



# **PHILIPPINE RURAL DEVELOPMENT PROJECT SCALE - UP**

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## **LAND ACQUISITION AND RESETTLEMENT POLICY FRAMEWORK (LARPF)**

**April 18, 2023**

**Department of Agriculture**  
**Philippine Rural Development Project (PRDP) Scale-Up**  
**Land Acquisition and Resettlement Policy Framework (LARPF)**

**Table of Contents**

List of Acronyms .....	1
Definition of Terms .....	2
I. Project Background and Rationale .....	5
I. Legal Framework .....	9
III. Principles and Objectives .....	10
IV. Social Screening, Assessment and Management Plan.....	11
V. Eligibility Classification.....	11
VI. Engagement and Consultation with Project-Affected Persons and Disclosure of Information.....	12
VII. Entitlement Policy .....	12
VIII. Modes of Acquiring Land and Other Assets .....	17
IX. Inventory and Entitlement Survey and Cut-off date.....	19
X. Valuation of Affected Lands and Other Assets .....	20
XI. Resettlement Action Plan and Survey .....	22
XII. Grievance Redress Mechanism.....	24
XIII. Institutional Arrangement.....	25
XIV. Costs and Budget .....	32

## List of Acronyms

AD	- Ancestral Domain
BARMM	- Bangsamoro Autonomous Region in Muslim Mindanao
CERC	- Contingent Emergency Response Component
DA	- Department of Agriculture
DPWH	- Department of Public Works and Highways
ESS	- Environmental and Social Standards
ESF	- Environmental and Social Framework
ESMF	- Environmental and Social Management Framework
ESMP	- Environmental and Social Management Plan
FCAs	- Farmers/Fisherfolk Cooperative and Associations
FPIC	- Free Prior and Informed Consent
FMRs	- Farm-to-Market Roads
GRM	- Grievance Redress Mechanism
IESSF	- Integrated Environmental and Social Safeguards Framework
IPs/ICCs	- Indigenous Peoples/Indigenous Cultural Communities
IPPF	- Indigenous Peoples Policy Framework
IPRA	- Indigenous Peoples Rights Act
ISFs	- Informal Settler Families
LARPF	- Land Acquisition and Resettlement Policy Framework
LGUs	- Local Government Units
MIPA	- Ministry of Indigenous Peoples' Affairs
MAO	- Municipal Agriculture Office
NAFMIP	- National Agriculture and Fisheries Modernization and Industrialization Plan
NCIP	- National Commission on Indigenous Peoples
NPCO	- National Project Coordination Office
OP	- Operational Policy
PAPs/AHs	- Project-Affected-Persons/Affected Households
PCCP	- Portland cement concrete pavement
PDO	- Project Development Objective
PSOs	- Project Support Offices
PRDP	- Philippine Rural Development Project
PCIPs	- Provincial Commodity Investment Plans
P/M/CPMIU	- Provincial/Municipal/City Project Management and Implementation Unit
RPCOs	- Regional Project Coordination Offices
ROW	- Right-of-Way
SEP	- Stakeholder Engagement Plan
SES	- Social and Environmental Safeguards
VCA	- Value Chain Analysis
WB	- World Bank

## Definition of Terms

**Ancestral Domains (AD)** - The 1997 IPRA Law defines ancestral domains as “all areas generally belonging to ICCs/IPs comprising lands, inland waters, coastal areas, and natural resources therein, held under a claim of ownership, occupied or possessed by ICCs/IPs, by themselves or through their ancestors, communally or individually since time immemorial, continuously to the present except when interrupted by war, force majeure or displacement by force, deceit, stealth or as a consequence of government projects or any other voluntary dealings entered into by government and private individuals/corporations, and which are necessary to ensure their economic, social and cultural welfare. It shall include ancestral lands, forests, pasture, residential, agricultural, and other lands individually owned whether alienable and disposable or otherwise, hunting grounds, burial grounds, worship areas, bodies of water, mineral and other natural resources, and lands which may no longer be exclusively occupied by ICCs/IPs but from which they traditionally had access to for their subsistence and traditional activities, particularly the home ranges of ICCs/IPs who are still nomadic and/or shifting cultivators”.

**Compensation** - means payment in cash or in kind at replacement cost for an asset to be acquired or affected by the Project.

**Cut-off date** – is the date of commencement of the inventory and entitlement survey of affected households within the project boundaries. The cut-off date could also be the date the project area was delineated, prior to the inventory and entitlement survey, provided that there has been an effective public dissemination of information on the area delineated, and systematic and continuous dissemination subsequent to the delineation to prevent further population influx.

**Disadvantaged or vulnerable** – refers to those who may be more likely to be adversely affected by the project impacts and/or more limited than others in their ability to take advantage of a project's benefits. Such an individual/group is also more likely to be excluded from/unable to participate fully in the mainstream consultation process and as such may require specific measures and/or assistance to do so.

**Entitlement** – a range of measures comprising compensation, income restoration support, transition assistance, income substitution, relocation support, etc. which are due to the PAPs/AHs, depending on the type and severity of their losses, to restore their economic and social base.

**Forced eviction** - is defined as the permanent or temporary removal against the will of individuals, families, and/or communities from the homes and/ or land which they occupy without the provision of, and access to, appropriate forms of legal and other protection, including all applicable procedures and principles in ESS5. The exercise of eminent domain, compulsory acquisition or similar powers by a Borrower will not be considered to be forced eviction providing it complies with the requirements of national law and the provisions of ESS5, and is conducted in a manner consistent with basic principles of due process (including provision of adequate advance notice, meaningful opportunities to lodge grievances and appeals, and avoidance of the use of unnecessary, disproportionate or excessive force).

**Indigenous Peoples (IPs)** – a distinct, social, and cultural group possessing the following characteristics in varying degrees: a) Self-identification as members of a distinct indigenous cultural group and recognition of this identity by others; b) Collective attachment to geographically distinct habitats or ancestral territories in the project area and to the natural resources in these habitats and territories; c) Customary cultural, economic, social, or political institutions that are separate from those of the dominant society and culture; and d) A distinct language, often different from the official language or languages of the country or region in which they reside.

**Involuntary resettlement** - Project-related land acquisition or restrictions on land use may cause **physical displacement** (relocation, loss of residential land or loss of shelter), **economic displacement** (loss of land, assets or access to assets, including those that lead to loss of income sources or other means of livelihood), or both. The term “involuntary resettlement” refers to these impacts. Resettlement is considered involuntary when affected persons or communities do not have the right to refuse land acquisition or restrictions on land use that result in displacement.

**Informal Settler Families (ISFs)** - refer to households living in a lot, whether private or public, without the consent of the property owner; or those without legal claim over the property they are occupying; or those living in danger areas such as esteros, railroad tracks, garbage dumps, riverbanks, shorelines, and waterways (as per Republic Act No. 11201)

**Land acquisition** - refers to all methods of obtaining land for project purposes, which may include outright purchase, expropriation of property and acquisition of access rights, such as easements or rights of way. Land acquisition may also include: (a) acquisition of unoccupied or unutilized land whether or not the landholder relies upon such land for income or livelihood purposes; (b) repossession of public land that is used or occupied by individuals or households; and (c) project impacts that result in land being submerged or otherwise rendered unusable or inaccessible. “Land” includes anything growing on or permanently affixed to land, such as crops, buildings and other improvements, and appurtenant water bodies.

**Livelihood** – refers to the full range of means that individuals, families, and communities utilize to make a living, such as wage-based income, agriculture, fishing, foraging, other natural resource-based livelihoods, petty trade, and bartering.

**Meaningful Consultation** - a process that (i) begins early in the project preparation stage and is carried out on an on-going basis throughout the project cycle; (ii) provides timely disclosure of relevant and adequate information that is understandable and readily accessible to affected people; (iii) is undertaken in an atmosphere free of intimidation or coercion; (iv) is gender inclusive and responsive, and tailored to the needs of disadvantaged and vulnerable groups; and (v) enables the incorporation of all relevant views of affected people and other stakeholders into decision making, such as project design, mitigation measures, the sharing of development benefits and opportunities, and implementation issues.

**Project Affected Persons (PAPs)/Affected Households (AHs)** - Refers to any person or persons or households, customary or local community, private or public institution who are displaced (physical or economic) or affected as result of temporary or permanent impacts during construction, restriction on land use or on access to legally designated parks and protected areas. The affected community/households/ persons are those who utilize, control, or possess the affected land or non-land objects.

**Replacement cost** - is defined as a method of valuation yielding compensation sufficient to replace assets, plus necessary transaction costs associated with asset replacement. Where functioning markets exist, replacement cost is the market value as established through independent and competent real estate valuation, plus transaction costs. In all instances where physical displacement results in loss of shelter, replacement cost must at least be sufficient to enable purchase or construction of housing that meets acceptable minimum community standards of quality and safety. The valuation method for determining replacement cost should be documented and included in relevant resettlement action planning documents. Transaction costs include administrative charges, registration or title fees, reasonable moving expenses, and any similar costs imposed on affected persons. To ensure compensation at replacement cost, planned compensation rates may require

updating in project areas where inflation is high or the period of time between calculation of compensation rates and delivery of compensation is extensive.

**Relocation** – refers to the physical displacement of a PAP from her/his pre-project place of residence and/or business. Relocation may also refer to affected community infrastructures and utilities such as water pipes and electric posts that may need to be transferred/relocated as a result of the project activities.

**Restrictions on land use** - refers to limitations or prohibitions on the use of agricultural, residential, commercial or other land that are put into effect as part of the project. These may include restrictions on access to legally designated parks and protected areas, restrictions on access to other common property resources, restrictions on land use within utility easements or safety zones.

**Security of tenure** - means that resettled individuals or communities are resettled to a site that they can legally occupy, where they are protected from the risk of eviction and where the tenure rights provided to them are socially and culturally appropriate. In no event will resettled persons be provided tenure rights that are in effect weaker than the rights they had to the land or assets from which they have been displaced.

## I. Project Background and Rationale

1. The Philippine Rural Development Project (PRDP) Scale-Up project responds to the Government's goal of transforming the agri-fishery sectors to be more competitive, sustainable, and technologically-based, so as to contribute to inclusive growth and poverty reduction. It shall build on the experiences of PRDP and its two additional financing, being implemented by the Department of Agriculture (DA) since 2014 and set to close in 2025. Eight (8) years into its implementation, the PRDP has gained a wealth of experience in its engagement with various partner agencies, particularly with the Local Government Units (LGUs), in the delivery of the needed agriculture and fisheries services for rural development. The PRDP Scale-Up will adopt the clustering and consolidation strategy of farmers and fisherfolk groups producing priority commodities that are within the Provincial Commodity Investment Plans (PCIPs) and aligned with the National Agriculture and Fisheries Modernization and Industrialization Plan (NAFMIP). The PRDP Scale-Up is envisaged to introduce a more holistic design and strategies by looking at a broader agri-food/commodity system to address the gaps in the whole commodity value chains, level up approaches and innovations based on lessons learned, contribute to improving climate resilience and modernizing the agriculture and fisheries sector. Interventions include the emphasis on rebuilding the whole value chain, improving the food supply chain and logistics, prioritizing farm-to-market roads (FMRs) with value chain infrastructure support, the inclusion of rice and corn focusing on value addition, and mainstreaming of institutional reforms in the DA programs and projects.
2. The Project Development Objective (PDO) is "to improve farmers and fisherfolk access to markets and increase income from selected agri-fishery value chains."
3. Project Components. The project components remain the same with some improvements as described as follows:

### **Component 1. National and Local Level Planning (I-PLAN)**

The I-PLAN component of the PRDP Scale-Up will lay down the strategic framework in the context of overall project operation and implementation of interventions. Invoking NAFMIP as the medium-term strategic framework for the rationalization of DA's plans and budgets, the primary goal of the I-PLAN Component of the PRDP Scale-Up is to strengthen the framework and linkages for the delivery of devolved but integrated agriculture and fishery services by the national and local government units. The component anticipates seeing the results of capacity development activities reflected in the updated and enhanced Value Chain Analysis (VCAs) and Provincial Commodity Investment Plans (PCIPs).

### **Component 2: Rural Infrastructure Market Linkage (I-BUILD)**

The I-BUILD component will focus on delivering climate-resilient access and value chain infrastructure support with the end goal of building up food distribution hubs and logistics systems to provide unhampered mobility, access and stable supply of food commodities and other agri-fishery products with reduced transport, handling, and hauling costs thereby improving product quality and prices in target markets. It will take off from I-PLAN's strategic overlay of criteria and parameters in coming up with key investment areas in the value and supply chains from the regional perspective. To further ensure more climate-resilient and

sustainable rural infrastructure investments, hazard mapping analysis will be considered in the design and planning of infrastructure subprojects with the incorporation of the Philippine Agricultural and Biosystems Engineering Standard (PABES) and the compliance with the new environmental and social framework.

### **Component 3: Enterprise Development (I-REAP)**

The Enterprise Development component aims to increase productivity, value addition and improve access to the market of enterprise clusters through efficient cluster-based agricultural and fishery productivity enhancement interventions. Strategically, I-REAP will aim to support small to large-scale, high-impact investments and enterprise development through common service facilities, capacity-building, and other agri-aqua-support services for Farmers and Fisherfolk Cooperative and Associations (FCAs) and FCA clusters. It will also support FCA groups and clusters in increasing private sector investments in the agricultural and fishery sector by strengthening the productive alliance with the private sector aimed to enable FCAs to access proven new technologies and systems, and provide additional resources such as finances and expertise. Adoption of clustering and consolidation strategies which would cater to a wide array of commodities and beneficiaries will be the centerpiece of I-REAP subprojects implementation. The provision of common service facilities under I-REAP will consolidate and integrate the production, value-addition, and distribution of agri-fishery produce. Delineating value chain infrastructure support investments from I-BUILD portfolio, I-REAP will focus on interventions that will support the operations of private enterprises. Considering the new model being adopted for PRDP Scale-Up, I-REAP will implement flexible modalities for business plan initiation, which include private agribusiness entities-initiated aside from the LGUs and FCAs/FCA cluster, provided that business plans shall show linkages between the FCAs and the private sector whether in terms of assured market, technology support, and other technical assistance.

