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Asian Development Bank
Independent Resettlement Monitoring and Evaluation Report for Shanxi Small Cities and Towns Development Demonstration Sector Project (Pingyao & Xinghuacun Components) (No.1)

National Research Center for Resettlement
Hohai University
Nanjing, Jiangsu, China
July, 2012
Shanxi Small Cities and Towns Development Demonstration Sector Project Financed by Asian Development Bank

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## ABBREVIATIONS

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<thead>
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<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>ADB</td>
<td>Asian Development Bank</td>
</tr>
<tr>
<td>RP</td>
<td>Resettlement Plan</td>
</tr>
<tr>
<td>NRCR</td>
<td>National Research Center for Resettlement</td>
</tr>
<tr>
<td>M&amp;E</td>
<td>Monitoring and evaluation</td>
</tr>
<tr>
<td>SCTDDSP</td>
<td>Small Cities and Towns Development Demonstration Sector Project</td>
</tr>
<tr>
<td>SCTCP</td>
<td>Small Cities and Towns Construction Project</td>
</tr>
<tr>
<td>AP</td>
<td>Affected Person</td>
</tr>
<tr>
<td>HD</td>
<td>House demolition</td>
</tr>
<tr>
<td>LA</td>
<td>Land acquisition</td>
</tr>
<tr>
<td>PLA</td>
<td>Permanent Land acquisition</td>
</tr>
<tr>
<td>TLA</td>
<td>Temporary Land acquisition</td>
</tr>
<tr>
<td>PMO</td>
<td>Project Management Office</td>
</tr>
</tbody>
</table>
Resettlement monitoring and evaluation, is according to the resettlement action plan, implementing continuously investigation, inspection, supervision and evaluation work to the resettlement activities. The function of the resettlement monitoring and evaluation is tracking and monitoring project resettlement action plan's implementation process, dynamic assessment resettlement action plan's suitability, provide decision support for project owners, resettlement institutions and ADB project management. Through continuous monitoring and evaluation of the monitoring results, determine whether the resettlement implementation activity is complying resettlement action plan or not. If not or imperfect, should be proposed remedial suggestions.

NRCR of Hohai University carries out the Independent Monitoring and Evaluation to invulnerable resettlement of the project.

From 28th May to 10th June, 2012, the investigate team carried out the first M&E baseline investigation for Pingyao Huiji River Treatment Project and Xinghuacun Town Urban Road Network Project. This report contains Pingyao project M&E report No.1 and Xinghuacun project M&E report No.1.
1 Summary

1.1 Introduction of Project

Shanxi Small Cities and Towns Development Demonstration Sector Project (SCTDDSP) financed by ADB is a comprehensive infrastructure construction projects. The project campaign aim is to raise the small cities and towns’ living conditions in Shanxi Province, increase employment, improve the small cities and towns’ infrastructure and municipal services.

The project involves 5 cities, 7 small towns of 7 counties, including 7 sub-projects, 3 core sub-projects and 4 subsequent sub-projects. Specific include:

3 core sub-projects:
1) Pingyao county’s Huiji river management projects (1 project construction contents: rivers bed is dredged, embankments are constructed, water storage reservoirs are built, rubber dams are installed);
2) Xiaoyi city’s Wutong SCTCP (5 project construction contents: a. Caoxi road and associated municipal services, b. heat supply, c. gas supply, d. wastewater treatment, e. education services facilities),
3) Youyu county’s SCTCP (5 project construction contents: a. heat supply, b. water supply, c. drainage and wastewater collection, d. roads and associated municipal services, e. flood control);

4 subsequent sub-projects:
4) Lingshi country Jingsheng town’s SCTCP loaned by ADB(2 project construction content: a. townships ancient architecture protection and maintenance, b. township road network construction,
5) Niangziguan town’s small towns development demonstration construction projects (2 project construction contents: a. river management, b. linquan pedestrian street governance);
6) QingXuXian county water affair construction projects (2 project construction contents: a. water system engineering, b. landscape greening engineering);
7) Xinghuacun township road network reconstruction project (1 project construction content: township road network construction).

The project total investment for 224.7 million dollars, apply for $100 million loan of ADB. The project will be completed before Dec. 31, 2015.

In the 18 construction projects of 7 sub-projects, there are 14 construction projects involving the resettlement. According to each sub-project resettlement plan(RP), the main impacts of Shanxi SCTCP loaned by ADB on APs are induced by rural collective-owned land acquisition and rural house demolition. Land acquisition involves 991.11 mu; demolition of rural residential housing area involves 27888.74 m2. Direct and indirect influences involve 1872 households, and affected population is 7688. The project affects 42 enterprises and institutions, involving the demolition of 14360.82 m2 area. The impacts of RP are described in Table 1-1.
Table 1-1 Project Resettlement Impact

<table>
<thead>
<tr>
<th>No.</th>
<th>Item</th>
<th>Pingyao</th>
<th>Wutong</th>
<th>Youyu</th>
<th>Xinghuacun</th>
<th>Jingshe</th>
<th>Niangzigu</th>
<th>Qingxu</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Villages (number)</td>
<td>6</td>
<td>1</td>
<td>3</td>
<td>4</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>17</td>
</tr>
<tr>
<td>2</td>
<td>Permanent Land Acquisition (mu)</td>
<td>868.92</td>
<td>85.68</td>
<td>494</td>
<td>266.68</td>
<td>143</td>
<td>84</td>
<td>30.99</td>
<td>1973.27</td>
</tr>
<tr>
<td>3</td>
<td>Temporary Land Use (mu)</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>4</td>
<td>Affected Households</td>
<td>602</td>
<td>758</td>
<td>116</td>
<td>369</td>
<td>271</td>
<td>58</td>
<td>21</td>
<td>2195</td>
</tr>
<tr>
<td>5</td>
<td>Affected Persons</td>
<td>2510</td>
<td>2118</td>
<td>454</td>
<td>1341</td>
<td>1113</td>
<td>186</td>
<td>61</td>
<td>7783</td>
</tr>
<tr>
<td>6</td>
<td>Demolition Affected Families (household)</td>
<td>23</td>
<td>0</td>
<td>0</td>
<td>7</td>
<td>78</td>
<td>58</td>
<td>21</td>
<td>187</td>
</tr>
<tr>
<td>7</td>
<td>Dismantlement Area (m²)</td>
<td>5682.35</td>
<td>0</td>
<td>0</td>
<td>895.39</td>
<td>10279</td>
<td>8049</td>
<td>3061</td>
<td>27966.74</td>
</tr>
<tr>
<td>8</td>
<td>Company Impact (household)</td>
<td>24</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>13</td>
<td>0</td>
<td>4</td>
<td>42</td>
</tr>
<tr>
<td>9</td>
<td>Affected Company' Houses Area (m²)</td>
<td>1362.5</td>
<td>0</td>
<td>0</td>
<td>398.82</td>
<td>0²</td>
<td>0</td>
<td>337</td>
<td>14360.82</td>
</tr>
</tbody>
</table>

1.2 Resettlement Policy Framework

The resettlement policies that each sub-project follows were established according to the relevant resettlement policies of the People’s Republic of China, Shanxi Province Government and ADB. The main laws and policies of each sub-project land acquisition follows are:

- Regulations for the Implementation of the Land Administration Law of the People’s Republic of China (Jan 1, 1991)
- No. 27 Provisional Regulations for Taxation on Occupation of Cultivated Land of

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¹ According to the latest Resettlement Plan, the data in the table ended in December, 2011. The RP of Qingxu project, Niangziguan project, and Jingsheng project have not been examined and approved by ADB.
² 13 affected companies of Jingsheng project are individual business, the demolition area belong its residence houses.
1.3 Monitoring and Evaluation

In order to supervise the implementation of resettlement action and ensure settlers keep at least same living level, IM&E of the project is carried out by NRCR of Hohai University that was entrusted by Shanxi project Management office financed by ADB on December 2010. The institute of M&E should find existing or potential problems and give suggestions by checking land requisition and resettlement pace, capital, management and life & production changing before and after resettlement.

