

Resettlement Plan

November 2014

PRC: Guiyang Integrated Water Resources
Management (Sector) Project

Resettlement Plan for Maozhulin Reservoir Noncore
Subproject (English)

Prepared by the Guiyang municipal government for the Asian Development Bank.

CURRENCY EQUIVALENTS

(as of 20 November 2014)

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NOTE

- (i) The fiscal year (FY) of the Government of the People's Republic of China and its agencies ends on 31 December. FY before a calendar year denotes the year in which the fiscal year ends, e.g., FY2011 ends on 31 December 2011.
- (ii) In this report, "\$" refers to US dollars.

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ADB-funded Guiyang Integrated Water
Resources Management (Sector) Project

**Resettlement Plan & Due Diligence Report
for the
Maozhulin Reservoir Subproject of
Kaiyang County**

Water Resources Bureau of Kaiyang County

Oct 2014

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Abbreviations

AAOV	-	Average Annual Output Value
ADB	-	Asian Development Bank
AH	-	Affected Household
AP	-	Affected Person
DMS	-	Detailed Measurement Survey
FGD	-	Focus Group Discussion
GMG	-	Guiyang Municipal Government
M&E	-	Monitoring and evaluation
MLS	-	Minimum Living Security
PMO	-	Project Management Office
PRC	-	People's Republic of China
RP	-	Resettlement Plan

Units

(As of 30 Oct. 2014)

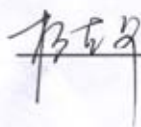
Currency unit	=	Yuan (CNY)
1.00 yuan	=	\$0.163
1 hectare	=	15 mu

Letter of Commitment

The Guiyang Municipal Government (GMG) has applied for a loan from the Asian Development Bank (ADB) for this subproject through the Ministry of Finance of the People's Republic of China (the "PRC"). Therefore, this subproject must be implemented in accordance with ADB's social safeguard policies. This resettlement plan (RP) represents a key requirement of ADB and becomes a basis of the land acquisition, house demolition and resettlement work of this subproject. This RP complies with the applicable laws of the PRC, and the applicable local regulations. In order to complete resettlement more effectively, this RP includes some additional measures, and implementation and monitoring arrangements.

This subproject is located in Longshui Xiang, Kaiyang County, Guiyang Municipality, so the Kaiyang County Government hereby acknowledges the contents of this RP, and warrants that the budgetary funds under this RP will be included in the general budget of this subproject and made available on time. The Kaiyang County Government has discussed the second draft of this RP with the agencies concerned, and such draft has been accepted by them. The Kaiyang County Government has authorized the Kaiyang Project Management Office (PMO) (Water Resources Bureau) to implement this subproject and the related resettlement work.

Head of the Kaiyang County Government



(Signature)

2015年10月9日

(Date)

Executive Summary

The Kaiyang Maozhulin Reservoir Subproject (hereinafter referred to as the "Subproject") is an ADB-funded project, with the main aim of supplying irrigation water to farmland in Longshui Xiang, Kaiyang County, and drinking water to humans and livestock. The reservoir is planned to supply 1.477 million m³ of water P=85% to 4,970 mu of farmland and a population of 2,500 in Longshui Xiang. The construction tasks of the Subproject include dam and reservoir construction, irrigation area canal construction and domestic water delivery pipes. The dam and reservoir construction component includes the construction of spillways, intakes and bottom outlets; the irrigation area construction component includes the construction of canals, diversion tunnels and inverted siphons; the water delivery component includes the laying of 4.5 km of DN100mm steel pipes. The Water Resources Bureau of Kaiyang County (PMO) is the implementing agency of the Subproject.

The dam site part of the Subproject has been started since Dec 2013. The reservoir area will be gradually inundated from April 2015 to February 2016, and the land acquisition, compensation and resettlement work of the Subproject has started in May 2012 (for the damsite) and will be completed in December 2015 (for the reservoir area). For the land acquisition and resettlement activities that were conducted in the damsite construction area and access road, a due diligence report has been prepared and annexed in Appendix 6.

The main impacts of the Subproject are permanent land acquisition and temporary land occupation, involving 13 groups of 4 villages in Longshui Xiang, Kaiyang County. 86 households with 353 persons will be affected directly by land acquisition. 192.93 mu of land will be acquired permanently, including 126.39 mu of cultivated land, 37.33 mu of woodland, 24.96 mu of other farmland and 4.25 mu of unused land; 76.4 mu of land will be occupied temporarily, including 52.7 mu of cultivated land and 23.7 mu of other farmland. 2,155 of scattered trees, including 48 arbor trees and 2,107 commercial fruit trees, and 1 tomb will be inundated. 86 households with 353 persons will be directly affected by land acquisition, and the Subproject does not involve house demolition. In addition, 27 households with 121 persons will be affected temporarily by land occupation for the damsite construction area, access road and dump sites. There is no ethnic minority in the affected population.

To avoid or minimize negative impacts of land acquisition, adequate consultation was conducted on the potential site of the Subproject, the village groups affected by reservoir inundation and resettlement at the stage of feasibility study and preliminary design. An optimum option was selected through comparison.

This Resettlement Plan (RP) is based on the Land Administration Law of the PRC (2004), Decision of the State Council on Deepening the Reform and Rigidly Enforcing Land Administration (SC [2004] No.28), the applicable policies of Guizhou Province

and Guiyang Municipality, and ADB's social safeguard policies. According to the above policies, and in consultation with local governments and affected persons (APs), the resettlement principles of the Subproject are: (1) Involuntary resettlement should be avoided where feasible; (2) The APs are granted compensation and rights that can at least maintain or even improve their livelihoods in the absence of the project; (3) The APs are given compensation and assistance in resettlement whether legal title is available or not before the cut-off date; (4) The economic compensation shall ensure that everyone will at least maintain their standard of living after resettlement; (5) If the land available to everyone is insufficient to maintain his/her livelihood, replacement in cash or in kind and other income-generating activities are provided for the lost land; (6) The APs fully understand their entitlements, the method and standard of compensation, the livelihood and income restoration plan, and the project schedule, and participate in the implementation of the Resettlement Plan; (7) No land should be acquired before the APs are satisfied with the compensation and resettlement (plan); (8) The executing agency and an independent agency / third party should monitor the compensation, relocation and resettlement operations; (9) The vulnerable groups (including women) are provided special assistance or treatment so that they lead a better life, and all APs should have an opportunity to benefit from the project; and (10) The resettlement costs are sufficient to cover all affected aspects.

The Subproject will not involve basic farmland. According to the Notice of the Guiyang Municipal Government on the Promulgation and Implementation of Uniform AAOVs and Location-based Compensation Rates for Land Acquisition (GMG [2009] No.100), the compensation rates for permanent land acquisition in the inundation and construction areas of the Subproject are: 30,000 yuan/mu for cultivated land, 17,000 yuan/mu for timber forests (including timber compensation fees of 2,000 yuan/mu), 16,000 yuan/mu for shrub forests (including timber compensation fees of 1,000 yuan/mu), 12,000 yuan/mu for other farmland (shrub wood land) and 6,000 yuan/mu for unused land; temporarily occupied land will be compensated for based on the period of occupation and the average annual output value (AAOV) of such land. Compensation fees for temporary land occupation include land occupation fees, reclamation costs, production restoration costs and young crop compensation fees, and are 19,000 yuan/mu. The cut-off date of this project is December 28, 2009.

Income restoration measures for APs include cash compensation, land circulation, soil improvement, skills training, increased investment in infrastructure, and priority in employment under the Subproject. Land compensation fees, resettlement subsidies and young crop compensation fees will be paid directly to the affected households (AHs) without being withheld at the township or village level. The AHs will invest the compensation in the crop restructuring of the remaining land and other nonagricultural operations. The Kaiyang PMO will establish a support fund for vulnerable groups of 20,000 yuan, and provide assistance to vulnerable groups affected by the Subproject together with civil affairs or labor and social security authorities.

All APs have been informed of key points of this RP by various means, including

meeting, interview, focus group discussion (FGD), public participation and community consultation. The above activities are designed to involve APs in the Subproject, and their opinions have been fully embodied in this RP. The Guiyang PMO will be responsible for the supervision of RP implementation, subsequent participation and consultation, and grievance redress, and the grievance redress system has been described clearly herein. The RP will be distributed to the APs or groups once ADB approved it, and this RP will be published on ADB's website by the end of November 2014. A grievance redress system has been established. All agencies will accept grievances and appeals from the APs for free, and costs so reasonably incurred will be disbursed from the contingencies.

The dam site part of this project started construction in July 2013. Related land acquisition has been conducted from May 2012 to June 2013. To reflect this, a due diligence report is annexed in the Appendix 6. The reservoir area will be gradually inundated from April 2015 to February 2016. To ensure the successful implementation of this RP, an independent agency will perform external monitoring semiannually in addition to internal monitoring by the Kaiyang PMO.

The resettlement costs of the Subproject are 13,621,200 yuan, including land compensation fees, resettlement subsidies, house demolition compensation, ground attachment compensation and restoration costs, resettlement monitoring and evaluation (M&E) costs, support fund for vulnerable groups, contingencies and relevant taxes, etc.

1 Overview of the Subproject

1.1 Background

The Kaiyang Maozhulin Reservoir Subproject is a subproject of the ADB-funded Guiyang Integrated Water Resources Management (Sector) Project, and one of the planned irrigation and domestic water source sites in Longshui Xiang, Kaiyang County. The Subproject is located in the northeast of Kaiyang County, 8 km away from the Kaiyang County town and 5km away from the seat of the Longshui Xiang Government. The dam site is located in Maozhulin Group of Heping Village, Longshui Xiang, and there is a township highway 0.8km below the dam site. The Subproject will be implemented by the Water Resources Bureau of Kaiyang County.

The Subproject will supply domestic water to 2,500 persons in the seat of the Longshui Xiang Government, and irrigation water to 4,970 mu of downstream farmland. At project completion, it will supply 1,646 million m³ of water per annum, meet near-term water demand and relieve water shortage. The Subproject will promote local economic development and improve people's standard of living.

In June 2007, the State Development and Reform Commission approved the Subproject in a bundle (SDRC RC [2007] No.1408).

In November 2007, the Guizhou Provincial Development and Reform Commission approved the Feasibility Study Report for the Subproject in a bundle (GPDRC RC [2007] No.1849).

In September 2010, GMG approved the outline of the land acquisition and resettlement plan for the construction of the Subproject (GMG [2010] No.133).

In October 2010, the Guiyang Municipal Resettlement Bureau for Water Resources and Hydropower Projects reviewed the Report on Land Acquisition and Resettlement Planning for the Subproject.

Due to lacking counterpart fund and other reasons, the subproject was postponed. In November 2013, PMO updated this RP with the assistance from local IA and submitted to ADB for review; further time was required to prepare the due diligence report, so the final RP was resubmitted to ADB in October 2014 for approval.

1.2 Brief Introduction

1.2.1 Components

The Subproject is an integrated water supply project that provides for farmland irrigation, and also has the function of urban and rural water supply. Its components include the dam and reservoir construction (including the damsite area), irrigation area construction, and water delivery pipes. See

Table 1-1, and Appendix 1 for a schematic map of the Subproject.

Table 1-1 Summary of Components

Component	Brief description	Main impact
Reservoir area	The Maozhulin Reservoir is located in Maozhulin Group of Heping Village, Longshui Xiang, Kaiyang County, with a normal pool level of 885.5m and a gross capacity of 1.061 million m ³ . The reservoir falls into Category Small (1).	5 groups of two villages in Longshui Xiang will be affected; 107.1 mu of land will be occupied permanently, including 73.42 mu of cultivated land and 16.13 mu of woodland, 13.55 mu of other farmland and 4 mu of unused land; 2,155 scattered trees and one tomb will be inundated. No house demolition is involved.
Damsite construction area (dam, access road, etc.)	The dam is a concrete faced rockfill dam, with a crest elevation of 888m and a maximum height of 39.5m. The damsite consists mainly of spillways, bottom outlets and intake pipes. The access roads are located on both sides of the dam and to the foot of the dam, and is 1.65km long in total.	One group of one village in Longshui Xiang will be affected; 48.67 mu of land will be occupied permanently, including 32.07 mu of cultivated land, 12.8 mu of woodland, 3.55 mu of other farmland and 0.25 mu of unused land; 44.7 mu of land will be occupied temporarily, including 33.4 mu of cultivated land and 11.3 mu of other farmland. No house demolition is involved.
Irrigation canal construction area	The total length of the irrigation canals is 17.09km, in which the main canal is 14.39km long, the branch canal 2.7km long and the delivery tunnel 924m long. The canal structures include two inverted siphons, which are 70m and 58m long respectively.	7 groups of 4 villages in Longshui Xiang will be affected; 32.36 mu of land will be occupied permanently, including 17.8 mu of cultivated land, 6.7 mu of woodland and 7.86 mu other farmland; 25 mu of land will be occupied temporarily, including 14.7 mu of cultivated land and 10.3 mu of other farmland. No house demolition is involved.
Delivery pipeline construction area	DN100mm steel pipes with a total length of 4.5 km will be laid for the domestic water main.	4 groups of two villages in Longshui Xiang will be affected; 4.8 mu of land will be occupied permanently, including 3.1 mu of cultivated land and 1.7 mu of woodland; 6.7 mu of land will be occupied temporarily, including 4.6 mu of cultivated land and 2.1 mu of other farmland. No house demolition is involved.

1.2.2 Summary of Resettlement Impacts

The range of land acquisition of the Subproject includes the reservoir area, damsite construction area, irrigation canal construction area and domestic water delivery pipeline construction area. The Subproject involves collective land acquisition and temporary land occupation only, and does not involve house demolition.

86 households with 353 persons in 13 groups of 4 villages in Longshui Xiang, Kaiyang County, Guiyang Municipality will be affected by land acquisition. 192.93 mu of land will be acquired permanently, including 126.39 mu of cultivated land, 37.33 mu of woodland, 24.96 mu of other farmland and 4.25 mu of unused land; 76.4 mu of land will be occupied temporarily, including 52.7 mu of cultivated land and 23.7 mu of other farmland¹. 2,155 of scattered trees, including 48 arbor trees and 2,107 commercial fruit trees, and one tomb will be inundated. See Table 1-2.

Table 1-2 Main Resettlement Impacts of the Subproject

¹ Mainly grassland

Municipality / prefecture		Guiyang Municipality
District / county		Kaiyang County
Township		Longshui Xiang
Villages		4
Village groups		13
Acquisition of collective land (mu)	Total	192.93
	Where: cultivated land	126.39
	Woodland	37.33
	Other farmland	24.96
	Unused land	4.25
Temporary land occupation (mu)	Total	76.4
	Where: cultivated land	52.7
	Other farmland	23.7
Permanently affected population	Households affected by land acquisition	86
	Population affected by land acquisition	353
Temporarily affected population	Households	27
	Population	121

1.2.3 Socioeconomic Benefits of the Subproject

At project completion, the reservoir will have a gross capacity of 1.061 million m³ and the effective (live) storage capacity of 0.956 million m³, improve the water supply environment for Longshui Xiang, Kaiyang County and downstream farmland greatly, and intercept floods. It is estimated that the Subproject will supply 169,000 m³ of domestic water supplying drinking water to 2,500 persons in the seat of the Longshui Xiang Government and 1.477 million m³ of irrigation water to improve 4,970 mu downstream farmland annually. The total benefits of water supply and irrigation of the Subproject are expected to be 1.35 million yuan per annum.

1.2.4 Investment Estimate and Implementation Schedule

The gross investment estimate of the Subproject is 55.48 million yuan, in which resettlement costs are 13,621,200 yuan, accounting for 24.55% of gross investment.

The Subproject will be constructed from July 2013 to February 2016, and the construction period will be 32 months.

After this RP has been approved by ADB, the land acquisition, compensation and resettlement work of the reservoir area will be completed. Planning work started in February 2014 and all resettlement activities will be completed by December 2015.

2 Project Impacts

2.1 Measures to Avoid or Minimize Land Acquisition

2.1.1 Principles for Project Design and Site Selection

Resettlement impacts have been considered at the design stage to minimize such impacts. The main principles are as follows:

- ✧ Avoid affecting residents to the best when choosing damsite
- ✧ Avoiding or minimizing occupation of existing and planned residential areas (urban and rural)
- ✧ Avoiding or minimizing occupation of high-quality farmland and pasture land
- ✧ Gaining access to the proposed construction sites through existing state and local roads
- ✧ Avoiding or minimizing occupation of environmentally sensitive areas
- ✧ Selecting a resettlement community in line with the local development plan.

2.1.2 Option Comparison of the Subproject

In order to reduce land acquisition and resettlement, the Guiyang Water Resources and Hydropower Survey and Design Institute (the design agency) conducted strict option comparison and optimization.

At the feasibility study stage, the design agency compared the upper and lower dam sites.

Based on reservoir capacity calculation and comparison, the dam height difference between the two sites at the same capacity is 1m only, but the lower dam line is 80-90m longer than the upper dam line, so the quantity of work (e.g., dam body, foundation clean-up and anti-seepage works) of the lower dam site is much more. In addition, the inundated farmland area of the lower dam site is 38 mu more. The upper dam site has a smaller quantity of work, and is more suited to the environmental protection and land conservation requirements in local resettlement planning. Moreover, natural building materials, such as block rock, are available in good quality and large quantities, providing favorable conditions for dam construction. Therefore, the upper site with an arched masonry dam was recommended and considering the optimum reservoir area, the dam height is 39 m.

The access road, construction sites, canals and pipelines have been and will be further optimized to minimize farmland occupation. In addition, land acquisition (occupation) will be notified to the AHs in advance to reduce their crop losses.

2.2 Range of Survey for Land Acquisition

The range of impact of land acquisition includes the reservoir inundation area, damsite construction area, irrigation canal construction area and domestic water delivery pipeline construction area.

The reservoir inundation area includes the immersion, collapse and landslide areas, and other areas affected by reservoir impoundment. According to the Specifications on land acquisition and resettlement design for construction of water resources and hydropower projects (SL290-2009), the reservoir inundation area has been determined as follows:

(1) Land acquisition line: For cultivated and garden land, the land acquisition line will be the design backwater line for floods every 5 years in consideration of 20 years of silt accumulation; in the dam-front segment where the impact of backwater is insignificant, 0.5m will be added to the normal pool level of 885.5m for the sake of safety. For woodland, grassland and other types of land, the land acquisition line will be determined based on the normal pool level of 885m.

(2) Population migration line: The population migration line will be the design backwater line for floods every two years in consideration of 20 years of silt accumulation; in the dam-front segment where the impact of backwater is insignificant, 1m will be added to the normal pool level of 885.5m for the sake of safety.

(3) Inundation line for special facilities: to be determined by reference to the standard for each type of special facilities and the corresponding flood standard.

(4) The land acquisition ranges for the damsite area and the water delivery component will be determined based on the overall hydrotechnic and construction layout.

According to the above range, land acquisition involves 13 groups of 4 villages in Longshui Xiang, Kaiyang County. See Table 2-1.

Table 2-1 Impacts of Land Acquisition in Terms of Administrative Division

Component	County	Township	Village	Group
Reservoir area	Kaiyang	Longshui Xiang	Heping	Maozhulin, Pingshang
			Xinchang	Huomagou, Dalongdong, Shuiwei
Damsite construction area	Kaiyang	Longshui Xiang	Heping	Maozhulin
Irrigation canal construction area	Kaiyang	Longshui Xiang	Heping	Leipen
			Longjiang	Goupi, Shui'er
			Huashan	Hegou, Siliping
			Xinchang	Huomagou, Guanyan
Domestic water pipeline construction area	Kaiyang	Longshui Xiang	Heping	Leipen
			Longjiang	Shui'er, Dihua, Changyan

2.3 Survey Methods for Land Acquisition

The impacts of land acquisition of the Subproject have been determined according to the final design. The resettlement impact survey was conducted in May 2009 under the leadership of the Water Resources Bureau of Kaiyang County. The survey results were verified in April 2010, October 2011 and Oct. 2013, and confirmed level by level from the villages, the township government to the county government.