### **Component 4: Project Implementation Support (I-SUPPORT)**

The I-SUPPORT component provides the backbone of PRDP Scale-Up implementation. It will ensure the crucial role of ensuring coordinated approaches and strategies among the three components by providing support for effective and efficient project management, project oversight, capacity building/strengthening complementary project staffing, technical assistance and operating costs for its implementation. Full institutionalization of all innovations developed in the Original Loan (OL) and Additional Financing (AF) of the PRDP will be further pursued in the DA central and regional offices. The various functions would be implemented by units comprising; Administration, Finance, Legal, Economics, Social & Environmental Safeguards, Monitoring & Evaluation, InfoAce, Geo-mapping and Governance, and Budget & Accounting.

### **Component 5. Contingent Emergency Response Component (CERC)**

The Contingent Emergency Response Component (CERC) is a new component and will provide the Government a rapid access to financing to respond to an eligible crisis or emergency through an ex-ante mechanism. Anchored on the agreed triggers and specific operational guidelines, this would allow rapid access and reallocation of uncommitted project funds to immediately respond to urgent situations particularly in the event of disasters (geophysical, climate-related, or man-made) such as typhoons, floods, earthquakes, volcanic eruptions, droughts

and disease outbreaks, and public emergencies (e.g. pandemic). The utilization of funds for CERC may consider reallocation of uncommitted funds within the component (e.g. from Subcomponent 2.2. to Subcomponent 2.1) and/or from one component to another (e.g. from I-BUILD to I-REAP) based on the immediate needs of the concerned component. Utilization of funds would be in accordance with the eligible list of items, goods and civil works required to support the immediate response and recovery interventions, invoking the agency's mandate under various emergency response and contingency plans.

4. Among the five components, investments in I-BUILD are likely to bring about the most impacts on land acquisition as the bulk of infrastructure subprojects under the Project involve construction/rehabilitation of climate-resilient rural access such as Farm to Market Road (FMRs) and bridges. As with the original PRDP, right-of-way acquisition for FMRs will entail loss of land, crops, and some private infrastructure such as fences. The Project will also fund irrigation systems, potable water supply, and value-chain rural infrastructure support which will also incur minor impacts on private land and crops. For communal irrigation systems, small-scale irrigation facilities such as solar-powered irrigation systems, ram pumps, sprinklers, spring development irrigation, and drip irrigation projects for high-value crops will also be eligible for funding. Subprojects that will provide value chain infrastructure support for public use managed by the proponent LGUs include slaughterhouses, dressing plants, fish landings, tramlines, feeder ports, and watch towers. Vertical structures will follow the Green Building Code to lessen the subproject's effects on the environment through improved energy efficiency, water and wastewater management, materials sustainability, solid waste management, site sustainability, and indoor environmental quality.
5. PRDP Scale-Up enhanced design parameters for FMRs include: adoption of the Department of Public Works and Highways Department Order (DPWH DO) 112 series of 2019 which uses 5.00 / 6.1 meters carriageway width for FMRs depending on the average daily traffic count (from 4.00 / 5.00 meters); mandatory concreting of shoulders with road gradient above 10%; mandatory concreting of canals with road gradient above 10% regardless of soil classification; provide slope protection structures on all side cuts. For bridges, the bridge carriageway should be 5.60 /6.10 depending on the Portland cement concrete pavement (PCCP) width and inclusion of revetment at bridge abutments 50 meters upstream and downstream of the bridge. Such enhanced design parameters may entail bigger land acquisition requirements compared to the PRDP. Involuntary resettlement of informal settler families (ISFs) who tend to dwell near bodies of water may result in physical relocation of households in subprojects such as bridges and fish landing structures. As with the PRDP, restrictions to access due to changes in land use are not likely.
6. Investments in the I-REAP component will include small to large-scale, high-impact investments ramping up economic and enterprise development through common service facilities, capacity building, and other support services for FCAs and FCA clusters. Impacts related to land acquisition will be involved under I-REAP when these enterprises need land for rural infrastructures such as cold storages, warehouses, greenhouses, trading and market centers, and hatcheries to support their operations. Loss of land and crops for I-REAP are expected to be minimal given the scale of the infrastructures needed.

7. This Land Acquisition and Resettlement Policy Framework (LARPF) has been developed to provide guidelines on screening, identification, and mitigation of involuntary resettlement impacts of subprojects under the Project in accordance with the World Bank's Environment and Social Framework (ESF) particularly Environment and Social Standard 5 (ESS 5) on Land Acquisition, Restrictions on Land Use, and Involuntary Resettlement as well as with relevant legislations of the Philippine Government. It builds on PRDP's best practices and lessons learned from implementing the Land Acquisition, Resettlement, and Rehabilitation Policy Framework (LARRPF) that have been developed as part of the original PRDP's Integrated Environmental and Social Safeguards Framework (IESSF) under the World Bank (WB) Operational Policy (OP) 4.12 on Involuntary Resettlement. The LARRPF has been constantly updated and currently contains provisions for land donation and expropriation which are also included in this LARPF. To be consistent with ESS 5, this LARPF also reflects provisions related to forced eviction. The LARPF will continue to use the subproject screening criteria for resettlement. Resettlement Action Plans (RAP) will be prepared during project implementation when subproject locations have been identified.
8. Land acquisition under PRDP is replete with good practice including ensuring that ROW that have been previously acquired by LGUs are now properly documented, donated portions of lots are annotated in land titles or similar document, and that these are deducted from taxable areas of owners' properties. In a particular case in South Upi, Maguindanao in BARMM where most residents had only tax declarations for their lots, the PRDP paved the way for the people to secure their land titles wherein donated portions were deducted from taxable areas of owners' properties. Communities, particularly project affected persons, have appreciated the consultations that are conducted which demonstrates that they are a part of the decision-making process and that the process is transparent.
9. The PRDP Social Database as of 2022 has recorded a total of 13,642 households and 300 institutions (i.e. schools, barangay halls) as project affected. Out of the total 13,642 households affected there are 10,244 households whose impact is loss of land due to the acquisition for the road right of way, for bridges, for potable water systems, for small water impounding projects, for communal irrigation systems and other infrastructures. Loss of land has the highest number of households affected seconded by loss of trees.
10. Many of the FMRs under the original PRDP are already existing and just needed to be rehabilitated, improved, or extended. As such, road right-of-way have long been previously acquired by LGUs even before the PRDP came in, usually through donation. As these transactions were not documented, PRDP ensured that Deeds of Donation were issued and real property taxes for donated portions are no longer paid by affected persons. As the bulk of subprojects under PRDP are FMRs, the most common mode of acquisition so far is through land donations. However, for new lands to be acquired, the default mode is through replacement cost. When affected persons still wished to donate, PRDP has ensured that these followed the protocols for voluntary land donation stipulated in the IESSF. The RPCO/PSO validates with the property owner whether he/she was informed of his/her right to receive compensation at replacement cost and the right to an appraisal along with the offer of just compensation.
11. To date, under the original PRDP and its AFs, there were 149 households physically displaced while no economic displacement impact has been experienced by PRDP. All 149 households have been resettled, compensated, and/or assisted with the reconstruction of their houses. The SES Unit has made sure that the affected households are resettled prior

to the start of construction activities. PRDP has monitored the resettled PAPs to ensure that their socio-economic status has been restored and/or improved from pre-project state. As the last option for land acquisition, PRDP has experienced expropriation cases for five (5) subprojects with a total of seventeen (17) PAPs. PRDP made sure the expropriation cases were compliant with safeguards policies as stipulated in the IESSF, that is the compensation package is based on replacement cost value of the expropriated land. Loss of land and/or loss of income from roads and sites of facilities may be significant for vulnerable groups and may require additional assistance. Vulnerable groups or individuals refer to those who may be more likely or at a higher risk to be adversely affected by the subproject impacts and/or more limited than others in their ability to take advantage of the Project's benefits. As per PRDP's social database, among the affected households (AHs), there are vulnerable groups and individuals such as solo parents, senior citizens, income-poor households, persons with disabilities (PWDs) and indigenous peoples. PRDP has ensured they are included in consultations and are informed of their entitlements and that additional assistance are provided when necessary.

## I. Legal Framework

12. The ESS 5 or Land Acquisition, Restrictions on Land Use and Involuntary Resettlement of the World Bank's Environment and Social Framework (ESF) aims to avoid involuntary resettlement or, when unavoidable, minimize involuntary resettlement by exploring project design alternatives and mitigation measures to manage unavoidable adverse social and economic impacts by: (i) providing timely compensation for loss of assets at replacement cost and (ii) assisting displaced persons in their efforts to improve, or at least restore their livelihoods and living standards in real terms, to pre-displacement levels or pre-project implementation levels. ESS 5 also strictly prohibits forced eviction and requires that any resettlement activities are properly planned and implemented with appropriate disclosure of information, meaningful consultation, and informed participation of those affected.
13. Philippine laws relevant to ESS 5 are: (i) The Right-of-Way Act (RA 10752), (ii) Urban Development and Housing Act of 1992 (RA 7279), (iii) RA 11201 of 2019 or known as the Department of Human Settlements and Urban Development Act; (iv.) Indigenous Peoples' Rights Act of 1997 (RA 8371), (v) Local Government Code of 1991 (RA 7160), (vi.) Property Registration Decree (PD 1529), (vii.) The Public Land Act (Commonwealth Act No. 141 of 1936) and (viii.) PEISS (PD 1586). These laws, rules and regulations prescribe permissible modes of real property and Right-of-Way (ROW) acquisition; alternatives to reduce impacts of land acquisition; statutory compensation and other entitlements, including livelihoods and transitional assistance, to owners of lands and/or improvements; rights of informal and customary settlers, security of tenure; and, resettlement and eviction guidelines in connection with national government projects. Negotiated Settlement/Sale is the primary mode of land acquisition, and expropriation as last resort. Safeguards documents, like Resettlement Action Plan (RAP) and Indigenous Peoples Plan (IPP) are developed after social impact assessment as required by pertinent national agencies.
14. The existing Philippine National Laws related to Land Acquisition, Restrictions on Land Use and Involuntary Resettlement correspond to the core principles of the WB ESS 5. Though RA 10752 is stated to be for national government infrastructure projects, Section 3 of RA 10752 states that "subject to the provisions of Republic Act No. 7160, otherwise known as the "Local Government Code of 1991", local government units (LGUs) may also adopt the

provisions of this Act for use in the acquisition of right-of-way for local government infrastructure projects.” Under PRDP Scale-Up, as with PRDP, land acquisition is the responsibility and accountability of the subproject proponents such as the LGUs.

15. Under RA 10752 the value of the expropriated land is based on the current zonal valuation while as per ESS 5 compensation of land must be based on replacement cost which is the method of valuing assets to replace the loss at current market value. PRDP Scale-Up shall fully adopt the ESS 5 provisions. Regardless of the final court determined compensation amount, the final compensation amount/package to be provided to the PAP shall not be less than the replacement cost value of the expropriated land plus the replacement cost of structures (free of depreciation and deductions for salvaged materials), crops and other land improvements therein, whenever applicable.

### **III. Principles and Objectives**

16. The objectives of this Land Acquisition and Resettlement Policy Framework (LARPF) is to ensure that all involuntary losses (i.e. whether lands, structures, crops or other properties) of project- affected persons (PAPs) are properly and justly compensated and all those who are physically or economically displaced whether permanent or temporary, are resettled and/or provided with assistance to improve, or at least maintain, their pre-Project living standards and income earning capacity.
17. This Framework adopts the principles outlined in the World Bank's ESS 5 on Land Acquisition, Restrictions on Land Use and Involuntary Resettlement. In particular, the following principles shall apply:
  - i. Avoid where feasible, any involuntary resettlement or displacement whether physical (i.e. relocation, loss of residential land, or loss of shelter) or economic (i.e. loss of land, assets, or access to assets leading to loss of income sources or other means of livelihood) and when unavoidable, involuntary resettlement, acquisition of land and other assets will be minimized as much as possible by exploring project design alternatives;
  - ii. Where it is not feasible to avoid displacement, a Resettlement Action Plan (RAP) shall be conceived and executed as sustainable development programs, providing sufficient investment resources to enable the displaced persons to improve their incomes and living standards at least back to pre-displacement levels and to benefit directly from the subproject, as the nature of the subproject may warrant;
  - iii. Avoid forced eviction wherein individuals, families, and/or communities are removed, whether permanent or temporary, against their will without the provision of, and access to, appropriate forms of legal and other protection, that includes the fundamental requirement to conduct meaningful consultations;
  - iv. Resettlement and land acquisition activities are planned and implemented with appropriate disclosure of information, meaningful consultation and the informed participation of those displaced and affected households;

- v. Any involuntary loss or involuntary incurrence of damage to assets (i.e. lands, homes, structures and crops) whether such loss would constitute displacement or not, shall be justly compensated through mutually agreed compensation scheme. No person (whether beneficiary of the subproject or not) shall be pressured to donate assets for the benefit of the subprojects;
- vi. Mitigate unavoidable adverse social and economic impacts from land acquisition or restrictions on land use by: (a) providing timely compensation for loss of assets at replacement cost; and (b) assisting displaced persons in their efforts to improve, or at least restore their livelihoods and living standards in real terms, to pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher.
- vii. Persons who lost more than 20% of their productive assets shall be considered economically displaced and in addition to just compensation of the lost asset, shall be provided with livelihood assistance.
- viii. Improve living conditions of poor or vulnerable persons who are physically displaced, through provision of adequate housing, access to services and facilities, and security of tenure.

