COMPENDIUM

IAIA Special Symposium

Resettlement and Livelihoods

MANILA, PHILIPPINES | 20-22 FEBRUARY 2017

LOCAL HOST AND PARTNER

Asian Development Bank

IN PARTNERSHIP WITH:

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Philippine Learning Center for Environment and Social Sustainability, University of the Philippines NEC

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Compiled by

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April 2017

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INTRODUCTION

Urban and rural resettlement are impacting vulnerable communities throughout the world and particularly in Asia where population densities are high and replacement land for agriculture and urban resettlement is limited. In February 2017, a symposium on the topic "Resettlement and Livelihoods" was held in Manila, Philippines, under the auspices of the International Association for Impact Assessment (IAIA) in partnership with the Asian Development Bank (ADB), the World Bank (WB) and the University of the Philippines, to discuss key learnings on resettlement and livelihoods on urban and rural resettlement projects in Asia and internationally, and to encourage networking between practitioners, civil society, government, development banks, and industry on this critical issue. This is the second major symposium on resettlement and livelihoods organized by IAIA, following one held in Kruger National Park in South Africa in 2014[1]. IAIA has also published a social issue of its journal, *Impact Assessment and Project Appraisal,* on displacement, resettlement, and livelihoods.[2]

The 300+ symposium participants heard from 53 speakers over 3 days on a range of key resettlement and livelihood themes. Their presentations are summarized in this introductory paper. The symposium partners believe that the key lessons from the symposium should be available to a wider group of stakeholders and therefore this compendium provides an overview of the key lessons with paper summaries and links to a web site where the symposium presentations can be downloaded[3]. This provides everyone with an interest in resettlement and livelihoods an opportunity to read the case studies and consider the research presented in the symposium.

Livelihood restoration presents particular challenges to vulnerable people, and thus resettlement and livelihoods should be conceived as a project within a project. While there were many cases of negative resettlement projects presented to the symposium, there were also many positive examples which provide guidance on how to achieve success in the context of individual countries.

The key lessons for restoring livelihoods in a resettlement context included:

i) Allocating major human and financial resources to develop comprehensive and detailed baseline data of the diverse livelihood sources and activities at the household level and broader community level early in the process, in order to understand and build on what previously existed within communities.

ii) Involving experienced practitioners, such as anthropologists and sociologists, and applying proper social science methodologies and instruments to gather, disaggregate, and record data.

iii) Providing timely data management and access as baseline and benchmark data for the development, management and monitoring, and evaluation of impact, resettlement, and livelihoods restoration at every stage of the project cycle.

iv) Ensuring early and broad community information, consultation, and participation in the design of livelihood restoration programs with the full inclusion and involvement of women, youth, and vulnerable persons. Effective stakeholder engagement is important in building trust between projects and local communities. However, in practice many land acquisition and resettlement projects are driven by local elites and bureaucrats, and vulnerable groups and women are generally excluded. What is critical for the success of a resettlement process is active community participation, with clear roles for government and an effective grievance resolution mechanism. There are many examples of effective stakeholder engagement processes which can serve as models for best practice in Asia.

v) Providing a series of community-based and diversified livelihood support measures based on adaptive management (vs. rigid, immutable planning and budget) over an extended period (10 years+): a multi-faceted range of options are required for livelihood restoration programs in urban environments, including wage labor, micro/small business development, and in some cases a continuation of farming/fishing/pastoralist activities in peri-urban areas.

vi) Building a solid relationship between the company and the government in order to carefully plan roles and responsibilities and the handover of activities to the government during and after completion, and to facilitate adaptive management for rapid reactions during emergencies or critical problems.

vii) Establishing a Land Acquisition, Resettlement and Rehabilitation Policy and a land valuation authority using independent valuers to regularly update compensation rates to meet replacement rate standards.

viii) Making outcomes binding on the project based on a commitment to ensuring sustainable livelihood sources in a changing climate and allowing the outputs to achieve them to have a level of flexibility.

In recent years, the policy and legal frameworks for incorporating resettlement and livelihoods into project planning have evolved rapidly in Asia. ADB member countries' involuntary resettlement policy frameworks are gradually progressing toward international good practice, but policy gaps remain. There is, for example, an urgent need for clarification of the role of resettlement planning in EIS guidelines and procedures. These policy gaps require political will and resources to support new policy action and capacity building of government and EIA practitioners to identify and manage impacts of resettlement. The development banks and donor agencies continue to provide

support to strengthen country safeguard systems and develop national and local governments' capacity to address environmental and social issues in development projects.

Frameworks continue to be developed by academics and practitioners in order to support the conceptualization and management of resettlement and livelihoods impacts in projects. These frameworks include adaptation of older frameworks such as the Sustainable Livelihoods Approach and a new Social Framework for Projects. These frameworks must be able to capture the continuous change in communities and that people impacted by projects have to continue to adjust their strategies post resettlement as they struggle to re-establish their livelihoods.

New developments in resettlement included the development of a database by the Internal Displacement Monitoring Centre (IDMC) to measure the extent of development-induced displacement, tools for due-diligence of PPPs, and the utilization of a three-dimensional Right-of-Way (3-D ROW) for the development of urban infrastructure projects.

While some large scale developments in Asia present significant opportunities, the reality is that accessing jobs is difficult without a substantial commitment and effort from project proponents and governments. Regardless of scale, the key to project success is the development of a positive partnership between government, communities, and developers to allocate sufficient resources over an extended time period to ensure all the key principles of resettlement outlined in the international standards are implemented.

Introduction to compendium

In February 2017, a symposium on the topic "Resettlement and Livelihoods" was held in Manila, Philippines, under the auspices of the International Association for Impact Assessment (IAIA) in partnership with the Asian Development Bank (ADB) and the World Bank (WB). The 300+ symposium participants heard from 53 speakers over 3 days on a range of resettlement and livelihood themes. The presentations are summarized and structured per theme in this introductory paper.

The objective of the symposium was to identify and discuss key learnings on resettlement and livelihoods on urban and rural resettlement projects in Asia and internationally, and to encourage networking between practitioners, civil society, government, development banks and industry. The purpose of this compendium is to summarize the key learnings and to share the source materials. This was achieved by:

- Speakers were asked to prepare a 2-page summary of their presentations and, where provided, those summaries are presented under the key themes in this document.
- Speakers were also requested to share their presentations and, where provided, their presentations are available for downloading from the IAIA web site.

After welcoming delegates to the conference and making some preliminary remarks, the Symposium Chair, Mr. Eddie Smyth[4], introduced the opening speaker, Ms. Indira Simbolon, Principal Social Development Specialist at the ADB, who highlighted the importance of a renewed focus on resettlement and livelihoods in the context of the rapid development of infrastructure in Asia.

Dr. Ana Maria Esteves, President of IAIA, then outlined IAIA's objective in organizing special symposiums internationally on critical areas for environmental social assessment and management.

The opening address was given by Mr. Nessim Ahmad, Deputy Director General, Sustainable Development and Climate Change Department (SDCC), ADB (also ADB's Chief Compliance Officer) who highlighted what a critical issue resettlement and livelihoods is from an ADB perspective.

The key learnings from those speakers that agreed to share their papers and presentations are summarized under the main themes in the remainder of this document. The presentations can be downloaded from the IAIA web site[5].

1 Country safeguard systems, policies, and standards

The keynote address was given by Mr. Kahum Singh Meena, Joint Secretary, Department of Land Resources/Ministry of Rural Development, Government of India. He presented a detailed outline of the Right to Fair Compensation and Transparency in India's Land Acquisition, Rehabilitation and Resettlement Act, 2013 (LARR[6]) which came into force on 1 January 2014. The Act is a milestone in providing a detailed legal framework for incorporating resettlement and livelihood impact assessment into development projects in India.