The survey was conducted with the assistance of the affected village groups, APs and departments concerned (e.g., land and resources bureau, forestry bureau and town governments) using a 1:1,000 topographic map measured using a total-station measuring instruments.

The results of the resettlement impact survey were confirmed by APs and the departments concerned; private statistics of households were confirmed by heads of households by signature or stamping; collective statistics were confirmed by proprietors by signature or stamping; village group statistics were verified by village groups and village officials, and confirmed by signature or stamping; village-level statistics were verified by village and township officials, and confirmed by signature or stamping; township-level statistics were confirmed by township- and county-level representatives by signature, and verified by the city government by stamping. Announcements were posted for public disclosure, and the types and quantities of the inundated land were also confirmed by the Land and Resources Bureau, and Forestry Bureau of Kaiyang County.

During the resettlement impact survey, comments of village committees, village groups and villagers on land acquisition and resettlement were solicited extensively, and extensive consultation conducted. The key findings are as follows:

- 1) Almost all AHs welcome the Subproject and know that it is about to be started;

- 2) During the field survey, it is found that many APs are working outside, and agricultural income is not the main source of household income;
- 3) The affected land is located in valleys and between slopes, where cultivation and irrigation conditions are poor; most of the APs think land acquisition has little impact on them from the view of income loss, and prefer direct cash compensation;
- 4) Compensation fees should be paid transparently with minimum intermediate steps;
- 5) Local laborers should be employed under the Subproject with priority (unskilled jobs);
- 6) The government should strengthen local infrastructure construction, such as drinking water works and roads around the reservoir area.

2.4 Permanent Acquisition of Collective Land and Impact Analysis

2.4.1 Permanent Acquisition of Collective Land

Collective land acquisition involves 13 groups of 4 villages in Longshui Xiang, Kaiyang County, 192.93 mu of land will be acquired permanently, including 116.4 mu in Heping Village, 50.48 mu in Xinchang Village, 13.2 mu in Longjiang Village and 5.5 mu in Huashan Village, including 126.39 mu of cultivated land (65.51%), 37.33 mu of woodland (19.35%), 24.96 mu of other farmland (12.94%) and 4.25 mu of unused land (2.2%), affecting 86 households with 353 persons. See Table 2-2.



Figure 2-1 Present Situation of Proposed Site of Damsite



Figure 2-2 Present Situation of Land to Be Inundated

2.4.2 Impact Analysis

According to the survey, the 13 village groups affected by the Subproject have 4,402.1 mu of cultivated land, with a per capita cultivated area of 1.86 mu. 126.39 mu of cultivated land will be acquired for the Subproject, with a land loss rate of 2.88%; after land acquisition, per capita cultivated area will be about 1.81 mu.

A comparative analysis of land and income losses arising from land acquisition of the affected village groups has been made. Among the 13 affected groups of the 4 villages, Maozhulin Group will be affected relatively more seriously, with a land loss rate of 35.26%, and per capita cultivated area will be 1.14 mu only; for the other 12 groups, land loss rate will be 0.37-10.27%. the income loss arising from land acquisition accounts for 4.68%-23.16% of per capita net income, ranging from 201 yuan to 995 yuan per capita (from the maximum of 995 yuan in Maozhulin Group to the minimum of 201 yuan in Changyan Group). Paddy rice, corn, rape and potatoes are grown in the subproject area mainly, and some commercial fruit trees are also grown. See Table 2-2.

According to the survey and estimates, among the 86 households affected by land acquisition, 31 households (36.05%) have a land loss rate of 10% or less, 28 households (32.56%) have a land loss rate of 11%-20%, 15 households (17.44%) have a land loss rate of 21%-50% and 12 households (13.95%) have a land loss rate of 51% or more. Among the 86 AHs, 6 households (6.98%) have an existing cultivated area of less than 1 mu per HH, 19 households (22.09%) have an existing cultivated area of 1-3 mu, 26 households (30.23%) have an existing cultivated area of 3-5 mu and 35 households (40.7%) have an existing cultivated area of 5 mu or more. See Table 2-4.

In addition, since the subproject area is in remote mountain areas, 35% of laborers within the subproject area are working outside or doing small business, of which 15% are working in developed regions, and would return home on traditional Chinese festivals (e.g., the Spring Festival) only. Outside employment and doing business have become important income sources of the AHs. Other main income sources include crop cultivation and stockbreeding.

Table 2-2 Permanent Acquisition of Collective Land

Township	Village	Group	Acquired collective land					Affected population	
			Cultivated land (mu)	Woodland (mu)	Shrub wood (mu)	Unused land (mu)	Total (mu)	Households	Population
Longshui Xiang	Heping	Maozhulin	66.99	18.92	7.90	1.35	95.16	25	101
		Pingshang	11.93	2.16	1.68	0.63	16.40	10	37
		Leipen	4.33	0.51	0.00	0.00	4.84	2	10
		Subtotal	83.25	21.59	9.58	1.98	116.40	37	148
	Xinchang	Huomagou	14.63	4.21	3.64	1.32	23.80	17	70
		Dalongdong	11.17	2.69	2.13	0.68	16.67	8	36
		Shuiwei	2.07	0.95	1.75	0.27	5.04	3	13
		Guanyan	3.10	0.00	1.87	0.00	4.97	4	17
	Subtotal	30.97	7.85	9.39	2.27	50.48	32	136	
	Longjiang	Goupi	2.61	0.6	2.14	0.00	5.35	3	12
		Shui'er	2.06	1.28	1.55	0.00	4.89	3	11
		Dihua	1.10	0.57	0.00	0.00	1.67	2	7
		Changyan	0.67	0.62	0.00	0.00	1.29	1	5
	Subtotal	6.44	3.07	3.69	0.00	13.20	9	35	
	Huashan	Hegou	3.46	2.69	1.20	0.00	7.35	5	21
		Siliping	2.27	2.13	1.10	0.00	5.50	3	13
	Subtotal	5.73	4.82	2.30	0.00	12.85	8	34	
Total			126.39	37.33	24.96	4.25	192.93	86	353

Table 2-3 Impact analysis of acquisition of collective land of affected village groups

Township	Village	Group	Before land acquisition			After land acquisition			Land loss rate at group level			Income loss at household level			
			House-holds	Population	Cultivated land (mu)	House-holds	Population	Cultivated land (mu)	Percentage of households (%)	Percentage of population (%)	Land loss rate (%)	Annual loss ² (yuan)	Loss per household (yuan)	Per capita loss (yuan)	Percentage to per capita net income ³ (%)
Longshui Xiang	Heping	Maozhulin	27	108	190	25	101	66.99	92.60%	93.52%	35.26%	100485	4019	995	23.16%
		Pingshang	36	157	281	10	37	11.93	27.78%	23.57%	4.25%	17895	1789	484	11.27%
		Leipen	61	305	500.5	2	10	4.33	3.28%	3.28%	0.87%	6495	3247	649	15.12%
	Subtotal		124	570	971.5	37	148	83.25	29.84%	25.97%	8.57%	124875	3375	844	19.64%
	Xinchang	Huomagou	32	125	142.5	17	70	14.63	53.13%	56.00%	10.27%	21945	1291	314	7.31%
		Dalongdong	43	182	338.5	8	36	11.17	18.61%	19.78%	3.30%	16755	2094	465	10.84%
		Shuiwei	37	163	316	3	13	2.07	8.11%	7.98%	0.66%	3105	1035	239	5.56%
		Guanyan	48	202	308.9	4	17	3.1	8.34%	8.42%	1.01%	4650	1162	273	6.37%
	Subtotal		160	672	1105.9	32	136	30.97	20.00%	20.24%	2.80%	46455	1452	342	7.95%
	Longjiang	Goupi	78	228	519.4	3	12	2.61	3.85%	5.27%	0.51%	3915	1305	326	7.60%
		Shui'er	61	228	449.2	3	11	2.06	4.92%	4.83%	0.46%	3090	1030	281	6.54%
		Dihua	27	131	198.7	2	7	1.1	7.41%	5.35%	0.56%	1650	825	236	5.49%
		Changyan	36	154	325.7	1	5	0.67	2.78%	3.25%	0.21%	1005	1005	201	4.68%
	Subtotal		202	741	1493	9	35	6.44	4.46%	4.73%	0.44%	9660	1073	276	6.43%
	Huashan	Hegou	24	96	208.8	5	21	3.46	20.84%	20.88%	1.66%	5190	1038	247	5.76%
		Siliping	69	287	622.9	3	13	2.27	4.35%	4.53%	0.37%	3405	1135	262	6.10%
		Subtotal		93	383	831.7	8	34	5.73	8.61%	8.88%	0.69%	8595	1074	253
Total			579	2366	4402.1	86	353	126.39	14.86%	14.92%	2.88%	189585	2204	537	12.50%

Table 2-4 Loss Rates of Cultivated Land of AHs

Former cultivated area per household	Land loss rate				
	<10%	10- 19%	20%-50%	50% or more	Subtotal
<1 mu	2	3	1	0	6
1-3 mu	7	6	3	3	19
3-5 mu	9	8	5	4	26
>5 mu	13	11	6	5	35
Total	31	28	15	12	86

² Calculation formula: annual loss = AAOV of cultivated land (1,500 yuan/mu) × acquired land area³ Calculation formula: percentage to per capita net income = per capita loss / average per capita net income of farmers

According to the survey and fieldwork, all AHs expect cash compensation after land acquisition. After receiving compensation, the households affected by land acquisition have the following options for resettlement: a) adjusting crop structure or developing sideline production: converting the crop structure focused on less profitable food crops to one focused on more profitable medicinal materials and fruits, or increasing the scale of stockbreeding (pigs, cattle and sheep, etc.); this option is chosen by 38 households, accounting for 44.2% of all households affected by land acquisition; b) investing compensation fees in merchandising through skills training to increase household income; this option is chosen by 13 households, accounting for 15.1%; and c) looking for job opportunities outside; this option is chosen by 31 households, accounting for 36.0%; 4 households choose other options, accounting for 4.7%. See Table 2-.

Table 2-5 Expected Restoration Modes of AHs

Land loss rate	# of households	Restoration program (household)			
		Land and crop restructuring	Other modes	Skills training, tertiary operations, industry	Outside employment
<10%	31	5	1	11	14
11- 20%	28	17	1	1	9
21% or more	27	16	2	1	8
Total	86	38	4	13	31
Percentage		44.2%	4.7%	15.1%	36.0%

2.5 Temporary Land Occupation

The land occupied temporarily during the construction period includes land occupied by sheds, storage facilities, mixing platforms and stockyards, etc. Temporary land occupation involves 10 groups of 4 villages in Longshui Xiang, Kaiyang County, with a total area of 76.4 mu, including 52.7 mu of cultivated land (68.99%) and 23.7 mu of other farmland (31.01%), affecting 27 households with 121 persons temporarily. See Table 2-6.

Table 2-6 Impacts of Temporary Land Occupation

Component	Township	Village	Group	Temporarily occupied land (mu)			Temporarily affected population	
				Cultivated land	Other farmland	Total	Households	Population
Damsite construction area	Longshui Xiang	Heping	Maozhulin	33.4	11.3	44.7	16	72
			Leipen					
		Subtotal		33.4	11.3	44.7	16	72
Irrigation canal construction area	Longshui Xiang	Heping	7 Groups, including Leipen, Goupi, etc.	14.7	10.3	25	7	31
		Longjiang						
		Subtotal		14.7	10.3	25	7	31
Water delivery pipeline construction area	Longshui Xiang	Longjiang	4 groups, including Shui'er, Huadi, etc.	4.6	2.1	6.7	4	18
		Heping						
		Subtotal		4.6	2.1	6.7	4	18
Total				52.7	23.7	76.4	27	121
Percentage				68.98%	31.02%	100.00%		

2.6 Infrastructure and Ground Attachments

No special facility is directly affected within the inundation and construction areas of the Subproject. During the project impact survey, scattered adult trees located around housing and scattered in field were counted by type and size. According to the statistics, 2,155 of scattered trees, including 48 arbor trees and 2,107 commercial fruit trees (1,882 fruit-bearing and 225 non-fruit-bearing), and one tomb will be inundated. See Table 2-7.

Table 2-7 Scattered Trees Affected by the Subproject

Township	Village	Group	Arbor trees	Commercial fruit trees	Total
Longshui Xiang	Heping	Maozhulin	48	2107	2155
Total			48	2107	2155

2.7 Other Impacts

1) There is no industrial or mining enterprise above the water source area, so there is no water pollution. In addition, the rocky desertification project implemented in Kaiyang County in recent years has played a great role in the prevention of water loss and soil erosion.

2) Since an existing natural field paths will be inundated, the cultivation of the cultivated land above the inundation line will also be affected. As strongly required by the affected group and farmers, and based on the opinions of the Longshui Xiang Government and the village committee concerned, 1.6km farming passage will be built around the reservoir for the convenience of cultivation. The investment in this farming passage is included in the resettlement budget of the Subproject (please refer item 2 of Table 8-1). See Table 2-8.

Table 2-8 Farming Passage to Be Constructed

No.	Item	Unit	Qty.	Remarks
I	Traffic facility			
1	Farming pathways	m	1600	1m wide, concrete surface

2.8 Affected Population

2.8.1 Summary

According to the field survey, 86 households with 353 persons will be directly affected by land acquisition, and the Subproject does not involve house demolition. In addition, 27 households with 121 persons will be affected temporarily by land occupation for the damsite construction area, access road and dump sites. More than 200 persons will be affected seriously based on ADB criteria. See Table 2-9.

Table 2-9 Affected Population

Municipality / prefecture		Guiyang Municipality	Total
District / county		Kaiyang County	
Township		Longshui Xiang	
Directly affected population	Households affected by land acquisition	86	86
	Population affected by land acquisition	353	353
Temporarily affected population	Households	27	27
	Population	121	121

2.8.2 Affected Vulnerable Groups

In the Subproject, vulnerable groups refer to the disabled, five-guarantee households, widows, low-income persons or the poor.

Total 6 HHs, 8 persons were identified as the vulnerable groups. The vulnerable persons affected by the Subproject will be further determined through a comparative analysis of family structure, labor and employment, household resources, and information provided by local civil affairs authorities during resettlement implementation. Once an AP is identified as a vulnerable person, he/she will be provided with special assistance during resettlement implementation. The households covered by minimum living security (MLS) and poor households in the subproject area can receive an MLS benefit or poverty subsidy of 45-60 yuan per month from the civil affairs and other departments per month. See Table 2-10.

Table 2-10 Summary of Affected Vulnerable Groups

No.	Group	Head of household	Ethnic group	Family population	Vulnerable population	Gender	Reason	Policy applied	Amount of subsidy
1	Pingshang, Heping Village	WY	Han	3	1	Male	Disability, 38 years	Temporary assistance	50 yuan/ person-month
2		LQJ	Han	1	1	Male	Disability, 34 years	MLS	45 yuan/ person-month
3		LQQ	Han	1	1	Male	/	MLS	45 yuan/ person-month
4		LQZ	Han	1	1	Male	64 years, disability, poverty	MLS	45 yuan/ person-month
5	Shuiwei	JYY	Han	1	1	Male	70 years, widow, five-guarantee household	MLS	60 yuan/ person-month
6		BMZ	Han	3	3	Male	Disability, poverty	MLS	60 yuan/ person-month
Total		6		10	8				

2.8.3 Impacts on Women

In the population affected by the Subproject, there are 178 women, accounting for 50.42%. The affected women engage mainly in agricultural production and household stockbreeding, and some of them are working outside. In interviews, women preferred cash compensation, and expected to obtain nearby job opportunities or participate in project construction (unskilled jobs) to increase income.

During the survey, the survey team learned the basic information of women in the subproject area using participatory methods, and the overall evaluation is as follows: Women in the subproject area enjoy good status, and major household matters are determined jointly by the couple. Women do housework mainly and some relatively easy farming work, and men mostly engage in farming or work outside.

Boys and girls have equal opportunities in education, and parents are always willing to support their children's education.

According to the survey, women have the same concerns as those of men: (a) Compensation costs should be based on land output and resettlement cost; (b) Compensation fees should be disbursed directly to the AHs.

Women have the following needs that are different from those of men: (a) Women want skills training in crop cultivation and stockbreeding; and (b) Women also expect

to participate in village-level management (see Section 5.5).

2.8.4 Impacts on Ethnic Minorities

There is no ethnic minority in the population affected by land acquisition and resettlement. There are some ethnic minorities in the irrigation areas that will benefit from this subproject; these issues are addressed in the a separate Ethnic Minority Specific Actions.

3 Socioeconomic Profile of the Subproject Area

3.1 Socioeconomic Profile of Affected City and District (County)

Guiyang Municipality is located in central Guizhou Province, and is the capital city of Guizhou Province, an important integrated industrial base, and a hub of commercial and tourist services in southwestern China. Guiyang governs 6 districts (Yunyan, Nanming, Xiaohe, Huaxi, Xifeng and Baiyun), one city (Kaiyang) and 3 counties (Kaiyang, Kaiyang and Xiuwen). At the end of 2010, Guiyang had a population of 4.325 million, including an agricultural population of 2.946 million, a cultivated area of 4.109 million mu, and a GDP of 112.182 billion yuan, in which the GDP of primary industries was 5.71 billion yuan, that of secondary industries 45.695 billion yuan and that of tertiary industries 60.776 billion yuan. Fiscal revenue was 30.464 billion yuan, the per capita net income of farmers was 5,976 yuan, and the per capita disposable income of urban residents was 16,579 yuan.

According to the 2010 statistics of Kaiyang County, the county's land area is 2,026 km², including 519,900 mu of cultivated land. The county's population is 434,900, including an agricultural population of 367,700 and an ethnic minority population (Buyi and Miao people mainly) of 46,400, per capita cultivated area 1.43 mu (for the agricultural population), gross grain output 144,600 tons, 332.47kg per capita, and population density 211.65 persons/km². The county governs 16 townships and 121 village/community committees.

The county grows cereal crops mainly, and the main cash crops are fire cured tobacco, vegetables and rape. In 2010, the county's GDP was 6.232 billion yuan, in which gross agricultural output value was 1.215 billion yuan, gross industrial output value 3.16 billion yuan, the gross output value of tertiary industries 1.857 billion yuan, gross fiscal revenue 1.036 billion yuan, including local fiscal revenue of 500 million yuan, and the per capita net income of farmers was 5,393 yuan. The county's industry is relatively developed.

The county's main minerals are phosphate ore, coal, iron ore and limestone; and forest coverage rate is 42%.

The county's traffic is convenient, and all its townships are connected by township highways. See Table 3-1.

Table 3-1 Socioeconomic Conditions of Affected City and County

No.	Indicator	Unit	Guiyang Municipality	Kaiyang County
1	Population	0,000	432.5	43.39
1.1	Agricultural population	0,000	294.6	36.77
1.2	Minority population	0,000	72.2	4.64
2	Cultivated area	0,000 mu	410.9	51.99
3	GDP	10 ⁸ yuan	1121.82	62.32
3.1	Primary industries	10 ⁸ yuan	57.1	12.15
3.2	Secondary industries	10 ⁸ yuan	456.95	31.6
3.3	Tertiary industries	10 ⁸ yuan	607.76	18.57
4	Fiscal revenue	10 ⁸ yuan	304.64	5.01
5	Per capita disposable income of urban residents	yuan	16597	15707

No.	Indicator	Unit	Guiyang Municipality	Kaiyang County
6	Per capita net income of farmers	yuan	5976	5393

3.2 Socioeconomic Profile of Affected Township

The Subproject affects Longshui Xiang, whose socioeconomic indicators are shown in Table 3-2.