#### **IV. Social Screening, Assessment and Management Plan**

- 18. All subprojects will be screened using the SES Screening Form in Annex 1 to determine its eligibility in terms of social sensitivity and to assess risks and impacts from subproject activities that includes social risks related to land acquisition, restrictions on land use and involuntary resettlement.
- 19. All Infrastructure Development (I-BUILD) and Enterprise Development (I-REAP) subprojects shall undergo Social Assessment as part of their Feasibility Studies and Business Plans. The social assessment should be able to assess the extent of land acquisition and displacements, if any, due to the subproject. Land acquisition and resettlement issues, if any, should be reflected in the subproject's Environmental and Social Management Plan (ESMP).

#### **V. Eligibility Classification**

- 20. Project Affected Persons (PAPs) may be classified as persons:
  - a. Who have formal legal rights to land or assets;
  - b. Who do not have formal legal rights to land or assets, but have a claim to land or assets that is recognized or recognizable under national law (such claims could be derived from adverse possession or from customary or traditional tenure arrangements); or
  - c. Who have no recognizable legal right or claim to the land or assets they occupy or use (i.e. the case of informal settlers or an informal occupant with verbal permission from land-owner).

## **VI. Engagement and Consultation with Project-Affected Persons and Disclosure of Information**

21. Engagement and consultation with project-affected persons is an ongoing, organized, and iterative process of the Project. The subproject proponents shall conduct meaningful consultation processes and engage with affected communities and persons, including host communities in the case of resettlement.
22. Meaningful participation of project-affected and displaced persons shall take place throughout the various stages of the planning and implementation of the land acquisition, rehabilitation and resettlement activities. For these purposes and prior to any land acquisition, rehabilitation and resettlement activities, the project-affected and displaced persons will be fully informed about the Project and about the provisions of this Policy at consultations held by the respective Project staff at provincial, municipal and barangay levels. Additional provisions apply to consultations with displaced Indigenous Peoples in accordance with ESS7 as applied through the Project's Indigenous Peoples Policy Framework.
23. Each project-affected and displaced household will be fully consulted about acceptable alternatives and options, including in-situ/on-site or in-city resettlement, which they may choose from and are informed by the relevant Project staff at provincial and municipal levels of their entitlements and resettlement and livelihood restoration options, where applicable. Subproject proponents will consider feasible alternative project designs to avoid or minimize land acquisition or restrictions on land use, especially where this would result in physical or economic displacement, while balancing environmental, social, and financial costs and benefits, and paying particular attention to gender impacts and impacts on the poor and vulnerable.
24. The consultation process should ensure that women's perspectives are obtained and their interests factored into all aspects of resettlement action planning and implementation. Addressing livelihood impacts may require intra-household analysis in cases where women's and men's livelihoods are affected differently. Women's and men's preferences in terms of compensation mechanisms, such as replacement land or alternative access to natural resources rather than in cash, should be explored.
25. The Project will ensure that all information relevant to land acquisition and resettlement will be disclosed in a timely manner to all affected persons, host communities and other relevant stakeholders in a language understandable to them that will allow them to make informed decisions about compensation, resettlement options, donations, etc. Draft versions of the RAP or relevant portions thereof (e.g., entitlement matrix and GRM) need to be disclosed in public, well-known conspicuous spaces within the vicinity of the affected communities such as barangay bulletin boards or similar avenues. Approved RAPs need to be disclosed in the PRDP and World Bank websites.

## **VII. Entitlement Policy**

26. Project Affected Persons (PAPs) will be entitled to a range of measures depending on the type of their losses, as summarized in the entitlement matrix below:

**Table 1: Entitlement Matrix**

No.	Type of Loss	Entitled Persons/Households	Details of Entitlements
1	Loss of residential land and structures	Title holders/ recognized or recognizable claims under national laws	<ul style="list-style-type: none"> <li>i. The provision of replacement residential land (house site and garden) of equivalent size, satisfactory to the displaced person; and cash compensation reflecting full replacement cost of the structures, without depreciation, without deductions for salvaged materials and without deduction for taxes and/or transaction costs;</li> <li>ii. If the displaced person so wishes and the portion of the land to be lost represents 20% or less of the total area of the residential land area, and the remaining land is still a viable residential lot, cash compensation for the land and structure lost, at full replacement cost (market value), may be provided to the person in lieu of a replacement house and lot in a new site;</li> <li>iii. If after acquisition, the remaining residential land and/or structure is insufficient for the PAP to re-establish his home, the entire residential land and structure will be acquired at full replacement cost, without depreciation and salvaged materials.</li> <li>iv. Transitional assistance covering transportation, fees, and any related relocation expenses to be incurred by the PAPs</li> <li>v. Additional assistance for vulnerable households to be determined at the time of relocation and tailored to the specific vulnerability of the PAP (e.g., disabled, old age, etc.)</li> </ul>
2	Loss of residential structure/house	Informal settler families (ISFs)	<ul style="list-style-type: none"> <li>i. Compensation reflecting full replacement cost of the structures, without depreciation and without deductions for salvaged materials</li> <li>ii. If after acquisition, the remaining</li> </ul>

			<p>residential structure is insufficient for the PAP to re-establish his home, the entire residential structure will be acquired at full replacement cost, without depreciation and without deductions for salvaged materials.</p> <p>iii. Transitional assistance covering transportation, fees, and any related relocation expenses to be incurred by the PAPs</p> <p>vi. For vulnerable ISFs, relocate to a resettlement site with security of tenure or a similar arrangement</p>
3	Loss of residential structure/house	Tenant	<p>If the PAP is a tenant who has rented the displaced house for residential purposes, he/she will be provided with a cash grant of three months rental fee at the prevailing market rate in the area, and will be assisted in identifying alternative accommodation.</p> <p>The PAP will be notified at least 3 months prior to displacement, and will be reminded every month thereafter.</p>
4	Loss of structures (i.e. part of house, fences, roof eaves)	Title holders/ recognized or recognizable claims under national laws/informal settlers	Cash compensation reflecting full replacement cost of the structures, without depreciation and without deductions for salvaged materials
5	Loss of agricultural land	Title holders/ recognized or recognizable claims under national laws	<p>i. The general mechanism for compensation of lost agricultural land will be through provision of "land for land" arrangements of equal productive capacity, satisfactory to the displaced person. If no equivalent land is available for land for land compensation, cash compensation at full replacement value will be considered.</p> <p>ii. If the displaced person so wishes and the portion of the land to be lost represents 20% or less of the total area of the landholding, and the remaining land is still a viable economic holding, cash</p>

			<p>compensation, at full replacement cost (market value), may be provided to the person.</p> <p>iii. If the portion of the land to be lost is more than 20% of the total area of the landholding, and the remaining land is still viable, the displaced person shall be justly compensated of the lost asset and shall be provided with livelihood assistance.</p> <p>iv. If more than 20% of a villager's agricultural land is acquired and the remaining holding is not viable, then subject to PAPs agreement the Project will acquire the entire landholding and provide compensation of the acquired land at direct land replacement.</p>
6	Temporary loss of agricultural land	Title holders/ recognized or recognizable claims under national laws	PAPs, whose land is temporarily taken by the works under the Project (i.e. use for detour during construction of bridges) will be compensated for their loss of income, standing crops and for the cost of soil restoration and damaged infrastructure.
7	Loss of crops, coconut and trees (fruit-bearing and timber trees)	Title holders/ recognized or recognizable claims under national laws/informal settlers	<p>i. PAPs will be compensated for the loss of standing crops and fruit-bearing or industrial trees at market price.</p> <p>ii. For annual crops, as much as possible PAPs will be notified in advance and given opportunity to harvest crops</p> <p>iii. For trees, formula for compensation/replacement cost will take into consideration price for seedling and price for lost product based on the age, productivity, and market price for the number of years required to grow a tree of the same age</p> <p>iv. For timber trees, the PAP may choose between getting the timber itself or compensation at market price in exchange for the timber</p>
8	Loss of business	Title holders/ recognized or	The mechanism for compensating loss of business will be: (1) the provision of

		recognizable claims under national laws/informal settlers	alternative business site of equal size and accessibility to customers; (2) cash compensation for lost business structure reflecting full replacement cost of the structures, without depreciation and without deductions for salvaged materials; (3) cash compensation for the loss of income during the transition period, and (4) any transition and transportation costs (transport, establishing new utilities, new fees, taxes, etc. related to the relocation).
9	Loss of means of livelihood or access to livelihood	Title holders/ recognized or recognizable claims under national laws/informal settlers	<p>i. PAPs shall be provided with livelihood assistance and support within the community. They will also be provided compensation at full replacement cost, without depreciation and without deductions for salvaged materials for any other fixed assets affected in part or in whole by the project.</p> <p>ii. Transitional support to those whose livelihoods will be disrupted. This may include payment for lost crops and lost natural resources, payment of lost profits for businesses, or payment of lost wages for employees affected by business relocation. Transitional support continues for the duration of the transition period.</p> <p>iii. As warranted, livelihood planning provides special assistance to women, minorities, or vulnerable groups who may be disadvantaged in securing alternative livelihoods.</p>
10	Loss of community infrastructures and utilities such as school fence, waiting shed, water wells, electric posts among others	Community where community infrastructures are located	In cases where community infrastructure and utilities such as schools, factories, water sources, roads, sewage systems or electrical supply is damaged, the Project will ensure that these would be restored, repaired or relocated as the case may be, at no cost to the community. Subproject proponent to shoulder the cost of the restoration/repair/relocation.

Significant delays in subproject implementation may cause previous calculations of market values/replacement costs to be lower than current rates. This would mean that compensation would not be able to totally replace lost assets. To avoid this, replacement costs would need to consider applicable inflation rates until the time of compensation. Alternatively, replacement costs would just be recomputed anew whichever is easier.

## **VIII. Modes of Acquiring Land and Other Assets**

27. The Project may utilize the following forms of acquiring land and other assets or the use of land as subproject site subject to the following guidance below.

### **28. Negotiated Sale/Settlements**

The Project Affected Person (PAP) or household may opt for any alternative compensation package which, through negotiation, he/she agreed with the subproject proponent, provided the total equivalent value of the package is not less than replacement cost of all the lost assets. The PAP may on his/her own waive any or all types of involuntary resettlement compensation under the entitlement policy and instead opt for an alternative compensation package which he/she negotiated with the subproject proponent; Provided that the total value of the compensation package is commensurate with the total assessed replacement cost of all the lost assets, lost livelihood and income opportunities; Provided further that he/she has been prior-informed of the abovementioned entitlements.

### **29. Donation**

The property owner may willfully make a donation of his/her property or any part thereof that may be affected by the activities for the rural infrastructure or agricultural and enterprise subprojects to the local government unit or subproject proponent, provided that he/she has been informed of his/her entitlements. A part or all of the land to be used by the Project may be donated on a voluntary basis without payment of full compensation. This may be acceptable in few selected circumstances providing the subproject proponent has demonstrated that the following criteria have been met and these have been verified by PIU directly with the affected persons: (a) the potential donor or donors have been appropriately informed and consulted about the project and the choices available to them; (b) potential donors are aware that refusal is an option, and have confirmed in writing their willingness to proceed with the donation; (c) the amount of land being donated is minor and will not reduce the donor's remaining land area below that required to maintain the donor's livelihood at current levels; (d) no household relocation is involved; (e) the donor is expected to benefit directly from the project; and (f) for community or collective land, donation can only occur with the consent of individuals using or occupying the land. The subproject proponent will maintain a transparent record of all consultations and agreements reached.

The deed of donation should be duly notarized and must be annotated by the Registry of Deeds or by any authorized agency. Any taxes or fees owed for processing or registration of the land transfer, if applicable, are paid in full by the Provincial/Municipal/City LGU proponent including the cost of resurvey for the donated portion of land and the conduct of the survey for the adjustment of the land titles and real property tax due to ensure that the donated portion has been deducted to the taxable area of the of owner's property.

To ensure that the donation is voluntary, the RPCO/PSO should validate with the property owner whether he/she is informed of his/her right to receive compensation

at replacement cost and the right to an appraisal along with the offer of just compensation. The deed of donation shall exhibit voluntary action by the property owner; otherwise this will not be accepted, particularly if it is a result of a pressured negotiation between the property owner and the LGU/subproject proponent.

To demonstrate the voluntary nature of land donation or forgoing compensation for assets, a PAP with no formal legal rights to the land or assets but have a claim to land or assets that is recognized or recognizable under national law will execute a waiver of rights. There should be broad community recognition that the PAP has long been a long-term resident/or in possession of the area (i.e. through certification from the Barangay). Waivers cannot be used for disputed land plots with multiple claimants or for communal land where Indigenous Peoples (IPs) are present. The waiver cannot be used to allow use of land in ways that could prejudice the right to return by internally placed persons. As ancestral domains of IPs belong to the community, waivers do not apply. For the use of any communal lands and ancestral domains of IPs, the decision of land use will be made following the FPIC process and the Certificate of Precondition issued by the NCIP/MIPA. Waivers will only be used for activities that have reasonable flexibility in design and siting. PAPs should have an option to refuse to donate their land and are not pressured to donate land due to concerns of not being able to benefit from project activities. To ensure that PAPs are willingly foregoing their entitlements, the donation process will be carefully documented and minutes of consultations retained as part of project documents.

### **30. Expropriation**

As a last option, in case of refusal of the PAP to enter into a negotiated sale, or in case of failure by the PAP and the subproject proponent to agree on the amount/package of compensation and after validation by the SES team that the compensation amount/package offered to the PAP by the subproject proponent indeed meets the replacement cost standard, the proponent LGU may proceed with the expropriation process in accordance with the prevailing law.

The concerned LGU shall comply with the requirements of the expropriation process. However, regardless of the final court determined compensation amount, the final compensation amount/package to be provided to the PAP shall not be less than the replacement cost value of the expropriated land plus the replacement cost of structures (without depreciation), crops and other land improvements therein, whenever applicable. Expropriation shall not disqualify the PAP from receiving assistance or other benefits from the project.