Laurito presented the ADB's policy mapping exercise which recognizes strengths in IR policy across ADB developing member countries and allocates resources to bridge gaps in national policies and ADB standards. The ADB is promoting Country Safeguard Systems (CSS) to developing member countries to strengthen their safeguard systems and develop their capacity to address environmental and social issues in development projects. CSS refers to the laws, regulations, rules, and procedures on the policy areas of environment, involuntary resettlement, and Indigenous Peoples' safeguards, and their implementing institutions. The ADB has developed a web portal with a tool called the Equivalence Assessment Matrix which compares national policies with 12 IR policy principles and 36 IR policy principle elements. The results show that there is significant progress toward bridging the gap, but no country has full equivalence with ADB standards. Common areas of equivalence include requirements for baseline surveys, consultations, provision of resettlement assistance, and compensation prior to displacement. The common gaps were livelihood restoration, compensation for informal settlers, monitoring outcomes, gender-sensitive consultation, disclosure, and grievance redress. In summary, IR policy frameworks of ADB developing member countries are evolving towards international good practice, but policy gaps exist which require political will and resources to support new policy action and capacity building.

In 2012, ADB, the Department of Foreign Affairs and Trade Australia, JICA, and the World Bank established the regional Joint Community of Practice on Safeguards, which has carried out activities including joint training, studies, and knowledge sharing. Two learning centers have been established in the Philippines and Vietnam for undertaking capacity building on safeguards. Two more centers are planned for Indonesia and the Pacific. Leonard presented the Development Partners Safeguards Coordination Committee's activities which include Country Safeguards Systems Assessment and Technical Capacity Building and Learning Centres (Philippines & Vietnam) with proposals for further improving capacity in Indonesia, Myanmar, Papua New Guinea, and Pacific Island Countries. The development partners also share knowledge and

experience including an initiative for a common approach to safeguards and guidelines for the Pacific Island Countries.

Guerrero & Bryson proposed a centralized resettlement agency for the Philippines modeled on the current National Commission for Indigenous Peoples, although they explained that this would be very challenging considering the current responsibility of Local Government Units for resettlement and the range of agencies involved.

Kabra examined the changing contours of stakeholder engagement by state agencies in India since the new LARR law came into force in 2013. Compared to the previous law (LAA 1894), the new law expands the category of stakeholders defined as project affected, raises the types of compensation and rehabilitation benefits they are entitled to, and lays down more clearly the processes to be followed for fair acquisition of land. It also provides a comprehensive definition of "public purpose" for which land can be acquired compulsorily, and limits the scope for using emergency clauses that were present in the LAA 1894. A close reading of the LARR 2013 indicates that it embeds a series of legally actionable rights within the framework of land acquisition. Kabra's paper was based on long-term ethnographic research on 11 villages that are being impacted by a proposed dam. The introduction of the LARR 2013 has complicated the process of acquisition for local level officials in predictable as well as unexpected ways. The state is required to take into account a whole host of new criteria and safeguards in the planning phase, and as a first-level impact, the amount of paperwork necessary to justify land acquisition and displacement has increased. So far, the change in the legal regime governing land acquisition does not seem to have brought about any fundamental change in the unequal power relations between the project proponents and the affected population. Local state actors continue to use a range of strategies like subtle coercion, selective incentives, rumors, asymmetric information, and overt threats to break up collective action and minimize potential hurdles to the project.

2 Community voices

The symposium heard stories from three activists on the impacts of resettlement on their communities.

Ms. Enriqueta G. Catayong is the leader of the community-driven *Alyansa ng Mamamayan sa Valenzuela* at Caloocan Housing Cooperative[7]. She told how her family has suffered constant flooding and the area has now been selected for a social housing project under the High Density Housing program of the Social Housing Finance Corporation, which promotes in-city relocation for informal settler families (ISFs) living in danger zones in Metro Manila. She outlined how, through a community-driven housing process, they helped to design their own in-city resettlement through a low-cost loan, which is now being used to construct 30 three-story housing buildings. Kits has high hopes that other informal settlers who are still dwelling along the waterways will soon experience this major transformation. "As ISFs, we also need to help ourselves and the government especially in solving our housing problems. If we want change, we must also work for it," Kits stressed.

Mr. Bryann L. De Mesa, Community Organizer, focused on the Alliance of People's Organizations Along Manggahan Floodway's (APOAMF) People's Plan process[8] and their experience and engagement with government agencies including their advocacy for in-city housing resettlement in the Philippines. The severe damage of Typhoon Ondoy on metro Manila in 2009, which caused 4 billion pesos (about USD $80 million) of damage to property and more than 300 casualties, led to the president's proclaiming that the floodway should be vacated. Demolition notices were issued, causing fear and anxiety among the affected people. The affected people organized into people's organizations to fight for their rights and for permanent and safe housing. The people's plan process pushed for onsite developments as offsite relocation was found to result in higher transportation costs and a lack of livelihood opportunities. This resulted in an agreement to build 13 buildings on a site close to their original homes and APOAMF was part of the process of developing and implementing the People's Plan for resettlement housing. The key learnings were that the support of local government is critical with shared responsibility and a participatory planning process with the affected communities.

Piseth Duch from the Cambodian Center for Human Rights (CCHR[9]) presented a number of case studies outlining issues with resettlement in Cambodia where families were forcibly evicted from their homes with detrimental effects on livelihoods and health. CCHR recommends that the Cambodian authorities and companies involved in resettlement must ensure compensation is paid at replacement rates, ensure standards of living are maintained through the provision of improved infrastructure and services and livelihood restoration. They also recommend that comprehensive guidelines are developed to guide the resettlement processes with transparency and accountability through effective public consultation and free and prior consent.

3 Frameworks

Arifin used the Sustainable Livelihoods Framework (SLA) to frame the livelihood restoration measures required to support vulnerable people on two resettlement projects in Indonesia. He suggests that livelihood restoration measures must be tailored to a vulnerability assessment of the affected person's original livelihood assets and the capacity of each individual while also maintaining social capital and supporting access to business capital.

Cornish presented an analytical framework developed for the purpose of studying the coping strategies of communities involuntarily resettled in cities focusing on assessing impoverishment impacts and outcomes after resettlement events. The framework focused on diminished livelihoods (tools, resources, capabilities) people have to develop income generation activities and communal assets (built assets and social connectedness). A key finding was that the transition to a new routine was not permanent and when new coping strategies didn't work the people had to readjust again, which meant that there was a constant cycle of reviewing and readjusting coping strategies as local circumstances change.

Smyth and Vanclay have developed a Social Framework for Projects which assists in understanding, assessing, planning, and managing the social issues associated with large projects, such as those leading to the resettlement or displacement of people. It consists of 8 key social and environmental categories which address all the issues that contribute to people's well-being and the social sustainability of projects, namely: people's capacities, abilities and freedoms to achieve their goals; community/social supports and political context; livelihood assets and activities; culture and religion; infrastructure and services; housing and business structures; land and natural resources; and the living environment. The Framework is a conceptual model, a practical methodology, and a communications tool to ensure that the process of

mitigating negative social impacts and enhancing the benefits of large projects is effective and accessible to all stakeholders.

4 Baseline data collection and impact assessment

Anacio argues that there is a greater need for anthropological and sociological procedures in conducting impact assessments in order to integrate indigenous knowledge and also that more interdisciplinary integration so that impact assessment is seen as a unified exercise and framework and not an individual set of assessments.

Guia-Pedrosa reviews the role of EIS systems into planning resettlement and livelihood projects. He notes that while the key parameters that need to be considered for the development of a resettlement plan and livelihoods are covered in the Philippine EIS system, the requirement for a resettlement plan is not clearly defined under existing guidelines. He recommends clarifying when a relocation plan or framework should be required as part of the EIS, enhancing the capacity of government and EIA practitioners to ensure proper implementation of policies and guidelines.

Makhanya presented a case study on how impacts of resettlement of households residing in Ingquza Hill Local Municipality, South Africa, affected by the Eros-Vuyani-Neptune transmission line project were identified and managed. The case study demonstrates that there is a disconnection between the conceptualizing, planning and implementation phases and the relevant impact assessment and management plans. No Resettlement Action Plan was prepared and the ESIA, ESMP did not identify resettlement impacts nor propose mitigation measures, resulting in a worsening of the social conditions of the affected persons. He argues that there is a need to involve experienced resettlement practitioners in resettlement planning and guidelines, or even a law, to support the ESIA process.