Table 3-2 Basic Information of Longshui Xiang Affected by Land Acquisition⁴

Indicator	Unit	Longshui Xiang
# of households	/	3037
Population	/	12758
Agricultural population	/	12271
Cultivated area	mu	21960
Per capita cultivated area of agricultural population	mu	1.8
GDP	0,000 yuan	12213
Where: agriculture	0,000 yuan	6357
Industry	0,000 yuan	5856
Tertiary industries	0,000 yuan	57
Per capita net income of farmers	yuan/person	4252

3.3 Socioeconomic Profile of Affected Village Groups

Among the 13 groups of the 4 villages surveyed, average population is 2.92-5 per household, per capita cultivated area 1.14-2.28 mu and per capita income 4,264-4,324 yuan. There is no industrial or processing enterprise in the affected villages, and their economy is focused on agriculture and stockbreeding, where the main food crops are paddy rice, corn, potatoes and rape, and the main cash crops are fruit trees and medicinal materials. See Table 3-3.

Table 3-3 Basic Information of Group Villages Affected by Land Acquisition

Township	Village	Group	House-holds	Population	Cultivated area (mu)	Per capita cultivated area (mu)	Per capita net income of farmers (yuan)
Longshui Xiang	Heping	Maozhulin	27	108	190.0	1.76	4278
		Pingshang	36	157	281.0	1.79	4286
		Leipen	61	305	500.5	1.64	4317
	Subtotal		124	570	971.5	1.70	4293
	Xinchang	Huomagou	32	125	142.5	1.14	4297
		Dalongdong	43	182	338.5	1.86	4305
		Shuiwei	37	163	316.0	1.94	4311
		Guanyan	48	202	308.9	1.53	4314
	Subtotal		160	672	1105.9	1.65	4306
	Longjiang	Goupi	78	228	519.4	2.28	4288
		Shui'er	61	228	449.2	1.97	4264
		Dihua	27	131	198.7	1.52	4324
		Changyan	36	154	325.7	2.11	4313
	Subtotal		202	741	1493	2.01	4297
	Huashan	Hegou	24	96	208.8	2.18	4284
		Siliping	69	287	622.9	2.17	4309
	Subtotal		93	383	831.7	2.17	8593

⁴ The data were collected in 2011 and will be updated in the baseline report. Same as below.

Total	579	2366	4402.1	1.86	4297
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3.4 Socioeconomic Profile of Affected Population

During the survey, 56 households with 225 persons within the reservoir inundation area were surveyed, accounting for 65% and 63.7% of the 86 households with 353 persons affected by land acquisition respectively.

3.4.1 Age Structure and Gender

Among the 225 APs, 56 are under 17 years, accounting for 25%, 132 are 17-60 years old, accounting for 58.6%, and 37 are 60 years or above, accounting for 16.4%. The average population per household is 4.01. There are 109 women, accounting for 48.44%. All these women belong to agricultural population and mostly do farm work at home, a small part of them work outside in the slack season.

3.4.2 Educational Level

Among the 225 APs, 11 have received senior high school or above education, accounting for 4.8%, 79 have received junior college education, accounting for 35.1%, 104 have received primary school education, accounting for 46.2%, and 31 are uneducated, accounting for 13.7%. In general, the educational level of the affected population is low.

3.4.3 Occupations

Among the 225 APs, there are 160 laborers, including agricultural laborers of 115, accounting for 71.8%, and 45 work outside, accounting for 28.2%.

3.4.4 Cultivated Land and Household Properties

Among the AHs, average cultivated area is 7.51 mu per household within the subproject area, 1.68 mu per capita. An average household has one television set, 0.45 DVD player, 0.75 electric fan, 0.67 washing machine, 0.71 motorcycle, and 2.89 pieces of large furniture, such as sofa, wardrobe and writing desk.

3.4.5 Income of APs

According to a statistical analysis, the per capita annual income of the AHs is 4,990 yuan in 2011, in which agricultural income is 1,635 yuan, accounting for 32.77%, and employment income 2,500 yuan, accounting for 50.1%. The main income sources of farmers are farming and employment, which is consistent with the local industry structure in which agriculture and labor export are equally important. Women usually do farm work while taking care of old people and children, and male laborers are usually working outside.

The per capita annual gross expenditure of the AHs is 3,136 yuan, in which productive expenses are 393 yuan, accounting for 22.1%, and consumer expenses 2,443 yuan, accounting for 77.9%. Per capita net income is 4,297 yuan. See Table 3-4.

Table 3-4 Income and Expenditure Analysis of AHs

Item		Average per household (yuan)	Per capita (yuan/person)	Percentage (%)
Annual income	Agricultural income	6703.5	1635	32.77%
	Income from sideline operations	1045.5	255	5.11%
	Employment income	10250	2500	50.10%
	Other income	2460	600	12.02%
	Gross income	20459	4990	100.00%

Item		Average per household (yuan)	Per capita (yuan/person)	Percentage (%)
Productive expenses	Seeds	350	85	12.31%
	Fertilizers and pesticides	2235	453	65.33%
	Irrigation costs	100	52	7.50%
	Labor and machine costs	550	103	14.86%
	Subtotal	3235	693	100.00%
Net income		17224	4297	86.1% of gross
Consumer expenses	Electricity expenses	530	129	5.29%
	Domestic water expenses	50	12	0.50%
	Communication charges	600	146	5.99%
	Educational expenses	1785	435	17.82%
	Medical expenses	750	183	7.49%
	Fuel expenses	1300	317	12.98%
	Non-staple food expenses	4400	1073	43.93%
	Other	600	146	5.99%
	Subtotal	10015	2443	100.00%
Gross expenditure		13250	3136	73.0%*
Savings		7209	1854	27.0%*

* - percent of net income

4 Legal Framework and Policies

4.1 Laws, Regulations and Policies on Resettlement

The resettlement policies of the Subproject are based mainly on the applicable regulations and policies of ADB and the PRC, including:

ADB policies

- Involuntary Resettlement, November 1995⁵
- Handbook on Resettlement: A Guide to Good Practice, 1998
- Operations Manual (OM/F2), October 2003.

State laws and regulations

- Land Administration Law of the PRC (effective from January 1, 1999, amended on August 28, 2004)
- Decision of the State Council on Deepening the Reform and Rigidly Enforcing Land Administration (SC [2004] No.28) (effective from October 21, 2004)
- Guidelines on Improving Compensation and Resettlement Systems for Land Acquisition (MLR [2004] No.238) (effective from November 3, 2004)
- Notice on Issuing the Interim Administrative Measures for the Collection and Utilization of Forest Vegetation Restoration costs (MOF General [2002] No.73 of the Ministry of Finance and the State Forestry Administration).

Applicable policies of Guizhou Province and Guiyang Municipality

- Land Administration Regulations of Guizhou Province (effective from January 1, 2001);
- Administrative Measures for Compensation for the Acquisition and Occupation of Woodland of Guizhou Province (Decree No.124 of the Guizhou Provincial Government);
- Opinions of the Guizhou Provincial Government on Deepening the Reform and Rigidly Enforcing Land Administration (GPG [2005] No.17) (effective from June 21, 2005)
- Notice of the Provincial Government on Strengthening the Land Acquisition Management of Key Construction Projects (GPG [2004] No.5)
- Notice of the Guiyang Municipal Government on the Promulgation and Implementation of Uniform AAOVs and Location-based Compensation Rates for Land Acquisition (GMG [2009] No.100);
- Compensation Rates for Ground Attachments Submitted by the Kaiyang County Government to the Guiyang Municipal Government for Approval.

4.2 ADB Policies

The objectives of ADB's Policy on Involuntary Resettlement are to avoid involuntary resettlement wherever possible; to minimize involuntary resettlement by exploring project and design alternatives; to enhance, or at least restore, the livelihoods of all displaced persons in real terms relative to pre-project levels; and to improve the standards of living of the displaced poor and other vulnerable groups.

For any project that requires involuntary resettlement, resettlement should be an integral part of project design and should be dealt with from the earliest stage of the project cycle, taking into account the following basic principles:

1. Screen the project early on to identify past, present, and future involuntary

⁵ ADB's safeguard policies were updated in 2009; since this project was approved in October 2009, before the new policy became effective. However, this resettlement plan is consistent with the new requirements.

- resettlement impacts and risks. Determine the scope of resettlement planning through a survey and/or census of displaced persons, including a gender analysis, specifically related to resettlement impacts and risks.
2. Carry out meaningful consultations with affected persons, host communities, and concerned nongovernment organizations. Inform all displaced persons of their entitlements and resettlement options. Ensure their participation in planning, implementation, and monitoring and evaluation of resettlement programs. Pay particular attention to the needs of vulnerable groups, especially those below the poverty line, the landless, the elderly, women and children, and Indigenous Peoples, and those without legal title to land, and ensure their participation in consultations. Establish a grievance redress mechanism to receive and facilitate resolution of the affected persons' concerns. Support the social and cultural institutions of displaced persons and their host population. Where involuntary resettlement impacts and risks are highly complex and sensitive, compensation and resettlement decisions should be preceded by a social preparation phase.
 3. Improve, or at least restore, the livelihoods of all displaced persons through (i) land-based resettlement strategies when affected livelihoods are land based where possible or cash compensation at replacement value for land when the loss of land does not undermine livelihoods, (ii) prompt replacement of assets with access to assets of equal or higher value, (iii) prompt compensation at full replacement cost for assets that cannot be restored, and (iv) additional revenues and services through benefit sharing schemes where possible.
 4. Provide physically and economically displaced persons with needed assistance, including the following: (i) if there is relocation, secured tenure to relocation land, better housing at resettlement sites with comparable access to employment and production opportunities, integration of resettled persons economically and socially into their host communities, and extension of project benefits to host communities; (ii) transitional support and development assistance, such as land development, credit facilities, training, or employment opportunities; and (iii) civic infrastructure and community services, as required.
 5. Improve the standards of living of the displaced poor and other vulnerable groups, including women, to at least national minimum standards. In rural areas provide them with legal and affordable access to land and resources, and in urban areas provide them with appropriate income sources and legal and affordable access to adequate housing.
 6. Develop procedures in a transparent, consistent, and equitable manner if land acquisition is through negotiated settlement to ensure that those people who enter into negotiated settlements will maintain the same or better income and livelihood status.
 7. Ensure that displaced persons without titles to land or any recognizable legal rights to land are eligible for resettlement assistance and compensation for loss of no land assets.
 8. Prepare a resettlement plan elaborating on displaced persons' entitlements, the income and livelihood restoration strategy, institutional arrangements, monitoring and reporting framework, budget, and time-bound implementation schedule.
 9. Disclose a draft resettlement plan, including documentation of the consultation process in a timely manner, before project appraisal, in an accessible place and a form and language(s) understandable to affected persons and other stakeholders. Disclose the final resettlement plan and its updates to affected persons and other stakeholders.
 10. Conceive and execute involuntary resettlement as part of a development project or program. Include the full costs of resettlement in the presentation of project's

costs and benefits. For a project with significant involuntary resettlement impacts, consider implementing the involuntary resettlement component of the project as a stand-alone operation.

11. Pay compensation and provide other resettlement entitlements before physical or economic displacement. Implement the resettlement plan under close supervision throughout project implementation.
12. Monitor and assess resettlement outcomes, their impacts on the standards of living of displaced persons, and whether the objectives of the resettlement plan have been achieved by taking into account the baseline conditions and the results of resettlement monitoring. Disclose monitoring reports.

4.3 Laws and Policies of the PRC

4.3.1 Provisions on Land Acquisition

The Land Administration Law of the PRC is the main policy basis of the Subproject. In order to further define the principles for compensation for land acquisition and resettlement, compensation rates, land acquisition procedures, and monitoring mechanism, the State Council promulgated the Decision of the State Council on Deepening the Reform and Rigidly Enforcing Land Administration (SC [2004] No.28) in October 2004. Correspondingly, the Ministry of Land and Resources promulgated the Guidelines on Improving Compensation and Resettlement Systems for Land Acquisition (MLR [2004] No.238) in November 2004. In addition, the Guizhou Provincial Government promulgated the Notice of the Provincial Government on Strengthening the Land Acquisition Management of Key Construction Projects (GPG [2004] No.5), and the Guiyang Municipal Government promulgated the Notice of the Guiyang Municipal Government on the Promulgation and Implementation of Uniform AAOVs and Location-based Compensation Rates for Land Acquisition (GMG [2009] No.100), as set out in Section 4.1 above. These policies provide important guidelines on resettlement. Table 4-1 describes the key points of these policies and their application to the Subproject.

Table 4-1 Policies on Land Acquisition and Their Application

No.	Item	Land Administration Law of the PRC	SC [2004] No.28	MLR [2004] No.238	Land Administration Regulations of Guizhou Province	GPG [2005] No.17 and GMG [2009] No.100	Implementation measures
1	RP	A plan for land acquisition and resettlement shall be determined.	/	/	/	/	Preparation of the RP
2	Compensation for land acquisition	(1) In requisitioning land, compensation should be made according to the original purposes of the land requisitioned; (2) Compensation fees for land requisitioned include land compensation fees, resettlement fees and compensation for attachments to or green crops on the land.	(1) Land compensation fees, resettlement subsidies, and compensation fees for ground attachments and young crops shall be paid fully and timely according to law. If the standard of living of APs cannot be restored, resettlement subsidies may be increased with the approval of local governments; (2) Uniform AAOVs or location-based integrated land rates for land acquisition shall be fixed; (3) Land compensation fees shall be fully included in the budget.	(1) Fixation of uniform AVO rates; (2) fixation of uniform AVO multiples; (3) fixation of location-based integrated land prices; (4) allocation of land compensation fees	Detailed compensation policies and rates suited to Guizhou Province's practical conditions shall be formulated based on the Land Administration Law.	Similar to SC [2004] No.28	(1) The RP will comply strictly with the applicable policies of the state, Guizhou Province and Guiyang Municipality; (2) The AAOV rates for land acquisition should comply with the applicable provisions of Guiyang Municipality; (3) Compensation for land acquisition will be subject to location-based prices; (4) All resettlement costs will be included in the gross investment of the Subproject.
3	Mode of resettlement	(1) Rural collective economic organizations and peasants shall be supported in their efforts	(1) For projects with stable income, farmers' land use rights may be converted into shares;	(1) Resettlement by agricultural production; (2)	Similar to the Land Administration Law	Similar to SC [2004] No.28; additional provisions: (1) If land-expropriated farmers	(1) Cash compensation, crop restructuring, improving medium-

No.	Item	Land Administration Law of the PRC	SC [2004] No.28	MLR [2004] No.238	Land Administration Regulations of Guizhou Province	GPG [2005] No.17 and GMG [2009] No.100	Implementation measures
		toward development and operations or in starting up enterprises.	(2) in the urban planning area, the employment and social security systems shall be improved to ensure APs' livelihoods; (3) out of the urban planning area, APs shall be resettlement by land reallocation, employment or relocation; and (4) Employment training shall be provided to APs.	resettlement by reemployment; (3) resettlement by equity participation; (4) Relocation		are to be resettled by land reallocation, land may be set aside in an area appropriate for urban construction as retained land for farmers to run enterprises jointly; (2) For retained land, the local government may improve urban infrastructure for the resettlement of land-expropriated farmers. After the land for central resettlement has been approved, it may be supplied by allocation, but shall not be transferred or used for real estate development without authorization.	and low-yield field and developing stockbreeding will be adopted as APs may wish; (2) During project implementation, unskilled jobs will be provided to APs first; (3) Displaced persons will be provided with skills training.
4	Land acquisition procedures and information disclosure	(1) For requisition of land by the State the local governments at and above the county level shall make an announcement and organize the implementation after the approval according to the legal procedures. (2) After	(1) Land acquisition information, compensation rates and resettlement options shall be disclosed; (2) The land acquisition survey results shall be confirmed; (3) If necessary, a public	(1) Land acquisition shall be disclosed; (2) The land acquisition survey results shall be confirmed; (3) A public hearing	Similar to the Land Administration Law	Similar to SC [2004] No.28	(1) A DMS shall be conducted using a 1/1,000 map, and the results shall be confirmed by APs; (2) A public participation and policy consultation meeting shall be

No.	Item	Land Administration Law of the PRC	SC [2004] No.28	MLR [2004] No.238	Land Administration Regulations of Guizhou Province	GPG [2005] No.17 and GMG [2009] No.100	Implementation measures
		the plan for land compensation and resettlement fees is finalized, related local governments shall make an announcement and hear the opinions of the rural collective economic organizations and peasants whose land has been requisitioned.	hearing on land acquisition shall be organized; and (4) A sound coordination and ruling mechanism for disputes over compensation and resettlement for land acquisition shall be established.	on land acquisition shall be organized			held; (3) The RP shall be distributed; (4) The land acquisition procedures shall be followed.
5	Supervision of implementation of land acquisition	(1) Rural collective economic organizations shall make public to its members the receipts and expenditures of the land compensation fees for land requisitioned and accept their supervision.	(1) If compensation and resettlement land acquisition has not been completed, acquired land shall not be used forcibly; (2) Measures for the allocation of land compensation fees shall be formulated to cover farmers affected by land acquisition; (3) payments and receipts of land compensation fees shall be disclosed for supervision by APs.	(1) Information on land acquisition approval shall be disclosed; (2) Compensation and resettlement fees for land acquisition shall be paid; (3) Post-acquisition supervision and inspection	(1) The administrative measures for the use of land compensation fees shall be determined by members of the affected collective economic organization or village committee through voting, and payments and receipts thereof shall be disclosed at least every 6 months, and be subject to supervision by villagers.	Similar to SC [2004] No.28	(1) Internal and external M&E will be conducted; (2) Compensation fees will be paid directly to the affected village groups and villagers, and disclosed; (3) The Guiyang PMO, and the land and resources bureau will conduct supervision and inspection; (4) The use of resettlement funds will be audited.

4.4 Principles and Eligibility for Compensation of the Subproject

4.4.1 Principles for Compensation

The principles for compensation and entitlement of the Subproject have been formulated in accordance with the laws, regulations and policies of the Chinese government and ADB, with the aim of ensuring that APs can obtain sufficient compensation and assistance measures so that their production and livelihoods are at least restored to pre-displacement levels. The principles for resettlement are shown in Table 4-2.

Table 4-2 Resettlement Principles of the Subproject

Principles	
1	Involuntary resettlement should be avoided where feasible.
2	The APs are granted compensation and rights that can at least maintain or even improve their livelihoods in the absence of the project.
3	The APs are given compensation and assistance in resettlement whether legal title is available or not.
4	The APs must benefit directly from the project.
5	The economic compensation shall ensure that everyone will at least maintain their standard of living after resettlement
6	If the land available to everyone is insufficient to maintain his/her livelihood, replacement in cash or in kind and other income-generating activities are provided for the lost land.
7	The APs fully understand their entitlements, the method and standard of compensation, the livelihood and income restoration plan, and the project schedule, and participate in the implementation of the Resettlement Plan.
8	No land should be acquired before the APs are satisfied with the compensation and resettlement (plan).
9	The executing agency and an independent agency / third party should monitor the compensation, relocation and resettlement operations.
10	The vulnerable groups (including women) are provided special assistance or treatment so that they lead a better life, and all APs should have an opportunity to benefit from the project.
11	The resettlement expenses are sufficient to cover all affected aspects.

4.4.2 Eligibility for Compensation and Beneficiaries

The cut-off date for the eligibility for compensation is the date on which the local government issues an order to cease construction, namely December 28, 2009 (see Appendix 2 for the order to cease construction). Any newly built house or newly planted tree by APs in the subproject area after this date will not be entitled to compensation or resettlement. Before the order to cease construction is issued, all APs meeting the following conditions will be entitled to compensation and resettlement. See Table 4-3.