The LGU shall comply with the required deposit to the court of the legally prescribed assessed value of the asset subject to expropriation. However, in case such deposit required by the law is less than the replacement cost of the asset being expropriated, the LGU shall deposit the remaining balance into a separate escrow/trust/consignment account or other arrangement acceptable to the LGU prior to the start of construction. It should be clear that said escrow/trust/consignment account is intended for the PAPs compensation. The PAP will be informed of the valuation process for his affected property and the escrow/trust account intended for him/her.

The SES team shall validate compliance by the LGU to the above requirements through its usual monitoring activities and document its findings in monitoring reports. As soon as compliance with the above has been ascertained, a short summary report will be prepared and included as part of project records. The team is encouraged to continue monitoring the expropriation case until completion.

### **31. Other modes to secure use of land as subproject site**

#### **a. Usufruct**

A usufruct, where property owner retains the ownership of the land while allowing the subproject proponent to use the land, may also be secured in the case of government-owned land/properties to be used as a subproject site. The two parties will execute a usufruct agreement which covers the rights and responsibilities of the two parties including the duration of the usufruct which should not be shorter than the subproject life.

#### **b. Lease Agreement**

The subproject proponent may also secure use of land and other assets through lease agreements with the rightful property owner. The proponent and the property owner will execute a lease contract that will cover the rights and responsibilities of the two parties including the duration of the lease which should not be shorter than the subproject life. Under this agreement, the landowners continue to retain legal ownership of the land parcel.

## **IX. Inventory and Entitlement Survey and Cut-off date**

32. An inventory and entitlement survey of the affected lands and assets for each subproject, using Forms 1 and 2 (refer to Annexes 2 & 3), will be prepared by the Provincial/ Municipal Planning and Development Officer (P/MPDO) and other municipal agencies concerned with resettlement and assisted by the respective Provincial Project Management and Implementation Unit (PPMIU). This will be reviewed and approved by the Regional Project Coordination Office (RPCO) and endorsed by the concerned Project Support Office (PSO) to the National Project Coordination Office (NPCO).

33. The Inventory shall include the following information for each PAP's household (refer to Form 1: Entitlement Survey of Project Affected Persons);

- a. Area of the land to be affected by the subproject, the land parcel to which the affected portion belong and the type of ownership;
- b. The current occupant(s) of the affected land and household information;
- c. Information on household members that have vulnerabilities or special needs that will trigger additional assistance;
- d. The land use classification or type of land affected;
- e. The number, types and size of structures present on the land and their owners;
- f. The types, number/area of trees, crops present on the land and their owners;

- g. Persons other than owners or occupants whose livelihood will be adversely affected with the taking of the land;
  - h. Productive assets lost as a percentage of total productive assets;
  - i. Temporary damage to productive assets;
  - j. Information on businesses and their incomes; and
  - k. Livelihood information for affected households.
34. Entitlements of PAPs which are calculated based on the above information (letters a. to h.) and guided by provisions stated in Chapter VII. Valuation of Affected Lands and Other Assets.
35. Cut-off date is the date of commencement of the inventory and entitlement survey of affected households within the project boundaries. The cut-off date could also be the date the project area was delineated, prior to the inventory and entitlement survey, provided that there has been an effective public dissemination of information on the area delineated, and systematic and continuous dissemination subsequent to the delineation to prevent further population influx. Establishing a cut-off date is intended to help prevent encroachment by opportunistic settlers. The cut-off date must be well communicated, documented, and disseminated to the affected communities, including providing clear demarcation of the affected areas. Individuals taking up residence in, or use of, the subproject area after the cut-off date are not eligible for compensation or resettlement assistance. The specific date will be indicated in the Resettlement Action Plan. Similarly, the loss of fixed assets (such as built structures, fruit trees, and woodlots) built or planted after the cut-off date is not compensated, except where it can be demonstrated that such post-cut-off date improvements were needed to maintain the livelihoods of the affected person during the period between the cut-off date and displacement. If there is a significant time lag between the completion of the census and implementation of the resettlement or livelihood restoration plan (such as more than three years), a repeat census and inventory and evaluation of assets are undertaken and the resettlement action plan updated accordingly

## **X. Valuation of Affected Lands and Other Assets**

36. Affected assets (such as land, trees, crops, structures) shall be valued based on replacement cost. Replacement cost is defined as a method of valuation yielding compensation sufficient to replace assets, plus necessary transaction costs associated with asset replacement. Transaction costs include administrative charges, registration or title fees, and any similar costs imposed on affected persons. The valuation method for determining replacement cost should be documented and included in relevant land acquisition and resettlement action planning documents.
37. After the PAPs have been identified, the concerned LGU, with the assistance and/or guidance of the Social and Environmental Safeguards team (SES), shall determine the value of the affected lands, structures, and crops for each PAP using the replacement cost standard as follows:
- (a) *for land*, the prevailing market value of the property if functioning markets exist; Where functioning markets do not exist, replacement cost may be determined through alternative means, such as

calculation of output value for land or productive assets, or the undepreciated value of replacement material and labor for construction of structures or other fixed assets, plus transaction costs;

- (b) *for structures*, the estimated value of the materials based on current prices of the same and the amount of labor required to build the structure, without depreciation and without deductions for salvaged materials;
- (c) *for crops, trees, and other plants*, the current value of crops, trees, and other plants based on the schedule of prices maintained and updated by the Provincial / City / Municipal Agriculture Office and / or Assessor's Office, provided these meet the provisions in the entitlement matrix. If no available schedule in the municipal or city level, the concerned LGU will use the methodology set forth in the entitlement matrix.

- 38. The Philippines has legally defined rates of compensation for land, trees, and crops that have economic value. However, there are cases where rates are not equal to replacement cost, either because they do not reflect market values or are not updated on a regular basis. When the subproject proponents (i.e. LGUs) use such rates as the basis for assessing value, additional measures may be necessary to ensure that the compensation paid meets the requirements of replacement value as set out in this Policy Framework. Such measures need to be appropriately tailored to the losses incurred. For example, where fruit trees are lost, it may be necessary to adjust compensation to reflect that it can take several years after replanting before such trees begin to generate income. Basis for average annual income could be transaction receipts or records from the City/Municipal Agriculture Office (MAO). In the case of loss of timber trees, compensation will be based on the market value of their dry wood volume. The compensation for trees will be free of deduction for the value of the wood left to the PAPs.
- 39. The estimated value shall be presented to the PAP in a reasonable level of detail or itemization. The SES shall develop, adopt, and continuously refine valuation sheets for affected lands, structures, and crops to be used by the proponent Local Government Units (LGUs) using as basis the provisions stated under RA 10752 on how to determine the appropriate price offer for the acquisition.
- 40. The valuation amount to be offered shall be the price at the time of taking of the property.
- 41. The Standard Market Determination should be determined through conducting at least two (2) of the following valuation processes:
  - a. Provincial Committee Appraiser Assessment
  - b. Latest transaction in the area
  - c. Private appraiser (Bank)
  - d. DAR valuation base on production of the land perpetuity

Valuation based on zonal value may be conducted for comparison purposes as there may be cases the zonal value is higher than the market value (i.e. in remote areas). Whichever is the higher value should prevail.

42. The PAP shall be allowed to review the estimated values of the affected assets and shall be allowed to negotiate for any reasonable adjustments in the final amounts or the nature of compensation.
43. The SES shall validate that the compensation amount/package agreed with the PAP meets the “replacement cost” standard as defined in this Policy Framework.
44. Consistent with the definition of replacement cost that includes the necessary transaction costs associated with asset replacement, the subproject proponent/LGU shall shoulder cost for taxes, administrative charges, documentary stamp tax, transfer tax, and registration or title fees, title annotation costs, reasonable moving expenses and any similar costs imposed on the affected persons.

## **XI. Resettlement Action Plan and Survey**

45. **Resettlement Action Plan (RAP).** Subprojects that will involve physical and/or economic displacement whether temporary or permanent are required to prepare a Resettlement Action Plan (RAP). A The RAP will be prepared commensurate to the level of impacts as per inventory and entitlement survey conducted by the subproject proponent LGU. The RAP should be in accordance with the provisions of this LARPF. (refer to Annex 4: Resettlement Action Plan – Sample Outline). The Resettlement Action Plan and survey will include depending on the magnitude of impacts all or some of the following: (a) a completed PAPs inventory (refer to Annexes 2 & 3: for the Forms 1 and 2); (b) a detailed socio-economic survey of displaced persons describing their age, sex, ethnicity, education, main occupation, sources of income, and total household income per year and if there are members of the household that are vulnerable (i.e. PWD, Senior Citizen, Widowed, Solo-parent); (c) detailed compensation and entitlement calculations for each affected household, where applicable; (d) location, area and category of the replacement residential and agricultural land to be provided, if that be the case; (e) a time-bound action plan for implementation; (f) a detailed budget and source of funding for the various compensation measures; and (g) arrangements for external monitoring and evaluation. The approved RAP should be disclosed in the PRDP Scale-Up website.
46. **Displaced poor and vulnerable PAPs.** In all instances where physical displacement results in loss of shelter, replacement cost must at least be sufficient to enable purchase or construction of housing that meets acceptable minimum community standards of quality and safety. In most instances, it is often poor and vulnerable people who are required to move as a result of displacement for subproject purposes. In such circumstances, the calculation of replacement cost establishes a minimum standard that should enable the purchase or construction of housing that meets acceptable minimum community standards of quality and safety, even though the house being replaced may have been substandard.

47. **Security of Tenure.** Security of tenure must also be guaranteed. Security of tenure means that resettled individuals or communities are resettled to a site that they can legally occupy, where they are protected from the risk of eviction and where the tenure rights provided to them are socially and culturally appropriate. In no event will resettled persons be provided tenure rights that are in effect weaker than the rights they had to the land or assets from which they have been displaced.
48. **Transitional relocation assistance.** The Resettlement Action Plan provides for transitional relocation assistance to people who are physically displaced. Such assistance may include transportation, food, shelter, and social services that are provided to affected persons during the relocation to their new site. Additional measures may be necessary for vulnerable groups during physical relocation, particularly pregnant women, children, the elderly, and the disabled. Assistance may also include cash allowances that compensate affected persons for the inconvenience associated with resettlement and defray the expenses of relocating to a new location, such as moving and lost workdays.
49. **Cash compensation.** When payment of cash compensation is considered, the ability of the affected population to utilize cash to restore standards of living should be assessed. The subproject proponent should consider the possibility of providing training or other guidance to recipients to help them make effective use of what they receive. Compensation agreements should specify the purposes of the cash compensation.
50. **Prohibition against Forced Eviction.** The Project will not resort to forced evictions of affected persons. “Forced eviction” is defined as the permanent or temporary removal against the will of individuals, families, and/or communities from the homes and/or land which they occupy without the provision of, and access to, appropriate forms of legal and other protection, including all applicable procedures and principles in this Policy Framework.

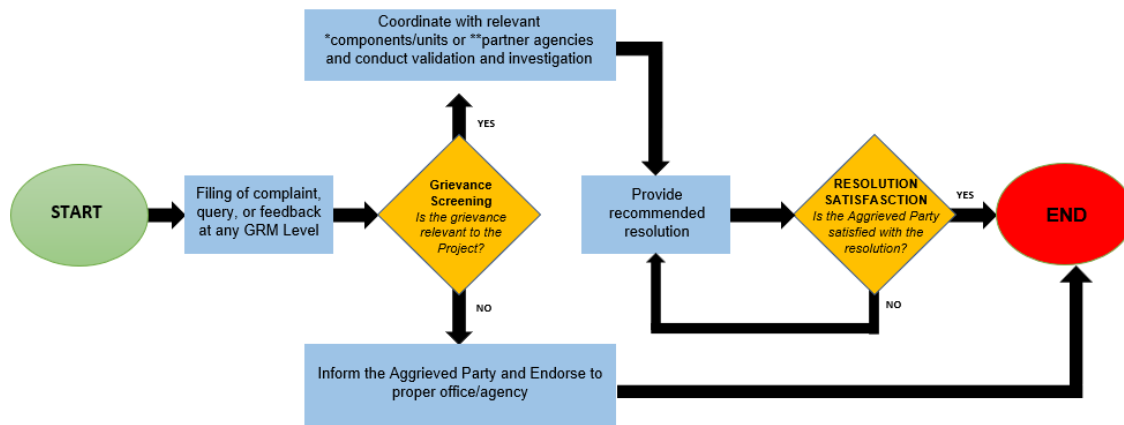
Existing Philippine laws such as the RA No. 11201 and RA 7279 further reiterates the protection of underprivileged and homeless citizens and poor dwellers in urban and rural areas against forced evictions. RA 11201 states in Chapter 1, Section 2 *“The State shall ensure that poor dwellers in urban and rural areas shall not be evicted nor their dwelling demolished, except in accordance with law”* while Sec 28 on Eviction and Demolition of the UDHA (RA 7279) stipulates situations where eviction is allowed and mandatory procedures to be undertaken prior any eviction which are consistent with WB ESS 5.

The exercise of eminent domain, compulsory acquisition or similar powers by subproject proponents such as Local Government Units (LGUs) will not be considered to be forced eviction providing it complies with the requirements of national law and the provisions of this Policy Framework, and is conducted in a manner consistent with basic principles of due process. Due process is understood to include the following types of procedural protections: (a) an opportunity for genuine consultation with those affected; (b) adequate and reasonable notice for all affected persons prior to the scheduled date of eviction; (c) information on the proposed evictions, and, where applicable, on the alternative purpose for which the land or housing is to be used, to be made available in reasonable time to all

those affected; (d) especially where groups of people are involved, government officials or their representatives as well, if requested, impartial observers to be present during an eviction; (e) all persons carrying out the eviction are to be properly identified; (f) evictions are not to take place in inclement weather or at night, or during festivals or holidays unless the affected persons consent otherwise; (g) provision of legal remedies; and (h) provision, where possible, of legal aid to persons who are in need of it to seek redress from the courts.