Pilgrim conducted research in Attapeu Province in Southern Laos in order to develop and test methodologies for SIA which would provide detailed data on the livelihoods systems of ethnic minority groups impacted by hydropower development as livelihoods portfolio analysis (LPA). He says that strengthening of social science methodologies and procedures in involuntary resettlement research and management are necessary in order to identify the livelihoods systems of vulnerable people, including indigenous minorities, and in tailoring support to the special needs of their individuals, households and communities.

A new tool proposed by Moreira and Lima, the Index of Social Vulnerability (ISVul), was presented through a case study of the Fridão Hydroelectric Dam in Portugal. The ISVul is based on the framework of vulnerability proposed by Susan Cutter that seeks to determine the impact of an event on individuals, communities, and systems by a combination of physical, social, economic, and political components. These components determine the degree of threat of the event, as well as their ability to mitigate these threats and recover if the event was to occur. The ISVul integrates a set of relevant psychosocial variables into the measure of vulnerability, i.e., protective and risk factors that improve or reduce the individual and group ability to adapt to the environmental change respectively. The case study demonstrates that the ISVul can be used from a general characterization of the level of vulnerability in the households sample to a much more detailed individual characterization of each household.

Wall and Reeman challenge us to define what defines a shelter eligible for resettlement by presenting cases which don't fit easily into mainstream resettlement cases, including winter camp sites for nomadic herders in Mongolia, seasonal herders in Armenia, gardening huts in Papua New Guinea, communities with hilltop and coastal homes in the Solomon Islands, and fishing communities in Indonesia. They recommend that additional guidance on these cases needs to be drafted and practices need to be shared between colleagues in similar situations so that the different definitions of shelter and how issues can be resolved can be established.

Bryson and Guerrero proposed new ways in which resettlement planners could consider individual and collective identity capital, and how it can be sustained and/or re-imagined during the resettlement process as a potential impact mitigation activity.

Satiroglu discusses accountability in resettlement monitoring and using control groups using two case studies: the Tahtali Dam in Turkey and an oil project in Vietnam. She outlines the key issues that make assessing resettlement project outcomes so difficult, including large numbers of people, getting reliable livelihood baseline information, changing conditions, the lack of official statistical data, and the political nature of the project context. She recommends using both qualitative and quantitative tools, taking representative samples beyond just the resettled people to include host communities and triangulating the assessment with the use of a control group.

5 Consultations

Alizar and Afandi reported that the Indonesian process of land acquisition and resettlement is largely driven by local elites and bureaucrats, and that women and vulnerable groups are generally excluded. They recommend that an interactive approach to planning resettlement and livelihood restoration where the planner engages directly with the stakeholders to build consensus will lead to better decisions and project outcomes.

The case study presented by Dharmapatni on post-disaster reconstruction in Central Java, Indonesia, following the eruption of Mt. Merapi in 2010 demonstrates this approach. The eruption resulted in 330 deaths and 320,000 people being evacuated from a 20km radius. The resettlement built on similar experiences in the region through the Community-based Settlement Rehabilitation and Reconstruction (REKOMPAK), with good collaboration among ministries at a national, provincial, and local level, and was found to be well planned. The resettlement process involved women, youth, business and farmers' associations, and vulnerable people. An effective grievance mechanism was implemented which incorporated reporting from village, district, provincial, and government levels. The author confirmed that active community participation with clear roles for government and an effective GRM are critical for the success of a resettlement process.

Moreira presented a framework, the ComPro, used with EDB SA, a major Portuguese utility, to communicate with stakeholders impacted by dam concessions in Portugal. ComPro consists of three dimensions of communication: wide stakeholder consultation, permanent communications, and flexibility of communication that requires a diverse outlet of mechanisms and skills, from the traditional communication and project marketing to social research, consensus building and delegation practices.

Velasco conducted an institutional analysis based on collective action theory using a comparative analysis of 15 case studies to address the question as to how and why do stakeholders collaborate in relocation projects. The study found that stakeholders consider factors such as the views of other stakeholders, trust issues, social norms, and past experiences as important to collaboration.

Bergman presented the challenges for projects to undertake meaningful stakeholder engagement on projects, including going beyond legal requirements, managing grievances, and focusing engagement on the affected people. She presented case studies from Serbia and Kyrgyzstan which demonstrate solid achievements in developing stakeholder relationships and positive livelihood outcomes. This presentation highlighted that stakeholder engagement is important for building trust with the affected people, understanding their lifestyle and way of life and being aware of their concerns and aspirations.

6 Valuation

Khoktar presented on issues with compensation in Pakistan where the Land Acquisition Act of 1894 governs acquisition and compensation. However, methodology leads to average market rate which remains below actual rate. ADB used valuation standards of RICS (UK) and IVSC - "full replacement cost." Paid difference government rates as a compensation allowance. Amendments to the law are required to bring the Act and rules in line with international best practice.

Subedi presented the case of land valuation in Nepal, which is governed by the Land Acquisition Act (1977) where a Compensation Determination Committee is mandated to determine land values. However, there is a huge gap between government rates and the actual market rate, and the payment of taxes and duties on top of compensation places additional burdens on impacted people. He presents the key challenges and solutions including the approval of a New Land Acquisition, Resettlement and Rehabilitation Policy, a proposal to establish a land valuation authority using independent valuers, and capacity development training and exposure visits.

7 Livelihoods

Dharmapatni and Sari presented the approach to consultations on the post disaster reconstruction project in Indonesia. The livelihood success depended on well informed choices to obtain various alternatives land types and the use of pilot projects. The success of the project was based on using experienced staff, establishing a management arrangement between national and local government, and using effective tools for baseline data collection and grievance management. The project focused on inclusiveness through the involvement of women, youth, vulnerable people, and business and farmer associations. There was intensive and continuous consultation, community self-surveys in order to identify resettlement sites, and the formulation of Community Settlement Plans.

Koga and Karaos presented the lessons learned on livelihood restoration in JICA's river channel improvement project in the Philippines which required the resettlement of informal settlers. Livelihood Rehabilitation Assistance included employment and job referral, skills training, enterprise development and support programs. HH found it difficult to restore livelihoods and few made use of RAP livelihood options as not feasible or based on actual skills inventory. There was a high rate of abandonment of housing units in the first 2 years as income was insufficient. The key lesson was there was a mismatch between the demand and programs.

Jensby and Tordecilla presented the challenges of encroachers and squatters in urban projects in Asia. Informal settlers present before the cut-off date are not entitled to land compensation but are entitled to resettlement assistance to maintain or improve their livelihoods and living standards. However, there are serious constraints to restoring livelihoods, including the limited urban space for social housing, inadequate consultations with host communities, insufficient information on the types and extent of settler livelihoods, and the lack of preparation for off-city sites to receive settlers. The recommend that medium- to long-term measures need to be put in place which focus on policy development to address key issues including the formulation of a National Housing and Resettlement Policy Framework and measures for providing budgets for effective resettlement.

Balangen outlined how deforestation in the Philippines is driven by pressure to clear land for market gardening activities as people do not value forests highly because the tangible economic benefits of forests are not well understood. The absence of land use policies as well as the poor implementation of laws aggravates the expansion of agriculture into forests. He recommends strengthening land use regulations, policy implementation and monitoring and educating communities on the benefits of forests.

Guedant (et al.) presented the lessons learned from the resettlement of more than 6,000 indigenous people on the Nam Theun 2 Hydropower project in Lao PDR. The key findings were that successful livelihood restoration requires a long-term commitment with significant resources and an adaptive management approach. Livelihood restoration for resettlers was developed through 5 livelihood pillars (agriculture, livestock, fisheries, forestry and off-farm), directed using participatory techniques, and supported by community development, technical training and capacity-building. The outcomes for health, education, and income levels have been positive for the impacted communities. However, despite improvements in material and overall well-being, NT2 resettlers remain apprehensive about their livelihoods into the future. In particular, their concerns focus on access to agricultural land to produce rice and raise large livestock for food-sufficiency, the traditional measure of wealth in the area. At the same time, external monitors have raised concerns about the sustainability of the current livelihood dependence on natural resources and emphasize the need to diversify income sources in the communities.