1.3.1 Procedure of Monitoring and Evaluation

- To write resettlement M&E outline
- To know resettlement procedure
- To check material Area, compensation standard and compensation capital appreciation of resettlement
- Sampling investigation design
- Baseline investigation
- Comparative Analysis of Income
- To build M&E information system
- Investigation on the spot
To arrange and analyze materials
To write M&E report

1.3.2 Contents of Monitoring and Evaluation

The M&E of each project is made according to the order of land requisition and the relocation and income resort of impacted people will be followed. When the whole project finish post-evaluation will be done.

According to investigation and resettlement plan, the impacts of this project are land acquisition, compensation to some attachment, house demolition, companies and shops were impacted by land acquisition. So, the contents of M&E are:

- The schedule, area, compensation, capital appreciation and use of permanent land requisition.
- The area, compensation standard, capital appreciation of temporary land requisition and land restore.
- The schedule, area, compensation, capital appreciation of house resettlement
- Restore of vulnerable group
- Basic facility rebuilding
- Resettler income and cost analysis
- Satisfaction of Resettlers to land requisition and compensation
- Institution ability
- Internal resettlement monitoring
- Public participation and its effect
- Registration and management of grievance and appeal
- Implementation of other relevant resettlement (relocation of enterprises, institutions and shops)

<table>
<thead>
<tr>
<th>No.</th>
<th>Project</th>
<th>Affected household</th>
<th>Affected household on this monitor</th>
<th>Sample</th>
<th>Sample Proportion</th>
<th>Remark</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Pingyao Project</td>
<td>579</td>
<td>579</td>
<td>53</td>
<td>9.15%</td>
<td>Collective land</td>
</tr>
<tr>
<td>2</td>
<td>Xinghuacun Project</td>
<td>369</td>
<td>369</td>
<td>53</td>
<td>14.36%</td>
<td></td>
</tr>
<tr>
<td>Total</td>
<td></td>
<td>948</td>
<td>948</td>
<td>106</td>
<td>10.77%</td>
<td></td>
</tr>
</tbody>
</table>

1.3.3 Method of Monitoring and Evaluation

From May 28th, 2012 to June 10th, 2012, this M&E took 14 days. The team of the M&E includes four professional personnel from NRCR and four workers from two Project Management Offices. They went to investigate four counties which the four projects involved. During the M&E, following methods are used:

- **Sampling investigation** Design the sample scheme, Random sample is adopted, the samples accounted for 20 percent of the total affected households. The resettlement households chosen will be visited again in next M&E until their income.

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3 Samples in the tables are based on this M&E. The quantities of samples are depending on specific impacts caused by each sub-projects.
have reached the former level.

**Symposium** Have an informal discussion with resettlement offices, APs, committees and women concerned respectively to know about land acquisition and housing relocation, and the income resort condition of villages.

**Individual questionnaire investigation** Design the questionnaire for investigation. The M&E team goes intensely to APs’ homes and investigates on different kinds of APs one by one according to the questionnaire.

**Referring to document data** Looking up the document of resettlement activities, checking the compensation agreements of the land acquisition and house demolish and statistics data.

**Interviewing Key-men who provide information** Such as directors of resettlement offices, township heads, village heads, householders, women (20%), the elderly, etc.

### 1.3.4 Schedule of Monitoring and Evaluation Report

National Research Center for Resettlement (NRCR) of Hohai University carries out the Independent Monitoring and Evaluation (IM&E) to invulnerable resettlement of the project.

In order to ensure the implementation of resettlement plan the monitoring and evaluation on the resettlement will make schedule according to project procedure. From 2011, NRCR wrote and submitted the IM&E Report to Shanxi Province ADB Project Office and ADB every half year. Since 2011, the NRCR will prepare a semi-annual M&E report, then prepare report each year in the late implementation of the project.

Currently, the RPs for the subprojects of Pingyao and Xinghuacun have been approval; therefore, this M&E will focus on this 2 subprojects.

Besides, LA and HD of Xinghuacun and Pingyao have been started. During the period of resettlement work, relevant M&E is taken twice per year(once per half year; for the first half, including the livelihood investigation). When resettlement finished, the external M&E will be taken once per year.

What’s more, for Qingxu, Niangziguan, Jingsheng, and Youyu (the rest construction other than the heating part), if relevant RP has got the approval, or the investigation of quantity of material objects starts, the M&E will follow up.

### 1.4 Schedule

#### 1.4.1 Project Schedule

Up to this M&E, feasibility study reports, environmental assessment reports and preliminary design reports of Pingyao subproject, Xinghuacun subproject have been completed with approval from relevant departments.

For Xinghuacun subproject construction scheme is compiling and tender is in progress. For Pingyao subproject construction scheme is compiling, however, tender and construction have not started yet.

| Table 1-3Project Schedule4 |

“●”refers to complete with approval; “○”refers to complete without approval; “▲”refers to in progress; “△”refers to not start.
1.4.2 Resettlement Schedule

Up to this M&E, RP of Pingyao subproject has been compiled with approval; material indexes has been measured and confirmed; Notice of HD has been publicized; Compensation contracts are in progress; LA, HD, payment, and resettlement have not been started yet.

RP of Xinghuacun subproject has been compiled with approval; material indexes has been measured and confirmed; Notice of HD has been publicized; Compensation contracts have been signed; LA has been finished; Compensation of land has been paid to households; HD and resettlement have not been started yet.

<table>
<thead>
<tr>
<th>No.</th>
<th>Item</th>
<th>Feasibility Study</th>
<th>EIA</th>
<th>Preliminary Sketch</th>
<th>Construction Scheme(pi c)</th>
<th>Tender</th>
<th>Construction</th>
<th>Final Acceptance</th>
</tr>
</thead>
<tbody>
<tr>
<td>2</td>
<td>Xinghuacun Subproject</td>
<td>● (2009.9)</td>
<td>● (2009.4)</td>
<td>● (2011.7)</td>
<td>▲</td>
<td>▲</td>
<td>△</td>
<td>△</td>
</tr>
</tbody>
</table>

### Table 1-4 Resettlement Schedule

<table>
<thead>
<tr>
<th>Item</th>
<th>RP</th>
<th>Material Index Conformation</th>
<th>Notice of LA and HD</th>
<th>Compensation Contract</th>
<th>LA</th>
<th>HD</th>
<th>LA Payment</th>
<th>HD Resettlement</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pingyao Subproject</td>
<td>● (2009.9)</td>
<td>● (2012.4)</td>
<td>● (2012.4)</td>
<td>▲</td>
<td>△</td>
<td>△</td>
<td>△</td>
<td></td>
</tr>
</tbody>
</table>

1.5 The Progress of Land Acquisition

1.5.1 Land Acquisition Procedure

According to No.3 order of Ministry of Land and Resources- Administration Approach on Construction Land Checkup and Approval, the checkup and approval procedure of new construction land is: land prejudication, project decision, and land using application, planning, checkup and approval, implementation, land register:

- According to project approval document and land using approval, municipal or county National Land Resource Bureau or the town governments, street offices involved in land acquisition investigate the approved construction land and freeze it. Any organization and individuals cannot use or explore this land without legal permission.
- On the basis of investigation and other materials of land acquisition, municipal

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5 "●" refers to complete with approval; "○" refers to complete without approval; "▲" refers to in progress; "△" refers to not start.
National Land & Resource Bureau sign land acquisition agreement with landowner of land acquisition after checkup and confirmation.

- Publicize land acquisition plan and the policies, procedures, resettlement plan of land acquisition and compensation price. The scope of land acquisition and purpose also should be open for participation and supervision.
- Village collective economic organizations and their members and other obliges should be compensated and resettled and land acquisition compensation should be handed out in time.

### 1.5.2 LA Schedule

Up to this M&E, land preliminary hearing of Pingyao and Xinghuacun subprojects have been completed with land use approval in progress; LA and related compensation of Pingyao subproject have not been started; LA and related compensation of Xinghuacun subproject have been done, and the compensation have been paid to households.