## **XII. Grievance Redress Mechanism**

51. The Project's Stakeholder Engagement Plan (SEP) describes the robust Grievance Redress Mechanism (GRM) that is now being used by PRDP and will be adopted by the PRDP Scale up. This GRM caters to feedback and concerns related to land acquisition and involuntary resettlement as shown in the following categorization of complaints: 1) right-of-way (ROW) or land acquisition; 2) Community and Occupational Health and Safety; 3) Project Processes and Mechanisms; 4) infrastructure quality; 5) procurement; 6) consultation processes; 7) enterprise operations; and 8) others or those not related to PRDP. As of January 2023, the GRM database has received a total of 248 complaints of which 70 are related to right-of-way (ROW) or land acquisition ranging from issues on compensation, demarcation of donated land, and affected structures. All have been resolved except for one case in which the resolution process is on-going following the well-established resolution process of PRDP.
52. **Setting up the GRM in subproject sites.** The subproject proponent will ensure that a grievance redress mechanism for the subproject is in place, in accordance with the Project's Stakeholder Engagement Plan (SEP) as early as possible in project development to address specific concerns about compensation, relocation, or livelihood restoration measures raised by displaced persons (or others) in a timely fashion. The grievance redress mechanism of the Project will utilize existing formal or informal grievance mechanisms suitable for project purposes, supplemented as needed with project-specific arrangements designed to resolve disputes in an impartial manner.
53. **Grievance Investigation and Resolution Process.** Individuals or group of individuals wishing to provide feedback and/or complaints about the effects of PRDP Scale up activities on their property, production system, economic well-being, spiritual life, environmental quality, or any other assets of their lives shall file their feedback or complaint using any of the modes of uptake and may be directed at any level - NPCO, PSOs, RPCOs, FCAs, Tribal Chieftain and LGUs (PLGU/MLGU/CLGU/Barangay). A Grievance Technical Advisory Team is formed with representatives of relevant components (i.e. I-BUILD and I-REAP components), units (i.e. procurement) and offices (NPCO/RPCO/PSO) and the LGU depending on the nature of the complaint related to right-of-way (ROW) or land acquisition. Figure 1 shows the PRDP resolution process that shall be adopted by PRDP Scale-Up.



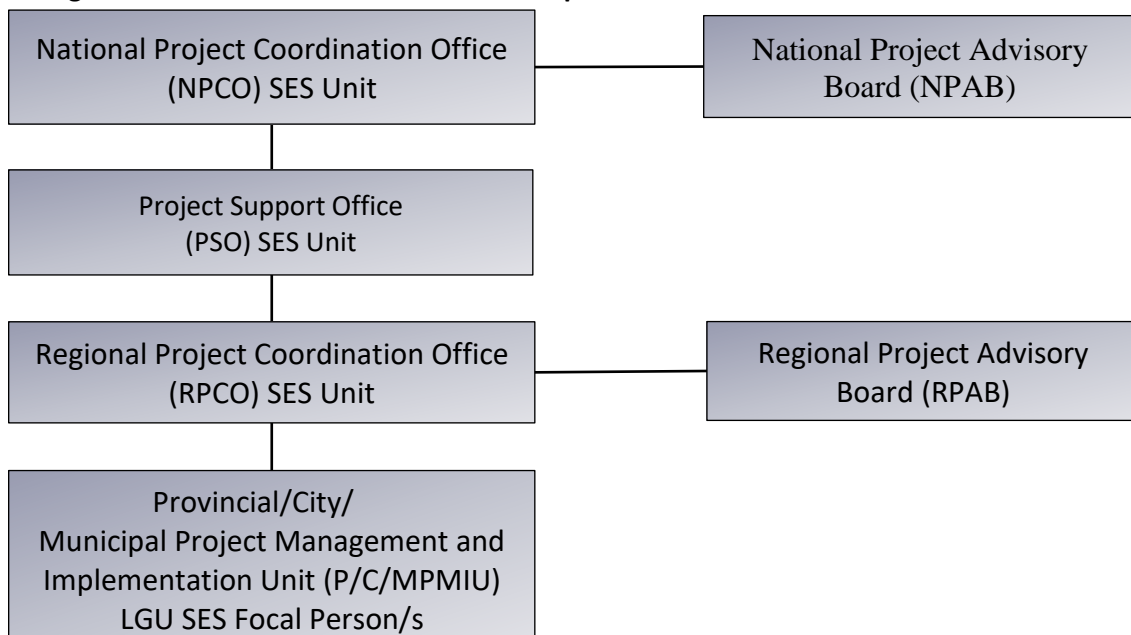
**Figure 1: GRM Resolution Process**

**54. GRM Database and Monitoring.** The Project will adopt the same systems for documenting and monitoring of grievances under the original PRDP while ensuring confidentiality. This system includes a computerized system for logging complaints, categorizing them, and monitoring the status of their resolution. To cater to potential cases related to SEA/SH, a modified version will be implemented to ensure that the GRM has a survivor-centered approach.

### **XIII. Institutional Arrangement**

**55.** The existing institutional arrangement of the PRDP will be maintained for PRDP Scale-Up with the view to further strengthen its capacity to ensure the long-term sustainability of interventions. The institutional arrangement, highlighting responsibilities specifically for this Framework, are described in the following sections:

#### **a. Organizational Structure and Roles and Responsibilities**



**Figure 2: Social and Environmental Safeguards Organization Structure**

**56. Provincial/City/Municipal Project Management and Implementation Unit (P/C/MPMIU)**

– Local Government Units at the Provincial and City or Municipal levels may propose subprojects to PRDP Scale-Up. Upon entering into a Memorandum of Agreement (MOA) with the DA the subproject proponent LGU, whether coming from the Province, City or Municipality, is required to establish a Project Management and Implementation Unit (PMIU) with staff, resources and responsibilities for implementing subprojects (i.e., Provincial - PPMIU; City - CPMIU or Municipal - MPMIU). The P/C/MPMIU shall have as its members the Provincial/City/Municipal Planning and Development Officer (P/C/MPDO), the Provincial/City/Municipal Engineer or anyone who is an engineer by profession, and another one who is an environmental and/or social practitioner who has an environmental and/or social assessment/management background or has undergone basic training in environmental and social safeguards to be assigned as the LGU SES Focal Person.

The P/C/MPMIU shall have the following roles and responsibilities:

- Help communities comply with the ESMF requirements including the LARPF;
- Assist FCA/FCA clusters comply with the ESMF requirements including the LARPF, if I-REAP subproject proponent is FCA/FCA clusters
- Prepare subprojects according to this Framework (refer to Annex 5 which shows a sample checklist of land acquisition activities);
- Monitor subprojects according to this Framework and submit a quarterly Safeguards Compliance Monitoring Report to RPCO.

**57. Regional Project Coordination Office (RPCO)** – At the regional level, the Regional Project Coordination Offices (RPCOs) lodged at the DA Regional Field Office (RFO) in each of the 16 regions will likewise be sustained. The RPCO will lead the implementation at the regional level and will directly provide technical assistance and coordinate with the proponent LGUs, FCAs /FCA clusters with support by the PSOs. The Regional Project Advisory Board (RPAB), headed by the respective Regional Executive Director of the DA-RFO, continues to be constituted to provide technical guidance and approves subproject proposals for funding under the Project.

The RPCO shall form a SES Unit whose personnel shall undergo training in environmental and social safeguards aspects of subproject preparation, review and approval and alert RPAB of any systemic compliance issues or any Project-wide operational policy issues affecting the Project's ability to comply with environmental and social safeguards requirements.

The RPCO shall have the following roles and responsibilities:

- provide assistance to the LGUs/project proponents in the conduct of safeguards activities and the preparation of safeguards documents including those stipulated in this Framework (i.e. Inventory and Entitlement Survey, Land Acquisition documents and RAP, if applicable);
- provide review and clearance of subprojects on the safeguards aspects according to the ESMF including this Framework before submitting to the PSO;
- monitor compliance to safeguards of subproject proponent LGUs and FCAs/FCA clusters;
- consolidate all Compliance Monitoring Reports from LGUs and FCAs/FCA clusters;

- maintain and update the social database system.

58. **Project Support Office (PSO)**–The four Project Support Offices (PSOs)<sup>1</sup> will be maintained to oversee regional cluster operations and support services covering Luzon, Visayas and Mindanao. The PSO's key role pertains to the disbursement of funds and the preparation of reports related to funds management, including provision of technical assistance and coordination with the covered regions. It also supports the NPCO in ensuring the achievement of Project milestones, results, and outcomes.

The PSO shall form a SES Unit who shall work closely with the various PRDP Scale-Up Components and Units to ensure compliance of subproject proponents to the ESMF and this Framework. The PSO shall have the following roles and responsibilities:

- provide training and technical assistance to RPCO SES Unit as well as to LGU SES focal persons;
- review and clear compliance of subprojects according to the ESMF including this Framework before submitting them to the NPCO for no objection;
- monitor compliance to safeguards of subproject proponent LGUs and FCAs/FCA clusters;
- consolidate all Compliance Monitoring Report from RPCOs and submit them to the NPCO;
- supervise the RPCOs in ensuring data encoded in the social database is complete, correct and consistent.

59. **National Project Coordination Office (NPCO)** – At the national level, the Project will be governed by the National Project Advisory Board (NPAB) headed by the Secretary of Agriculture with members from the relevant DA agencies and offices, which provides policy directions and oversight as well as approved the staffing requirement and work and financial plan of the Project. The NPCO will serve as the Secretariat of the NPAB. The National Project Coordination Office (NPCO), stationed at the DA Central Office, will continue to handle overall coordination and support, particularly in the areas of information and external communications and the coordination of the Project management information system and monitoring and evaluation.

The NPCO shall form a SES Unit who shall work closely with the various PRDP Scale-Up Components and Units to ensure compliance of subproject proponents to the ESMF and this Framework. The NPCO shall have the following roles and responsibilities:

- provide overall coordination and supervision across all project levels (LGUs, RPCOs and PSOs) to ensure compliance to the ESMF including this Framework;
- review and clear compliance of subprojects according to the ESMF including this Framework for issuance of no objection;
- provide capacity building activities to PSOs, RPCOs and LGU SES focal persons to enhance their knowledge, skills and attitude on land acquisition and resettlement policies;
- consolidate all Compliance Monitoring Reports from various PSOs and prepare a semi-annual report on the status of RAPs and project affected

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<sup>1</sup> The four PSOs are comprised of: PSO North Luzon covering CAR and regions 1, 2 and 3; PSO South Luzon covering regions 4A, 4B and 5; PSO Visayas covering regions 6, 7 and 8; and PSO Mindanao covering regions 9, 10, 11, 12, 13 and BARMM.

persons/households;

- supervise the PSOs in ensuring data encoded in the social database is complete, correct and consistent;
- alert NPAB of any systemic compliance issues or any Project-wide operational policy issues affecting the Project's ability to comply with environmental and social safeguards requirements that were not resolved at regional level.

60. Social and Environmental Safeguards (SES) units have been established at NPCO, PSO and RPCO levels of project organization within DA, while all participating LGUs have designated safeguard focal persons in their PMIU (LGU-SES). These arrangements would continue to support PRDP Scale-Up. Table 2 outlines the sequence of safeguards-related activities, particularly in relation to land acquisition and resettlement, and their lead or responsible units, at various stages in the subproject cycle.

**Table 2. Social and Environmental Safeguards activities and the responsible units**

No.	Stage in the Subproject cycle	Safeguards Activity	Responsible Unit
1	Subproject Identification and Validation	Conduct Environmental and Social Screening	LGU-SES with assistance from RPCO SES
		Conduct the Social Inclusiveness Scoring System for Proponent Group seeking I-REAP funding	LGU-SES and validated by the RPCO SES
		Conduct meaningful consultations with IP communities, women and other vulnerable groups. Conduct a separate IP Community Information Campaign, if required (Refer to SEP and IPPF).	Subproject proponent (PPMIU or CPMIU or MPMIU) with assistance from RPCO SES
2	Feasibility Study or Business Plan Preparation	Conduct Environmental and Social Assessment (ESA)	Subproject proponent (PPMIU or CPMIU or MPMIU) with assistance from RPCO SES
		Conduct meaningful consultations with IP communities, women and other vulnerable groups. Conduct a separate IP Community Information Campaign, if required (Refer to SEP and IPPF).	Subproject proponent (PPMIU or CPMIU or MPMIU) with assistance from RPCO SES and in coordination with National Commission on Indigenous Peoples (NCIP) or MIPA (Ministry of Indigenous Peoples' Affairs) for IP communities
		Prepare Environmental and Social Management Plan (ESMP)	Subproject proponent (PPMIU or CPMIU or MPMIU) with assistance from RPCO ESS
		Establish cut-off date	Subproject proponent (PPMIU or CPMIU or

No.	Stage in the Subproject cycle	Safeguards Activity	Responsible Unit
		Provide public notice and information dissemination	MPMIU)
		Conduct on-site verification of assets to be acquired with each head of household	
		Conduct and complete PAP Inventory and Entitlement Survey	
		Secure IP Endorsement IP Plan, if applicable	Subproject proponent (PPMIU or CPMIU or MPMIU) with assistance from RPCO SES and in coordination with NCIP
		Installation of GRM	Subproject proponent (PPMIU or CPMIU or MPMIU and FCA/FCA clusters if I-REAP subproject)
		Gather data on Safeguards related costs to be included in the Economic and Financial Analysis (EFA)	LGU-SES with assistance from RPCO SES and Economist
3	Detailed Engineering and Project of Works Preparation	Incorporation of relevant ESMP measures into the design and Project of works	Subproject proponent (PPMIU or CPMIU or MPMIU)
		Complete all Land or Right-of-Way (ROW) acquisition documentation	Subproject proponent (PPMIU or CPMIU or MPMIU and FCA/FCA clusters if I-REAP subproject with Infrastructure component)
		Preparation of Resettlement Action Plan (RAP) and/or compensation agreements, if applicable.	Subproject proponent (PPMIU or CPMIU or MPMIU and FCA/FCA clusters if I-REAP subproject with Infrastructure component)
4	Review and Approval  Issuance of NOL 1 - the document issued by the Project to the Procuring Entity which signal the start of the procurement process	Safeguards Review for all pertinent documents related to Land Acquisition and Resettlement  Issuance of clearance (SES staff signs the clearance form for the issuance of NOL 1)  Once NOL 1 has been issued, subproject proponent shall start with the compensation of PAPs and/or resettlement of displaced	RPCO/PSO/NPCO SES in coordination with I-BUILD Component and I- REAP Component