Recommendations from the NT2 team for good practice and further actions:

- Livelihood restoration is by far the most complex and difficult task involved in resettlement. Targeted, effective, and on-going livelihood improvement support provided by a team of qualified development specialists has been a centerpiece of the project.
- Commitment to high standards for environmental and social outcomes is a crucial risk management technique in a multi-stakeholder project. The inclusion of precise, ambitious objectives in legally binding project documents ensures that E&S aspects are valued as highly as the technical and financial aspects.
- Adaptive management (vs. rigid, immutable planning and budget) is key to dealing with social issues' high complexity and rapid changes. Outcomes must be binding; the outputs to achieve them must have a level of flexibility.
- Resettlement (and other social management activities) should be conceived as a project. This implies ensuring sufficient time, staff, and material resources; high-level strategic consensus; early stakeholder engagement (information, consultation and participation); understanding and building on what previously existed within communities; a series of

community-based and diversified livelihood projects; a commitment to ensuring sustainable livelihood sources; grievance management; and full involvement of local authorities towards a jointly planned handover.

- Trust-building with IFIs and monitors is fundamental. It must be built from the first contact between monitors and the company in the planning and development phase.
- A solid relationship must be constructed between the company and the government in order to carefully plan roles and responsibilities, the handover of activities to the government during and after completion, and facilitate adaptive management for rapid reactions during emergencies or critical problems. The government is one of the keys to successful achievement of project activities and to their sustainability.

Mteki researched the adaptation strategies of communities impacted by resettlement for an airport project in Tanzania. She notes that the adaptive capability is not always uniform between affected households, as it depends on a number of factors including how resettlement is planned and implemented; the type of support provided before, during, and after relocation; the timing of relocation; the quality and location of resettlement sites; and individual household characteristics. The findings suggest that the ability for the affected households to adapt to the new environment is strongly connected to the available livelihood assets. While compensation and livelihood support are crucial in supporting the affected people to restore their livelihoods post relocation, more emphasis should, however, be put to help them rebuild livelihood assets for a stable outcome even after the support ends. Therefore, resettlement programs should create environments that support more livelihood options and flexibility to enable affected people to maximize the opportunities that resettlement may offer.

Babatu addressed the state of mining-induced displacement and resettlement (MIDR) and found that generally the EIA process is weak on household-level data and mainly focused on community-level engagement with often poor outcomes. He recommended investment in household level research and engagement in order to focus on outcomes and not just deliverables.

Nathan presented practical insights from the case of sand mining workers impacted by the Nachtigal Hydropower Project in Cameroon. The project context made it difficult to restore livelihoods due to the high mobility and turnover of potentially affected persons, difficulty in valuing economic losses in the volatile informal sector and challenges restoring a livelihood (sand mining) that is one of the most profitable available. The researchers found that the income-expenditure surveys did not provide sufficiently accurate data on informal livelihoods such as sand mining, food stalls, canoe manufacturing, and motor-taxi businesses to use as a basis for compensation calculations. Instead they established criteria for "reasonable evidence" obtained from different sources and through mixed messages. Recommendations for good practice included allocating significant resources and time to collect baseline data, conducting the same survey in different seasons, use indirect methods of estimation and "reasonable evidence" with triangulation of information. For livelihood restoration they recommended mixing cash compensation for investment with technical support and proposing tailored LR packages according to each category of PAPs with participatory and adaptive management during implementation.

8 Resettlement outcomes

Key Lessons:

- While there were many cases of negative resettlement projects presented to the symposium, there were also many positive examples which provide guidance in on how to achieve success in the context of individual countries.
- Regardless of scale, the key to project success is the development of a positive partnership between government, communities, and developers to allocate sufficient resources over an extended time period to ensure all the key principles of resettlement outlined in the international standards are implemented.

8.1 Challenging resettlement projects

Wiryawan researched the outcomes of the resettlement of more than 4,000 households for the Jatigede Dam in Indonesia between 2007 and 2015. The research demonstrated that the resettlement had impoverished the majority of households: more than 90% of the affected households had a monthly income post-resettlement lower than the local minimum wage (USD 175). The impacted households reported that the amount of compensation they received did not suffice to purchase arable land to replace rice cultivation activities, and that soil infertility and lack of access to power and roads worsened their conditions.

Yang and Hol discussed the impacts of mining-induced displacement and resettlement in China where millions people have been displaced over the past 20 years by mining. In the Chinese context, displacement and resettlement often only occurs after mining-induced land subsidence has taken place. This is explained by the lack of legal basis for communities to protect their interests until damage to the surface has occurred. The study found that the average time to be relocated was 6.3 years after the first signs of damage. This lag in relocation has triggered significant social tension in China. In 19 out of 27 surveyed villages collective complaints had been lodged through "letters and visits" (Xinfang) or the Chinese petitioning system. Even when peasants were resettled in the relocation village, there was a substantial difference between the compensation they received for the original, affected house and the purchasing price for new property. Less than half of the respondents expressed satisfaction about the building quality in the relocation village. Resettled peasants received no new land, but remained dependent on agricultural land in the original village. As the relocation villages were located at some distance from the original villages, farming had become more difficult, while many had difficulty in securing off-farm jobs. The authors recommend that the Chinese government to formulate a sustainable framework to mitigate the risks of displacement and resettlement.

Bristol-Alagbariya claims that the land acquisition and resettlement of the Finima people in Bonny LGA in Nigeria had deteriorated their living conditions and did not meet international standards despite Nigeria LNG's (NLNG) claiming that it had met all its obligations. He recommends that NLNG develops an Integrated Displacement and Resettlement Action Plan for the Environment to improve the quality of life of the impacted communities.

8.2 More-positive resettlement outcomes

Recalde presented a case study of a resettlement undertaken by a Canadian mining company of communities on an *ejido* (communal land arrangement) in Mexico and its approach to stakeholder engagement that supported a smooth resettlement process. A special joint committee with representatives from the ejido, local governments and the company was created to guide the resettlement and develop the RAP. The ejido's governance process, established by law, also helped assure that free prior informed consent was given in all critical decisions, especially the resettlement. The key findings were that the close coordination between the mine design and construction teams and the community relations department made possible a number of design adaptations that avoided negative political and social reactions during the resettlement process. A deep analysis of fears and expectations among local stakeholders made possible to communicate and engage in a way that created trust and confidence.

Wallace and Byll-Cataria presented the experience of retroactively applying MIGA's performance standards (equivalent to IFC Standards) using the case study of the National Highway 20 project in Vietnam. The project had started prior to MIGA's involvement and the process had to be retrofitted to meet MIGA's standards including retro-active household surveys, improvement in the compensation package, a business impact study and additional compensation, additional land acquisition process, and supporting households without legal tenure.

Wilmsen presented the outcome of a major longitudinal study of resettlement at the Three Gorges Project (TGP) in China where 1.2 million people were resettled. Immediately after resettlement, impoverishment was widespread and those resettled were suffering multiple deprivations. However, between 2003 and 2011 incomes generally grew and were positively correlated to employment opportunities with an enterprise located in the project. However, outcomes are never uniform; the rural-to-urban households of both counties were not faring as well the other groups. The TGP highlights the benefits of approaching resettlement as a development opportunity and long-term process of change that requires major resources. It also illustrates the importance of monitoring livelihoods beyond the project cycle and the relationship between regional development initiatives and the improvement of household's livelihoods. Wilmsen cautions that China's approach was backed by the strong arm of the state and the same conditions are unlikely to be transferable to a liberal democracy. Even by Chinese standards, the improvements in the region were exceptional, although the benefits were not spread uniformly across the 18 counties subject to the resettlement. Finally, she notes that rural to urban households were not doing as well as other groups and that practitioners need to provide longer-term livelihood solutions for the additional 3 million rural people who will be resettled to urban areas in China by 2020.