#### Table 1-5 LA Schedule

<table>
<thead>
<tr>
<th>No.</th>
<th>Item</th>
<th>Land Preliminary Hearing</th>
<th>Land use Approval</th>
<th>Land Acquisition</th>
<th>LA Compensation</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Pingyao Subproject</td>
<td>● (2011.12)</td>
<td>▲</td>
<td>△</td>
<td>△</td>
</tr>
</tbody>
</table>

### 1.5.3 Standards of LA Compensation and Implementation

Up to this M&E, some compensation standards have changed: 1) for Pingyao subproject, the standard increased from CNY 43500(as in RP) to 50025 per MU, added CNY 6525 per MU; 2) for Xinghuacun subproject, there is no change.

According to investigation, reasons of the change as listed as below:

- RP of Pingyao subproject was compiled in 2008. At that time, the standards were made in line with Document No.(2007) 193 issued by Land and Resources Department of Shanxi province and Standard Record of Unified Annual Output Value for LA in Pingyao County(PGT [2007]) issued by Pingyao Land and Resources Bureau. However, the LA was started in 2012, and new standards should be followed in line with Notice on Promulgation the Implementation of Provincial Unified Annual Output Value Standards for LA from Shanxi Provincial People's Government (JZF(2009) No.38). Therefore, related compensation standards have been increased;

#### Table 1-6 Comparison of Compensation Standards

<table>
<thead>
<tr>
<th>No.</th>
<th>Item</th>
<th>LA Compensation(CNY/MU)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>RP</td>
</tr>
<tr>
<td>1</td>
<td>Pingyao Subproject</td>
<td>43500</td>
</tr>
<tr>
<td>2</td>
<td>Xinghuacun Subproject</td>
<td>32292</td>
</tr>
</tbody>
</table>

"● " refers to complete with approval; "○" refers to complete without approval; "▲" refers to in progress; "△" refers to not start.
1.6 Income and cost of APs
During this M&E, 106 households of this two subprojects have been investigated. For the 106 households, the annual average household income is CNY 50556.23, and the total annual average household cost is CNY 33201.76; the total annual income per capita is CNY 12022.74, and total annual cost per capita is CNY 7823.45; the total annual pure income per capita is CNY 7741.16. See the sampled income and cost in the following table:
Table 1-7 Income and cost of Sampled households

<table>
<thead>
<tr>
<th>No.</th>
<th>Item</th>
<th>No of Sampling(household)</th>
<th>Annual Income per household(CNY)</th>
<th>Annual cost per household(CNY)</th>
<th>Annual Average Income per Capita(CNY)</th>
<th>Annual Average cost per Capita(CNY)</th>
<th>Annual Pure Income per Capita(CNY)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Pingyao Subproject</td>
<td>53</td>
<td>68499.98</td>
<td>54607.27</td>
<td>15853.71</td>
<td>12683.86</td>
<td>10419.76</td>
</tr>
<tr>
<td>2</td>
<td>Xinghuacun Subproject</td>
<td>53</td>
<td>32612.47</td>
<td>11796.24</td>
<td>8191.76</td>
<td>2963.04</td>
<td>5062.55</td>
</tr>
<tr>
<td></td>
<td>Total</td>
<td>106</td>
<td>50556.23</td>
<td>33201.76</td>
<td>12022.74</td>
<td>7823.45</td>
<td>7741.16</td>
</tr>
</tbody>
</table>

1.7 Implementation Institution

In order to implement the RP well, strengthen the supervision and management of resettlement action and achieve the target of the resettlement, Shanxi project Management office financed by ADB leading team office was set up. This leading team office takes in charge of leading and cooperation of project. Main Duties: Responsible for the project land acquisition, demolition and resettlement activities; charge for leadership, formulate policy, audited the resettlement schemes, compiled the internal monitoring reports submitted to the Asian Development Bank. Team members see Table 1-8.

Table 1-8 The Leading Team Member of Shanxi SCTDDSP Financed by ADB

<table>
<thead>
<tr>
<th>Name</th>
<th>Organization</th>
<th>Principle ship</th>
<th>Telephone</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ms. Yu</td>
<td>Development and Reform department of Shanxi province/ Shanxi province project Management office</td>
<td>Person in charge</td>
<td></td>
</tr>
<tr>
<td>Tian Tianjuan</td>
<td>Shanxi province project Management office</td>
<td>Resettlement member</td>
<td>13803459692</td>
</tr>
<tr>
<td>Wang Xiaoqing</td>
<td>Shanxi province project Management office</td>
<td>Resettlement member</td>
<td>13753121028</td>
</tr>
<tr>
<td>Liu Jiaming</td>
<td>Shanxi province project Management office</td>
<td>Resettlement member</td>
<td>15536037180</td>
</tr>
</tbody>
</table>

Sub-project offices take charge of project-specific work. The responsibilities are: (1) write and management of resettlement plan; (2) implementation of resettlement plan; (3) appropriation and management of resettlement fund; (4) internal monitoring and cooperation; (5) write resettlement internal monitoring report; (6) check and conclusion of resettlement. Sub-Project Office Resettlement Staff see Table 1-9.
Table 1-9 Sub-Project Office Resettlement Staff of Shanxi STCDDSP ADB Financed Project

<table>
<thead>
<tr>
<th>Sub-projects</th>
<th>Name</th>
<th>Organization</th>
<th>Telephone</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pingyao sub-project</td>
<td>Du Zhuanqiang</td>
<td>Pingyao County Development and Reform Bureau</td>
<td>15935460466</td>
</tr>
<tr>
<td>Wutong sub-project</td>
<td>Guo Yaying</td>
<td>Wutong Town Government</td>
<td>13803482065</td>
</tr>
<tr>
<td>Youyu sub-project</td>
<td>Liu Baoping</td>
<td>Youyu County Development and Reform Bureau</td>
<td>13037048833</td>
</tr>
<tr>
<td>Jingsheng sub-project</td>
<td>Li Wenlinag</td>
<td>Jingsheng Town Government</td>
<td>13935496209</td>
</tr>
<tr>
<td>Ningziguan sub-project</td>
<td>Liang Yanzhen</td>
<td>Ningziguan Town Government</td>
<td>13191232961</td>
</tr>
<tr>
<td>Qingxu sub-project</td>
<td>Jia Runping</td>
<td>Qingxu County Construction Bureau</td>
<td>13513603303</td>
</tr>
<tr>
<td>Xinghuacun sub-project</td>
<td>Han Zhiwei</td>
<td>Xinghuacun Town Government</td>
<td>13934358789</td>
</tr>
</tbody>
</table>

In the implementation of project resettlement Baoding project office cooperates and takes in charge of resettlement work and each sub-project organization implement with local land or real estate departments. Detailed contents see sub-project reports.

1.7.1 Ability of Implementation Institution

Shanxi Province ADB financed project office locates at No.112 Donghouxiaohe Road, Taiyuan City. There are completed office equipments and advanced Communication. Staffs have high quality and the degree of undergraduate or over it and also have more than two years working experiences. Two of them are in charged of resettlement institution. In order to strengthen the capacity of resettlement implementation institutions, In January 2011, Shanxi project office invited NRCR resettlement experts to have a resettlement policy training to project staff and the main contents were policy, management and monitoring& evaluation of resettlement. By training, resettlement implementation institutions understood the policies of resettlement of the ADB, specified the responsibilities of work and improved operation ability and policy dealing capability.

1.7.2 Internal Monitoring and Evaluation

The PMO adopted an internal monitoring mechanism to examine the resettlement implementation. During resettlement, Shanxi Project Office and sub-project departments had persons specially assigned for monitoring and examining. They examined fund utilization, house re-building, and restore of resettlers' income. Once discovering some problems, they would report to the leading group timely and consulted with resettlers concerned to solve them. Shanxi ADB Financed project office has ensured NRCR to carry out M&E.

1.7.3 Evaluation

Monitoring and Evaluation team do investigation of resettlement. The results of investigation indicate that management and implementation institutions set up an external independent mechanism and internal mechanism of M&E and carry out their
own responsibility and task in the resettlement implementation. Monitoring & Evaluation suggests that the staff in related organizations should have further training on resettlement policy and implementation and this training should combine theory study with visit on the spot. Especially they should investigate and study the projects financed by ADB and add the institution efficiency and ability.