Table 4-3 Eligibility for Compensation

Component	Type
Reservoir area (including inundation area and damsite area)	APs losing houses and land within the range of land acquisition
Access road, canal works, water delivery pipeline and stockyard, etc.	APs losing houses and land within the range of land acquisition for the water delivery pipeline, access road, canal works and stockyard

4.5 Determination of Compensation Rates of the Subproject

4.5.1 Compensation for Acquisition of Collective Land

The compensation rates for the acquisition of collective land of the Subproject have been determined in accordance with the Notice of the Guiyang Municipal Government on the Promulgation and Implementation of Uniform AAOVs and Location-based Compensation Rates for Land Acquisition (GMG [2009] No.100). See Table 4-4.

Table 4-4 Compensation Rates for Land Acquisition

Land type	AAOV per mu	Compensation multiple	Subsidy multiple	Young crop compensation multiple	Compensation fees	Subsidy	Forest compensation fees	Young crop compensation fees	Total
Cultivated land in reservoir area	1500	10	10	0	15000	15000	0	0	30000
Cultivated land in dam area	1500	10	10	1	15000	15000	0	1500	31500
Timber forests	1500	7	3	0	10500	4500	2000	0	17000
Shrub forests	1500	7	3	0	10500	4500	1000	0	16000
Other farmland (slope land)	1500	5	3	0	7500	4500	0	0	12000
Unused land	1500	4	0		6000	0			6000

4.5.2 Compensation Rates for Temporary Land Occupation

According to the state and provincial regulations on temporary land occupation, young crop compensation fees will be paid for temporarily occupied land. Compensation shall be made for the actual period of occupation, and the rates shall be based on land AAOV. After the expiry of the occupation period, the occupied land will be restored by the construction agency, or the affected village groups or people as the APs may wish. The period of temporary land occupation of the Subproject will be two years.

Compensation fees for temporarily occupied cultivated land = period of occupation × AAOV + young crop compensation fees + compensation fees for the maturation period⁶

The compensation rate is 19,000 yuan/mu, where the period of occupation (2 years) multiplied by the AAOV is 3,000 yuan (two times the AAOV), compensation fees for the maturation period are 4,500 yuan (3 times the AAOV), young crop compensation fees are 1,500 yuan (one time the AAOV), and land restoration costs are 10,000 yuan (used for land restoration). For temporarily occupied woodland, compensation fees include timber compensation fees and woodland restoration costs.

To reduce the impact of land acquisition on young crops, construction will usually commence after harvesting or before sowing, as the case may be. See Table 4-5.

Table 4-5 Compensation Rates for Temporary Land Occupation

Land	AAOV	Land	Compensation multiple	Compensation rate (yuan/mu-year)
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⁶ Maturation period is aiming at the reclaimed temporarily-occupied-farmland. Since the AAOV of the reclaimed land is very low at the first 2-3 years, the compensation for maturation period is to make up the economic losses of this period.

type	(yuan)	restoration costs (yuan)	Period of occupation	Compensation fees for the maturation period	Young crop fees	Total	Land restoration costs	Land restoration costs	Compensation fees for the maturation period	Young crop fees	Total
Non-irrigated land	1500	10000	2	3	1	6	10000	3000	4500	1500	19000

4.5.3 Compensation Rates for Special Facilities

Since an existing natural field path will be inundated, the cultivation of the cultivated land above the inundation line will be affected. As strongly required by the affected group and farmers, and based on the opinions of the Longshui Xiang Government and the village committee concerned, 1.6km farming pathways will be built around the reservoir for the convenience of cultivation. See Table 4-6.

Table 4-6 Compensation Rate for Farming Pathways to Be Constructed

No.	Item	Unit	Rate (yuan/unit)
I	Attachment		
1	1.6km farming pathways	km	55,000

4.5.4 Reservoir Clean-up Costs

Reservoir clean-up costs will be 150 yuan/mu.

4.5.5 Other Costs and Tax Rates

See Table 4-7.

Table 4-7 Compensation Rates for Other Costs

No.	Item		Charging rate	Basis of charging
1	Farmland occupation tax		18 yuan/m ²	Interim Regulations of the PRC on Farmland Use Tax (Decree No.511 of the State Council) and Circular on the Average Amount and Starting Time of the Duty of Tax-payment of Farmland Occupation Tax (T&F [2007] No.176)
2	Land costs	restoration	16,000 yuan/mu	Notice of the General Office of the Guizhou Provincial Government on Transmitting on Forwarding the Opinions of the Ministry of Land and Resources, and the Provincial Department of Finance on Strengthening Land Development and Consolidation, and the Balance between the Occupation and Supplement of Cultivated Land (GPG Office [2007] No.101)
3	Forest vegetation restoration costs	Shrub forest	8 yuan/m ²	Notice on Issuing the Interim Administrative Measures for the Collection and Utilization of Forest Vegetation Restoration costs (MOF General [2002] No.73) and Administrative Measures for Compensation for the Acquisition and Occupation of Woodland of Guizhou

No.	Item		Charging rate	Basis of charging
				Province (Decree No.78 of the Guizhou Provincial Government)
4	Social security funds	Cultivated land	8,000 yuan/mu	GMG [2009] No.100
		Other land	3,200 yuan/mu	
5	Preparatory costs		2.5% of rural resettlement compensation fees, special facility reconstruction costs and reservoir clean-up costs	Specifications on land acquisition and resettlement design for construction of water resources and hydropower projects (SL290-2009)
6	Survey, design and scientific research costs		3% of rural resettlement compensation fees, special facility reconstruction costs and reservoir clean-up costs	
7	Implementation management costs		3% of rural resettlement compensation fees, special facility reconstruction costs and reservoir clean-up costs	
8	Implementing agency establishment costs		2% of rural resettlement compensation fees, special facility reconstruction costs and reservoir clean-up costs	
9	Technical training costs		0.5% of rural resettlement compensation fees	
10	M&E costs		1.5% of rural resettlement compensation fees, special facility reconstruction costs and reservoir clean-up costs	
11	Consulting costs	service	0.2% of rural resettlement compensation fees, special facility reconstruction costs and reservoir clean-up costs	
12	Contingencies		12% of the sum of compensation fees for land acquisition and resettlement, special facility restoration costs, and reservoir clean-up costs	

4.5.6 Social Security Funds

According to the Notice of the Guiyang Municipal Government on the Promulgation and Implementation of Uniform AAOVs and Location-based Compensation Rates for Land Acquisition (GMG [2009] No.100), the compensation rate for cultivated land is 8,000 yuan/mu, and that for woodland, land for construction, other farmland, unused land, garden land and pasture land is 3,200 yuan/mu. Upon project commencement, the owner shall pay social security funds at the social security agency. Social security funds shall be arranged by the government in a unified manner, and used mainly for all groups in society eligible for social security. Households affected by land acquisition eligible for social security are also covered. However, social security funds must be arranged by the government in a unified manner.

The social security funds for land acquisition and occupation of the Subproject are 1,224,100 yuan. Upon project commencement, such funds will be paid to the Labor and Social Security Bureau of Kaiyang County, and arranged by the Kaiyang

County Government in a unified manner. Any eligible household affected⁷ by land acquisition in the Subproject will be included in the social security system.

4.5.7 Vulnerable Groups

In addition to the above compensation policies for land acquisition, vulnerable groups affected by the Subproject are also entitled to the following preferential policies:

- Laborers in vulnerable households will be provided with occupational training, and employment information and guidance in order to increase their job opportunities.
- During project construction, recruit laborers from vulnerable households to do unskilled jobs.
- A special support fund will be established in cooperation with the Civil Affairs Bureau of Kaiyang County.

⁷ Only for the APs whose land area is lower than 0.3 mu after land acquisition

4.6 Entitlement Matrix

The entitlement matrix has been established in accordance with the applicable policies in this chapter, as shown in Table 4-6.

Table 4-6 Entitlement Matrix

Type of impact	Degree of impact	APs	Compensation and resettlement policy	Measures
Permanent land acquisition	192.93 mu of collective land, including 126.39 mu of cultivated land	86 households with 353 persons in 13 groups of 4 villages in Longshui Xiang, Kaiyang County	<ol style="list-style-type: none"> 1) The land compensation fee will be paid directly to the affected collective economic organization or village committee if they re-allocate land for the AHHs, otherwise all the compensation will be paid to the AHs. 2) The resettlement subsidy will be paid to the AHs based on negotiations. 3) The compensation for ground attachments and young crops will be paid to their proprietors. 4) The village collective and the village groups will organize land adjustment if necessary. 	<p>Measures for land compensation allocation, land reallocation and production investment (cultivation and irrigation skills, tertiary industries, etc.) will be determined by the village meeting. Direct cash compensation to APs is the agreed method.</p> <p>Training will be approved and supervised by the government at the next higher level.</p>
Temporary land occupation	76.4 mu of land will be occupied temporarily, including 52.7 mu of cultivated land	27 households with 121 persons in 7 groups of 4 villages in Longshui Xiang, Kaiyang County	<ol style="list-style-type: none"> 1) Compensation will made for the period of occupation and losses, and include young crop compensation fees and reclamation costs; the maximum period of occupation will be 2 years; 2) The occupied land will be restored to the original condition, and compensated for appropriately after occupation to minimize losses. 	<p>Temporary land occupation will be notified in advance and compensated for accordingly. The occupied land will be supervised by farmers, and the local land and resources bureaus.</p>

Type of impact	Degree of impact	APs	Compensation and resettlement policy	Measures
Women	/	178 women	1) Women will have priority in employment, and at least 30% of them will receive unskilled jobs; 2) Women will have priority in receiving free skills training; at least 50% of trainees will be female laborers; 3) Women will receive relevant information during resettlement, and are able to participate in resettlement consultation. Special women FGDs will be held to introduce resettlement policies. 4) The affected women will have equal rights in respect of land contracting, employment and skills training so that economic status will not be reduced.	The women's federation will provide acceptable education to women.
Ethnic minorities	Not involved	0	0	For the Ethnic minorities of the whole project area, will: 1. Increase irrigated area and income by improving irrigation conditions 2. Reduce agricultural investment and farmers' burden 3. Improve the quality of the minority population through various training and education programs 4. Increase job opportunities 5. Protect the minority population in the subproject area from construction disturbances.

Type of impact	Degree of impact	APs	Compensation and resettlement policy	Measures
Vulnerable groups	The disabled, widows and the poor (also MLS households)	6 households with 8 persons	1) The village collective retains the compensation, and provides subsidies to five-guarantee households monthly and free medical care; 2) Subsidy for the disabled; 3) During project construction, laborers from vulnerable households will be recruited to do unskilled jobs with priority. Two members (at least one woman) of each AH will receive livelihood training and prior job opportunities (e.g., outside employment and participation in project construction).	Vulnerable households will be re-identified at the beginning of resettlement implementation, and monitored closely until the completion of assistance measures. A special support fund will be established to provide assistance, and disbursed from contingencies.
Infrastructure and ground attachments	A 1.6km farming pathways, a tomb and 2,155 scattered trees	Proprietors	1) 1.6km of farming pathways will be built around the reservoir for the convenience of cultivation. 2) Compensation fees will be calculated and disbursed for ground attachments as stipulated.	
Grievances and appeals	/	All APs	Free; all costs so reasonably incurred will be disbursed from the contingencies	

5 Resettlement Measures

5.1 Objectives of Resettlement

Reasonable compensation and proper resettlement will be provided to ensure that the production level, income level and standard of living of APs will be restored or improved after resettlement. The objectives of resettlement of the Subproject are:

(1) The self-sufficiency of grain will be largely ensured; in areas relatively short of cultivated land, land yield will be increased through crop restructuring and land development;

(2) Measures will be taken to ensure that the production level and standard of living of APs can be restored to the pre-displaced levels;

(3) Public infrastructure, educational and medical facilities, social welfare, natural environment and traffic conditions will be equivalent to or better than pre-resettlement levels.

5.2 Principles for Resettlement and Rehabilitation

Some principles for resettlement and rehabilitation have been developed according to the above objectives:

(1) The willingness of APs should be respected, and their existing production and living traditions maintained;

(2) Resettlement rehabilitation programs should be tailored to impacts of land acquisition, and based on compensation rates for land acquisition;

(3) Resettlement rehabilitation programs should be combined with team construction, resources development, economic development and environmental protection programs so as to ensure the sustainable development of the affected village groups and persons; and

(4) The standard of living of vulnerable groups adversely affected by the Subproject should be improved.

5.3 Resettlement Rehabilitation Programs

5.3.1 Rehabilitation Program for Slightly Affected Village Groups

According to the impact analysis of land acquisition, the 13 affected groups of the 4 villages except Maozhulin Group will not be seriously affected by land acquisition, with a land loss rate of 0.37%-10%. After land acquisition, the per capita cultivated area of these 12 groups will be 1.02-2.27 mu, only 0.01-0.12 mu less than that before land acquisition. Among the 61 affected households with 252 persons in these 12 groups, no household has a land loss rate of over 40%. According to the willingness survey, 100% of the AHs prefer cash compensation without land reallocation or relocation. The APs plan to use land compensation fees for crop restructuring, stockbreeding or outside employment. See Table 5-1.

Table 5-1 Production Rehabilitation Plan for Slightly Affected Villages

Township	Village	Group	After land acquisition				Income loss			Compensation and resettlement		
			HHs	Population	Cultivated land (mu)	Land loss rate (%)	Annual loss (yuan)	Loss per household (yuan)	Per capita loss (yuan)	Land compensation fees (0,000 yuan)	Mode of resettlement	Per capita cultivated area after land acquisition (mu)
Longshui Xiang	Heping	Pingshang	10	37	11.93	4.25%	17895	1789	484	35.79	One-time compensation plus training for seriously affected HHs	
		Leipen	2	10	4.33	0.87%	6495	3247	649	12.99	One-time compensation plus training for seriously affected HHs	1.63
	Subtotal		12	47	16.26	2.8%	24390	5036	1133	48.78		
	Xinchang	Huomagou	17	70	14.63	10.27%	21945	1291	314	43.89	One-time compensation plus training for seriously affected HHs	1.02
		Dalongdong	8	36	11.17	3.30%	16755	2094	465	33.51	One-time compensation plus training for seriously affected HHs	1.8
		Shuiwei	3	13	2.07	0.66%	3105	1035	239	6.21	One-time compensation	1.93
		Guanyan	4	17	3.1	1.01%	4650	1162	273	9.30	One-time compensation	1.51
	Subtotal		32	136	30.97	2.80%	46455	1452	342	92.91		
	Longjiang	Goupi	3	12	2.61	0.51%	3915	1305	326	7.83	One-time compensation	2.27
		Shui'er	3	11	2.06	0.46%	3090	1030	281	6.18	One-time compensation	1.96
		Dihua	2	7	1.1	0.56%	1650	825	236	3.30	One-time compensation	1.51
		Changyan	1	5	0.67	0.21%	1005	1005	201	2.01	One-time compensation	2.11
	Subtotal		9	35	6.44	0.44%	9660	1073	276	19.32		
	Huashan	Hegou	5	21	3.46	1.66%	5190	1038	247	10.38	One-time compensation	2.16
		Siliping	3	13	2.27	0.37%	3405	1135	262	6.81	One-time compensation	2.16
	Subtotal		8	34	5.73	0.69%	8595	1074	253	17.19		
Total			61	252	59.4	2.88%	189585	2204	537	178.20		

5.3.2 Rehabilitation Program for Seriously Affected Village Groups

According to the impact analysis of land acquisition, Maozhulin Group of Heping Village will be more seriously affected. To ensure that the APs of this group have opportunities to improve or at least restore their production level and standard of living, production restoration programs suited to their practical conditions have been developed in addition to compensation for their acquired land.

Maozhulin Group is located in the northeast of Longshui Xiang and within the reservoir inundation area, 6km away from the seat of the Xiang government, with 27 households with 108 persons. This group engages mainly in farming, with a cultivated area of 190 mu, 1.76 mu per capita. The per capita net income of farmers is 4,297 yuan, which is moderate in Longshui Xiang.

95.16 mu of collective land of this group will be acquired, including 66.99 mu of cultivated land, with a land loss rate of 35.26%; 25 households with 101 persons will be affected by land acquisition. Land acquisition will result in a per capita loss of 0.62 mu of cultivated land, and per capita cultivated area will be 1.14 mu after land acquisition. Among the 25 AHs with 101 persons, 12 households with 39 persons have a land loss rate of over 50%.

To ensure the basic food supply of these 12 AHs and also the other 13 AHs in this group, since there is only a small amount of cultivated land, which is the village reserve land and not far away from their original land, to be transferred voluntarily for resettlement (10 mu), which can resettle 2 households with 7 persons; after resettlement, the per capita cultivated area of these 2 households will be 1.62 mu. 5 households with 20 persons will be resettled on 35 mu of cultivated land transferred out from Leipen Group by using the village reserve land, and their per capita cultivated area will be 1.75 mu after resettlement. The other 3 households with 12 persons are willing to receive one-time compensation. After the above measures are taken, the standard of living of the AHs will not be reduced. For the 7 households with 27 persons to be resettled on reallocated land, compensation fees for cultivated land inundation will be paid to the households transferring out their cultivated land (host APs) at the compensation rate (i.e., 1,350,000 yuan). See Appendix 3 for the letter of intent for cultivated land transfer and the Surplus Land Survey Form. Table 5-2 summarizes to expected resettlement modes for these seriously AHs.

Table 5-2 Expected Resettlement Modes of AHs with a Land Loss Rate of 50% or More

Mode of resettlement	Transferred land area (mu)	Number of households resettled	Per capita cultivated area after resettlement (mu)
Land reallocation within the group	10	2	1.62
Land reallocation out of the group (from Leipen Group)	35	5	1.75
Cash compensation	0	3	1.31

The land compensation fees and resettlement subsidies for the acquired land of this group are 2,057,800 yuan, 22 times of expected annual income loss. See Table 5-3.

Table 5-3.

Table 5-3 Summary of Income Losses and Compensation Fees of Maozhulin Group

Affected Group	Expected income loss (0,000 yuan/year)	Land compensation fees (0,000 yuan)		
		Land compensation	Resettlement subsidy	Total

			fees		
Heping	Maozhulin	10.5	102.89	102.89	205.78

Through analysis and consultation with the APs, the income restoration measures for this group are as follows:

(a) Improving soil quality, and improving 70 mu of low-yield field: The remaining land will be improved to grow cash crops. Average investment will be 1,600 yuan/mu, annual additional gross income will be 1,550 yuan/mu, and annual additional net income will be 950 yuan/mu (net of material costs). 108 persons will benefit with an per capita income increase of 615 yuan.

(b) Growing 50 mu of fruit trees: Average investment will be 650 yuan/mu, total investment will be 32,500 yuan. After 5 years, annual additional gross income will be 2,400 yuan/mu, and annual additional net income will be 1,550 yuan/mu (net of material costs). 108 persons will benefit with an per capita income increase of 717 yuan.

(c) Stockbreeding: 2 pigs will be raised per household on average, with an investment of 1,200 yuan per pig; average household net income will be 1,600 yuan, and per capita net income will be 400 yuan. See Table 5-4.

Table 5-4

Table 5-4 Summary of Income Restoration Measures of Maozhulin Group

No.	Production restoration measure	Investment (0,000 yuan)	Beneficiary population	Additional net income (0,000 yuan)	Per capita additional net income (yuan/person)
1	Improvement of 70 mu of soil	11.20	108	6.65	615
2	Fruit trees of 50 mu	3.25	108	7.75	717
3	Stockbreeding	6.48	108	4.32	400
Total		20.93	108	18.72	1732

It is estimated that the annual income of this group will be reduced by 100,500 yuan. Through the above measures, the households affected by land acquisition will increase income by 187,200 yuan. Therefore, the standard of living of the APs will be restored and improved. See Table 5-5.

Table 5-5

Table 5-5 Summary of Expected Income Restoration for Maozhulin Group

Group	Reduction in annual income (0,000 yuan/year)	Additional income from production restoration measures (0,000 yuan/year)				Additional income – reduced income (0,000 yuan)
		Soil improvement	Crop cultivation	Stock breeding	Total	
Maozhulin	10.05	6.65	7.75	4.32	18.72	8.67

The restoration program for this group needs a gross investment of 209,300 yuan, plus 1,350,000 yuan for reallocated farmland. This village will receive land compensation fees of 2,057,800 yuan, as shown in Table 5-6. Therefore, the restoration program will be well funded.