Somsoulivong presented the case of the Namngiep1 Hydropower Project in Lao PDR which required the physical resettlement of 529 households (3,500 people) and a further 20,000 people suffering economic impacts from the loss of sources of food, water and construction materials. The project established a 10-year livelihood and income restoration and rehabilitation program which provided impacted households with irrigated paddy fields, cash crop areas, tree plantation areas, grazing land (communal), and a firewood production area. The PAPs were provided with a 5-year rice program and 3-month transitional allowance plus technical and financial support for implementing livelihood activities with special measures for vulnerable people. The project provided family economic planning, capacity building, and equipment, and developed a resource training center for demonstration trials. The livelihood program has a short-term goal of re-establishing food security and cash crops and a longer-term goal aimed at building up alternative livelihoods. The key lessons were that the allocation of adequate replacement land is key to restoring livelihoods that PAPs have existing knowledge of, as well as building partnerships and providing sufficient resources (human and finance) to support the project.

Kudratov presented the social safeguards implications and livelihoods restoration on ADB-funded infrastructure projects in Tajikistan. ADB Safeguard Policy and national law requirements were aligned on issues such as cash compensation, people without formal rights, livelihoods support and assistance for vulnerable households. The key lessons from this case study are that Land Acquisition and Resettlement is a participatory process and needs to be synchronized with construction schedules, that socially and economically vulnerable groups need protection, and that monitoring mechanisms are key to addressing community issues and concerns.

Byll-Cataria and Wallace described a resettlement in the Ivory Coast interrupted by the civil war for 10 years. When resettlement planning started again after the war, a new cut-off date was required to include the new residents and Multi-lateral Investment Guarantee Agency (MIGA) and the African Development Bank (AfDB) coordinated closely with the government to ensure the effective implementation of the resettlement. When a new cut-off date needs to be set, the recommendation is to update the original RAP and ESIA, communicate the new cut-off date clearly, and seek support by an independent third party to provide credibility and ensuring potential social issues from the civil unrest are incorporated into the revised activities.

9 Urban resettlement

Key lessons:

- There is currently a major drive to resettle rural people to urban areas in many regions of the world; this presents particular challenges to vulnerable people, particularly those above 40 years re-establishing both their economic and psychological wellbeing.
- Landless aged peasants are particularly vulnerable to resettlement due to their dependence on farmland for livelihoods, mental health issues due to the stress, increased living costs in urban areas, and an increased burden on their children. They need to be more fully engaged in the resettlement process and focus not only on compensation but also livelihoods and their material and spiritual needs.
- While some large-scale developments in Asia do present significant opportunities, the reality is that accessing jobs is difficult without a substantial commitment and effort from project proponents and governments. A multi-faceted range of options are required for livelihood restoration programs in urban environments, including wage labor, micro/small business development, and in some cases a continuation of farming/fishing/pastoralist activities in peri-urban areas.
- Some of the key lessons learned were the need for a comprehensive baseline with clear cut-off dates, understanding gaps in country systems, engaging in meaningful consultations and transparency, building partnerships in implementing resettlement and livelihoods restoration, and a strong grievance mechanism and monitoring.

Gu researched the outcomes of rural to urban resettlement associated with the Danjiangkou reservoir in China. The research found that relative to the first

resettlement (from 1959 to 1976), the second resettlement (2008-2012) has been successful with increased income for most impacted households. The government generally selected locations that were close to a main road, near small cities or towns and clusters of industry, and in same the province, while providing nearby arable land on which one person can have 1.4 mu[10] irrigated land or a 1.05mu garden plot and at least 24 m^2 of house as basic economic security. Then it transported the village people as a unit out of their hometowns to the resettlement areas. The risk from resettlement of marginalization and loss of social status require further research.

Reeman and Wall highlight the challenges of rural to new urban or peri-urban settings including the assumption that "there will be plenty of job opportunities" for local residents during construction or when the factories, facility, power station, port, refinery, etc. is in operation. While some large scale developments in Asia do present significant opportunities, the reality is that accessing jobs is difficult without a substantial commitment and effort from project proponents and governments to ensure that local content is maximized. The authors believe that a multi-faceted range of options is required for livelihood restoration programs in urban environments, including wage labor, micro/small business development, and in some cases a continuation of farming/fishing/pastoralist activities.

Stockwell and MacDonald present the challenges faced by government-led involuntary resettlement to facilitate industrialization in Vietnam. There is increasing pressure on rural and agrarian communities to transition to wage-based economies—transforming farmers into factory workers. The key challenges were difficult timing, with the land acquisition occurring during construction, putting additional pressure on displaced people due to rapid social, economic and environmental change, poor baseline and monitoring data, and transitioning livelihoods out of agriculture. Older people faced the most challenges; the project implemented programs targeted at elderly people to rebuild social networks and support non-income generating activities. These include volunteerism, small-scale household projects and food production, informal skills training, and community-led health promotion. The authors recommend early engagement and good quality baseline data stored in a GIS database with early implementation of livelihood restoration activities with a focus on both income and non-income generating activities to help households diversify strategies and allow more family members an opportunity to contribute.

Thwe (et al.) presents the case of the Thilawa Special Economic Zone (SEZ) in Myanmar which seeks to develop an area of 2,400ha. Seven challenges and solutions were identified including the provision of transparent consultation, providing improved resettlement infrastructure, support for transition from land-based to non-land-based livelihoods, training on money management, clarification of the complicated land ownership structure, establishing market prices for land, and updating the baseline following a delay in implementing the cut-off date.

Novozhilov presented the lessons learned from the application of IFC PS 5 in urban resettlement. Involuntary resettlement is a key risk both for affected and sponsors and lenders with disruptions to projects, loss of social license to operate and reputational risks. Urban resettlement presents particular challenges including the diversity of affected parties, assets and livelihoods with the presence of marginalized groups with informal livelihoods. With government-led processes there are challenges in estimating replacement value compensation and restoring livelihoods, opportunistic political interests and a lack of capacity. The key lessons learned were the need for a comprehensive baseline with clear cut off dates, understanding gaps in country systems, engaging in meaningful consultations and transparency, building partnerships in implementing resettlement and livelihoods restoration, and a strong grievance mechanism and monitoring.

Wang and Chen highlight the major issues facing China with an average annual urbanization of 1.35 percent per year and the national land use planning (2006-2020) requiring the acquisition of 45 million mu of farmland with about 67 million landless peasants. The proportion of the population over 65 will increase from 10.1% in 2014 to 12.8% in 2020, which means the population of aged landless peasants will increase to 8.64 million. Landless aged peasants are vulnerable to resettlement due to their dependence on farmland for livelihoods, mental health issues due to the stress, increased living costs in urban areas and an increased burden on their children. They recommend that aged peasants be more fully engaged in the resettlement process and focus not only on compensation but also livelihoods and their material and spiritual interests.

10 New developments in resettlement

Ogura proposes the utilization of three-dimensional Right-of-Way (3-D ROW) for the development of urban infrastructure projects by reallocating urban space to both private and public ownership with the local communities using examples from Japan. The proposed framework deals with the legal issues covering the airspace that exists under raised roads for building *in-situ* accommodation in cities. Major cities in Asian countries are struggling with serious traffic congestion and the 3-D ROW approach can help solve issues by providing clarity on the ownership of space for innovative building designs.

Rogers challenges the assumption that resettlement is a solution to climate change impacts by examining the relationship between resettlement and climate change vulnerability in rural China. A comparison of different kinds of capital, climate impacts, and household coping strategies shows that resettlement adversely impacts on the income and land resources of resettled households. This can be attributed to inadequate compensation, high levels of debt, and low land allocations. Resettlement has resulted in greater livelihood insecurity and constrains the ability of resettled households to cope with agricultural water stress. While resettlement is often proposed as a climate change adaptation strategy, we need to think this through more carefully. Further, practitioners need to be more attuned to the relationship between resettlers' livelihoods and climate risks, particularly in rural-to-rural resettlements. An understanding of how secure post-resettlement livelihoods will be in a changing climate needs to be more fully integrated into resettlement practice.