1.8 Conclusion and Suggestion for Monitoring and Evaluation

1.8.1 Conclusion

(1) According to this M&E, construction of the two subprojects is implementing smoothly. At present, bidding invitation of Xinghuacun subproject is in progress with no construction started; preliminary design of the construction of Pingyao subproject has just got the approval with no bidding and construction.

(2) For resettlement, up to this M&E, for Xinghuacun subproject, LA has been completed and related compensation has been paid to households; for Xinghuacun subproject, HD has not started yet; for Pingyao subproject, LA and HD are implementing with no compensation paid now.

(3) Up to now, land preliminary hearing of the two subprojects has been finished and all the land certificates are applying.

(4) Up to this M&E, compensation standards are implementing well.

(5) Relevant responsible agencies of each subproject have been improved with clear division of obligation, which have formulated improved regulations and employed high quality staff. At the same time, specific guidance or leading groups for each subproject have been built with detailed work division and clear obligation.

(6) During the implementation, various public participation activities of each subprojects had been organized to ask public opinions on compensation standards, compensation policy, and resettlement modes, etc.

(7) Appeal and complaint channels are transparency with reasonable agencies and staff. Up to this M&E, no appeals and complaints had been found.

1.8.2 Suggestion

(1) To speed up the procedure of LA and land certificate;

(2) To strengthen capacity building of agencies with further training of ADB resettlement policies and implementation;

(3) Continue to improve the record of resettlement documents. It is key to save related information during the resettlement: build the record of LA and HD with special management to provide information for project examine and M&E;

(4) Continue to support the vulnerable group and employment of APs with further improvement of reconstruction plan for APs and related implementation.

(5) To do better internal M&E and refresh report forms timely;

(6) Further public participation during construction process to secure the transparency and convenience of complaints and appeals of APs.
2 Pingyao Huji River Treatment Project

2.1 Project Background

2.1.1 Review of Resettlement Plan

Huji River is 3.5 km away from Pingyao ancient city and Yihui Reservoir was built at the intersection of its eastbound and westbound branches. The dam height is 20.4m, and its length is 730m. There are some supporting facilities such as spillways and spillway tunnel, etc. The storage capacity of reservoir is 26,300,000 m³ and its effective storage capacity is 6,400,000 m³. The reservoir was designed in accordance with "just once in one century" standard, was checked in accordance with "Just once in one thousand years" standard, thus it is a mid-size one whose primary function is flood control and irrigation and secondary function is supplying water for Pingyao County. The riverway is flexural and blocked and due to the inefficient management in recent years and severe conditions like dumping rubbish into the riverway as well as encroachment of buildings and fields, the normal flood passing has been severely affected. The current flood passing is in a poor state between the downstream of Yihui Reservoir and section along the Dong-Xia highway. The riverbed was severely damaged by human activities and became very rough. The riverbanks on both sides have collapsed and blocked the flood discharge.

It is imperative to treat Huji River comprehensively in hope that the economy in Pingyao old town can develop in a healthy way and a good environment can be provided to the foreign and domestic investors. On top of that, water will be stored in the riverway of main areas so that the treatment project of Huji River can be an ecological project which gives consideration to urban beautification and tourism, on the premise of guaranteeing flood control safety.

The project scope covers: the total length from lower reaches of Yinli reservoir to the upper reaches of Dayun highway bridge is 7,211.7 m, including 800m as natural ecological section from lower reaches of Yinli reservoir to the highway bridge; 2,100 m as dredging treatment section of upper reaches from the highway bridge to aqueduct bridge; 3,100 m as urban reservoir and beautified section; 1,211.7 m as dredging treatment section of lower reaches from the reservoir section to the upper reaches of Dayun highway bridge.

According to the budget, total investment for the project construction is CNY 236.3747 million, including CNY 132.58 million loaned by ADB, taking up the proportion of 56.09% of the investment; CNY 103.7947 million as domestic supporting investment, taking up the proportion of 43.91% of the investment, raised by Pingyao County Government. Among which, CNY 150.3999 million is prepared for the construction project of Huji River treatment; CNY 17.0231 million is prepared as resettlement compensation fee; CNY 3.08 million (USD 0.44 million) is prepared for organizational capacity construction; CNY 17.0231 million is prepared as basic preparation fee; CNY 6.5627 million is prepared for the interest of the loan during the period of construction.
2.1.2 Resettlement Implementation

In February 2008, for the small towns in Shanxi pilot development projects of the ADB loaned Pingyao County economic development and model construction, project proposal was approved by Shanxi Province Development and Reform Commission. (approvals JFGWZF [2008] No. 144.)

In September 2009, for the small towns in Shanxi demonstration and development of the ADB loan project the Pingyao Huiji River river training works project, the feasibility study report was approved by Shanxi Province Development and Reform Commission (approvals JFGWZF [2009] No. 1377.)

In December 2011, the ADB loan Huiji River river training projects, Pingyao County land use pre-approved by the Shanxi Provincial Department of Land (approvals JGTZH [2011] No. 1027). Land use certificates are in the process.

In April 2012, the preliminary design of the small towns in Shanxi demonstration and development of the ADB loaned project of Pingyao Huiji River Governance projects get the approval by Shaanxi Provincial Development and Reform Commission. (approvals JIFGSJF [2012] No. 371.)

Up to this M&E, for construction: 1) the implementation plan is formulating; 2) bidding and construction have not started.

For resettlement, project affected physical quantity indicators verification has been completed and confirmed; land and housing acquisition notice had been publicized in affected towns, and villages in April 2012; affected houses are in the evaluation stage, land acquisition and house demolition work has not been carried out. The specific implementation will be tracked until the time of the next monitoring.

2.1.3 Monitoring Content

The resettlement monitoring inspected the resettlement progress, project impacts, compensation standards, funding and the use, public participation, complaint, appeals and so on. Problems are uncovered and recommendations are provided.
### 2.2 Resettlement of APs

#### 2.2.1 Project Impact

The Pingyao County Huiji river control works affect the Nancheng village, Beicheng village, Xinzhuang Village, Dongcheng Village and Xinnanbao of Gutao town, and Xiguo village, Yinhui village and Xiaocheng village of Yuebi town. Project totally involves 336.762 mu of LA permanently; 5604.35 square meters of residential HD, production buildings 78 square meters, and enterprises space of 13,595 square meters; affect living facilities, trees and plants, traffic facilities, water conservancy facilities and power facilities. Pingyao project land acquisition involves collective land, and did not involve contracted land of individual farmers. Village residents affected by LA rely on local tourism for their living, and the surrounding industrial land is no longer the main life source of income, therefore, the project affected population by LA are indirectly affected, totally 579 households covering 2415 people. At the same time, the project involves HD population as 23 households covering 95 persons, affected 44 households of vulnerable groups.

People's Government of Pingyao County in April 2012 announced the LA and HD, publicized compensation programs and acquisition scope. Now compensation price and housing areas are being assessed. LA and HD has not yet been formally implemented.

Up to this M&E, see the comparison between project actual impact and the planned in Table 2-1.for Pingyao subproject, the RP was completed in 2008 with the project proposal as the base of physical impact of resettlement. The LA scope was changed in accordance with specific work in 2012.