Table 5-6 Balance Sheet for Income Restoration Measures of Maozhulin Group

Group	Investment in production restoration measures (0,000 yuan)	Land compensation	Land reallocation	Savings (0,000)
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	Investment in soil improvement	Crop restructuring	Stock breeding	Gross investment	fees (0,000 yuan)	costs (0,000 yuan)	yuan)
Maozhulin	11.20	3.25	4.32	20.93	205.78	135.00	49.85

In addition, to reduce the risk of income restoration, the PMO will provide skills training on crop restructuring to the APs, provide them with market information, and give priority to them in employment for project construction.

To the seriously affected households (losing 20% or more of land), 2 members (at least one woman) of each AH will receive livelihood training and prior job opportunities (e.g., outside employment and participation in project construction).

5.4 Resettlement Training

Project implementation will result in adjustments to the agricultural structure of the subproject area. In order to provide technical guidance in this respect to the AHs, the Kaiyang PMO has set aside special funds of 36,300 yuan to provide skills training to the AHs together with agricultural authorities. After the training, it will set up technical assistance stations to help solve specific problems. See Table 5-7.

Table 5-7

Table 5-7 Resettlement Training Schedule

Time	Location	Mode	Trainees	Number of partici pants	Among which: female	Training content	Funding (yuan)	Status
May 2012	Longshui Xiang Government	Lecture	APs	100	40	Fruit tree and crop cultivation	15000	Conducted
June 2013	Longshui Xiang Government	Lecture	APss	100	16	electric motor training	15000	Conducted
June 2014	Longshui Xiang Government	Lecture	APss	100	53	Seeds and vegetable planting	15000	Conducted
May 2015	Longshui Xiang Government	Lecture	APss	100	55	Skills training (nonagricultu ral)	15000	planned

5.5 Protection of Women's Rights and Interests

At the RP preparation stage, women in the subproject area took an active part in the impact survey, and were consulted about ideas on income restoration programs. Women support the Subproject, and think the Subproject will result in crop restructuring and improve living conditions. In addition, they expect training on employment for project construction, and crop and fruit tree cultivation.

According to the project design, average workforce will be 120 persons/day during project construction, in which unskilled jobs account for 70%, namely 84 persons/day, with an average pay of 60 yuan/day. A certain number of affected women will receive unskilled jobs (at least 30% of all unskilled jobs) during project construction. Priority will be given to affected female laborers in skills training so as to ensure that their economic status will not be reduced. At least 50% of trainees will be female laborers. In addition, during resettlement implementation, women will have the right to obtain relevant information and participate in resettlement like other APs.

Women have the same right with men when signing the compensation contract, receiving the payment and using the payment for livelihood restoration. Women will participate in village-level management.

5.6 Minority Development

There is no ethnic minority affected by land acquisition and resettlement.

5.7 Supporting Measures for Vulnerable Groups

According to the survey, 6 households with 8 persons affected by land acquisition fall into vulnerable groups. During the whole resettlement process, the PMO will pay particular attention to the resettlement of vulnerable groups. In addition to the living and production resettlement measures under the RP, vulnerable groups will be provided certain assistance to improve their living and production conditions.

The Kaiyang PMO attaches particular importance to the resettlement of vulnerable groups. In addition to their production and living resettlement according to this RP, a special support fund of 20,000 yuan will be established to support them. The PMO will use this fund for living subsidies of vulnerable groups during displacement and at the early stage of resettlement together with the county labor and social security bureau, and civil affairs bureau. The main measures as follows:

1) The disabled, five-guarantee households and widows

- The civil affairs and other departments will provide MLS and poverty subsidies; the village collective retains the compensation, and provides subsidies to vulnerable households monthly and free medical care;
- Subsidy for the disabled;
- During project construction, recruit laborers from vulnerable households to do unskilled jobs.

2) Poor households

- Two members (at least one woman) of each AH will receive livelihood training and prior job opportunities (e.g., outside employment and participation in project construction).

5.8 Restoration of Temporarily Occupied Land

76.4 mu of land will be occupied temporarily for the Subproject, including 52.7 mu of cultivated land. At the construction stage, compensation fees for temporary land occupation will be paid directly to the households affected by temporary land occupation. Through extensive consultation, after the completion of construction, the temporarily occupied rural collective land may be restored by the construction agency, or the village collective or APs as determined by AP representatives, the village collective and the implementing agency. To reduce the impact of land acquisition on young crops, construction will usually commence after harvesting or before sowing, and will be notified to the AHs in advance to reduce their losses.

5.9 Restoration of Infrastructure and Ground Attachments

Since an existing natural field path will be inundated, the cultivation of the cultivated land above the inundation line will be affected. As strongly required by the affected group and farmers, and based on the opinions of the Longshui Xiang Government and the village committee concerned, 1.6km of farming pathways will be built around the reservoir for the convenience of cultivation. The investment is included in the resettlement budget of the Subproject.

6 Organizational Structure and Responsibilities

6.1 Management Agencies for Resettlement Implementation

6.1.1 Organizational Setup

To ensure successful land acquisition resettlement as desired, the Guiyang Municipal Government has established a project leading group for coordination of project preparation and implementation. The Leading Group is headed by a deputy major of Guiyang Municipality, and is composed of leaders of the water resources bureau, land and resources bureaus, finance bureau and civil affairs bureau. The members have rich experience in land acquisition and resettlement. The Guiyang PMO is established under the Leading Group, responsible mainly for project preparation, organizational coordination, implementation and management. The Guiyang PMO has established a special social and environmental resettlement office, where 3 persons are responsible specifically for land acquisition and resettlement activities.

Correspondingly, the Kaiyang County Government has established a project leading group for coordination of project preparation and implementation. The Leading Group is headed by a deputy mayor of Kaiyang County, and is composed of leaders of the water resources, public security, development and reform, land and resources, finance, forestry, audit, supervision, resettlement, and civil affairs bureaus. The members have rich experience in land acquisition and resettlement. The Kaiyang PMO is established under the Leading Group. The Kaiyang PMO has also established a resettlement office, where two persons are responsible specifically for resettlement activities.

Each of Longshui Xiang and the 4 villages affected by the Subproject has one or two key leaders assisting in resettlement. The detailed resettlement management organization is shown in Figure 6-1.

Figure 6-1

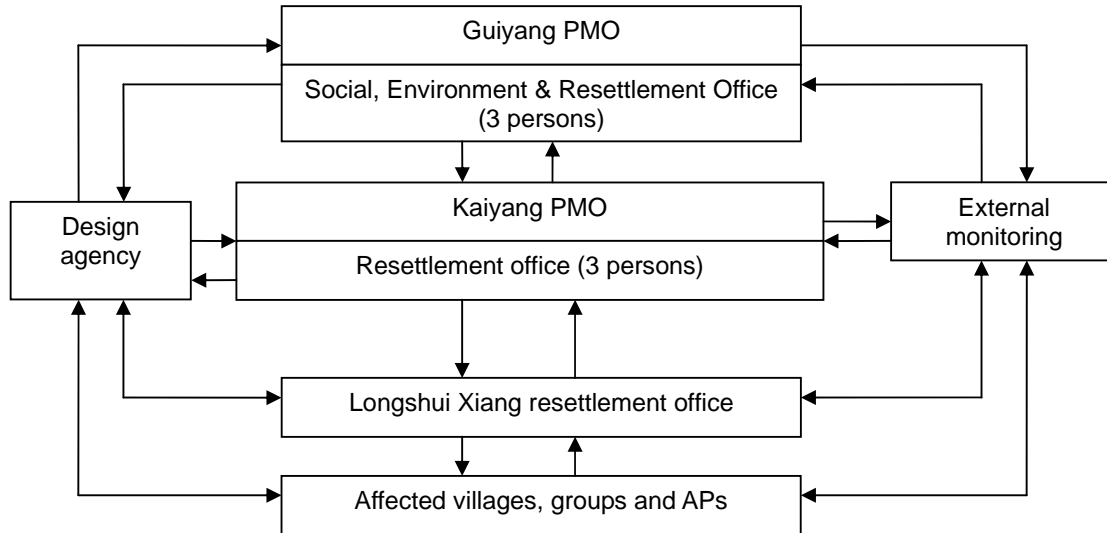


Figure 6-1 Organizational Agencies for Resettlement Management

6.1.2 Organizational Responsibilities

(1) Guiyang Project Leading Group and PMO

Responsible for project leadership, organizing, coordination and policy-making, examining the RP, implementing internal supervision and inspection, and making decisions on major issues arising from resettlement, coordinating relations among all levels of the resettlement organization

(2) Kaiyang PMO

Responsible mainly for handling day-to-day affairs in resettlement planning and implementation

- Formulating the land acquisition and resettlement policies for the Subproject;
- Entrusting the design agency to define the subproject area, measure the data on physical objects affected by land acquisition and save such data;
- Applying for the license for planning of land use and the license for land used for construction;
- Giving operational training to the key resettlement officials of the land acquisition and resettlement offices;
- Organizing and coordinating the preparation and implementation of the RP;
- Responsible for the management and disbursement of the resettlement funds, and supervising the use thereof;
- Directing, coordinating and supervising resettlement activities and their progress;
- Taking charge of and inspecting internal monitoring, and preparing land acquisition and resettlement progress reports;
- Selecting the external monitoring agency and assisting in external monitoring activities

(3) Kaiyang Resettlement Office

- Assisting the design agency in defining the subproject area, measuring the data on physical objects affected by land acquisition and saving such data;
- Assisting in preparing the RP and responsible for the implementation of resettlement;
- Selecting key resettlement officials for operational training;

- Organizing public consultation, and propagandizing the resettlement policies;
- Directing, coordinating and supervising resettlement activities of the agencies related to land acquisition and resettlement and their progress;
- Responsible for resettlement, paying resettlement costs pursuant to the agreement;
- Replacing farmland with business operators for APs wishing to continue with farming;
- Implementing internal monitoring activities, preparing internal monitoring reports, and reporting to the Kaiyang PMO regularly;
- Assisting in external monitoring activities

(4) Township resettlement office

The resettlement office is headed by the leader responsible of Longshui Xiang, and composed of key officials of the land and resources office, the police office, the civil affairs office and the villages. The main responsibilities are:

- Participating in the survey of the Subproject, and assisting in the preparation of the RP;
- Organizing public participation, and propagandizing the resettlement policies;
- Implementing, inspecting, monitoring and recording all resettlement activities within the township;
- Responsible for the disbursement and management of land compensation fees;
- Supervising land acquisition, the demolition of houses and attachments, house reconstruction, and resettlement;
- Reporting land acquisition and resettlement information to the county land and resources bureau;
- Coordinating and handling conflicts and issues arising from its work

(5) Village committees and village groups

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

- Participating in the social and economic survey and the impact survey of the Subproject;
- Organizing public consultation, and propagandizing the policies on land acquisition;
- Selecting resettlement sites and allocating housing sites to APs;
- Organizing the implementation of resettlement activities;
- Paying and managing relevant funds;
- Reporting APs' opinions and suggestions to the competent authorities;
- Reporting the progress of resettlement implementation;
- Providing assistance to displaced households with difficulties

(6) Design agency

- At the planning and design stage, it will survey the physical indicators of land acquisition, the environmental capacity, the usable resources, etc. accurately, and assist the governments in the affected areas in formulating resettlement programs, preparing budgetary investment estimates for compensation for land acquisition and drawing the relevant drawings.
- At the implementation stage, it will submit the design documents, technical specifications, drawings and notices to the owner timely, make design disclosure to the PMOs of all levels, assist in the implementation of the relocation and resettlement for production of the APs, and improve the resettlement programs based on the practical situation.

(7) External monitoring agency

The Guiyang PMO will employ a qualified M&E agency as the external resettlement monitoring agency. Its main responsibilities are:

- Observing all aspects of resettlement planning and implementation as an independent M&E agency, monitoring and evaluating the resettlement results and the social adaptability of the APs, and submitting resettlement M&E reports to the Guiyang PMO and ADB; and
- Providing technical advice to the Guiyang PMO in data collection and processing.

6.2 Staffing and Equipment of Resettlement Management Agencies

6.2.1 Staffing

To ensure the successful implementation of the resettlement work, all resettlement agencies of the Subproject have been provided with full-time staff, and a smooth channel of communication has been established. Each resettlement agency is composed mainly of 1 to 6 administrative staff and specialized technicians, all of whom have certain professional and management skills, and considerable experience in land acquisition and resettlement. See Table 6-1. Table 6-1 Staffing of Resettlement Agencies

Agency	Workforce		Composition
	Total	Among which, Female staff	
Guiyang PMO	3	2	Civil servants
Kaiyang PMO	2	0	Civil servants
Township, village and village group resettlement offices	4-6	2	Officials and AP representatives
External monitoring agency	4	2	Resettlement experts

6.2.2 Equipment

All municipal, district (county) and township resettlement agencies have been provided basic office, transport and communication equipment, including desks and chairs, PCs, printers, telephones, facsimile machines and vehicles.

6.3 Training Program

In order to implement resettlement successfully, the APs and resettlement staff must be trained under a program developed by the Guiyang PMO.

6.3.1 Training Program for Resettlement Management Staff

A staff training and human resources development system will be developed for the Guiyang, Kaiyang County, Longshui Xiang and village resettlement agencies. Training will be given in such forms as workshop, training course, visit of similar projects and field training (see Table 6-2 for the training program), and will cover:

- Principles and policies of resettlement
- Resettlement project planning management training
- Resettlement implementation planning and design
- Resettlement implementation progress control
- Resettlement financial management
- Resettlement quality control
- Management information system
- Resettlement M&E

—Resettlement project management

Table 6-2 Schedule for Resettlement Implementation Training

No.	Scope of training	Trainees	Time	Location	Cost estimate (0,000 yuan)	Status
1	Resettlement learning tour of domestic ADB projects	Backbone staff of PMO	March 2012	Guiyang Municipality	0.5	Conducted
2	Resettlement operational training	Resettlement staff	Jan 2014	Guiyang Municipality	1.5	Conducted

6.3.2 Measures for Improving Resettlement Agencies

(1) Define the responsibilities and scope of duty all resettlement agencies, and strengthen supervision and management;

(2) Improve the strength of all resettlement agencies gradually, especially technical strength; all staff must attain a certain level of professional proficiency and management level; improve their technical equipment, such as PC, monitoring equipment and means of transportation, etc.;

(3) Select staff strictly, and strengthen operations and skills training for management and technical staff of all resettlement agencies to improve their professional proficiency and management level;

(4) Appoint women officials appropriately, and give play to women's role in resettlement implementation;

(5) Establish a database and strengthen information feedback to ensure a smooth information flow, and leave major issues to the Leading Group;

(6) Strengthen the reporting system and internal monitoring, and solve issues timely; and

(7) Establish an external M&E mechanism and an early warning system, and ensure information is disclosed to APs.

7 Public Participation and Grievance Redress

7.1 Public Participation

According to the state, provincial and municipal policies and regulations on resettlement, and ADB's policies and rules on land acquisition and resettlement, it is very necessary to conduct public participation at the preparation and implementation stages in order to maintain the lawful rights and interests of the APs and entities, reduce grievances and disputes, listen to opinions and suggestions from APs, prepare the RP properly and do organizing work well for proper resettlement.

7.1.1 Public Participation at the Project Preparation Stage

Since May 2008, the Kaiyang PMO has conducted a series of socioeconomic survey and public consultation activities. In October 2009, during project preparation, the Guiyang Water Resources and Hydropower Survey and Design Institute, the Water Resources Bureau of Kaiyang County and other departments concerned conducted extensive consultation on land acquisition and resettlement. See Table 7-1.

Table 7-1 Key Public Participation Activities during Project Preparation

Agency	Time	Participants	Number of persons	Purpose	Key opinions/details
Kaiyang PMO	May 2008	APs, Longshui Xiang and village officials, engineering technicians	25	Feasibility study, field investigation, DMS	☆Introducing the background and purpose of the Subproject ☆Minimizing farmland occupation
Kaiyang PMO	Oct. 2009	Government officials, villager reps., surveyors of the design agency	31	RP preparation, socioeconomic survey	☆Assisting in the project impact survey ☆Villagers expressed strong support for the Subproject ☆Socioeconomic survey and displaced household survey ☆Land occupation survey
Kaiyang PMO	Apr. and Oct. 2010	Government officials, reps. of county water resources bureau, staff of the design agency, villager reps., women	40	Preparing an income restoration plan	☆Consultation of compensation and income restoration programs ☆Households with a higher land loss rate (>40%) will be resettled in the neighboring village. ☆The restoration program should include crop restructuring, outside employment, skills training and cultivation training. ☆Some women expressed their wish to participate in project construction (unskilled jobs), training and village affairs management. ☆Verification of survey results (twice)
Kaiyang PMO	August 2013	Government officials, APs, Longshui Xiang and village officials	40	Impacts reconfirmation and preparation resettlement plan	☆Reconfirmation of the project impacts (the numbers remain unchanged) ☆ explain the land acquisition policy and the villagers want cash

					compensation
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Figure 7-1 Public Participation and Consultation

7.1.2 Public Participation Plan

With the progress of project preparation and implementation, the design agency, the Guiyang PMO, and the district (county) and township resettlement offices will conduct further public participation. See Table 7-2.

Table 7-2

Table 7-2 Public Participation Process and Plan

Purpose	Mode	Time	Agency	Participants	Topic	Status
Land acquisition announcement	Village bulletin board, village meeting	Dec. 2011	Kaiyang PMO, land and resources bureau, Longshui Xiang and affected villages	All APs	Disclosure of land acquisition area, compensation rates and resettlement modes, etc.	Done
Announcement of compensation and resettlement options for land acquisition	Village bulletin board, village meeting	Jan. 2012	Kaiyang PMO, land and resources bureau, Longshui Xiang and affected villages	All APs	Compensation fees and mode of payment	Done
Determination of income restoration plan	Villager meeting (many times)	Before implementation	Kaiyang PMO, land and resources bureau, Longshui Xiang and affected villages	All APs	Discussing the final income restoration program and the program for use of compensation fees	Done
Training program	Villager meeting	Dec. 2013 – Jul. 2015	Kaiyang PMO, labor and social security bureau, and	All APs	Discussing training needs and developing a program	planned

Purpose	Mode	Time	Agency	Participants	Topic	Status
			Kaiyang Xiang			
Monitoring	Villager participation	Feb. 2014 – Feb. 2019	External monitoring agency, Kaiyang PMO, Longshui Xiang and affected villages	All APs	1) Resettlement progress and impacts 2) Payment of compensation 3) Information disclosure 4) Livelihood restoration and house reconstruction	

7.2 Appeal Procedure

Since public participation is encouraged during the preparation and implementation of the RP, no substantial dispute will arise. However, unforeseeable circumstances may arise during this process. In order to address issues effectively, and ensure the successful implementation of project construction and land acquisition, a transparent and effective grievance redress mechanism has been established, as shown in Figure 7-2. **Error! Reference source not found..** The basic grievance redress system is as follows:

Stage 1: If any right of any AP is infringed on in any aspect of land acquisition, and resettlement, he/she can report this to village committee. The village committee or the AP may resort to the Longshui Xiang resettlement office or Kaiyang resettlement office to solve the issue. The resettlement office shall record such appeal and solve it together with the village committee or the AP within 2 weeks.

Stage 2: If the appellant is dissatisfied with the disposition of Stage 1, he/she may file an appeal to the Guiyang PMO after receiving such disposition, which shall make a disposition within 2 weeks.

Stage 3: If the appellant is still dissatisfied with the disposition of Stage 2, he/she may file an appeal to competent administrative authorities level by level in accordance with the Administrative Procedure Law of the PRC for arbitration after receiving such disposition.