No.	Stage in the Subproject cycle	Safeguards Activity	Responsible Unit
		PAPs.	
5	Procurement (Bidding and Awarding)  Issuance of NOL 2 - the document issued to the Procuring Entity that signals them to award the contract to the winning bidder/supplier.	The Project will issue the No Objection Letter 2 (NOL 2) only after all activities for land acquisition, compensation and resettlement have been satisfactorily completed.  Discussion of Safeguards Compliance with the Contractor during the Procurement Activities (Pre-Procurement, Pre-bidding, and Pre-Construction Conferences)	NPCO/PSO SES  RPCO-SES
6	Construction	Safeguards Compliance Monitoring  Joint Inspection and Monitoring	Subproject proponent (PPMIU or CPMIU or MPMIU) with RPCO/PSO SES  SES Unit as part of the Joint Inspection Team (JIT)
7	Turnover	Compliance Evaluation	SES Unit with I- BUILD Component and I-REAP Component (NPCO, PSO, RPCO)

#### **b. Implementation Schedule**

61. The subproject proponent shall be the one responsible and accountable for land acquisition and resettlement of displaced households. A detailed implementation schedule of the various activities to be undertaken will be included in each inventory and Resettlement Action Plan (RAP).
62. If affected household voluntarily donated any part of their land and/or assets for the subproject, all deeds of donations and other relevant legal documents for each subproject shall be satisfactorily completed prior to the issuance of No Objection Letter 1 (NOL1) that signals the subproject to go ahead with the procurement and bidding process. Payment of compensation and provision of other entitlements (in cash or in-kind) shall be satisfactorily completed for each subproject prior to the issuance of the No Objection Letter 2 (NOL2) or prior award of contract for civil works. NOL 1 is the document issued by the Project to the Procuring Entity which signal the start of the procurement process while the NOL 2 is the document issued to the Procuring Entity that signals them to award the contract to the winning bidder/supplier. No construction should start until the displaced households have been resettled and compensation for affected structures, businesses, lands, and other assets have been fully paid.

**c. Supervision, Monitoring and Evaluation**

63. Implementation of the inventories and resettlement action plans will be regularly supervised and monitored by the respective P/C/MPMIU in coordination with the respective P/MPDO. The findings will be recorded in quarterly reports to be submitted to the RPCO, PSO and NPCO.
64. A social database system shall be maintained and updated by the RPCO while the PSO and NPCO ensures that the data encoded in the database is complete, correct and consistent. The database stores organized information per subproject per project-affected-person per impact. With a central database in place, the SES Unit will be able to extract statistics and monitor status of mitigation measures.
65. Internal monitoring and supervision by P/C/MPMIU and P/C/MPDO will:
- a. Verify that the baseline information of all displaced persons has been carried out and that the valuation of assets lost or damaged, the provision of compensation and other entitlements, and relocation has been carried out in accordance with the provisions of this Resettlement Policy Framework, the respective inventory and resettlement action plan.
  - b. Oversee that the inventory and resettlement action plan is implemented as designed and approved.
  - c. Verify that funds for implementing the inventory and resettlement action plan will be provided by the C/MLGU and/or PLGU to the Barangay Committee in a timely manner and in amounts sufficient for their purposes, and that the Barangay Committee in accordance with the provisions of the respective inventory and resettlement uses of such funds plan. LGUs shall ensure that budget appropriations for the land acquisition and resettlement activities are included in their annual budget.
  - d. Record all grievances and their resolution and ensure that complaints are dealt with in timely manner.
66. An External Monitoring Agent or agencies will be engaged by PSO, as and when needed, to periodically carry out independent monitoring and evaluation of the implementation of the inventories and resettlement action plans. The external agent can be from academic or research institutions, non- governmental organizations (NGO) or independent consulting firms, all with qualified and experienced staff and terms of reference acceptable to the World Bank.
67. In addition to verifying the information submitted in the internal supervision and monitoring reports of the P/C/MPMIU, the external monitoring agency will visit a sample of 20% of displaced persons households in each Province prior to approval of civil works and/or other occasions as deemed necessary by the PSO. The external monitoring agent will:
- a. Determine whether the procedures for displaced persons participation, relocation and delivery of compensation and other entitlements have been done in accordance with

this Resettlement Policy Framework and the respective inventories and resettlement action plans.

- b. Assess if the Resettlement Policy's objective of restoration of living standards and income levels of displaced persons have been met.
- c. Gather qualitative indications of the social and economic impact of Project implementation on the displaced persons.
- d. Suggest modification in the implementation procedures of the inventories and resettlement action plans, as the case may be, to achieve the principles and objectives of this Resettlement Policy.

#### **XIV. Costs and Budget**

68. **LGU Budget Appropriations.** Land acquisition and resettlement is the responsibility of and should be handled by the Proponent LGU. Sources of funding for the various inventories and resettlement activities will be shouldered by the concerned Local Government Unit. However, in the case where the proponent LGU is the province, it may make an arrangement with the municipalities and cities to do the land acquisition and/or resettlement. As such, concerned LGUs shall provide adequate appropriations to acquire the required right-of-way, site or location of the subproject in advance of the project implementation. These appropriations shall include the funds needed to cover the expenses for activities directly related to land/right-of-way acquisition for the subprojects. Expenses related to land/right-of-way acquisition have been enumerated in RA 10752 which can be used by LGUs as basis (i.e. Cost of parcellary surveys and appraisal of properties affected by the projects, compensation, cost of development and implementation of resettlement projects).

69. **Collaboration with relevant agencies.** There may be cases where the LGU may collaborate with relevant agencies responsible for housing and resettlement such as the National Housing Authority (NHA). In such instances, the LGU must take early and proactive steps to ensure the necessary collaboration with relevant agencies and secure the necessary budget commitments from involved agencies to implement the required resettlement action plans.

70. **Contingencies.** Each inventory and resettlement action plan will include detailed cost of relocation, compensation and other entitlements, with a breakdown by agricultural land, residential land, business land, houses, business and other assets. The cost estimates will make adequate provision for contingencies to ensure compensation at replacement cost in subproject areas where inflation is high or the period of time between calculation of compensation rates and delivery of compensation is extensive. Subproject proponents shall be advised to include appropriations for compensation with contingencies.

71. **Use of escrow accounts only on an exceptional basis.** In certain cases there may be significant difficulties related to the payment of compensation to particular affected persons, for example, where repeated efforts to contact absentee owners have failed, where project affected persons have rejected compensation that has been offered to them in accordance with the approved plan, or where competing claims to the ownership of lands or assets are subject to lengthy legal proceedings. On an exceptional basis, with

prior agreement of the Bank, and the subproject proponent has demonstrated that all reasonable efforts to resolve such matters have been taken, the subproject proponent may deposit compensation funds as required by the plan (plus a reasonable additional amount for contingencies) into an interest-bearing escrow or other deposit account and proceed with the relevant project activities. Compensation placed in escrow will be made available to eligible persons in a timely manner as issues are resolved.

## Annex 1 – Environmental and Social Safeguards Screening Form for Subprojects

### Philippine Rural Development Project Scale-Up

#### ENVIRONMENTAL AND SOCIAL SAFEGUARDS SCREENING FORM FOR SUBPROJECTS (I-BUILD AND I-REAP)

**Instructions:**

- (i) The screening form should form part of the Subproject proposal package.
- (ii) Respond to each question assuming the “without mitigation” scenario to identify potential impacts of the subproject.
- (iii) Use √ mark in answering the questions (Yes or No columns)
- (iv) Use the “remarks” section to discuss the eligibility or requirements for evaluation.

Name of Subproject:			
Proponent:			
Subproject location:			
Component Activity:	<input type="checkbox"/> I-BUILD	<input type="checkbox"/> I-REAP	

Screening Question	Yes	No	Remarks
<b>A. Subproject Eligibility</b>			
1. Will the subproject involve construction or operation of facilities in <u>declared strict protection zone</u> of protected areas (e.g. national parks), key biodiversity areas, and primary forest reserves by the government?			If YES, subproject is <u>not eligible</u> for funding under PRDP Scale-Up.
2. Will the subproject result in conversion of any critical natural habitats (i.e. primary forest, critical wetlands, endangered species habitat, etc.)?			If YES, subproject is <u>not eligible</u> for funding under PRDP Scale-Up.
3. Will the subproject alter, damage or render inaccessible any cultural resources, structure or heritage site?			If YES, subproject is <u>not eligible</u> for funding under PRDP Scale-Up.
4. Will the subproject involve cutting of mangroves / conversion of mangrove forests?			If YES, subproject is <u>not eligible</u> for funding under PRDP Scale-Up.
5. Will the subproject involve commercial forest product harvesting?			If YES, subproject is <u>not eligible</u> for funding under PRDP Scale-Up.
6. Will the subproject involve hunting or fishing of commercial nature in game refuge, bird			If YES, subproject is <u>not eligible</u> for funding under PRDP Scale-Up.

Screening Question	Yes	No	Remarks
sanctuaries, marine and seashore parks?			
7. Will the subproject involve the collection and trade of wildlife?			If YES, subproject is <u>not eligible</u> for funding under PRDP Scale-Up.
8. Will the subproject involve harvesting of mangrove or coral reefs?			If YES, subproject is <u>not eligible</u> for funding under PRDP Scale-Up.
9. Will the subproject involve the purchase of chainsaw and explosives?			If YES, subproject is <u>not eligible</u> for funding under PRDP Scale-Up.
10. Will the subproject involve the operation of sawmills?			If YES, subproject is <u>not eligible</u> for funding under PRDP Scale-Up.
11. Will the subproject involve the use of project funds to purchase or procure any prohibited agro-chemicals (herbicides, pesticides, insecticides, fertilizers)?			If YES, subproject is <u>not eligible</u> for funding under PRDP Scale-Up.
12. Will the project use phased-out hydrofluorocarbons (HFCs) and other ozone-depleting substances (ODS) (i.e. cold chain and refrigeration systems) which are prohibited under the country's commitments to the Montreal Protocol and Kigali Agreement?			If YES, subproject is not eligible for funding under PRDP Scale-Up
13. Will the subproject involve any dam construction of more than 15 meters in height (measured as the vertical distance between the lowest point in the original streambed measured at the toe of the dam)?			If YES, subproject is <u>not eligible</u> for funding under PRDP Scale-Up.
14. Will the subproject involve cutting of endangered tree species including the century old trees?			If YES, subproject is <u>not eligible</u> for funding under PRDP Scale-Up.
15. Will the subproject involve employment of children under 15 years of age?			If YES, subproject is <u>not eligible</u> for funding under PRDP Scale-Up.
16. Will the subproject involve salaried activities that employ minors between 15-18 years old in jobs that are dangerous to their			If YES, subproject is <u>not eligible</u> for funding under PRDP Scale-Up.

Screening Question	Yes	No	Remarks
health or their physical, moral, mental or social development?			
17. Is the subproject located in an area declared by government as a “no-build zone”?			<p>If YES, subproject is <u>not eligible</u> for funding under PRDP Scale-Up, unless the subproject supports farmers and fisherfolks in responding or managing disasters/calamities and leads to adaptation of climate-smart strategies. Following shall be provided:</p> <ul style="list-style-type: none"> <li>i) Clearance from DENR-MGB, PAGASA, PHIVOLCS or any equivalent body is secured by the proponent with the corresponding assessment report/study;</li> <li>ii) Climate-resilient design related measures can be applied to mitigate the hazard in accordance to PRDP I-BUILD Operations Manual;</li> <li>iii) The subproject supports farmers and fisherfolks in responding or managing disasters/calamities and lead to adaptation of climate-smart strategies.</li> </ul>
18. Will the subproject encroach into or be located in a highly susceptible areas to hazards such as flood, landslide, tsunami, storm surge, seismic risks due to presence of fault line, and high to extreme risks zones around active volcanoes			<p>If YES, subproject is <u>not eligible</u> for funding under PRDP Scale-Up unless the subproject will support the community in responding or managing disasters and calamities and lead to climate change adaptation strategies and that following will be incorporated/submitted:</p> <ul style="list-style-type: none"> <li>i) Appropriate climate-smart mitigation measures and relevant climate-resilient engineering designs and specifications are provided in accordance with the PRDP I-BUILD Operations Manual.</li> <li>ii) Clearance from DENR, PAGASA, PHIVOLCS or any equivalent body is secured by the proponent including the corresponding assessment report/study.</li> </ul>
<b>B. ESS1: Assessment and Management of Environmental and Social Risks and Impacts</b>			