#### Table 2-1 Comparison between actual physical impact of resettlement and RP of Pingyao

<table>
<thead>
<tr>
<th>Subproject</th>
<th>No.</th>
<th>Item</th>
<th>Unit</th>
<th>RP</th>
<th>Actual Impact</th>
<th>Varied</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Affected village</td>
<td>one</td>
<td>6</td>
<td>8</td>
<td>+2</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>PLA</td>
<td>mu</td>
<td>868.92</td>
<td>336.76</td>
<td>-532.16</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>TLA</td>
<td>mu</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Affected households</td>
<td>household</td>
<td>602</td>
<td>579</td>
<td>-23</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>APs</td>
<td>person</td>
<td>2510</td>
<td>2415</td>
<td>-95</td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>households affected by HD</td>
<td>household</td>
<td>23</td>
<td>23</td>
<td>0</td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>Area of HD</td>
<td>m^2</td>
<td>5682.35</td>
<td>5604.35</td>
<td>-78</td>
<td></td>
</tr>
<tr>
<td>8</td>
<td>Affected enterprises and institutions</td>
<td>one</td>
<td>24</td>
<td>24</td>
<td>0</td>
<td></td>
</tr>
<tr>
<td>9</td>
<td>Area of affected enterprises and institutions</td>
<td>m^2</td>
<td>13625</td>
<td>13595</td>
<td>-30</td>
<td></td>
</tr>
</tbody>
</table>

#### 2.2.2 Compensation Standards and the Implementation

According to the requirements of document JGTZF [2009] No.38 issued by Shanxi Provincial Department of Land, Pingyao County Land Bureau issued a document --
PGTZF[2010] No.2 -- Notice of Implementation of Unified Annual Output Value Standards of Land Acquisition in Pingyao County--to develop a unified standard of district annual output value of cultivated land and the land acquisition compensation fee. The land compensation standard of the two towns involved has been determined as 1725 CNY/mu and the compensation is 29 multiples of the value. Among which, land compensation is 9 multiples of the value, the resettlement subsidy is 19 multiples of the value, and the Young crop compensation is 1 multiple of the value. The arable land compensation Price 48300 CNY/mu. Compared with the RP, subject to the influence of external factors such as rising prices, the current standard of compensation is higher than the standard plan, which also meet the economic development needs and local conditions to protect the production and living standards of the APs do not reduce and can increase with economic development and rising prices.

By this monitoring, resettlement compensation and resettlement work has not been carried out, until the time of the next monitoring be tracked.

2.3 Resettlement Implementation Institution and Its Capacity

2.3.1 Resettlement Implementation Institution

The project's resettlement work is implementing smoothly, Pingyao County land acquisition compensation and resettlement for the project with a dedicated staff to form a smooth information transfer channels on the bottom. Pingyao County set up a special Pingyao County Huiji River comprehensive management of headquarters, as commander in chief of the headquarters of the county deputy secretary and two deputy magistrate serving as executive vice commander and deputy commander, members, including government offices, County Commission for Discipline Inspection, County Supervision Bureau, County Development and Reform Commission, the County Water Authority, the County Public Security Bureau, the county finance bureau, County Land Resources Bureau, County Housing Authority, the County Planning Board, County lived Construction Committee, the County Bureau of Cultural Relics, County Tourism Bureau, County Forestry Bureau County radio and television centers and affected more than 20 units of the township government; at the same time, the command of the Ministry of the comprehensive coordination office and seven working groups were responsible for a specific task. See the main members list in the table below.

<table>
<thead>
<tr>
<th>Agency</th>
<th>Name</th>
<th>Original institution</th>
<th>Position</th>
<th>Position in the project</th>
</tr>
</thead>
<tbody>
<tr>
<td>PMO</td>
<td>Lei Xinping</td>
<td>County committee</td>
<td>Deputy president</td>
<td>Chief guide</td>
</tr>
<tr>
<td>Office of Comprehensive</td>
<td>Niu Qihu</td>
<td>County government</td>
<td>Deputy head</td>
<td>Routine deputy chief guide; director of the office</td>
</tr>
<tr>
<td>Coordination</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>PMO</td>
<td>Duan Zhaoyi</td>
<td>County development and reform bureau</td>
<td>Head of the bureau</td>
<td>Guide</td>
</tr>
<tr>
<td>Agency</td>
<td>Name</td>
<td>Original institution</td>
<td>Position</td>
<td>Position in the project</td>
</tr>
<tr>
<td>--------------------------------</td>
<td>------------------</td>
<td>------------------------------------------</td>
<td>-----------------------</td>
<td>-------------------------</td>
</tr>
<tr>
<td>Group of Planning and Design</td>
<td>Ji Taiping</td>
<td>County planning bureau</td>
<td>Head of the bureau</td>
<td>Group leader</td>
</tr>
<tr>
<td>Group of Land Reservation</td>
<td>Li Hongtao</td>
<td>County land and resources bureau</td>
<td>Head of the bureau</td>
<td>Group leader</td>
</tr>
<tr>
<td>Group of LA and Resettlement</td>
<td>Bai Guosheng</td>
<td>County housing management bureau</td>
<td>Head of the bureau</td>
<td>Group leader</td>
</tr>
<tr>
<td>Group of Project Construction</td>
<td>Fan Dengliang</td>
<td>County water bureau</td>
<td>Head of the bureau</td>
<td>Group leader</td>
</tr>
<tr>
<td>Group of Funding Supervision and Investigation</td>
<td>Huo Tianhua</td>
<td>County financial bureau</td>
<td>Head of the bureau</td>
<td>Group leader</td>
</tr>
<tr>
<td>Group of Supervision and Guidance</td>
<td>Meng Gang</td>
<td>County monitor bureau</td>
<td>Head of the bureau</td>
<td>Group leader</td>
</tr>
<tr>
<td>Group of Security</td>
<td>Hao Junxiu</td>
<td>County police bureau</td>
<td>Head of supervisors</td>
<td>Group leader</td>
</tr>
<tr>
<td>Resettlement Office of Gutao town</td>
<td>Shi Xinjian</td>
<td>Government of Gutao town</td>
<td>Head of the town</td>
<td>Guide</td>
</tr>
<tr>
<td>Resettlement Office of Yuebi town</td>
<td>Liang Shaojin</td>
<td>Government of Yuebi town</td>
<td>Head of the town</td>
<td>Guide</td>
</tr>
</tbody>
</table>

2.3.2 Institute Capacity

Pingyao County PMO is self-contained and has advanced transportation and communication equipment. In order to guarantee the smooth implementation of resettlement the PMO arranges specific person with good quality and ability and more than two years’ experiences in resettlement for resettlement work. At the same time, they set up internal monitoring system and there is person specially assigned for the work.

2.4 Typical Investigation of Affected Villages

The affected villages includes 5 villages in Gutao town and 3 villages in Yuebi town, which are Nancheng Village, Beicheng Village, Xinzhuang Village, Dongcheng Village, Xinnanbao Village, Xigu Village, Yinhui Village, Xiaocheng Village. Among which, Dongcheng village has been affected mostly. Therefore, in June 2012, external M&E team conducted a typical survey and in-depth interviews in the village.
Table 2-3 Interview in typical village

<table>
<thead>
<tr>
<th>Interview</th>
</tr>
</thead>
<tbody>
<tr>
<td>Time: 2012-5-30</td>
</tr>
<tr>
<td>Place: Dongcheng Village</td>
</tr>
<tr>
<td>Interviewee: President Wan of Dongcheng Village</td>
</tr>
</tbody>
</table>

There are 4,060 households in Dongcheng Village, with a total population of 10,673 persons. The land is dry land, which is low land productivity with lower agricultural income. The construction projects affects 127.015 mu of village land, within which, 6.01 mu arable land, 4.22 mu woodland, 0.401 mu other agricultural land, and 116.384 mu constructive land; 44 villagers were affected, including 27 affected by land acquisition, 17 affected by house demolition, no one affected by both LA and HD. In total, there are 3921.25 square meters housing to be demolished. Because the village is close to the city, the self-employed and small businesses called more wider source of income of the tertiary industry, therefore fewer personnel engaged in agricultural production, most of the labor force engaged in business, work, services, these revenues accounted for the main proportion of household income. The affected land are collective land, less impact on the individual; demolition of a more direct impact, and the impact of the production and operation of enterprises, to bring some villagers unchanged, but the whole villagers support engineering construction, because the projects that benefit the building of this project, the relocatees but reasonable assessment of compensation and properly resettled, whether housing conditions or the quality of housing has been greatly improved, and the relocatees are generally able to accept obviously, to improve their life.

2.5 Vulnerable Groups

The project affects 44 households with vulnerable people who live in Yinhui village, Xiguo village, Dongcheng village, and Nancheng village. There are 16 absolute-poor families, including 8 with elderly persons and 8 with disabled persons; 28 low-income poor families, including 8 headed by women, 18 with disabled persons and 2 with long-term patients. For absolute-poor families, the project will give each of them a one-time household grants of 3000CNY; for low-income poor families, the project will give each of them a one-time household grants of 2000CNY to improve the livelihoods of them. Before the implementation, standards of vulnerable families subsidies will be adjusted according to relevant actual situation.