At any point, if the appellant person is dissatisfied with the disposition of Stage 3, he/she may file an action in a civil court in accordance with the Civil Procedure Law of the PRC after receiving the arbitration award. AP can also submit complaints to ADB which will be handled by the Project Implementation Team. If an AP is still not satisfied and believes he/she has been harmed due to non-compliance with ADB policy, he/she may submit a complaint to ADB's Office of Special Project Facility or Office of Compliance Review in accordance with ADB's Accountability Mechanism⁸.

All agencies will accept grievances and appeals from the APs at free, and costs so reasonably incurred will be disbursed from the contingencies. During the whole construction period of the Subproject, these appeal procedures will remain effective to ensure that the APs can use them to address relevant issues. The above grievance redress system will be communicated to the APs at a meeting or through the other means, so that the APs know their right of appeal. In addition, the appeal process will be published to affected population on mass media.

⁸ For further information, see: <http://www.adb.org/Accountability-Mechanism/default.asp>.

8 Resettlement Budget

8.1 Resettlement Budget

All costs incurred during land acquisition and resettlement will be included in the general budget of the Subproject. Due to the land acquisition compensation policy and the impacts remains as before, the total resettlement costs of the Subproject is still 13,621,200 yuan, including a resettlement cost in the reservoir inundation area of 7,105,600 yuan or 52.17% of total costs, a resettlement cost in the damsite construction area of 3,866,700 yuan or 28.39% of total costs, a resettlement cost in the irrigation canal construction area of 2,222,200 yuan or 16.31% of total costs, and a resettlement cost in water delivery of 426,700 yuan or 3.13% of total costs.

By type of resettlement impact, rural resettlement costs are 7,259,700 yuan or 53.3% of total costs, relocation and reconstruction costs of special facilities 88,000 yuan or 0.65% of total costs, reservoir clean-up costs 5,600 yuan or 0.04% of total costs, other costs (including survey, design and scientific research costs, resettlement monitoring fees, implementation management costs and technical training costs, etc.) 933,400 yuan or 6.85% of total costs, basic contingencies 994,400 yuan or 7.3% of total costs, relevant taxes (farmland occupation tax, land restoration costs, etc.) 4,320,100 yuan or 31.72% of total costs, and the support fund for vulnerable groups 20,000 yuan or 0.15% of total costs. See Table 8-1

Table 8-1 for the resettlement cost estimates. See Appendix 5 for the investment estimates of each village group.

Table 8-1 Resettlement Cost Estimates

No.	Item	Reservoir inundation area (0,000 yuan)	Damsite construction area (0,000 yuan)			Irrigation canal construction area (0,000 yuan)			Water delivery area (0,000 yuan)			Total (0,000 yuan)
			Permanent land occupation	Temporary land occupation	Subtotal	Permanent land occupation	Temporary land occupation	Subtotal	Permanent land occupation	Temporary land occupation	Subtotal	
I	Rural resettlement compensation fees ⁹	354.78	156.88	65.15	222.03	95.12	29.47	124.59	15.51	9.06	24.57	725.97
II	Reconstruction costs of farming pathways	8.80	0	0	0	0	0	0	0	0	0	8.80
III	Reservoir or site clean-up costs	0.24	0.19	0	0.19	0.10	0	0.10	0.03	0	0.03	0.56
IV	Other costs	46.16	19.95	8.28	28.23	12.09	3.74	15.83	1.97	1.15	3.12	93.34
V	Basic contingencies	49.20	21.24	8.81	30.05	12.88	3.99	16.87	2.10	1.22	3.32	99.44
VI	Relevant taxes	249.38	106.17		106.17	64.83		64.83	11.63		11.63	432.01
VII	Support fund for vulnerable groups	2.00	0	0	0	0	0	0	0	0	0	2.00
VIII	Gross investment	710.56	304.43	82.24	386.67	185.02	37.2	222.22	31.24	11.43	42.67	1362.12
IX	Percentage	52.17%	22.35%	6.04%	28.39%	13.58%	2.73%	16.31%	2.29%	0.84%	3.13%	100.00%

⁹ including social security funds of 1,224,100 yuan. The social security funds is a part of the total LAR cost.

8.2 Annual Cost Plan

All resettlement funds of the Subproject are from local counterpart funds. Before project construction or during project implementation, the cost plan will be implemented in stages in order not to affect the production and livelihoods of the AHs, as shown in Table 8-2.

Table 8-2 Resettlement cost Plan

No.	Purpose and items	Timing	Implementing agency	Amount	Payee
1	Compensation fees for land acquisition (occupation), compensation fees for houses and attachments, and moving subsidies, etc.	Feb. 2015	Kaiyang PMO	6,035,600 yuan	Villagers of affected village groups
2	Reconstruction costs of special facilities	Feb. 2015	Kaiyang PMO	88,000 yuan	Affected village groups and proprietors of infrastructure
3	Reservoir clean-up costs (including tombs)	Oct. 2015	Kaiyang PMO	5,600 yuan	Reservoir clean-up agency
4	Design, survey, management and evaluation fees	Jun. 2015	Kaiyang PMO	933,400 yuan	Design, monitoring and management agencies
5	Basic contingencies	Dec. 2016	Kaiyang PMO	994,400 yuan	
6	Relevant taxes	Feb 2015	Kaiyang PMO	4,320,100 yuan	Tax authorities of local governments
7	Support fund for vulnerable groups	Feb 2015	Kaiyang PMO	20,000 yuan	Vulnerable groups
8	Social security funds	Feb 2015	Social Security Bureau of Kaiyang County	1,224,100 yuan	To be arranged by the city government in a unified manner; all eligible persons in the city will be included in the social security system.

8.3 Management and Disbursement of Resettlement Funds

To ensure that compensation fees for land acquisition and resettlement are paid timely and fully to APs according to the compensation policies and rates specified in the RP. A strict fund disbursement plan has been established, and the basic principles are as follows:

- (1) All costs related to resettlement will be included in the general budget of the Subproject;
- (2) Land compensation fees and resettlement subsidies will be paid up before land acquisition so that all APs can be resettled properly; and
- (3) To ensure the successful implementation of land acquisition and resettlement, financial and supervisory agencies will be established at all levels to ensure that all funds are disbursed timely and fully.

According to the above principles, the fund disbursement process of the

Subproject is as follows: The Kaiyang PMO will disburse resettlement fees for land acquisition, relevant taxes or management costs directly to the land and resources bureau, and the township resettlement offices, and deposit land compensation fees and resettlement subsidies into a bank or credit cooperative according to the land acquisition agreement; the bank or credit cooperative will pay such fees directly to the affected entities or individuals with instruction notes of the Kaiyang PMO; young crop compensation fees will be paid directly to the APs; compensation fees for infrastructure and attachments will be paid to the affected entities or individuals.

9 Resettlement Implementation Plan

9.1 Principles for Resettlement Implementation

Construction of the dam started in July 2013. Related land acquisition was conducted from May 2012 to June 2013. To reflect this, a due diligence report is annexed in the Appendix 6.

The reservoir will be gradually inundated from April 2015 to February 2016. In order that the resettlement schedule links up the construction schedule of the Subproject, land acquisition in the reservoir area will begin in Dec 2014 and end in Dec 2015. The basic principles for resettlement implementation are as follows:

(1) Sufficient time should be allowed for land acquisition and resettlement prior to the commencement of construction;

(2) Land acquisition should be completed at one month prior to the commencement construction, and the starting time will be determined as necessary for land acquisition and resettlement.

(3) During resettlement, the APs shall have opportunities to participate in the Subproject. Before the commencement of construction, the range of land acquisition will be disclosed.

(4) All compensation fees will be paid to the affected proprietors directly and fully within 3 months of execution of the land acquisition agreement. No entity or individual should use such compensation fees on their behalf, nor should such compensation fees be discounted for any reason.

9.2 Resettlement Implementation Schedule

The general resettlement schedule of the Subproject has been drafted based on the progress of project construction, land acquisition and resettlement preparation and implementation. The exact implementation schedule may be adjusted due to deviations in overall project progress. See Table 9-1.

Table 9-1 Resettlement Implementation Schedule

No.	Task	Target	Implementing agencies	Period	Remarks
1	Information disclosure				
1.1	RP	13 groups of 4 villages in Longshui Xiang	Kaiyang PMO	Dec. 2011 15,	Completed
1.2	Disclosure of RP on ADB's website		Guiyang PMO, ADB	Nov. 2014	
2	RP and budget				
2.1	Approval of RP and budget (compensation rates)	13,601,200 yuan	Kaiyang County Government, Kaiyang PMO	Dec. 2011 15,	Completed
2.2	Village-level income restoration programs	13 groups of 4 villages	Village committee	Since Dec. 31, 2013	
3	DMS				
3.1	Subproject		Kaiyang PMO	Dec. 2011	Completed
4	Compensation agreement				
4.1	Village-level land compensation agreement	13 groups of 4 villages	Land and resources bureau, town government, Kaiyang PMO	May. 2012 – Dec. 2015	Damsite part: finished Reservoir part: has not started yet

No.	Task	Target	Implementing agencies	Period	Remarks
4.2	Land compensation agreement	86 households	Village committee	May 2012 – Dec. 2015	Damsite part: finished Reservoir part: has not started yet
5	Implementation of restoration measures				
5.1	Distribution of land compensation fees to households and land reallocation (if possible)	13 groups of 4 villages	Town government, village committee	May 2012 – Dec. 2015	
5.2	Implementation of village-level income restoration programs	13 groups of 4 villages	Village committee	May 2012 – Dec. 2015	
5.3	Implementation of training program	86 AHs	Labor and social security bureau	May 2012 – Dec. 2016	
5.4	Identifying vulnerable households and implementing assistance measures	18 households	Labor and social security bureau, Kaiyang PMO	Aug. 2012 – Dec. 2015	
5.5	Identifying and hiring households for employment under the Subproject	353 APs	PMO, labor and social security bureau, project contractor	Feb. 2013 – Feb. 2016	
6	Capacity building of resettlement agencies				
6.1	Kaiyang PMO	6 persons	ADB	Dec. 2013 – Dec. 2016	
6.2	Training of town and village officials	20 persons	Kaiyang PMO	Feb. 2012 – Aug. 2016	
7	M&E				
7.1	Updated Baseline survey	One report	Monitoring agency	Aug 2014	Completed
7.2	Establishment of internal M&E mechanism	/	Guiyang PMO, Kaiyang PMO	Nov. 2013	Completed
7.3	Appointing an external monitoring agency	1	Guiyang PMO	Dec. 3, 2013	Completed
7.4	Internal monitoring reporting	Semiannual report	Kaiyang PMO	Nov. 2013 – Dec. 2016	
7.5	External monitoring reporting	Semiannual report	Monitoring agency	Oct. 2014 Jan. 2015 Jul. 2015	No.1 report No.2 report No.3 report
7.6	External evaluation report	Annual report	Monitoring agency	Jul. 2016 Jul. 2017	No.1 report No.2 report
7.7	Completion report of M&E	One report	Kaiyang PMO	Jul. 2017	
8	Public consultation		Kaiyang PMO	Ongoing	
9	Grievance redress		Kaiyang PMO, Longshui Xiang, villages	Ongoing	
10	Disbursement of compensation fees				
10.1	Disbursement to implementing agencies	Initial funds		May 2012	
10.2	Disbursement to villages	Most funds	Kaiyang PMO, town government, village committee	Since May 2012 – Feb. 2016	
10.3	Disbursement to households	Most funds	Kaiyang PMO, town government, village committee	May 2012 – Apr. 2016	
11	Commencement of civil construction				
11.1	Subproject		Water Resources Bureau of Kaiyang County	Damsite: Dec. 2013; irrigation	

No.	Task	Target	Implementing agencies	Period	Remarks
				canal construction: May 2015; water delivery pipeline: June 2015; reservoir filling: May 2016	

10 Monitoring and Evaluation

To ensure the successful implementation of the RP and realize the objectives of resettlement properly, land acquisition and resettlement activities of the Subproject will be subject to periodic M&E according to ADB's resettlement policies, including internal and external monitoring.

10.1 Internal Monitoring

10.1.1 Purpose

The purpose of internal monitoring is to enable all resettlement agencies to function properly during project implementation, conduct internal supervision and inspection on the whole process of resettlement preparation and implementation, learn resettlement progress, and ensure that the land acquisition and resettlement work can be completed on schedule according to the RP, and promote successful project construction.

10.1.2 Organization and Staff

The internal resettlement monitoring agencies of the Guiyang PMO, the Kaiyang PMO and other relevant authorities (e.g., land and resources bureau). These agencies will have a leader who is responsible specifically for the resettlement work. Such leaders should have rich resettlement experience and authority, and be able to coordinate all departments involved in the resettlement work. The members of such agencies should have knowledge on resettlement and social issues so as to perform their duties.

10.1.3 Scope of Internal Monitoring

The Guiyang PMO will develop a detailed internal monitoring plan for land acquisition and resettlement, including:

- (1) Payment, use and availability of compensation fees for land acquisition, and implementation progress and quality of production and development options of APs;
- (2) Investigation, coordination of and suggestion on key issues of the resettlement and implementing agencies during land acquisition and resettlement;
- (3) Restoration of the household income of APs;
- (4) Restoration of vulnerable groups;
- (5) Payment, use and availability of compensation fees for resettlement;
- (6) Level of public participation and consultation during land acquisition and resettlement, by gender;
- (7) Resettlement training and its effectiveness, by gender; and
- (8) Working mechanism, training, working hours and efficiency of local resettlement offices.

10.1.4 Internal Monitoring Reporting

The Guiyang PMO will submit an internal monitoring report to ADB semiannually. Such report should indicate the statistics of the past 6 months in tables, and reflect the progress of land acquisition, resettlement and use of compensation fees through comparison. Table 10-1 and 10-2 provide some formats.

Table 10-1 Progress report on resettlement for land acquisition

_____, _____ Township, _____ District (County)

Cut-off date: MM/DD/YY

Date of completion: MM/DD/YY

Item	Unit	Planned	Actually completed	Accumulated	Percentage of completion
Permanent acquisition	land mu				
Temporary occupation	land mu				
Payment of land compensation fees	10,000 yuan				
Training	Person				
Employment arrangement	Person				
Land reallocation	mu				

Reported by: _____ Signature (person responsible): _____ Official seal:

Table 10-2 Progress of fund utilization

_____, _____ Township, _____ District (County)

Cut-off date: MM/DD/YY

Date of completion: MM/DD/YY

Affected entity	Description ¹⁰	Unit/qty.	Required investment (yuan)	Compensation received (yuan)	Adjusted compensation	Percentage of compensation
Village 1						
Village 2						
Collective						
Displaced household						
Entity						

Reported by: _____ Signature (person responsible): _____ Official seal:

10.2 External Monitoring

According to ADB's policies, the Guiyang PMO will employ a qualified, independent and experienced resettlement agency as the independent resettlement monitoring agency.

The external monitoring agency will conduct follow-up M&E of resettlement activities periodically, monitor resettlement progress, quality and funding, and give advice. It shall also conduct follow-up monitoring of the APs' production level and standard of living, and submit M&E reports to the Guiyang PMO and ADB.

10.2.1 Scope and Methods of External Monitoring

(1) Baseline survey

The external monitoring agency will conduct a baseline survey of the affected villages and village groups affected by land acquisition to obtain baseline data on the monitored displaced households' production level and standard of living. The production level and standard of living survey will be conducted semiannually to track variations of the APs' production level and standard of living. This survey will be conducted using such methods as panel survey (sample size: 100% of seriously affected HHs by land acquisition; 20% of the other households affected by land

¹⁰ Fill in labor training, employment, vulnerable group subsidy, etc. in "Description".

acquisition; 50% of the affected villages; sample households, to be sampled randomly), random interview and field observation to acquire necessary information. A statistical analysis and an evaluation will be made on this basis.

(2) Periodic M&E

During the implementation of the RP, the external monitoring agency will conduct periodic follow-up resettlement monitoring semiannually of the following activities by means of field observation, panel survey and random interview:

- Payment and amount of compensation fees;
- Preparation and adequacy of the reallocated farmland;
- Reallocation of farmland the APs and payment of compensation to host APs;
- Training by type and by gender;
- Support for vulnerable groups;
- Restoration and rebuilding of infrastructure and special facilities;
- Production resettlement and restoration, by gender;
- Compensation for lost properties/attachments;
- Compensation for lost working hours;
- Transition subsidy;
- Timetables of the above activities (applicable at any time);
- Resettlement organization;
- Use of compensation fees for collective land and income of APs;
- Income growth of labor through employment; and
- If APs have benefited from the Subproject.

(3) Public consultation

The external monitoring agency will attend public consultation meetings held during resettlement implementation to evaluate the effectiveness of public participation.

(4) Grievance redress

The external monitoring agency will visit the affected villages and groups periodically, and inquire the Guiyang PMO, district (county) and township resettlement offices and implementing agencies that accept grievances about how grievances have been handled. It will also meet complainants and propose corrective measures and advice for existing issues so as to make the resettlement process more effectively.

10.2.2 External Monitoring Reporting

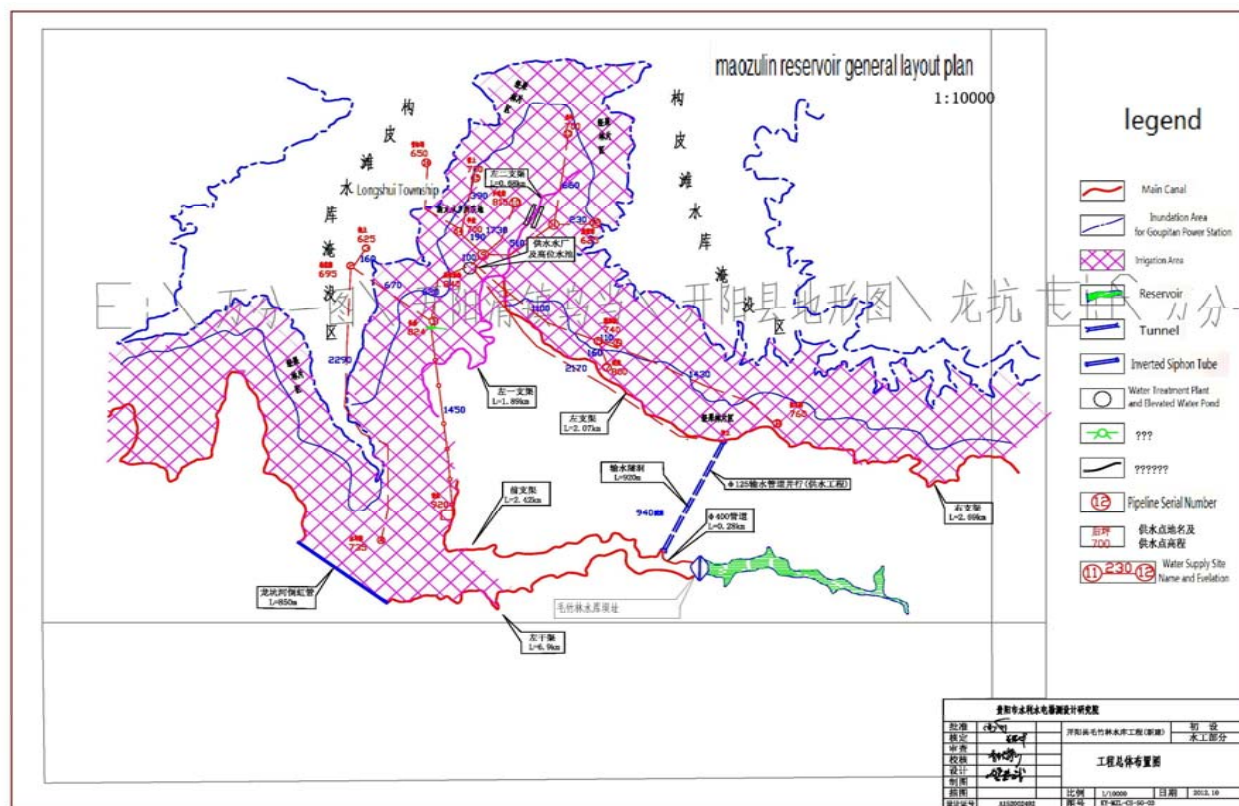
The external monitoring agency will submit a monitoring or evaluation report to ADB and the Guiyang PMO semiannually. See Table 10-3 for the schedule for report submission.