Nugent and Bryson investigated what risk Public-Private Partnerships (PPP) opportunities represent from a land acquisition perspective, and developed a basic diagnostic tool for use by private sector companies intending to borrow or seek investment from a funder. The diagnostic tool was developed to identify procedural and rights based risks, including incorporating the major impoverishment risk factors such as landlessness, joblessness, marginalization, and loss of access to common property resources, and Indigenous Peoples' rights within the tool. These are then coupled with project factors such as the track record of the host country, temporal aspects of the acquisition process, scope and scale of population and asset displacement, replacement and emplacement type and alternatives are examined.

Walicki presented a new initiative by the Internal Displacement Monitoring Centre (IDMC) to measure the extent of development-induced displacement. IDMC counts and reports on internally displaced persons using a single definition regardless of the cause of displacement. The list of causes of displacement is not exhaustive, and the notion covers persons who are obliged to leave their homes and places of residence because of development projects. IDMC will not impose its definition of an internally-displaced person on other institutions and seeks to obtain data and information as it is collected. IDMC's monitoring of development-induced displacement covers the entire globe and includes new and protracted cases of displacement caused by public and private development projects. The IDMC is seeking feedback and suggestions for establishing processes of regular transmittal of displacement and resettlement data to IDMC, for compiling a global estimate of people internally displaced by development projects, and for quantifying the costs and benefits of displacement and resettlement in the context of development.

11 Conclusion

The IAIA Symposium on Resettlement and Livelihoods provided a unique opportunity for practitioners, civil society, government, development banks, and industry to share case studies and research on current challenges and solutions on projects in Asia and internationally. This compendium of papers and presentations allows a wider range of stakeholders to share in the lessons learned, particularly those practitioners on projects who don't have the resources or time to attend conferences. IAIA, ADB, World Bank, and other partners look forward to continuing the process of building capacity through the sharing of practical case studies and research on resettlement projects in order to promote resettlement as an opportunity for promoting the development of impacted communities.

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[1] http://www.tandfonline.com/doi/full/10.1080/14615517.2015.1037665

[2] http://www.tandfonline.com/toc/tiap20/35/1

[3] http://conferences.iaia.org/manila-2017/presentations.php

[4] The Program Committee comprised Mr. Eddie Smyth (Intersocial Consulting) (Chair), Ms. Indira Simbolon (ADB), Mr. Peter Leonard (World Bank), Jill Baker (IAIA), Prof. Frank Vanclay (University of Groningen), Prof Deanna Kemp (University of Queensland) and Dr. Aura Matias (University of the Philippines).

[5] http://conferences.iaia.org/manila-2017/presentations.php

[6] http://indiacode.nic.in/acts-in-pdf/302013.pdf

[7] http://www.shfcph.com/LEADING_THE_ROAD_TO_CHANGE.html

[8] http://countrysafeguardsystems.net/sites/default/files/APOAMF%20Experience%20in%20Community%20Organizing%20and%20Engagement%20with%20Government%20Agencies_translated.pdf

[9] http://cchrcambodia.org/index.php?url=home.php&id=1

[10] (15mu=1 hectare)

Papers

A central resettlement agency for the Philippines
Cindy Bryson, Michelliza Guerrero

Changing contours of stakeholder engagement in the wake of the new land acquisition law in India: A case study of a proposed small dam in central India
Asmita Kabra

A central resettlement agency for the Philippines

Cindy Bryson, Michelliza Guerrero

The paper explores government policies and practices in resettlement planning and implementation in the Philippines. The aim to is not to be critical, but to offer suggestions for ways to improve government-led land identification and involuntary acquisition/expropriation, relocation and resettlement, housing and infrastructure, and livelihood restoration processes and outcomes.

The development of the paper is a collaborative effort among GHD Manila's environment and stakeholder engagement practitioners. During an internal workshop, we shared our experiences on resettlement and livelihood projects, and captured thoughts on how aspects could be enhanced or changed.

A desk-based literature review followed, including sourcing materials published by international agencies on resettlement in the Philippines. Interviews were conducted with representatives from government agencies and other consultants.

The research supported initial assessments that there are many different government agencies undertaking resettlement, each with different policies. There are some organizations whereby elements of their mandate relate to resettlement, such as the Housing and Urban Development Coordinating Council and the National Housing Authority. There are others that undertake resettlement as a consequence of their projects, such as Department of Public Works and Highways, and the Philippine National Railway.

Government agencies focus on their mandated functions and generally have minimal involvement in regulating private-driven resettlement projects. There is also a greater focus within the housing related agencies on urban settlements than rural. For instance, the Housing and Urban Development Coordinating Council provides direct administration and supervision of key shelter agencies, although its policy largely focuses on urban renewal. Agencies also tend to pay more attention to mitigating physical displacement, rather than economic displacement.

This paper offers a suggestion for a reorganization of responsibilities, policies, and regulatory powers under a single central agency. This centralized agency could conceivably be modeled on the current National Commission for Indigenous People, which accepts applications, conducts research, acts as a mediator (where necessary), ensures adequate representation for vulnerable people, and issues certification for use and appropriation of land. It is further recommended that the agency could possibly integrate functions and cater to both the hard (land acquisition and resettlement infrastructure provisions) and soft sides (provisioning of social services and livelihood, social reintegration and empowerment) of resettlement.

Changing contours of stakeholder engagement in the wake of the new land acquisition law in India: A case study of a proposed small dam in central India

Asmita Kabra

Objectives

This paper examines the changing contours of stakeholder engagement by state agencies after the LARR (Land Acquisition, Resettlement and Rehabilitation) 2013 came in force. It examines over a four-year period the actions of local state actors in the period prior to notification of land acquisition for a proposed minor irrigation project in the central Indian state of Madhya Pradesh. The proposed small dam project is likely to be initiated in March or April 2017, although no formal notifications to this effect have been received by the local community at the time of writing this. I look at local state actors like land surveyors, lower level revenue officers, engineers and other technical experts, block level irrigation department officers and agencies hired by the local state. I attempt to unpack the effect of the new law on stakeholder engagement by studying how these actors operate in the field in the planning period preceding the formal notice of land acquisition.

The laws governing land acquisition in India have changed remarkably in their intent and purpose from the colonial-era Land Acquisition Act (LAA) of 1894 to the new law that came into force in 2013. The shift in intent is evident from the very fact of the name of the present law, which is titled The Right to Fair Compensation and Transparency in Land Acquisition, Resettlement and Rehabilitation (RFCTLARR 2013). The LAA of 1894 was mainly a procedural law, which took for granted the right of the state to acquire land at will, and only laid down the broad procedures to be followed for due compensation. After independence, India adopted this colonial-era law without significant changes, and embarked on a series of state-funded development projects under which huge quantities of land were acquired and an estimated 60 million people were displaced till the end of the millennium.

In the late 1980s, a series of local, state, and sector-specific policies were devised to modify and improve upon the LAA 1894. In addition, there was a series of attempts to devise a national policy on resettlement and rehabilitation. All these actions culminated in the enactment of the RFCTLARR 2013. The RFCTLARR is, as its name suggests, a significant move forward from the LAA 1894 since it is a rights-based law.

Compared to the LAA 1894, this law expands the category of stakeholders defined as project-affected, raises the types of compensation and rehabilitation benefits they are entitled to, and lays down more clearly the processes to be followed for fair acquisition of land. It also provides a comprehensive definition of "public purpose" for which land can be acquired compulsorily, and limits the scope of using emergency clauses in comparison to the LAA 1894. A much-publicized contribution of this law is the consent clause, under which written consent of 80 per cent of landholders must be obtained for land acquisition to proceed. Another important feature of the new law is that it enjoins upon the acquiring agency to justify the public purpose of the acquisition through a comprehensive Social Impact Assessment (SIA) exercise, which also lays out in detail the social costs to be generated by the project for different categories of affected households. A close reading of the RFCTLARR 2013 indicates that it embeds strongly for the first time a series of legally actionable rights within the framework of land acquisition. Critics of the new law point to several significant loopholes and "weasel words" that are likely to limit its efficacy, but it is widely agreed that the law is a significant improvement over the previous one.