Screening Question	Yes	No	Remarks
19. Is the subproject a Category A (Environmentally Critical Project) as per DENR Administrative Order 2003-30 and DENR Revised guidelines for coverage screening and Standardized Requirements under the Philippine EIS System (MC 2014-005)?			If YES, subproject needs to undergo the <u>EIA process and secure ECC</u> from DENR-EMB Central Office/MENRE.
20. Is the subproject a Category B (Non-Environmentally Critical Project) as per DENR Administrative Order 2003-30 and Revised guidelines for coverage screening and Standardized Requirements under the Philippine EIS System (MC 2014-005) ?			If YES, subproject needs to complete the Environmental Impact Statement (EIS) / Initial Environmental Examination (IEE) / EPRMP and secure the ECC from DENR Regional Office/MENRE.
21. Is the subproject a Category C (Environmental Enhancement or Direct Mitigation Project) as per DENR Administrative Order 2003-30, and Revised guidelines for coverage screening and Standardized Requirements under the Philippine EIS System (MC 2014-005)?			If YES, subproject needs to prepare the Project Description and confirm the coverage with DENR.
22. Is the subproject a Category D (Not Covered) as per DENR Administrative Order 2003-30 and Revised guidelines for coverage screening and Standardized Requirements under the Philippine EIS System (MC 2014-005)?			If YES, subproject needs to secure the CNC from DENR/MENRE.  Include sections on Environmental and Social Assessments and Environmental and Social Management Plan (ESMP) in the feasibility study and business plan.
23. Will the subproject involve construction of dam up to 10 but less than 15 meters in height (measured as the vertical distance between the lowest point on the dam crest and the lowest point in the original streambed measured at the toe of the dam)?			If YES, Subproject would undergo processing under the Environmental and Social Management Framework (ESMF).
24. Is the subproject located in an area that is low to moderately susceptible to natural hazards such as flooding, landslides, etc. as			If YES, subproject needs to request for a hazards assessment from Phivolcs and MGB and develop structural for inclusion in the DED and non-structural mitigation

Screening Question	Yes	No	Remarks
identified by MGB and Phivolcs?			measures in the ESMP
25. Will the subproject result in cutting of side slopes?			<p>If YES, appropriate slope protection works must be incorporated in the Detailed Engineering Design, Program of Works, and ESMP.</p> <p>Bioengineering interventions shall be provided for all subprojects that involve cutting of side slopes.</p>
<b>C. ESS2: Labor and Working Conditions</b>			
26. Will the subproject involve hiring of salaried workers?			<p>If YES, subproject shall prepare a code of conduct during implementation and operation in accordance with the Projects LMP to include the following:</p> <ol style="list-style-type: none"> <li>I. Establishment of GRM including procedures for Gender-Based Violence Sexual Exploitation, Abuse and Harassment (GBV SE/AH)</li> <li>II. Occupational Safety and Health Plan</li> </ol>
<b>D. ESS3: Resource Efficiency and Pollution Prevention and Management</b>			
27. Will the subproject involve the extraction or use of surface or groundwater?			If YES, subproject needs to secure the <u>Water Permit</u> from NWRB and submit together with the potable water testing.
28. Will the subproject require a large amount of energy, water or other resources during project construction or operation?			If YES, provide water-use / resource-use efficiency measures in the ESMP, i.e. cleaner production technologies, energy efficiency, environmentally sound production and packaging, etc.
29. Will the subproject result in the discharge of wastewater from the facility?			<p>If YES, subproject needs to provide a <u>wastewater treatment facility</u> to comply with the DENR Effluent Standards.</p> <p>For I-REAP subprojects and I-BUILD other Infrastructures, the procedures on wastewater handling, treatment and disposal shall form part of the subproject Operations Manual.</p>
30. Will the subproject result in the production of a large volume of			If YES, a waste disposal site should be identified prior to contractor's

Screening Question	Yes	No	Remarks
surplus excavated materials?			mobilization. Corresponding agreement / permit to dispose from the authority (land owner or the LGU) shall be submitted along with the business proposal and feasibility study.
31. Will the subproject result in the significant emission of air pollutants, gaseous and odor emissions?			<p>If YES, the subproject needs to provide mitigation measures to comply with the ambient air quality standards prescribed by the DENR.</p> <p>For I-REAP subprojects and I-BUILD other Infrastructures, the procedures on air and odor emission management shall form part of the subproject Operations Manual.</p>
32. Will the subproject result to the generation of hazardous wastes?			<p>If YES, the subproject needs to comply with the provisions of R.A. 6969 as part of ESMP.</p> <p>For I-REAP subprojects and I-BUILD other Infrastructures, the procedures on hazardous waste handling, treatment and disposal shall form part of the subproject Operations Manual.</p>
33. Will the subproject result in the generation of compostable waste?			If yes, the subproject must provide a composting site that is distanced properly from the facility. Alternatively, the waste must be transferred to a disposal facility or sanitary landfill.
<b>E. ESS4: Community Health and Safety</b>			
34. Will the subproject result to potential diseases transmission from inadequate waste disposal?			If YES, provide occupational health and safety measures and community health and safety measures in the ESMP.
35. Will the subproject cause risks related to occupational health and safety due to physical, chemical, and biological hazards during project construction and operation?			If YES, provide occupational health and safety measures during construction and operation of the facility in the ESMP.
36. Will the subproject cause community health and safety risks due to the transport, storage and use and/or disposal of materials likely to create physical, chemical and biological hazards during construction, operation, and			If YES, provide mitigation measures for community health and safety in the ESMP.

Screening Question	Yes	No	Remarks
decommissioning?			
37. Is the project area under community quarantine status for prevention of communicable diseases such as COVID-19?			<p>If YES, closely coordinate with the concerned LGUs on the schedule and details of project activities and secure applicable clearance/permit to proceed works.</p> <p>Include COVID-19 and emerging communicable diseases preventive measures in the ESMP.</p>
38. Will the subproject expose and cause community health and safety risks due to the presence of migrant workers?			If YES, include mitigation measures in the ESMP.
<b>F. ESS5: Land Acquisition, Restrictions on Land Use and Involuntary Resettlement</b>			
39. Will the subproject adversely affect lands, crops, structures, other properties and/or livelihood?			If YES, conduct a survey of Project Affected Persons (PAP), electric posts, streetlights, lifeline facilities, and those that will lose access to their properties (landlocked properties) and document evidence of consultation to be included in the subproject proposal package.
40. Will the subproject displace people's homes and/or people's livelihood or restrict access to traditional economic resources?			If YES, prepare a Resettlement Action Plan with livelihood restoration assistance plan.
41. Will the subproject involve, require or result in acquisition of land, right-of-way and/or easements rights?			If YES, prepare proper Land Acquisition Documents, clearing showing transfer of ownership or rights from landowners to concerned LGU. Acceptable documents include: TCT, Deed of Sale, Deed of Donation (individual or group); and Quit Claim and Waiver of Rights (individual or group).
42. Is the land to be used still classified under public land?			If YES, secure tenurial instrument from DENR (i.e. Special Land Use Permit, Gratuitous Special Use Permit, Forest Land Use Agreement for forest lands, and Foreshore/Miscellaneous Lease Agreement for Foreshore areas)
43. Is the subproject located in a			If YES, subproject needs to present a

Screening Question	Yes	No	Remarks
reclaimed area?			permit from the Philippine Reclamation Authority.
<b>G. ESS6: Biodiversity Conservation and Sustainable Management of Living Natural Resources</b>			
44. Will the subproject affect ecosystem services such as mangroves and coral reefs providing shoreline protection; important fishing areas and fish nurseries; vegetation serving as flood buffer; water retention/protection during flooding seasons?			If YES, the subproject needs to assess the significance of project activities and value of such ecosystem services as part of the environmental and social assessment and to develop mitigation measures as part of the ESMP to protect the ecosystem service(s).
45. Is the subproject located in forest land?			If YES, the subproject needs to secure a <u>Gratuitous Special Use Permit / Forest Land Agreement (FLAG)</u> from DENR-FMB.
46. Will the subproject involve Tree Cutting?			If YES, undertake the following: I. The subproject will use indigenous/endemic/native and non-invasive species of trees. II. Submit and implement the Tree Replacement Plan
47. Is the subproject site located close or adjacent to any protected areas and primary forests designated by the government (national park, forest reserve world heritage site, or forest lands for strict protection and conservation, etc.)?			If YES, prepare an ESMP that includes measures to ensure that project activities do not encroach into protected areas and forest lands for strict protection and conservation and that measures are provided to avoid, minimize or mitigate any impacts of subproject activities into nearby protected areas and forest lands or strict protection and conservation.
48. Is the subproject site located within marine and aquatic ecosystems or close to any waterbody?			If YES, prepare an ESMP and Biodiversity Management Plan that includes measures to ensure that project activities do not cause pollution to marine and aquatic ecosystems.  For I-REAP subprojects in aquatic areas, the LGU shall ensure ecological integrity and good water quality for the sustainability of the enterprise.

Screening Question	Yes	No	Remarks
49. Will the subproject encroach into or be located inside a multiple use zone or buffer zone of an officially declared protected areas of natural habitats (e.g. national parks), key biodiversity areas, and forest lands within a multiple use, sustainable use, or agroforestry zone?			<p>If YES, subproject is eligible for funding under PRDP Scale-Up provided that subproject is already existing and would not result to potential adverse impacts (i.e. expansion resulting to conversion of natural habitat, encroachment, and damages to flora and fauna, etc.). Appropriate mitigation measures as per provisions of the E-NIPAS law or any law creating the national park should be provided.</p> <p>Clearances from DENR and PAMB or equivalent body should be secured by the proponent.</p>
<b>H. ESS7: Indigenous Peoples</b>			
<p>50. Is the subproject an identified situation in the IPPF, as follows:</p> <ul style="list-style-type: none"> <li>• overlap or are located inside any declared or proposed IP Ancestral Domain or those that, while not located inside, will directly affect any declared or proposed IP Ancestral Domain.</li> <li>• cause relocation of Indigenous Peoples from land and natural resources subject to traditional ownership or under customary use or occupation or those that are referred to as Ancestral Domains;</li> <li>• have significant impacts on Indigenous Peoples' cultural heritage that is material to the identity and/or cultural, ceremonial, or spiritual aspects of the affected Indigenous Peoples</li> <li>• locate or commercially develop natural resources on land traditionally owned by, or under the customary use or occupation of Indigenous Peoples or those that are referred to as Ancestral Domains;</li> <li>• propose to use for commercial purposes the cultural heritage and Indigenous Knowledge</li> </ul>			<p>If YES, the subproject needs to undertake the FPIC process and secure the Certificate of Precondition from NCIP.</p>

Screening Question	Yes	No	Remarks
Systems and Practices (IKSPs) of Indigenous Peoples communities, whether tangible or intangible or both			
51. If the subproject is not within any ancestral domain, are there any IP community/ies in the subproject's influence area to be affected (either positively or adversely) by the subproject and does not meet the 3 criteria for FPIC under ESS 7?			<p>If YES, the subproject must undergo meaningful consultations with the IP community/ies. The entire consultation process shall be undertaken and documented by the concerned LGUs in coordination with NCIP/MIPA. Documents required are as follows:</p> <ul style="list-style-type: none"> <li>• Dated information campaign materials in local language or in language widely understood by the community;</li> <li>• Dated gender disaggregated attendance sheets of consultation dialogues and Photographs of actual consultation sessions undertaken;</li> <li>• Dated minutes of meetings and matrix of clarifications, issues and concerns raised and how they were explained or addressed by the LGU.</li> </ul>
<b>I. ESS8: Cultural Heritage</b>			
52. Is the subproject site within or near a known archaeological or paleontological site?			If YES, subproject needs to prepare and implement the Cultural Heritage Management Plan (CHMP) with Chance Find Procedure as part of subproject proposal.
<b>J. ESS10: Stakeholder Engagement and Information Disclosure</b>			
53. Will the project present considerable Gender-Based Violence (GBV) and Sexual Exploitation and Abuse (SEA) risk?			If Yes, prepare a Code of Conduct and training on managing GBV and SEA.
54. Has there been a history of conflict or an existing conflict in the area?			If YES, please conduct the conflict context assessment (proceed to the next section) and ensure that the risks identified are addressed and mitigated through the conduct of social preparation and continuous dialogue with the community especially with community and religious leaders in the locality.
55. Will the entry of the PRDP Scale-			If YES, the proposed subproject should be

Screening Question	Yes	No	Remarks
Up subproject trigger and/or exacerbate the identified conflict in the area?			redesigned/adjusted to avoid exacerbating the conflict.

Conflict Context Assessment Guide Questions	
Assessment Question	Response
<p>1. Has there been a history of conflict in the area?</p> <p>Please establish the identified conflict-affected areas:</p> <ol style="list-style-type: none"> <li>Subproject area</li> <li>Adjacent barangays</li> <li>Areas to be traversed going to the area</li> <li>RIA/PIA (project area of influence)</li> </ol>	
2. How long ago was the last incident of conflict and/or armed violence?	
3. What was the nature of conflict? (i.e. Land, ethnic, economic, religious, political) What were the conflict triggers?	
4. Was there disruption of social services and economic activities due to the conflict?	
<p>5. Who were involved?</p> <p>6. What are their interests?</p> <p>7. Are they direct or indirect players/conflict actors?</p> <p>8. What are the dividers or sources of tension between/among the groups/communities?</p> <p>9. What connects the groups/communities or what are local capacities for peace?</p> <p>(i.e. Clans, non-Muslim IP groups, Moro people, non-visible players)</p>	
<p>10. What development projects have been implemented (govt and private) in the area? Or any existing projects in the area? How was the implementation?</p> <p>Please enumerate:</p> <ul style="list-style-type: none"> <li>- What projects</li> <li>- Who are the implementers</li> <li>- What is the status of the projects</li> <li>- Contractor's experienced extortion from armed groups</li> </ul>	

### Screening Result Summary (To be filled up by the Screening Officer)

Check the box that applies:

- ☐ The subproject is not eligible for funding under PRDP Scale-Up due to *[state reason(s) briefly]*: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
- ☐ The subproject proposal currently does not qualify for PRDP Scale-Up funding but may be resubmitted for consideration after complying with the following requirements/actions. *[check applicable requirements based on the above screening table]*:
  - Change of location/site (i.e. avoiding protected area of natural habitat/key biodiversity areas, purchase of banned agro-chemicals from project funds, avoid cultural heritage property sites)
  - Change subproject design to address the following [please specify such as Wastewater treatment Facility, etc.]: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

[Note that subprojects that are revised and resubmitted will be subjected again to the above screening checklist.]