Table 10-3 Reporting Schedule for Resettlement Monitoring and Evaluation

	Report	Date
1	Baseline Survey Report	Sep. 2014
2	Monitoring Report No.1	Sep. 2014
3	Monitoring Report No.2	Jan. 2015
4	Monitoring Report No.3	Jul. 2015
5	Evaluation Report No.1	Jul. 2016
6	Evaluation Report No.2	Jul. 2017

Appendixes

Appendix 1 Map of the Subproject including Irrigation Area



开阳县人民政府办公室文件

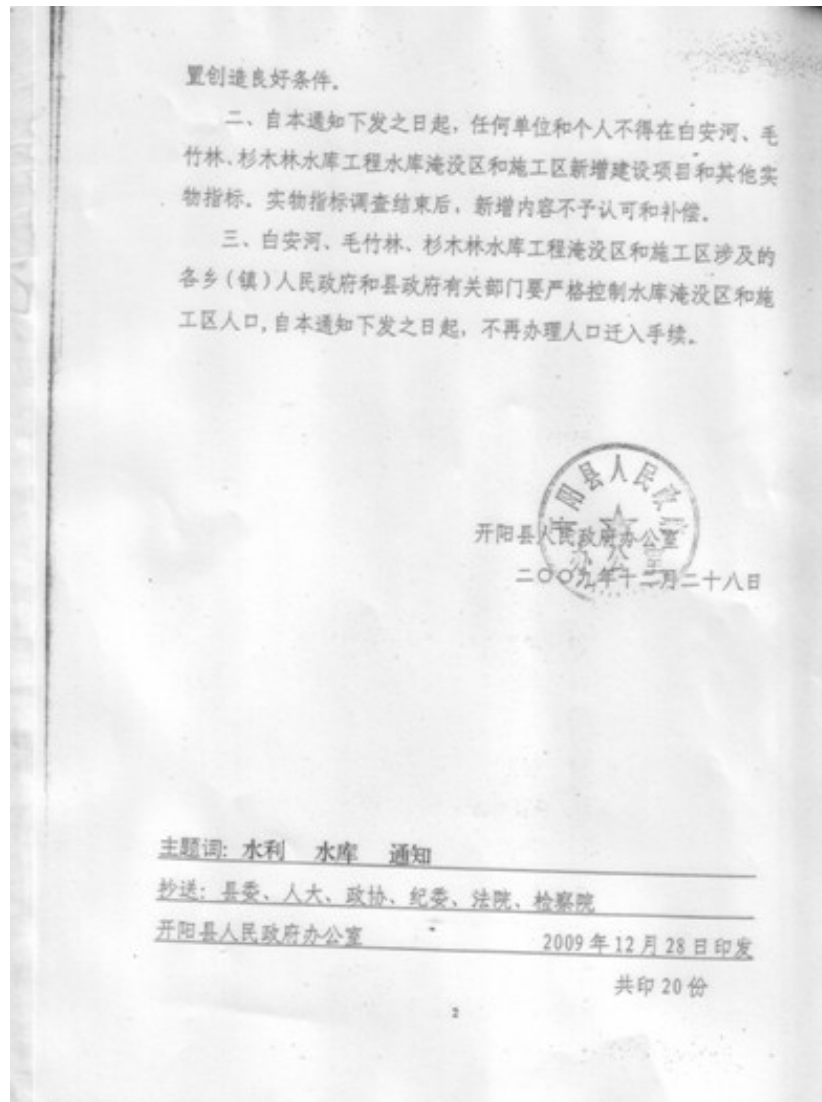
开府办发〔2009〕204号

开阳县人民政府办公室 关于禁止在白安河、毛竹林、杉木林水库工程 水库淹没区和施工区新增建设项目和迁入 人口的通知

各涉及乡（镇）人民政府、县政府各有关部门：

白安河、毛竹林、杉木林水库工程是贵阳市亚行贷款项目，属市、县重点水利工程项目。为了确保水库淹没区和施工区实物指标的准确性，根据《大中型水利水电工程建设征地补偿和安置条例》（国务院第471号令）的有关规定，经县人民政府研究决定，禁止在白安河、毛竹林、杉木林水库工程水库淹没区和施工区新增建设项目和迁入人口，现将有关事项通知如下：

一、涉及乡（镇）人民政府和县政府有关部门要积极支持白安河、毛竹林、杉木林水库工程建设，为工程的顺利建设搞好服务，特别是要向当地群众做好政策的宣传解释工作，引导干部群众正确处理好国家、集体、个人三者之间的关系，眼前利益服从长远利益，局部利益服从整体利益，顾全大局，为水库淹没区和施工区搬迁安



Appendix 2 Order to Cease Construction

Document of the Kaiyang County Government
KCGO [2009] No.204

Notice of the General Office of the Kaiyang County Government on Prohibiting
New Construction in and Population Influx into the Inundation and Construction
Areas of the Bai'an River, Maozhulin and Shanmulin Reservoirs

Township governments and county departments concerned:

The Bai'an River, Maozhulin and Shanmulin Reservoirs are subprojects of the ADB-funded Guiyang Integrated Water Resources Management (Sector) Project, and key water resources projects of our city and county. In order to ensure the accuracy of DMS results of the inundation and construction areas, we have decided to prohibit new construction in and population influx into the inundation and construction areas of these reservoirs in accordance with Regulations on Compensation and Resettlement for Land Acquisition in Large and Medium Water Resources and Hydropower Projects (Decree No.471 of the State Council). The relevant matters are notified as follows:

1. The township governments and county departments concerned should actively support the construction of the Bai'an River, Maozhulin and Shanmulin Reservoirs, provide services for their successful construction, especially policy publicity and explanation to local residents, and guide officials and civilians to handle the relationship among the state, collective and individual properly, and submit immediate interests to long-term interests and local interests to holistic interests, thereby creating favorable conditions for resettlement in these areas.
2. From the date of this notice, no organization or individual should perform new construction or add any other physical indicator in these areas. Any additional physical indicator after the completion of the DMS will not be recognized and compensated for.
3. The township governments and county departments concerned should control the population in these areas, and should no longer allow population influx into these areas from the date of this notice.

General Office of the Kaiyang County
Government
December 28, 2009

Keywords: water resources, reservoir, notice

CC: County CPC committee, people's congress, political consultative conference, disciplinary committee, court and procuratorate

Issued by the General Office of the Kaiyang County Government on December 28, 2009, 20 copies

Appendix 3 Land Reallocation Program

86/13/2006 23:34 7253956 KVSJ PAGE 06

**关于 开县毛竹林水库供水工程移民安置 规
土地流转的函**

有关单位：

根据移民条例及安置规范的有关要求，移民生产安置要以有土安置为主，从而使移民生产生活水平不低于征收前。按照上述精神，我乡与业主对征地涉及村组周边耕地资源进行了详调，并各村组可流转土地进行了统。调结果显示，征地涉及村组周边愿意流转土地的村组有和平村毛竹林、坪上、雷盆等村民组以及新场村霍麻沟、后寨、大龙洞等村民组，愿意流转耕地面积合计 81 亩，具体各村民组流转情况 详下表。

毛竹林水库工程移民安置耕地流转表

序号	村名	组名	愿意流转耕地面积 (亩)	组名
1	和平	毛竹林	10	
		坪上	12	
		雷盆	35	
		霍麻沟	4	
2	新场	大龙洞	10	
		后寨	10	
		合计	81	

和平村委会 会字 (盖章)
2019 年 12 月 20 日

新场村委会 会字 (盖章)
2019 年 12 月 20 日

开县人民政府 会字 (盖章)
2019 年 12 月 20 日

Letter on Land Transfer for Resettlement Planning for the Maozhulin Reservoir Project of Kaiyang County

All agencies concerned:

According to the pertinent requirements of the resettlement regulations, production resettlement should be land-based resettlement mainly, so that the displaced persons' production level and standard of living are not lower than the pre-resettlement levels. In view of this, we have conducted a DMS on cultivated land resources around the village groups affected by LA, and summed up the transferable land of each group. The results show that Maozhulin, Pingshang and Leipen Groups of Heping Village, and Huomagou, Houzhai and Dalongdong Groups of Xinchang

Village are willing to transfer 81 mu of land in total, as detailed below:

Cultivated Land Transferable for Resettlement Planning for the Maozhulin Reservoir
Project of Kaiyang County

No.	Village	Group	Transferable cultivated land (mu)	Signature of group head
1	Heping	Maozhulin	10	
		Pingshang	12	
		Leipen	35	
2	Xinchang	Huomagou	4	
		Houzhai	10	
		Dalongdong	10	
3	Total		81	

Signature (seal) of the Heping Village Committee: _____

Signature (seal) of the Xinchang Village Committee: _____

Signature (seal) of the Longshui Xiang Government: _____

December 22, 2009

Appendix 4 Minutes of Public Participation Meetings

附件 4: 公众参与会议纪要

开阳县龙水乡人民政府

会议纪要

时间: 2008年5月22日 10:00

地点: 毛竹林水库大坝上

参会人: 和平镇毛竹林、塘田村、新场村水毁户陈德增、大龙洞水库淹没户杨发中、杨发海、杨发安

主持人: 王东建副乡长

记录: 张凯

内容:

一、王乡长对水库建设的重要性作详细讲解, 并介绍了占地补偿标准和优惠政策。

1、该水库建设可解决龙水片区农业用的灌溉和农村人饮水困难问题。

2、补偿标准严格按照标准执行。

二、征求群众对水库建设的意见。

群众一致同意修建该水库, 并在水库的移民安置问题群众无异议。张新贵、王如安、彭容会

张德、彭德清、何南林、何朝学

黄朝刚、田绍亮、熊石叔、田天祥、陈天义

王国友、樊荣荣、王贵、梁林、王兴忠

Minutes of the Longshui Xiang Government, Kaiyang County

Date: May 22, 2008

Venue: dam of the Maozhulin Reservoir

Participants: persons affected by reservoir inundation in Maozhulin and Pingshang Groups of Heping Village, and Shuiwei, Huomagou and Dalongdong Groups of Xinchang Village, and village officials

Chairman: Wang Donglian, Deputy Xiang Head

Recorder: Zhang Kai

Contents:

1. Ms. Wang addressed the importance of reservoir construction, and introduced the policies on compensation for land occupation.
 - a) This reservoir will provide for the irrigation of over 8,000 mu of farmland in Longshui Xiang, and provide a drinking water source for humans and livestock in Longjiang Village.
 - b) Compensation will be based on the compensation rate for cultivated land.
2. Solicitation of comments on the reservoir
All participants approve of reservoir construction and the resettlement program of Longshui Xiang.
 - a) Some participants require land the occupied land be re-measured.
 - b) Some woodland to be inundated should be re-measured.
 - c) The canals and roads damaged due to reservoir construction should be restored.

Signatures of participants:

Heping Village Committee
Xinchang Village Committee
May 22, 2008

Appendix 5 Resettlement Cost Estimates by Area

1) Reservoir area

No.	Item	Unit	Qty.	Unit price (yuan)	Investment (0,000 yuan)
I	Rural resettlement compensation fees				3547736.00
(I)	Land compensation fees and resettlement subsidies				3547736.00
1	Cultivated land	mu	73.42		2789960.00
	Compensation fees	mu	73.42	30000	2202600.00
	Social security funds	mu	73.42	8000	587360.00
2	Woodland	mu	16.13		312366.00
	Compensation fees for arbor forests	mu	2.67	17000	45390.00
	Compensation fees for shrub forests	mu	13.46	16000	215360.00
	Social security funds	mu	16.13	3200	51616.00
3	Other farmland	mu	13.55		205960.00
	Compensation fees	mu	13.55	12000	162600.00
	Social security funds	mu	13.55	3200	43360.00
4	Unused land (river flat)	mu	4		36800.00
	Compensation fees	mu	4	6000	24000.00
	Social security funds	mu	4	3200	12800.00
5	Scattered trees				201850.00
	Arbor trees	/	48	50	2400.00
	Commercial fruit trees	/	2107	0	199450.00
	Fruit-bearing	/	1882	100	188200.00
	Non-fruit-bearing	/	225	50	11250.00
6	Tombs	/	1	800	800.00
II	Reservoir clean-up costs				2419.50
1	Forest clean-up	mu	16.13	150	2419.50
III	Special facilities				88000.00
1	Farming passage	km	1.6	55000	88000.00
Subtotal of Parts I-III					3638155.50
IV	Other costs				461593.65
(I)	Preparatory costs	2.5% of the sum of Parts I-III			90953.89
(II)	Survey, design and scientific research costs	3% of the sum of Parts I-III			109144.67
(III)	Implementation management costs	3% of the sum of Parts I-III			109144.67
(IV)	Implementing agency establishment costs	2.5% of the sum of Parts I-III			72763.11
(V)	Technical training costs	0.5% of Part I			17738.68
(VI)	M&E costs	1.5% of the sum of Parts I-III			54572.33
(VII)	Consulting service costs	0.2% of the sum of Parts I-III			7276.31
Subtotal of Parts I-IV					4099749.15
V	Basic contingencies	12% of the sum of Parts I-IV			491969.90
VI	Gross static investment				4591719.05
VII	Relevant taxes				2493832.28
(I)	Farmland occupation tax	m ²	71435.7	18	1285842.60
(II)	Land restoration costs	mu	70.12	16000	1121920.00

(III)	Forest vegetation restoration costs				86069.68
1	Arbor forests	m ²	1780.89	8	14247.12
2	Shrub forests	m ²	8977.82	8	71822.56
VIII	Gross investment				7085551.33

2) Permanent land occupation of the damsite construction area

No.	Item	Unit	Qty.	Unit price (yuan)	Investment (0,000 yuan)
I	Rural resettlement compensation fees				1568785
(I)	Land compensation fees and resettlement subsidies				1568785
1	Cultivated land	mu	32.07		1266765
	Compensation fees	mu	32.07	31500	1010205
	Social security funds	mu	32.07	8000	256560
2	Woodland	mu	12.8		245760
	Compensation fees for shrub forests	mu	12.8	16000	204800
	Social security funds	mu	12.8	3200	40960
3	Other farmland	mu	3.55		53960
	Compensation fees	mu	3.55	12000	42600
	Social security funds	mu	3.55	3200	11360
4	Unused land (river flat)	mu	0.25		2300
	Compensation fees	mu	0.25	6000	1500
	Social security funds	mu	0.25	3200	800
II	Site clean-up costs		12.8		1920
1	Forest clean-up	mu	12.8	150	1920
	Subtotal of Parts I & II				1570705
III	Other costs				199470
(I)	Preparatory costs	2.5% of the sum of Parts I-III			39268
(II)	Survey, design and scientific research costs	3% of the sum of Parts I-III			47121
(III)	Implementation management costs	3% of the sum of Parts I-III			47121
(IV)	Implementing agency establishment costs	2.5% of the sum of Parts I-III			31414
(V)	Technical training costs	0.5% of Part I			7844
(VI)	M&E costs	1.5% of the sum of Parts I-III			23561
(VII)	Consulting service costs	0.2% of the sum of Parts I-III			3141
	Subtotal of Parts I-III				1770175
IV	Basic contingencies	12% of the sum of Parts I-III			212421
V	Gross static investment				1982596
VI	Relevant taxes				1061753
(I)	Farmland occupation tax	m ²	32462.89	18	584332
(II)	Land restoration costs	mu	25.57	16000	409120
(III)	Forest vegetation restoration costs				68301
1	Shrub forests	m ²	8537.6	8	68301
VII	Gross investment				3044349

3) Temporary land occupation of damsite construction area

No.	Item	Unit	Qty.	Unit price (yuan)	Investment (0,000 yuan)
I	Rural resettlement compensation fees				651550
(I)	Land compensation fees and resettlement subsidies				651550
1	Cultivated land				634600
	Land restoration costs (2 years)	mu	33.4	3000	100200
	Compensation fees for the maturation period (3 times)	mu	33.4	4500	150300
	Young crop compensation fees (one time)	mu	33.4	1500	50100
	Land restoration costs (reclamation costs)		33.4	10000	334000
2	Compensation fees for other farmland				16950
	Compensation fees for other farmland	mu	11.3	0	0
	Restoration costs of other farmland	mu	11.3	1500	16950
II	Site clean-up costs				0
1	Woodland	mu	0	150	0
Subtotal of Parts I & II					651550
III	Other costs				82746.85
(I)	Preparatory costs	2.5% of the sum of Parts I & II			16288.75
(II)	Survey, design and scientific research costs	3% of the sum of Parts I & II			19546.5
(III)	Implementation management costs	3% of the sum of Parts I & II			19546.5
(IV)	Implementing agency establishment costs	Already included in the inundation area			13031
(V)	Technical training costs	0.5% of Part I			3257.75
(VI)	M&E costs	1.5% of the sum of Parts I & II			9773.25
(VII)	Consulting service costs	0.2% of the sum of Parts I & II			1303.10
Subtotal of Parts I-III					734296.85
IV	Basic contingencies	12% of the sum of Parts I-II			88115.622
V	Gross investment				822412.47

4) Permanent land occupation of the canal construction area

No.	Item	Unit	Qty.	Unit price (yuan)	Investment (0,000 yuan)
I	Rural resettlement compensation fees				951212.00
(I)	Land compensation fees and resettlement subsidies				951212.00
1	Cultivated land	mu	17.8		703100.00
	Compensation fees	mu	17.8	31500	560700.00
	Social security funds	mu	17.8	8000	142400.00
2	Woodland	mu	6.7		128640.00
	Compensation fees for shrub forests	mu	6.7	16000	107200.00
	Social security funds	mu	6.7	3200	21440.00
3	Other farmland	mu	7.86		119472.00
	Compensation fees	mu	7.86	12000	94320.00
	Social security funds	mu	7.86	3200	25152.00

II	Forest clean-up costs		6.7		1005.00
1	Forest clean-up	mu	6.7	150	1005.00
Subtotal of Parts I & II					952217.00
III	Other costs				120926.53
(I)	Preparatory costs	2.5% of the sum of Parts I & II			23805.43
(II)	Survey, design and scientific research costs	3% of the sum of Parts I & II			28566.51
(III)	Implementation management costs	3% of the sum of Parts I & II			28566.51
(IV)	Implementing agency establishment costs	Already included in the inundation area			19044.34
(V)	Technical training costs	0.5% of Part I			4756.06
(VI)	M&E costs	1.5% of the sum of Parts I & II			14283.26
(VII)	Consulting service costs	0.2% of the sum of Parts I & II			1904.43
Subtotal of Parts I-III					1073143.53
IV	Basic contingencies	12% of the sum of Parts I-III			128777.22
V	Gross static investment				1201920.76
VI	Relevant taxes				648265.36
(I)	Farmland occupation tax	m ²	21584.12	18	388514.16
(II)	Land restoration costs	mu	14	16000	224000.00
(III)	Forest vegetation restoration costs	m ²	4468.9		35751.20
1	Shrub forests	m ²	4468.9	8	35751.20
VII	Gross investment				1850186.12