The basic question I explore in this paper is how local state actors negotiate the stringent and complex procedures and safeguards enshrined in the new legislation. How is information regarding the proposed project shared with the local people, given the new law's requirements of greater transparency and public participation? How are project-affected families determined, given the broader definition contained in the new law? How is emerging resistance to the project dealt with by the officials whom locals petition for greater information and how do these officials respond to the key concerns raised by the people? How tough are the requirements of social and environmental impact assessment and stakeholder participation? How is consent for land acquisition obtained (or manufactured) in the face of palpable local opposition to the project? I end with some observations about the likely impact of these modified practices on the eventual livelihood outcomes for the people threatened with displacement.

Methodology

The paper is based on long-term ethnographic research ongoing since 2012 in 11 villages that are likely to be impacted by the land acquisition for the proposed dam. I have headed an NGO in the project area for the past 18 years, and this provides me with a long-term perspective about the area and its people. For the purpose of this study, I conducted several rounds of field work in the project area since 2011, with the latest round of fieldwork ending in December 2016. I have interacted extensively with the people in all the villages likely to be affected by the proposed dam, and other team members of the NGO have also been present in community meetings held by local officials during the past four years. I bring all these ethnographic insights to bear on the topic of my paper.

Findings

The introduction of the LARR 2013 has complicated the process of acquisition for local level officials in predictable as well as unexpected ways. The state is required to take into account a whole host of new criteria and safeguards

in the planning phase, and as a first-level impact, the amount of paperwork necessary to justify land acquisition and displacement has definitely increased. The dominant mood among the project proponent, which is the state irrigation department of Madhya Pradesh, seems to be one of caution. The groundwork for the project began before the enactment of the LARR 2013, but the law was already being debated in the Indian Parliament since 2011. The project authorities seem to have understood clearly that land acquisition for the proposed minor irrigation dam will take place under an altered legal regime. Their preparations seem to have been made accordingly, keeping the broad contours of the new legislation in mind.

However, in terms of their attitude towards the affected community, the local bureaucracy is functioning in the business-as-usual mode, and the changed spirit of the new law (from a procedural to a rights-based legislation) has not percolated down to the operational processes of the state bureaucracy on the ground. So far, the change in the legal regime governing land acquisition does not seem to have brought about any fundamental change in the highly unequal power relation between the project proponents and the affected population. At least 70 per cent of the affected population consists of the Sahariya, an adivasi (indigenous) group listed as a Particularly Vulnerable Tribe under the list of Scheduled Tribes in India. Of these, half are going to face their second physical eviction in the last two decades, since five of the affected villages were resettled in this area after being displaced in 1999 from a nearby wildlife sanctuary. The level of legal literacy and empowerment is very low among this segment of the displaced population, even as their adverse experience of the previous displacement makes them extremely skeptical of the state's attempt at relocating them yet again.

Local state actors continue to use a range of strategies like subtle coercion, selective incentives, rumours, asymmetric information and overt threats to break up collective action and minimize potential hurdles to the project. The paper demonstrates multiple ways in which the safeguard clauses enshrined in the new law are diluted on the ground. I end the paper with some observations about the long-term implications of the LARR 2013 on how the land acquisition scenario is likely to change in the years to come, especially in the context of acquisition for state-funded projects.

Papers

Livelihood restoration plan for vulnerable persons
Aldi Muhammed Alizar, Afandi Arifin

Coping strategies among resettled households in cities: A draft analytical framework
Gillian Cornish

The Social Framework for Projects: A conceptual but practical model to assist in assessing, planning, and managing the social impacts of projects
Eddie Smyth, Frank Vanclay

Livelihood restoration plan for vulnerable persons

Aldi Muhammad Alizar, Afandi Arifin

Introduction

A project's development, whether conducted by the government, donors, or private sector, often cannot be spared from the activities of land eviction or land acquisition. It is expected that a land acquisition process will entail physical (relocation or loss of shelter) and economic displacement (loss of assets or access to assets that lead to loss of income sources or other means of livelihood) to the affected parties, since some of the areas to be secured for the project are occupied by the local inhabitant. On the other hand, in the view of international regulations, the project's initiator is required to avoid severe long term hardship, impoverishment, and environmental damages upon the appropriate measures carefully planned and carried out through the project's Environmental and Social Management System.

Considering project development generally impacting on the local community, therefore a mitigation of physical and economic displacement needs to be established to reduce the adverse impact of land acquisition or relocation to the community's livelihood. The economic displacement mitigation is deemed to ensure improvement or at least restore the land owners or land occupiers livelihood. The key challenge is how to balance investments requiring the acquisition of land with the risks such projects can pose to local livelihoods, especially to the vulnerable person. Increased responsibility must be taken by states, parastatals, and companies making investments, as well as those states and communities on the receiving end. The project development initiator is required to develop an appropriate resettlement and livelihood restoration program for the management of project-related investments which ensures they are inclusive, transparent, accountable, equitable, and sustainable.

Methodology

Vulnerable people are more adversely affected by resettlement than others due to their limitation in claiming or taking advantage of resettlement assistance and related development benefits. Crucial issues often faced by the project initiator are about the objectivity and validity in determining who are the vulnerable people and coupled with how to design an appropriate livelihood restoration program for the vulnerable person. Vulnerability may be assessed in the context of pre-existing and transitional hardship vulnerability caused by project related to physical and economic displacement. This paper explores the usefulness of a Sustainable Livelihood Framework in obtaining a comprehensive understanding on vulnerability condition and its contexts of Project Affected People (PAP) as the basis for identifying and developing an appropriate livelihood restoration plan for vulnerable persons. This approach developed based on experiences and case studies in Indonesian context. Through the application of social research by using a Sustainable Livelihood Framework, the identification and designing of livelihood restoration plan for vulnerable persons and their households could be implemented more measurably based on identification of the livelihood assets—i.e., natural capital, human capital, physical capital, and social capital—and their vulnerability context.

Discussion of key findings

To identify the project affected persons and their households who live in vulnerable conditions or not, several parties performed measurements using different indicators. Based on vulnerability contexts that occur in the case of the project area, the study performs measurements by using 10 criteria and indicators. Among others are:

1. Per capita income below the central Halmahera poverty line
2. Age over 55 years old
3. Disabled members of household
4. Widow as head of household
5. Dependency ratio higher than 100%
6. Eats 2 or less meals/day
7. Doesn't get help from family or neighbors
8. No transportation facilities
9. Non-permanent house
10. No private latrine facilities

In determining vulnerable claimants, the study firstly refers to the claimants whose per capita income per year is under the World Bank and the regional poverty line standard, and coupled with 3 or more other criteria above. By referring to the vulnerable criteria the project could find a number of land claimants living in vulnerable conditions. The identified list of vulnerable persons can also then be validated with triangulation method in order to generate more convincing findings.

The Livelihood Restoration Strategy (LRS) is to prevent and mitigate the potential adverse impacts to the vulnerable PAPs as a direct result of the resettlement process. Therefore, the potential and magnitude of adverse impacts could be identified through the following approach:

1. In general, the LRS for vulnerable project-affected persons (PAPs) should refer to the ecological conditions, livelihoods and socio-cultural characteristics possessed by PAPs.
2. The LRS should be able to support the PAPs to gain a similar or even better livelihood, independently. It is important that the land acquisition and resettlement process will not cause a dependency to the project which

eventually would make more problems in the future.