- ☐ The subproject as proposed is eligible for funding and may proceed to comply with the processing and preparation of the following safeguard instruments (check only those that apply based on the above screening):

- \_\_\_\_\_ Map of the location of the subproject overlaid with the nearest Protected Area
- \_\_\_\_\_ Ancestral Domain, and Forest Land
- \_\_\_\_\_ Map of the location of the subproject overlaid with natural and geologic hazard
- \_\_\_\_\_ assessments (seismic, geologic, hydrometeorological)
- \_\_\_\_\_ EIS/IEE and ECC issued by DENR
- \_\_\_\_\_ Clearance from PAMB or any equivalent body if inside Protected Areas MUZ
- \_\_\_\_\_ Clearance from DENR/PHIVOLCS/PAGASA or any equivalent body if in a disaster
- \_\_\_\_\_ or hazard prone area
- \_\_\_\_\_ Tenorial Instrument from DENR as appropriate
- \_\_\_\_\_ Biodiversity Management Plan
- \_\_\_\_\_ Integrated Pest Management Plan
- \_\_\_\_\_ Water Permit issued by NWRB for PWS and CIS subprojects
- \_\_\_\_\_ Water Quality Test for CIS
- \_\_\_\_\_ Water Potability Test for PWS, Enterprises and other facilities as applicable
- \_\_\_\_\_ Evidence of IPM-FFS conducted/ KASAKALIKASAN coverage in the area
- \_\_\_\_\_ Evidence of training on proper pesticide use, handling, and storage
- \_\_\_\_\_ Waste Management Plan
- \_\_\_\_\_ ESMP with Quarry Site, Batching Plant, and Borrow Pits
- \_\_\_\_\_ Certificate of Pre-Condition/Certificate of Non-Overlap from NCIP
- \_\_\_\_\_ Evidence of Free Prior Informed Consultation among IP Communities
- \_\_\_\_\_ Evidence of Broad IP Community Support (Resolution, Endorsement, Letter, etc.
- \_\_\_\_\_ Cultural Heritage Management Plan with Chance Find Procedure

- \_\_\_\_\_ Resettlement Action Plan
- \_\_\_\_\_ Tree Replacement Plan
- \_\_\_\_\_ Electric Post Transfer Plan
- \_\_\_\_\_ Minutes of consultations with beneficiaries and Project affected persons
- \_\_\_\_\_ PAPs Entitlement Survey
- \_\_\_\_\_ Land Acquisition Documents (lands acquired must cover all ROW and easemen requirements of the subproject)

*[Note that the specific issues/recommended measures identified in the above screening checklist shall also be addressed in the relevant safeguard instruments. During the review, the instruments will be checked against the above checklist.]*

Name and Signature of LGU Screening Officer: \_\_\_\_\_

Date Completed: \_\_\_\_\_

-oOo-

**SAFEGUARD CLEARANCE (To be filled only after review of the subproject proposal package)**

- ☐ This subproject is deemed ineligible because of the following reasons *[State valid reasons]*  
.
- ☐ This subproject is not yet cleared of safeguards requirements pending compliance of the following  
[Write down pending requirements and sign with initials of the reviewing officer]:  
.
- ☐ This subproject is given conditional clearance and may proceed to implementation subject to the compliance of the following requirements on or before the specified deadlines.  
*[Write down requirements and their agreed deadlines. Note that this option should only be resorted to when the pending requirements are already underway and will not have implications on the implementation of the subproject]:*

Requirement	Deadline
_____	_____
_____	_____
_____	_____

- ☐ This subproject is cleared of safeguards requirements and may proceed with implementation.

Recommended for Clearance by: \_\_\_\_\_

RPCO SES Unit Head

Cleared by: \_\_\_\_\_

PSO SES Unit Head/ Specialist

## Annex 2 – Form 1 Entitlement Survey of Project Affected Persons

Department of Agriculture  
Philippine Rural Development Project (Scale-Up)

### ENTITLEMENT SURVEY OF PROJECT AFFECTED PERSONS

This survey form is intended to gather data about a household whose socio-economic well-being is at risk to be adversely affected by implementing a certain rural infrastructure or enterprise development subproject proposed by a proponent Local Government Unit (LGU) for funding assistance under the Philippine Rural Development Project (PRDP). It also outlines potential measure/s or entitlements to mitigate adverse impact/s of the subproject to the lives of the affected households / persons.

The survey shall be administered by the proponent LGU (Province/City/Municipality) with the involvement of the officials of the barangay LGU/s with jurisdiction over the sites where a subproject will be implemented or put in place.

Prior proceeding with the conduct of survey, enumerators/interviewers should properly seek consent of the household respondent to the collection, generation, use, processing, storage and retention of their personal data that shall be used for purposes of the Project and shall form part of the Project's social database system. The Project shall use and protect personal data gathered from the project affected persons in accordance with the Data Privacy Act of 2012 (RA 10173).

**Date of Survey:** \_\_\_\_\_

**Household (HH) Survey Number:** \_\_\_\_\_ [Survey number should coincide with the parcellary map where in Household number 1 should start from station 000 of the proposed road. It is best to have the parcellary map prior survey for proper and easy facilitation]

**Name of Respondent:** \_\_\_\_\_

**Affiliation with the Household (HH) Head:** \_\_\_\_\_

[A respondent must be: (i) member of the HH; (ii) at least 18 years of age; (iii) residing with the HH in at least three years prior to the conduct of the survey]

<b>Component:</b> [I-BUILD or I-REAP]	<b>Subproject ID No.:</b>		<b>Barangay:</b>			
<b>Municipality:</b>	<b>Province:</b>			<b>Region:</b>		
<b>Household Composition:</b> This form should contain data about one Household (HH). <b>Check among the choices below if it applies to the Household:</b> <input type="checkbox"/> Person with Disability (PWD) <input type="checkbox"/> Solo-parent <input type="checkbox"/> Widowed <input type="checkbox"/> Senior Citizen  Please note if there is among household members any other vulnerabilities/special conditions: (i.e. pregnant with small children)						
<b>Name of Household Head and Members</b>	<b>Gender</b>	<b>Age</b>	<b>Ethnicity (if IP only)</b>	<b>Education</b>	<b>Occupation and sources of Income</b>	<b>Estimate Total Income p Year</b>
<b>Head:</b> [Household head is the decision maker of the family]						

<i>and can either be male or female]</i>							
<b>Members:</b>							
1.							
2.							
3.							
4.							
5.							

Total Landholding	Sq.m. [Total Land Holdings is the current total land area owned / occupied by the affected person in sq. m.]	Lot No.		Pls. No.  Parcellary No. (N.A for Ancestral Domain):
PROPERTIES TO BE AFFECTED BY THE PROJECT		QUANTITY and Cost	TENURIAL STATUS (e.g. owned, rented, tenant, etc.)	ENTITLEMENTS [This may either be in the form of donation / compensation / others. The current market value of the affected properties should be stated]
<b>A. LAND</b>				
1. Residential [Land can be considered as residential if it is used by the owner or tenant as their residential area]		Sq.m. and Cost		
2. Commercial [Land can be considered as commercial if it is used by the owner or tenant for business or enterprise]		Sq.m. and Cost		
3. Agricultural [Land can be considered as agricultural if it is used by the owner or tenant for farming]		Sq.m. and Cost		
<b>B. CROPS (Pls. Specify)</b> [If the Owner or tenant has an agricultural land, the affected crops should be stated here. If the affected person encroached the site right-of-way with crops, it should still be stated here.]				
1.		Sq.m. and Cost		
2.		Sq.m. and Cost		
<b>C. TREES (Specify Age)</b> (Disaggregate forest and fruit trees)				
1.		No. and Cost		
2.		No. and Cost		
3.		No. and Cost		

<b>D. STRUCTURES (Specify)</b>			
1. Permanent <i>[This are concrete and immovable structures that have been used by the household for a long time]</i>	Sq.m. and Cost		
2. Temporary <i>[This are made from light materials]</i>	Sq.m. and Cost		
3. Tombs	Sq.m. and Cost		
4. Wells	Sq.m. and Cost		
<b>E. ECONOMIC LOSSES (Explain Briefly)</b>			
1. Business Loss <i>[Number and Type of Businesses affected should be stated]</i> and Cost			
2. Income Loss <i>[Amount of income loss and source of income that has been affected should be stated. Temporary losses should not be included]</i> and Cost			
3. Temporary Losses <i>[Businesses needed to be stopped for a period of time due to implementation of the subproject. Amount of income loss and source of income that has been affected should be stated]</i> and Cost			
<b>F. OTHERS (Explain Briefly)</b>			
1.			
2.			

Survey Conducted by:

\_\_\_\_\_  
Brgy. Representative

\_\_\_\_\_  
Municipal Representative

\_\_\_\_\_  
PPMIU Representative

**CONFORME:**

\_\_\_\_\_  
Name and Signature of HH  
Representative (Respondent)

*Note: Attach donation paper or affidavit of "quit claim" in case the affected person shall not claim for any entitlement. Likewise, please remove guidelines or instructions prior filling up this form. Instructions, however, should be clearly explained to the affected person by the surveyor.*

### Annex 3 – Form2 Inventory and Entitlement of Project Affected Persons

Department of Agriculture  
Philippine Rural Development Project

#### INVENTORY & ENTITLEMENT OF PROJECT AFFECTED PERSONS

<b>Component:</b>												<b>Subproject Number:</b>								
<b>Barangay:</b>						<b>Municipality:</b>						<b>Province:</b>				<b>Region:</b>				
HH Survey No.	Name of Head of Household	No. of Persons in HH With vulnerable members in the household (please specify)	Land, Crop, and Trees Losses								Structures Losses					Economic Losses			Other (Specify)	Total Entitlements in Pesos
			Total Landholding of HH in sq. m.	Land to be Acquired in sq.	Land Type	Land Loss as % of Total	Crops lost type	Crops lost in Sq. Meters	Fruit trees Lost Type	Fruit trees Lost Number	No. & Type of lost	Structures Permanent in Sq.	Structures Temp.in Sq. M.	Tombs Number	Wells No.	Business lost	Income Lost	Temporary losses (Specify)		
<b>TOTAL</b>																				

\* Refer to Form No.1 (on file) as source of above data

## **Annex 4: Resettlement Action Plan – Sample Outline**

### **RESETTLEMENT ACTION PLAN – SAMPLE OUTLINE**

- a. Subproject description (e.g., municipal road link, communal irrigation system, water supply system, etc.)
- b. Avoidance or minimization of displacement and other adverse social impacts (steps taken to minimize land acquisition by modifying designs and other approaches)
- c. Objectives of the resettlement action plan.
- d. Amount of land acquisition and number of displaced persons and information on vulnerable groups or persons for whom special provisions may have to be made.
- e. Full inventory and baseline socio-economic survey of the subproject area
- f. Proposed resettlement site
- g. Consultation and participation plan
- h. Entitlement and compensation package
- i. Livelihood and income restoration measures
- j. Institutional arrangements, required capacity and implementation skills
- k. Implementation plan and schedule (e.g., what steps are taken to prepare for resettlement and/or paying compensation; when will it take place; how will it be coordinated with civil works of sub-project; etc)
- l. Training activities (if appropriate, as part of livelihood restoration measures for affected people)
- m. Monitoring (internal and external) and reporting
- n. Grievance procedures specific to the subproject and location
- o. Information dissemination plan and transparency measures
- p. Budgeting and funding source

## Annex 5: Sample Checklist for Land Acquisition and Resettlement Activities for PRDP Scale-Up

### SAMPLE CHECK LIST FOR LAND ACQUISITION AND RESETTLEMENT ACTIVITIES FOR PRDP SCALE-UP

Activity		Responsible
Annual Planning by Province/Municipality for Infrastructure:		
1	Prepare list of proposed roads for rehabilitation	PPDO
2	Submit list to Municipal Multi-Sectoral Committee (MSC)	PPDO
3	Prioritize proposed roads for sub-project	PPDO
4	Submit list to PPMIU	PPDO
Inventory/Survey for Each Subproject with Land Acquisition and/or Resettlement		
1	Give public notice of intention to acquire land, and grievance period	PPDO
2	Send written notification to displaced persons	PPDO
3	Hold public meeting with Barangay Officials and displaced persons	PPDO
4	Conduct on-site verification of assets to be acquired with each head of household	PPDO/PDC
5	Complete Inventory and Entitlement Forms of projected affected families	PPDO/PDC
6	Consult with displaced persons regarding compensation	PPDO/PDC
7	Sign Compensation Protocol by authorities and head of household	PPDO/PDC
8	Submit Inventory & Entitlement Forms to PPMIU and determine if RAP is needed.	PPDO
9	Submit Inventory & Entitlement Forms and all other pertinent documents related to Land Acquisition and Resettlement to RPCO, PSO, NPCO or World Bank , depending on the amount threshold of approval, for review and approval prior issuance of No Objection Letter 1 (NOL 1). Submit proof of compensation and satisfactory resettlement of displaced PAPs prior issuance of No Objection Letter 2 (NOL 2).	PPMIU
Resettlement Action Plan (RAP):		
1	Undertake socio-economic survey and complete form	PPDO/PDC
2	Prepare RAP. RAP includes Inventory, Entitlement, Socio- Economic Survey, Relocation and Compensation Plans, Schedules and Budget (refer to RAP Sample Outline)	PPDO/PDC
3	Submit RAP to RPCO for review	PPDO
4	Submit RAP and RPCO comments to PSO and NPCO and World Bank for review and approval (depending on the amount of threshold of approval)	RPCO
5	Wait for No Objection from DA or WB for RAP	DA, World Bank
6	Implement the RAP after approval from DA or WB	PPDO

Activity		Responsible
<b>Award of Contract for Civil Works</b>		
1	DA/WB will issue the No Objection Letter 2 (NOL 2) only after all activities for land acquisition, compensation and resettlement have been satisfactorily completed.	DA/WB
<b>Monitoring</b>		
1	On-going Internal monitoring and reporting	RPCO/PPMIU
2	Hire Independent External Monitoring Agency	NPCO
3	Start external monitoring	External Monitor
4	Submit external monitoring report to World Bank	NPCO