5) Temporary land occupation of canal construction area

No.	Item	Unit	Qty.	Unit price (yuan)	Investment (0,000 yuan)
I	Rural resettlement compensation fees				294750
(I)	Land compensation fees and resettlement subsidies				294750
1	Cultivated land				279300
	Land restoration costs (2 years)	mu	14.7	3000	44100
	Compensation fees for the maturation period (3 times)	mu	14.7	4500	66150
	Young crop compensation fees (one time)	mu	14.7	1500	22050
	Cultivated land reclamation costs		14.7	10000	147000
2	Compensation fees for other farmland				15450
	Compensation fees for other farmland	mu	10.3	0	0
	Restoration costs of other farmland	mu	10.3	1500	15450
II	Site clean-up costs				0
1	Clean-up of other farmland	mu	10.3	0	0
Subtotal of Parts I & II					294750
III	Other costs				37433.25
(I)	Preparatory costs	2.5% of the sum of Parts I & II			7368.75
(II)	Survey, design and scientific research costs	3% of the sum of Parts I & II			8842.5
(III)	Implementation management costs	3% of the sum of Parts I & II			8842.5
(IV)	Implementing agency establishment costs	Already included in the inundation area			5895
(V)	Technical training costs	0.5% of Part I			1473.75
(VI)	M&E costs	1.5% of the sum of Parts I & II			4421.25

(VII)	Consulting service costs	0.2% of the sum of Parts I & II	589.50
Subtotal of Parts I-III			332183.25
IV	Basic contingencies	12% of the sum of Parts I & II	39861.99
V	Gross static investment		372045.24

6) Permanent land occupation of the water delivery construction area

No.	Item	Unit	Qty.	Unit price (yuan)	Investment (0,000 yuan)
I	Rural resettlement compensation fees				155090.00
(I)	Land compensation fees and resettlement subsidies				155090.00
1	Cultivated land	mu	3.1		122450.00
	Compensation fees	mu	3.1	31500	97650.00
	Social security funds	mu	3.1	8000	24800.00
2	Woodland	mu	1.7		32640.00
	Compensation fees for shrub forests	mu	1.7	16000	27200.00
	Social security funds	mu	1.7	3200	5440.00
3	Other farmland	mu	0		0.00
	Compensation fees	mu	0	0	0.00
	Social security funds	mu	0	0	0.00
II	Forest clean-up costs		1.7		255.00
1	Forest clean-up	mu	1.7	150	255.00
Subtotal of Parts I & II					155345.00
III	Other costs				19727.54
(I)	Preparatory costs	2.5% of the sum of Parts I & II			3883.63
(II)	Survey, design and scientific research costs	3% of the sum of Parts I & II			4660.35
(III)	Implementation management costs	3% of the sum of Parts I & II			4660.35
(IV)	Implementing agency establishment costs	Already included in the inundation area			3106.90
(V)	Technical training costs	0.5% of Part I			775.45
(VI)	M&E costs	1.5% of the sum of Parts I & II			2330.18
(VII)	Consulting service costs	0.2% of the sum of Parts I & II			310.69
Subtotal of Parts I-III					175072.54
IV	Basic contingencies	12% of the sum of Parts I-III			21008.70
V	Gross static investment				196081.24
VI	Relevant taxes				116300.00
(I)	Farmland occupation tax	m ²	3201.6	18	57628.80
(II)	Land restoration costs	mu	3.1	16000	49600.00
(III)	Forest vegetation restoration costs	m ²	1133.9		9071.20
1	Shrub forests	m ²	1133.9	8	9071.20
VII	Gross investment				312381.24

7) Temporary land occupation of water delivery construction area

No.	Item	Unit	Qty.	Unit price (yuan)	Investment (0,000 yuan)
I	Rural resettlement compensation fees				90550
(I)	Land compensation fees and resettlement subsidies				90550

1	Cultivated land				87400
	Land restoration costs (2 years)	mu	4.6	3000	13800
	Compensation fees for the maturation period (3 times)	mu	4.6	4500	20700
	Young crop compensation fees (one time)	mu	4.6	1500	6900
	Land restoration costs (reclamation costs)		4.6	10000	46000
2	Compensation fees for other farmland				3150
	Compensation fees for other farmland	mu	2.1	0	0
	Restoration costs of other farmland	mu	2.1	1500	3150
II	Site clean-up costs				0
1	Woodland	mu	0	150	0
Subtotal of Parts I & II					90550
III	Other costs				11499.85
(I)	Preparatory costs	2.5% of the sum of Parts I & II			2263.75
(II)	Survey, design and scientific research costs	3% of the sum of Parts I & II			2716.5
(III)	Implementation management costs	3% of the sum of Parts I & II			2716.5
(IV)	Implementing agency establishment costs	Already included in the inundation area			1811
(V)	Technical training costs	0.5% of Part I			452.75
(VI)	M&E costs	1.5% of the sum of Parts I & II			1358.25
(VII)	Consulting service costs	0.2% of the sum of Parts I & II			181.10
Subtotal of Parts I-III					102049.85
IV	Basic contingencies	2% of the sum of Parts I & II			12245.98
V	Gross investment				114295.83

Appendix 6 Due Diligence Report On The Land Acquisition Of Damsite Part Of Maozhulin Reservoir

1. Background

Since the damsite part of the subproject was started Dec. 2013 and the land acquisition, compensation and resettlement work started May 2012, to comply with ADB's social safeguard policy, a due diligence review was conducted in Sep. 2014.

2. Resettlement process, real impacts, compensation policy and the payment situation

To speed up the progress of this subproject and to start the construction of dam, part of the land for the damsite was acquisitioned separately in May 2012 and August 2013. Up to the end of Sep. 2014, a total of 29.34 mu cultivated land, 1.63 mu forest land, 3.47 mu rural road have been acquisitioned. 19 HHs with 75 persons, including about 33 female, were affected. There was no impact on housing, so no physical displacement has occurred.

By the end of Sep. 2014, Kaiyang Water Resource Bureau has paid 1,948,300 yuan to Longshui Xiang Government which is responsible for land acquisition, and up to the end of Sep. 2014, 1,180,425.1 yuan has been paid off to the APs. The rest, 16634.9 yuan, is still pending and will be paid by the end of Dec 2014. For details, please refer to Table A6-1.

Table A6-1 Basic situation of conducted land acquisition

Component	Acquisition time	Affected village	Affected HHs	Impacts					Compensation to be paid (yuan)	Paid Compensation (yuan)
				Farmland (mu)	Forest land (mu)	Rural access road (mu)	Fruit tree (Qty)	Timber tree (Qty)		
Access road to the site	May 2012	Heping	10	12.22	1.63	3.47	24	41	516730	(194241.1 +51876 ¹¹ +11021 ¹²) ¹³ +122229 ¹⁴ +50953 =430320.1
Diversion tunnel, burrow site and waste material site	August 2013	Heping	12 ¹⁵	17.12	2.5	0	1847	224	680330	48700 ¹⁶ +696500+4905 ¹⁷ =750105
Total			19	29.34	4.13	3.47	1871	265	1197060	1180425.1

¹¹ Compensation of farmland

¹² Compensation for young crops

¹³ Compensation for the land acquisition and young crops

¹⁴ Compensation for the farmland

¹⁵ There are 3 HHs are same as above

¹⁶ Compensation for 2.5 mu forest land


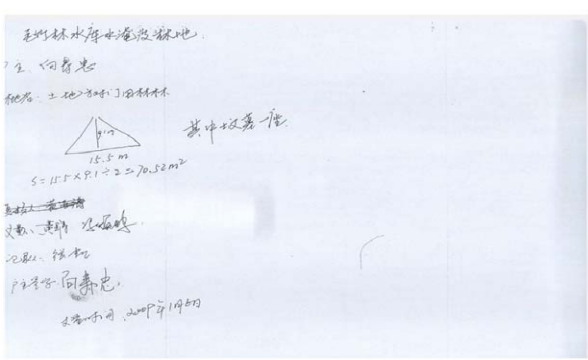
¹⁷ Compensation for young crops, 3.27 mu

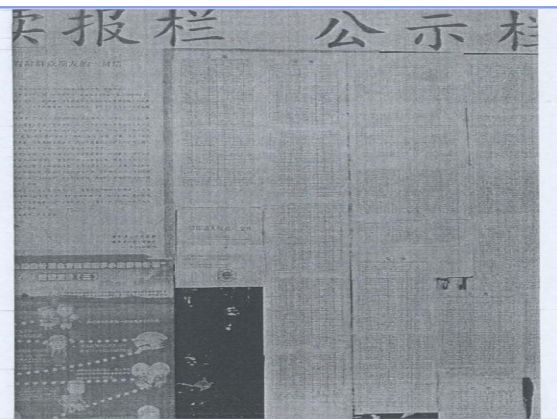
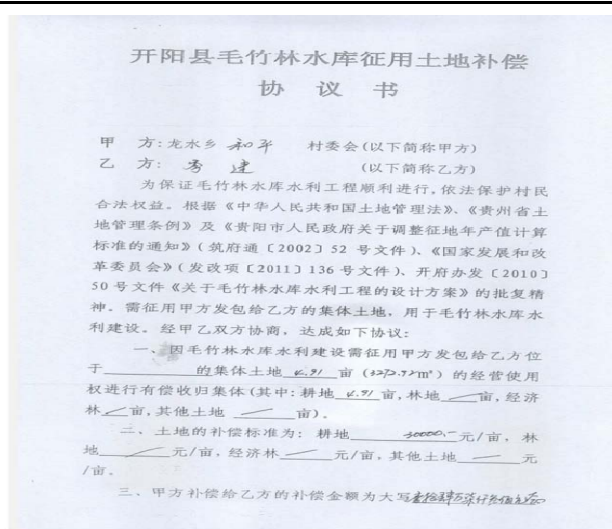
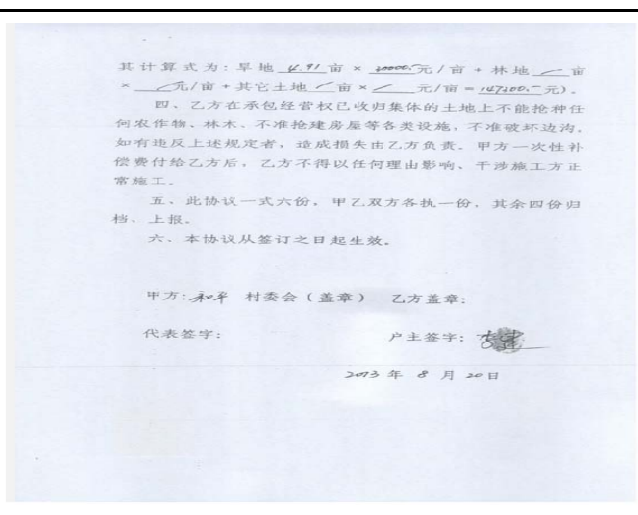
The compensation rates strictly followed the Notice of the Guiyang Municipal Government on the Promulgation and Implementation of Uniform AAOVs and Location-based Compensation Rates for Land Acquisition (GMG [2009] No.100). The actual compensation rate is same as in the RP. For details, please refer to Table A6-2. The proof of investigation of payments are listed in Table A6-3.

Table A6-2 Actual compensation rates paid

Category	Unit	Compensation rate in RP (yuan)	Real Compensation rate(yuan)	D-value (yuan)
Farmland (including the rural access road)	mu	30000	30000	0
Forest land	mu	15000	15000	0
Young crops	mu	1500	1500	0
Fruit tree	tree	50	50	0
Timber tree	tree	50	50	0

Table A6-3 Detail resettlement progress and the support material

Resettlement progress	Picture
<p>The initial impact survey was conducted in Jan 2010. All APs confirmed the result. The picture is an example of confirmation tables.</p>	
<p>The APs participated in the process of impact survey. Each AH has a survey result like this one on which the scope of land acquisition has been clearly marked out. And all participants signed their name on it.</p>	

Resettlement progress	Picture
<p>The land acquisition notice was published separately in Mar 2012 and June 2013. On which, the land acquisition policy and detail compensation rates have been disclosed.</p>	
<p>The land acquisition contract was signed in May 2012 and Aug 2013.</p>	
	

Resettlement progress

Picture

The compensation fund was directly paid to APs through local agricultural bank.



3. Livelihood restoration of APs

Up to now, the main livelihood measures for the APs is cash compensation. Meanwhile, since May 2012, some trainings have been held for the APs¹⁸. Besides, no additional livelihood measures were conducted for the APs. The resettlement external monitor will trace this issue in the future implementation phase.

4. Conclusions

The land acquisition for damsite construction has been conducted in May 2012 and June 2013. The land acquisition policy is same as the RP. During the land acquisition process, the resettlement policy has been properly disclosed and 98.61% compensation fee has been paid to the APs. And up to now, the main livelihood measures for the APs is cash compensation. More livelihood measures should be provided to the APs.

¹⁸ 3 times in total, the 1st is in May 2012 and the 2nd is in June 2013 and the 3rd is in June 2014. More than 200 persons (please refer table 5-7 for detail) within the whole impact area, not only the APs affected by land acquisition of damsite, have participated the trainings.

Appendix 7 Terms of Reference for External Monitoring and Evaluation

A Objectives

The general objective of the independent external monitoring services on the implementation of the RP/EMSA (if applicable) is to assess the compliance with principles, policies and requirements mentioned in RP/EMSA. Such as:

a. Compliance Monitoring during RP implementation:

- (i) Determine and assess whether or not the compensation payment, support and resettlement for the APs as well as the process of community consultation, information disclosure and resolution of complaints and grievances are being carried out in compliance with principles, requirements and procedures according to the RP;
- (ii) Review whether or not RP' objectives, especially those that improve or at least restore APs living standards are adequately implemented;
- (iii) Review shortcomings in the implementation of the RP and develop recommended solutions for discussion with the IAs.

b. Compliance Monitoring during EMSA' implementation:

- (i) Determine and evaluate whether or not the implementation of activities to mitigate potentially negative impacts on local ethnic minority community adequately meets EMSA' requirements;
- (ii) Monitor community consultation activities and participation of ethnic APs and local ethnic minority community in project activities and assess/confirm whether ethnic APs receive social and economic benefits of the project that are culturally appropriate and gender responsive;
- (iii) Identify shortcomings in the implementation of the EMSA and develop recommended solutions.

B Detail Tasks of the Consultancy

To carry out the external monitoring, the EMA will address the following tasks:

- (i) *Periodic monitoring:* the EMA will periodically monitor the implementation of the RP/EMSA according to the progress of each plan, mobilized by Guiyang PMO.
- (ii) *Post resettlement monitoring:* Six (6) months after the completion of the implementation of the RP and EMSA of the whole project, the EMA will carry out post resettlement monitoring to evaluate the results of resettlement implementation and impact of resettlement on the APs; and
- (iii) Participate with Guiyang PMO in ADB's monitoring missions, as required

C Monitoring Indicators

There are various monitoring indicators on the implementation of the RP/ EMSA. Bellows are main monitoring indicators that need to be focused during the monitoring.

(a) Monitoring on compliance of compensation payment and support provision:

- (i) Compensation for affected land; in case of land-for-land compensation, whether the replaced land is equal in area and location as well as production, living conditions in comparing with the affected land; in case of cash -for affected land-whether the replacement cost principle is ensured;

- (ii) Whether compensation for affected structures is equal to materials and labour replacement cost according to standards and specification of the work, not to minus and discount the reused materials;
- (iii) Whether compensation for trees/crops takes into account market rates;
- (iv) Whether supports as mentioned in the RP are fully paid to APs; single installment or multiple installments.

(b) Monitoring on compliance of information disclosure and community consultation:

- (i) Whether project documents are disseminated to communities (RF, RP, PIB and relevant documents)?
- (ii) Whether information is promulgated at public places (DMS results, prices application, disbursement of payment...)?
- (iii) Whether the APs are fully consulted about issues of land recovery, policies on compensation, resettlement, livelihood restoration; as well as access to a grievance redress mechanism?
- (iv) Whether the concerns and recommendations of the APs are resolved during the implementation of the RP; as well as the manner by which they have been addressed?

(c) Monitoring on compliance of resettlement implementation for the relocated APs:

- (i) Review livelihood and income creation conditions in resettlement sites such as (road, domestic power, water distribution/drainage system,...), livelihood;
- (ii) Relocation plan and implementation: consult about resettlement methods, participation in relocation planning, announcement of relocation plan, and support to relocated HHs;
- (iii) Post resettlement life and production stabilization: how do APs stabilize their life and production?

(d) Monitoring on compliance of income restoration, and support to life stabilization

- (i) Whether support to income restoration is adequately provided; and efficiency of the income restoration support (e.g., training, credit assistance)?
- (ii) Problems that APs are facing during the income restoration and life stabilization.

(e) Monitoring and evaluation on compliance of the satisfaction of the APs:

- (i) Satisfaction of the determination of losses;
- (ii) Satisfaction of compensation payment, support;
- (iii) Satisfaction of information disclosure, consultation;
- (iv) Satisfaction on life stabilization and income restoration support activities;
- (v) Satisfaction of resettlement site.

(f) Monitoring on compliance of grievance redress mechanism of the APs:

- (i) Degree of the efficiency of the grievance redress mechanism (time, efficiency of resolution...);
- (ii) Results of complaint resolution at various levels;
- (iii) Satisfaction of grievance redress mechanism.

(g) In addition to the above-mentioned monitoring indicators, for the ethnic minority people/communities, the EMA should address the following monitoring indicators:

- (i) Whether or not information disclosure is adaptable to cultural characters, and customs of ethnic minority people?
- (ii) Whether or not consultation carried out is adaptable to cultural characters, customs of ethnic minority people?
- (iii) The implementation of supports to ethnic minority villages (detailed in the EMSA) as: ceremonials in moving graves, livelihood restoration and infrastructure, capital-cycling fund;
- (iv) The provision of training courses and allowances at rates defined in the EMSA;

- (v) How are concerns, worries and recommendations from indigenous ethnic minority community being treated during the implementation of the EMSA.
- (vi) Whether all entitlements of EMs are delivered adequately to ethnic minority people/communities and any adjustment on policy to ensure that EMs/communities affected by the project could improve their lives immediately.

E Methodology of Monitoring

15 The EMA will apply both qualitative and quantitative methods during monitoring, which includes:

(a) Quantitative methods:

- (i) Periodic questionnaire survey: 100% of severely affected households and 10% of all other affected households.
- (ii) Use the existing statistical data at local levels, and data from district/county resettlement bureaus.
- (iii) Final monitoring and evaluation of resettlement implementation (6 months after the completion of compensation and resettlement activities) by conducting a sample survey on 20% of severely affected households and 10% of all other affected households.

(b) Qualitative methods:

- (i) Review documents of RF, RP, EMSA and ADB's relevant policies, PRC laws and Guizhou PGM's/Guiyang MGP's regulations;
- (ii) Consult and discuss with different stakeholders, including IAs, social organizations through consultation meetings, in-depth interviews, group discussions;
- (iii) Undertake focus group discussions, in-depth interviews with the target APs groups such as severely affected households, relocated households, vulnerable households, ethnic minority households and women's groups.

(c) Site visit:

Conduct site visits to resettlement sites and project construction sites to check whether resettlement sites are constructed with complete infrastructure and identify potential impacts on local people during civil works construction.

F Monitoring Frequency

17 Two types of monitoring will be carried out, including:

- (i) *Periodic monitoring:* Periodic monitoring will be carried out in project sites twice a year or at suitable schedules determined by Guiyang PMO in order to collect information and apply the above-mentioned monitoring indicators. The periodic monitoring report will be submitted not later than 4 weeks after the completion of field visits.
- (ii) *Post resettlement monitoring:* Post resettlement monitoring and evaluation will be carried out after the completion of resettlement activities (within six months) to evaluate the efficiency of the resettlement works. The post resettlement evaluation report will be submitted to Guiyang PMO and ADB not later than 30 days after the completion of the field visit.

The service is expected to start from Sep. 2014 until June 2019.

G Reporting Requirements

19 The EMA will submit to Guiyang PMO the following reports in both Chinese and English. The EMA takes full responsibility about the contents and quality of the reports and must revise reports upon the comments of Guiyang PMO and ADB.

Deliverables Requirement

Year	Report Requirement	Number	Remarks
Sep. 2014-Dec. 2016	Semi-annual Report	5	
2017-2018	Final Monitoring, Evaluation Report	2	Once every year after completion of resettlement (expected for 2 years)
June 2019	Report on the completion of consulting services	1	