2.6 Public Participation

Public participation is an important factor to ensure the smooth implementation of the resettlement. The land acquisition and demolition activities should be widely listen to the views of various social groups, government departments, rural and APs, to encourage the parties to participate in the resettlement work.

Up to this M&E, land acquisition and implementing agencies of Pingyao County had conducted several resettlement forum and village meetings in the affected villages and towns and villages to publicize and explain project construction content, affect the scope of the project impact and related compensation and resettlement policies for affected persons, with in-depth communication; at the same time, carried out
extensive exchanges for determining compensation standards and resettlement way and fought for the views of affected households in these areas fully. At the same time of asking APs for suggestions, project unit also invited some people not influenced to attend the forum to hear about their opinions and advices on APs resettlement of the project. Through various activities of public participation, residents in project area have a full realization of the significance of the project construction and the coming help measures. They hope the project construction can be carried out as soon as possible to achieve the obvious benefits of promoting local economic and social development.

Table 2-4 Public participation

<table>
<thead>
<tr>
<th>Participation Time</th>
<th>Participation Subject</th>
<th>Participation Way</th>
<th>Participation Frequency</th>
<th>Participation Content</th>
</tr>
</thead>
<tbody>
<tr>
<td>2008.9~2008.12</td>
<td>Affected villages, APs</td>
<td>Symposium</td>
<td>3</td>
<td>Explaining the policy of this project; Seeking advice for RP</td>
</tr>
<tr>
<td>2008.12~2009.3</td>
<td>APs</td>
<td>Questionnaire investigation</td>
<td>3</td>
<td>Investigation of APs by family mode, education degree, ethnic composition, family property income and expenditure, etc</td>
</tr>
<tr>
<td>2009.5~2009.9</td>
<td>Affected villages, APs</td>
<td>Symposium</td>
<td>2</td>
<td>Collecting the APs’ concern and demand</td>
</tr>
<tr>
<td>2009.1~2011.12</td>
<td>Affected villages, APs</td>
<td>Villager congress</td>
<td>6</td>
<td>Determining the loss influence, economic information of the affected villages; Explaining the policy of this project; Determining the change of the APs’ concern and demand</td>
</tr>
<tr>
<td>2011.12~2012.3</td>
<td>Affected villages, APs</td>
<td>Symposium</td>
<td>2</td>
<td>Seeking advice for compensation rate</td>
</tr>
</tbody>
</table>

2.7 Grievance and Appeal

The transparent, effective channel of grievance and appeal were set up in the project planning and implementation process. PMO told the channel to Aps by holding meetings. This let Aps know their rights of grievance and appeal well. The channel was unblocked.

2.8 Conclusions and Suggestions

2.8.1 Conclusions

(1) Up to now, the project was progressing smoothly, with which the land pre-trial and preliminary design approved, and the preparation of tender documents and land use permit for the work in progress.

(2) Up to this M&E, notice of land acquisition, compensation standards and resettlement methods had been publicized. Due to houses to be demolished is under evaluating, land acquisition and house demolition work has not been carried out.

(3) The project work has been well organized, with skillful staff and work ability to meet requirements. At the same time, specific project headquarters and the project office had been set up. The project resettlement work is responsible of the Pingyao County Development and Reform Commission for coordination, with Pingyao County Water Bureau and affected townships specifically responsible for the implementation
and the internal monitoring. External independent monitoring implements by NRCR of Hohai University.

(4) In order to reduce negative effects on affected people, with the combination of inflation, price increasing and other external factors, the project agency improve the compensation standard of land acquisition in line with RP. After investigation, APs generally fell satisfied.

(5) When compiling the RP, public participation had been carried out. The complaint and appeal channels are functioning well and APs know the appeal means when their rights were violated.

2.8.2 Suggestions

(1) To speed up the procedures for land acquisition and land use permits processes. In accordance with relevant national policies, land acquisition procedures must follow a strict process. Therefore, it is proposed to speed up the processing of land acquisition procedures, the legalization of land use, and to provide legal protection for successful completion of land acquisition and demolition work and follow-up to the smooth implementation of the civil works.

(2) To speed up the housing assessment, signed a compensation agreement in a timely manner, as soon as possible to complete the demolition work.

(3) Continue to strengthen the institutional capacity-building, it is recommended that further related institutions and personnel items ADB resettlement policy and the implementation of training, the theoretical study and a visit to the exchange in the form of a combination of, in particular, to the implementation completed or are being implemented ADB the loan project study, study, to further enhance the efficiency and capacity of the institutions.

(4) To strengthen the work of resettlement data archiving. Attention to save related materials in the resettlement process, the establishment of land acquisition and resettlement files provide the basic information for project completion and acceptance, and monitoring and evaluation.

(5) It is recommended to do internal monitoring, update the internal monitoring reports in a timely manner, and make the project schedule and track the progress of the resettlement.
3 Xinghuacun Town Regional Road Network Renovation Sector Project

3.1 Project Background

3.1.1 Review of Resettlement Plan

The Taiyuan-Zhongwei-Yinchuan Railway was completed and open to traffic in January 2011, and a passenger and freight station has been constructed in the northeast of the urban area of Xinghuacun Town. The completion of this major infrastructure project gives the town the potential of developing into an important freight transport hub in the region. The construction of the New Logistics and Storage Zone based on this station has not been started, and there is no supporting infrastructure yet. Therefore, constructing the road network and infrastructure supporting the station and the New Zone has become a prerequisite to taking full advantage of the Taiyuan-Zhongwei-Yinchuan Railway to ensure the outward transport of cargoes from nearby areas and address the rapid growth of traffic.

According to the Preliminary Design for the Xinghuacun Town Urban Road Network Construction Project under the ADB-funded Shanxi Small Cities and Towns Development Demonstration Sector Project, the Subproject includes the construction of the access road to the Taiyuan-Zhongwei-Yinchuan Railway Station, the connecting road of National Highway 307 (Xinshi Road), and the road network of the New Logistics and Storage Zone, and is composed of Xinshi, Xinqunan and Xinquzhong Roads, with a total length of about 7.37km.

Total investment of the project is CNY154,196,500, in which USD 11 million loaned by ADB. The project involves 266.68 mu land to be acquired in Dongbao Village, Fenghaoqou Village, Anshang Village, and Wujiaoyuan Village; 1294.21 square meters housing to be demolished with 1341 persons in 369 households to be affected.

3.1.2 Project Procedure and Resettlement Implementation

In December 2008, the pilot development project of ADB loans to small towns in Shanxi Xinghuacun town area road network transformation project proposal got the approval of Shanxi Province Development and Reform Commission, issued JFGWZF[2008] No. 1458.

In April 2009, the pilot development project of ADB loans to small towns in Shanxi Xinghuacun Town Regional Road Network Improvement Project Environmental Assessment Report Form got the approval of Environmental Protection Bureau of Shanxi Province, issued JHA[2009] No. 355.

In July 2009, the ADB loaned small towns pilot development project Xinghuacun town area road network transformation project in Shanxi Province got the land use pre-approval of Shanxi Provincial Department, issued JGTZH[2009] No. 377. The land use certificate is being processed.

In September 2009, the pilot development project of ADB loans to small towns in Shanxi Xinghuacun town area road network renovation project feasibility study report
(adjusted) got the approval from Shanxi Province Development and Reform Commission, issued JFGWZF[2009] No.1375. In July 2011, the preliminary design of the pilot development project of ADB loans to small towns in Shanxi Xinghuacun town road network renovation project got the approval of Shanxi Province Development and Reform Commission, issued JFGSJF[2011] No. 1024.

Figure 3-1 Road affected Area

Up to this M&E, for construction, the bidding is conducting with no construction work started yet.

For resettlement procedure, in February 2009, RP of the subproject got the approval of Fenyang City, issued FZH[2009] No.21; in October 2011, PMO publicized the LA and HD work with related policies and booklets allocated in each village; in December 2011, the LA was started. Up to now, the land acquisition work has been completed; the land compensation agreement has been signed and compensation cost has been paid to the APs; housing area of the preliminary results of the assessment is being publicized; housing compensation agreements are signing; compensation funds are not yet paid.

