04] Neighbour's latrine/WC

[05] Open field/bush

[98] Other (specify) \_\_\_\_\_

**111. How do you dispose of its garbage?**

[01] Bury it in the yard

[02] Burn it in the yard

[03] Throw away in public dump

[98] Other (specify) \_\_\_\_\_

**112. AGRICULTURE**

Please list all the land owned (even if it is not currently being used) or normally used by the household:

#	113. Name of land/plot	114. Location	115. Approximate size	116. Ownership	117. Usage arrangement	118. Main TPCtition form	119. Major crop cultivated	120. Approximate amount produced in last season	Use of crop	Income earned with sale in the past year
1		□□	□□□ football field(s)	□□	□□□	□□□	□□□ 50 kg bags	□□	□□□.□□□□,□□□ MT	
2		□□	□□□ football field(s)	□□	□□□	□□□	□□□ 50 kg bags	□□	□□□.□□□□,□□□ MT	
3		□□	□□□ football field(s)	□□	□□□	□□□	□□□ 50 kg bags	□□	□□□.□□□□,□□□ MT	
4		□□	□□□ football field(s)	□□	□□□	□□□	□□□ 50 kg bags	□□	□□□.□□□□,□□□ MT	
5		□□	□□□ football field(s)	□□	□□□	□□□	□□□ 50 kg bags	□□	□□□.□□□□,□□□ MT	
6		□□	□□□ football field(s)	□□	□□□	□□□	□□□ 50 kg bags	□□	□□□.□□□□,□□□ MT	
7		□□	□□□ football field(s)	□□	□□□	□□□	□□□ 50 kg bags	□□	□□□.□□□□,□□□ MT	



							99.	Not in use			
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**124. PERCEPTIONS ABOUT THE PROJECT**

**What are your opinions about the Road Rehabilitation Project between Mueda and Negomano?**

In a scale from 1 to 5, where **1 = is absolutely improbable**, 2 = not probable, 3 = all will remain the same, 4 = relatively probable, **5 = highly probable**.

*Instructions to interviewer:*

125. Write **9** if the interviewee **does not know** or **does not have an opinion**.

126. Read aloud each of the options to the interviewee.

Resources	Opinion/Assessment					
	1	2	3	4	5	9
7. Job opportunities	1	2	3	4	5	9
8. Business opportunities	1	2	3	4	5	9
9. More infrastructures	1	2	3	4	5	9
0. Literacy/education	1	2	3	4	5	9
1. Health	1	2	3	4	5	9
2. Transport & communication	1	2	3	4	5	9
3. Access to water	1	2	3	4	5	9
4. Access to energy	1	2	3	4	5	9
5. Other important resources for the community (specify)	1	2	3	4	5	9
6. Other important resources for the community (specify)	1	2	3	4	5	9

**What do you think (in general) about the Subproject?**

*Instructions to interviewer: select only one option.*

[1] I am very happy with it

[2] I am happy with it

[3] I will wait and see

[4] I am not happy

[5] I am not happy at all with it

[9] i have no opinion

**Why?**

---



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---

What would be your preference in case of resettlement?

[1] Be given similar house/business, etc. in an area close to where the HH is currently establisher

[2] ] Be given similar house/business, etc. in another area of our choice

[3] Receive cash

[9] i have no opinion

Sketch of the homestead