3.1.3 Monitoring Content

The resettlement monitoring inspected the resettlement progress, project impacts, compensation standards, funding and the use, public participation, complaint, appeals and so on. Problems are uncovered and recommendations are provided.

3.2 Resettlement Implementation

3.2.1 Project Impact

The project affects 4 administrative villages, which are Dongbao Village, Fenghaogou Village, Anshang Village and Wujiaoyuan Village. It directly affects 369 households, including 362 households affected by LA and 7 households affected by HD. It involves
266.68 mu rural collective owned land to be acquired; 895.39 square meters residential housing to be demolished; 398.82 square meters enterprise or agency owned housing to be demolished; 8 categories of special facilities and ground attachments to be affected; 89 vulnerable persons in 29 households to be involved.

Up to be M&E, there is no change between the actual resettlement impact and the RP; land acquisition has been finished; land compensation fee has been paid; house demolition work has not started; resettlement compensation fee has not been paid.

3.2.2 Compensation Standards and the Implementation

According to the requirements of the Notice of the Implementation of Provincial Unified Annual Output Value in Shanxi Province (JZF[2009] No.38), Fenyan Land Bureau has compiled unified standard of annual output value for land acquisition. In accordance with section division table of land categories, the project involved villages in Xinghuacun Town belong to Pingchuan District. The annual output value is CNY 1242 per mu. For land compensation, it is 9 multiple of annual output value. For resettlement subsidy, it is 16 multiple of annual output value. For young crop compensation, it is 1 multiple of annual output value. Therefore, the total compensation is CNY 32,292 per mu.

Up to this M&E, compared with RP, the compensation standard and rate were not changed, it was in line with RP. In addition, land acquisition work has been finished with all land compensation fee paid to households.

3.3 Resettlement Implementation Institution and Its Capacity

3.3.1 Resettlement Implementation Institution

In order to carried out this project effectively, Fenyang government at all levels established a resettlement agency network, and, in 2008, set up a project leading group of the ADB loaned project. In the group, there is one group leader who is Fenyang deputy mayor; six deputy leaders, including head of Transportation Bureau, head of Financial Bureau, and head of Supervision Bureau; members covering fourteen involved agencies including Development and Reform Bureau, the Municipal Finance Bureau, the Municipal Supervision Bureau, Urban Construction Bureau, City Accounting Office, City Land Resources Bureau, the city Department of Transportation, Municipal Environmental Protection Bureau, the Municipal Bureau of Cultural Relics, Xinghuacun town and the affected villages' committees. At the same time, in the group, it has been set one office and five working groups to implement specific work. See main members in the table below:
### Table 3-1 PMO Staff

<table>
<thead>
<tr>
<th>Agency</th>
<th>Name</th>
<th>Unit</th>
<th>Position</th>
<th>Position in PMO</th>
</tr>
</thead>
<tbody>
<tr>
<td>Guidance team</td>
<td>Han Xueyao</td>
<td>Government at city level</td>
<td>Deputy mayor</td>
<td>Team leader</td>
</tr>
<tr>
<td>Guidance office</td>
<td>Liang Keyi</td>
<td>Transportation bureau at city level</td>
<td>Bureau leader</td>
<td>Director</td>
</tr>
<tr>
<td>Township PMO</td>
<td>Zhang Xingliang</td>
<td>Xinghuacun town government</td>
<td>Town leader</td>
<td>Director</td>
</tr>
<tr>
<td>Complex team</td>
<td>Han Zhiwei</td>
<td>Xinghuacun town government</td>
<td>Deputy town leader</td>
<td>Deputy director</td>
</tr>
<tr>
<td>Technical team</td>
<td>Liang Keyi</td>
<td>Transportation bureau at city level</td>
<td>Bureau leader</td>
<td>Director</td>
</tr>
<tr>
<td>Resettlement and coordination team</td>
<td>Liu Yidong</td>
<td>Supervision bureau at city level</td>
<td>Bureau leader</td>
<td>Director</td>
</tr>
<tr>
<td>Financial team</td>
<td>Zhang Dongbiao</td>
<td>Financial bureau at city level</td>
<td>Bureau leader</td>
<td>Director</td>
</tr>
<tr>
<td>Dongbao PMO</td>
<td>Wang Jinlong</td>
<td>Dongbao village committee</td>
<td>Village committee secretary</td>
<td>Member</td>
</tr>
<tr>
<td>Fenghaogou PMO</td>
<td>zhang Zhijin</td>
<td>Fenghaogou village committee</td>
<td>Village committee secretary</td>
<td>Member</td>
</tr>
<tr>
<td>Anshang PMO</td>
<td>Wu Litang</td>
<td>Anshang village committee</td>
<td>Village committee secretary</td>
<td>Member</td>
</tr>
<tr>
<td>Wujiayuan PMO</td>
<td>Wu Zhenli</td>
<td>Wujiayuan village committee</td>
<td>Village committee secretary</td>
<td>Member</td>
</tr>
</tbody>
</table>

### 3.3.2 Institute Capacity

Xinghuacun Town PMO is self-contained and has advanced transportation and communication equipment. In order to guarantee the smooth implementation of resettlement the PMO arranges specific person with good quality and ability and more than two years’ experiences in resettlement for resettlement work. At the same time, they set up internal monitoring system and there is person specially assigned for the work.

### 3.4 Typical Investigation of Affected Villages

The affected villages include 4 administrative villages in Xinghuacun town which are
Dongbao Village, Fenghaogou Village, Anshang Village, and Wujiaoyuan Village. Among which, Dongbao village has been affected mostly by land acquisition and house demolition. Therefore, in June 2012, external M&E team conducted a typical survey and in-depth interviews in the village.

Table 3-2 Interview in typical village

<table>
<thead>
<tr>
<th>Interview</th>
</tr>
</thead>
<tbody>
<tr>
<td>Time: 2012-6-7</td>
</tr>
<tr>
<td>Place: Dongbao Village</td>
</tr>
<tr>
<td>Interviewee: Secretary Wang of Dongbao Village</td>
</tr>
</tbody>
</table>

It is mostly dry land in the village with a comparatively lower output and value. This project requires 1266.66 mu land to be acquired, including 113.09 mu cultivate land and 9.76 mu residential housing land and 3.9 mu enterprise or agency owned land. 158 households to be affected, including 149 households affected by LA and 7 affected by HD. No one is affect by both. Totally, the area of 895.39 square meters residential housing is to be demolished; the area of 398.82 square meters enterprise or agency owned housing is to be demolished. Village land is poor quality and local agricultural modernization is at low level, therefore, most of the labor force in the village is engaging in business, work, and services. These revenues accounts for a bigger proportion in household income. For LA, this brought the impacts of the loss of land and housing to part of the villagers, however, they are mostly supporting the project; at the same time, due to the relatively low agricultural income, after land acquisition, villagers can use the land compensation to engage in other investment, and thus get a better income. The construction of this project is a projects that benefit the, especially in for relocatees terms, the new resettlement in the district, regardless of the housing conditions or housing quality has been greatly improved, and the relocatees are generally able to accept. Livelihoods of affected people can be improved significantly.

3.5 Vulnerable Groups

The project totally influence 29 households 89 people who are vulnerable, including 9 households under minimum living guarantee, 2 households as single parent families, 4 households headed by women, 6 households of the elderly, 5 households involving disabled persons, 3 households having long-term patients. Restoration measures for the vulnerable groups are mainly the following two kinds: The first one is One-paid resettlement subsidies: in RP, make the budget according to the standard of CNY1221 per capita, in the form of cash paid directly to these vulnerable groups. Subsidy standards and issuing object will be in accordance with national policy, final project approval amount and ultimately determine the number of vulnerable groups and make appropriate adjustment, prior to release for publicity. The second one is sustainable support measure: providing separate and confidential counseling; to provide the lowest social security and Medicare; to provide the elderly (home without laborer) extra allowance; to provide disabled persons with suitable jobs; female single-parent family labor for employment; to vulnerable groups to provide
small loans, and to give priority to employment; priority access to all other to mitigate the adverse effect and development help.

**Table 3-3** Support Measure for the Poor and Vulnerable people

<table>
<thead>
<tr>
<th>Type</th>
<th>Subsidy/ Policy</th>
<th>Standard</th>
<th>payment Means</th>
</tr>
</thead>
<tbody>
<tr>
<td>Subsistence allowances/ Five Guarantees/ poor families</td>
<td>Grant Subsistence allowances and subsidies</td>
<td>CNY 45 per month*person</td>
<td>Cash, Living supplies</td>
</tr>
<tr>
<td>Woman-head household</td>
<td>Arrange the employment, tax free, grant allowance</td>
<td></td>
<td>Cash</td>
</tr>
<tr>
<td>Elderly households</td>
<td>Basic endowment insurance, allowance</td>
<td>CNY 45 per month*person</td>
<td>Cash, Living supplies</td>
</tr>
<tr>
<td>Disabled households</td>
<td>Arrange the employment, tax free, grant allowance</td>
<td></td>
<td>Cash</td>
</tr>
<tr>
<td>households with patient of major disease</td>
<td>Medical insurance, medical assistance, arrange the employment, allowance</td>
<td>According to the standard of departments of medical insurance and civil affairs</td>
<td>Reimbursement, cash, living supplies</td>
</tr>
</tbody>
</table>

According to the monitoring data, by taking these measures, effectively restore and helping vulnerable groups, their living standard has been improved to some extent.

### 3.6 Public Participation

Public participation is the guarantee of the Resettlement Implementation of the important factors. In the project feasibility research and resettlement planning phase, project unit carried out a series of activities involved in the project to implement resettlement.

Up to this monitoring, Fenyang city in the implementation of Land Requisition Institution affected towns, villages were carried out several resettlement forum and villager congress, to the construction of the project scope, project content, effect and relevant compensation and resettlement policy on affected APs were propaganda and explanation, and a more in-depth communication; at the same time, criteria for compensation and resettlement mode determination carried out extensive exchanges, in these aspects and sufficient for migrants views.

At the same time of asking APs for suggestions, project unit also invited some people not influenced to attend the forum to hear about their opinions and advices on APs resettlement of the project. Through various activities of public participation, residents in project area have a full realization of the significance of the project construction and the coming help measures. They hope the project construction can be carried out as soon as possible to achieve the obvious benefits of promoting local economic and social development.
### Table 3-4 Public participation

<table>
<thead>
<tr>
<th>Participation Time</th>
<th>Participation Subject</th>
<th>Participation Way</th>
<th>Participation Frequency</th>
<th>Participation Content</th>
</tr>
</thead>
<tbody>
<tr>
<td>2008.3~2011.3</td>
<td>Affected villages, Representatives of APs</td>
<td>Symposium</td>
<td>4</td>
<td>Determining the loss influence, economic information of the affected villages; collecting the APs’ concern and demand</td>
</tr>
<tr>
<td>2008.3~2009.2</td>
<td>APs</td>
<td>Questionnaire investigation</td>
<td>3</td>
<td>Investigation of APs by family mode, education degree, ethnic composition, family property income and expenditure, etc</td>
</tr>
<tr>
<td>2008.3~2009.3</td>
<td>Affected villages, APs</td>
<td>villager congress</td>
<td>4</td>
<td>Explaining the policy of this project</td>
</tr>
<tr>
<td>2009.2~2009.3</td>
<td>Affected villages, APs</td>
<td>Symposium</td>
<td>2</td>
<td>Seeking advice for RP</td>
</tr>
<tr>
<td>2011.3~2011.5</td>
<td>Affected villages, APs</td>
<td>Villager congress</td>
<td>2</td>
<td>Seeking advice for compensation rate</td>
</tr>
</tbody>
</table>

### 3.7 Grievance and Appeal

The transparent, effective channel of grievance and appeal were set up in the project planning and implementation process. PMO told the channel to APs by holding meetings. This let APs know their rights of grievance and appeal well. The channel was unblocked. The hotline is 0358-7223300.

### 3.8 Conclusions and Suggestions

#### 3.8.1 Conclusions

(1) Up to the present, project progress, project examining land and preliminary design has been approved, bidding document compilation work and the land use certificate for the work is being carried out.

(2) Up to this monitoring, land expropriation and compensation has been completed, land compensation agreement has been signed and the compensation fee has been paid to the user; buildings housing assessment preliminary results have been announced, the compensation agreement is signed, compensation fees have not been paid yet.

(3) The project institutions, personnel and technical level and working ability to meet the requirements, but also set up a special project headquarters and project office. This project resettlement work by the Fenyang City Department of transportation and coordination, the town government and the affected village is responsible for the concrete implementation, and implement the internal monitoring, external independent monitoring performed by NRCR of Hohai University.

(4) Compensation standard is reasonable and legitimate, the survey found, affected people generally satisfied with.

(5) During project preparation and implementation period, the project unit is physical quantity measurement, standard of compensation, compensation funds to pay the affected households concern several organizations of the public participation in the
activity, answer to public my doubts, and the affected people are fully aware of the commonweal sex project construction necessity and importance, this project resettlement work laid the foundation for the smooth development.

(6) Resettlement complaints and complaint channels, set up a complaint full-time coordinator system, APs know when their rights were violated when means of appeal.

3.8.2 Suggestions

(1) Accelerate the processing of land expropriation procedures and the land use certificate. According to the national related policy, the land levies must follow a strict process management expropriation procedures. Therefore, proposed to speed up land expropriation procedures, so that the land use legalization, thereby providing smooth completion of expropriation and demolition work and the following civil engineering for the smooth implementation of the legal protection.

(2) Promptly sign housing demolition compensation agreement, and finish relocation work as earlier as possible.

(3) Continue to strengthen capacity building of institutions, relevant institutions and personnel recommendations for further study of ADB involuntary resettlement policy and the implementation of training, using the theories of learning and the exchange of visits of combining form, especially to have implemented or are implementing ADB loan project research, learning, in order to further strengthen the organization efficiency and ability.

(4) Strengthen resettlement documents filing work. Attention should be paid to the preservation of resettlement in the process of related materials, establish land demolition records, for project completion acceptance and monitoring and evaluation provide basic information.

(5) Suggest to do good internal monitoring work, update internal monitoring report, and make the project schedule and resettlement progress tracking.
4 Appendix

4.1 Appendix 1: Notice of House Demolition of Pingyao sub-project
4.2 Appendix 2: Notice of Land Acquisition of Xinghuacun sub-project

汾阳市人民政府
关于征收杏花村镇、贾家庄镇部分土地的公告
汾政告[2010]4号

根据《中华人民共和国土地管理法》、《山西省实施〈中华人民共和国土地管理法〉办法》、国土资源部《征用土地公告办法》等法律、法规和有关规定，为确保我市相关建设的需要，市政府拟征收杏花村镇上堡村、小相村和贾家庄镇的罗城村、大相村部分土地。现就有关情况公告如下：

一  拟征地范围：307国道以北，夏汾高速公路以南，去朝阳坡路以东，杏花高速连接线以西。

二  拟征地用途：工业用地。

三  拟征地补偿标准：按照《山西省征收土地补偿费的通知》(晋政发[2009]38号)文件的规定进行补偿。青苗按年产值的一倍补偿。

四  拟安置途径：拟被征土地所涉及的农业人口安置途径为基本生活安置，实际安置途径以市人民政府依法批准为准。

五  拟征地附着物补偿标准：
（一）树木补偿标准参照汾阳市太中银铁路协调领导组汾协组字[2007]13号、14号等文件执行。
（二）有关建筑物和构筑物按照评估价格进行补偿。
（三）坟墓按每座600元补偿，迁坟限于2010年4月5日（清明节）前全部迁完，逾期不迁者按无主坟处理。

六  本公告发布之日起，各村和农户不得在拟征收的士地上抢栽、抢种、抢建地上附着物。否则，一律不予补偿。

七  本公告下发后，市政府组织有关部门对拟征地的权属、地类、面积以及地上附着物权属、种类、规格和数量等进行调查，被征地的农村集体经济组织、农户以及地上附着物所有权人予以配合，并在《征地调查确认表》上签字或盖章予以确认。

特此公告

二〇一〇年三月二十六日