3. The LRS should be focused on the characteristics of the vulnerability and potential sources of livelihood assets owned by each household, either in the form of natural capital, human capital, financial capital, social capital and physical capital.
4. Involving representatives of both communities, the project-affected people, and host populations in the consultation process to build familiarity and to resolve disputes that are expected to arise during and after the resettlement process.

Recommendations for good practice/further actions

The LRS for vulnerable persons shall be implemented based on vulnerability conditions and sources of livelihood and assets embedded with the PAPs which are as follows:

1. With reference to the PAP's origin, livelihood assets, and potential economic sectors on natural resources, livelihood development can be made through the strategies of increasing value-added products and strengthening market access.
2. The LRS should be focused on the interests, talents, and expertise possessed by each individual.
3. To be more effective in planning the livelihood recovery strategy, the network of relationships between individuals and social institutions must have significant economic implications. In other words, social capital is a fusion between social relationships and economic benefits, particularly in facilitating the flow of income.
4. The livelihood recovery strategy shall be focused to enhance the PAPs ability to possess or to access physical assets to support family life and economic activity.
5. The expansion of access for capital is one of the main indicators of success in the livelihood recovery strategy and in improving the quality of PAPs. The ability of project-affected people to access financial institutions, both banks and non-banks, will be beneficial and would enable them to obtain business capital. Therefore the allocation of funds for livelihood restoration program by the project initiator is intended to provide funding to obtain business capital. In addition, the establishment of livelihood restoration programs for vulnerable persons, whether land-based, wage based, or livelihoods-enterprise based, is aimed not only to restore the source of income but also to increase the income of PAPs above the regional minimum wage and the World Bank's poverty line standards.

Coping strategies among resettled households in cities: A draft analytical framework

Gillian Cornish

Introduction

This analytical framework has been developed for the purpose of studying the coping strategies of communities involuntarily resettled in cities. As urbanization trends across the world continue, particularly in Southeast Asia, contention for land and pressures for redevelopment will rise, making involuntary development-induced displacement and resettlement (DIDR) a more common occurrence.[i] How we understand the processes by which individuals, households and communities cope with the consequences and changed circumstances of their new environment after resettlement is evolving in the theoretical and methodological debates in forced resettlement. Shared knowledge in this space has been more advanced in the contexts of rural and large scale infrastructure development, but there are opportunities to more comprehensively understand these processes in an urban resettlement context.

Methodology

This analytical framework is a draft conceptual model being used for the researcher's PhD. It was applied to a case study in Yangon, Myanmar, where communities were involuntarily resettled in 1991 for development purposes and other political motivations. This framework was used as a structure to approach data collection methods, which followed a qualitative process of semi-structured interviews with household members who were directly affected by the resettlement program.

Discussion

The framework differs from previous development-induced displacement and resettlement (DIDR) models that have focused on developing knowledge about assessing impoverishment impacts and outcomes after resettlement events. Models such as Cernea's Impoverishment Risk and Reconstruction model and Scudder's four-stage approach and elements of the Sustainable Livelihoods framework are well incorporated into the DIDR literature.[ii] The framework presented here attempts to understand how people cope and adapt in their changed circumstances and places the coping strategies that affected groups develop in response to resettlement at the center.

The framework can be broadly described in three inter-connected clusters:

1. Consequences of resettlement. Communities experience many different consequences from being resettled, including social disconnectedness, reduced access to economic generating opportunities, worsened health conditions, reduced access to housing and other physical infrastructure, among others.

This framework and the working Yangon case study focus on two broad and commonly identified consequences: diminished livelihood and communal assets. Livelihood assets refer to tools (e.g., equipment), resources (e.g. social networks) and capabilities (e.g., learned skills for a trade) people have to develop income generation activities. Communal assets can include both physical, built environment assets and also the social connectedness within or between communities.

2. Response mechanisms to resettlement consequences. In response to consequences of resettlement, people develop coping strategies at personal, household and community levels. Personal level coping strategies are self-motivated and in the context of livelihood and communal asset management might include acquiring new skills or diversifying one's income stream.

Household level strategies are developed with members of the household, such as deciding to remove children from school to increase the number of income earners for the household unit.

Community-level coping strategies are created between household units and contribute to joint benefits, such as using donated funds for a shared library or public space.

Each personal, household, and community level coping strategy employs elements of individual action, collective action, or a combination of individual and collective action. These actions can overlap, operate separately, or influence or depend on each other. Internal and external factors influence why, how, and what kinds of coping strategies are developed. Internal factors can be household relations, culture, and religion, while external influences might include the kind of government regimes and broader economic conditions, among others. Coping strategies are influenced by the environment the resettlement event is situated within, and use individual and collective actions to assist with transition to a new routine in a resettled environment.

3. Transition to new routine. The transition outcomes that are developed from the coping strategies are impermanent and can change when circumstances for the individual, household or community changes. For example, new taxi driving skills can be gained through coping strategies but with changed household circumstances, deposit for a vehicle loan might no longer be possible.

This would require the individual to review and develop new coping strategies. The transition to a new routine can lead to many different outcomes.

In sum, this analytical framework sets itself apart from other frameworks by focusing on the processes of change communities use by developing coping strategies to adapt to their new environments in a post-resettlement context. This framework can assist researchers and practitioners to understand how communities replenish and reconstruct their asset portfolios in order to transition to a new routine. The impermanency of transition outcomes means

that there is a constant cycle of reviewing and readjusting coping strategies as local circumstances change. By better understanding how affected groups replenish and reconstruct their asset portfolios and adapt to changing circumstances, more targeted risk assessment and mitigation can be planned ahead of other DIDR projects.

Recommendations

As this is a new conceptual approach for studying DIDR, the researcher asks for feedback on the presented framework and how elements of other DIDR frameworks and models can be incorporated into the structure.

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[ii] Cernea, M. M. (2000). Risks, Safeguards and Reconstruction: A model for population displacement and resettlement. *Economic and Political Weekly* 35(41), 3659–3678.

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The Social Framework for Projects: A conceptual but practical model to assist in assessing, planning and managing the social impacts of projects

Eddie Smyth, Frank Vanclay

Summary

Despite increased interest in international social standards and an increasing number of commitments to achieve the new SDGs worldwide, many projects continue to have negative impacts on the well-being of affected individuals and communities. Unfortunately, complex development projects typically fail to address their social impacts, and certainly in a holistic way. The Social Framework for Projects assists in understanding, assessing, planning, and managing the social issues associated with big projects, such as those leading to the resettlement or displacement of people. The Framework was iteratively developed by assessing existing models and reflecting on our practical experience in large projects, and on the basis of input and feedback from a wide range of stakeholders. It was designed to be compatible with the International Finance Corporation's environmental and social performance standards and international best practice. It consists of 8 key social and environmental categories which address all the issues that contribute to people's well-being and the social sustainability of projects, namely: people's capacities, abilities, and freedoms to achieve their goals; community/social supports and political context; livelihood assets and activities; culture and religion; infrastructure and services; housing and business structures; land and natural resources; and the living environment. The Framework is a conceptual model, a practical methodology and a communications tool to ensure that the process of mitigating negative social impacts and enhancing the benefits of large projects is effective and accessible to all stakeholders.

Figure 1: The Social Framework for Projects (simple version)

Using the key topic areas that align with the social management frameworks required by international standards, the simple version of the Social Framework is a useful starting point for any project to map out its local context. The language of the Framework is simple and accessible allowing communities to use it independently. At the same time, the Framework can be used by all social specialists—including health, ecosystems services, in-migration, etc.—as an overarching framework for SIA to communicate on a single page with all stakeholders. This helps to facilitate discussion on aligning proposed mitigation measures amongst these experts, thus avoiding duplication. The Framework can be used to support all phases of project development, including scoping, baseline data collection, SIA, the development of management plans, the formulation of monitoring indicators, and to design social reviews. The Social Framework provides social practitioners with an opportunity to move beyond the rhetoric of stakeholder participation by providing a tool which can be used and adapted by both experts and the community themselves to communicate what they understand contributing to their well-being and how projects can reach their full potential as a development opportunity.

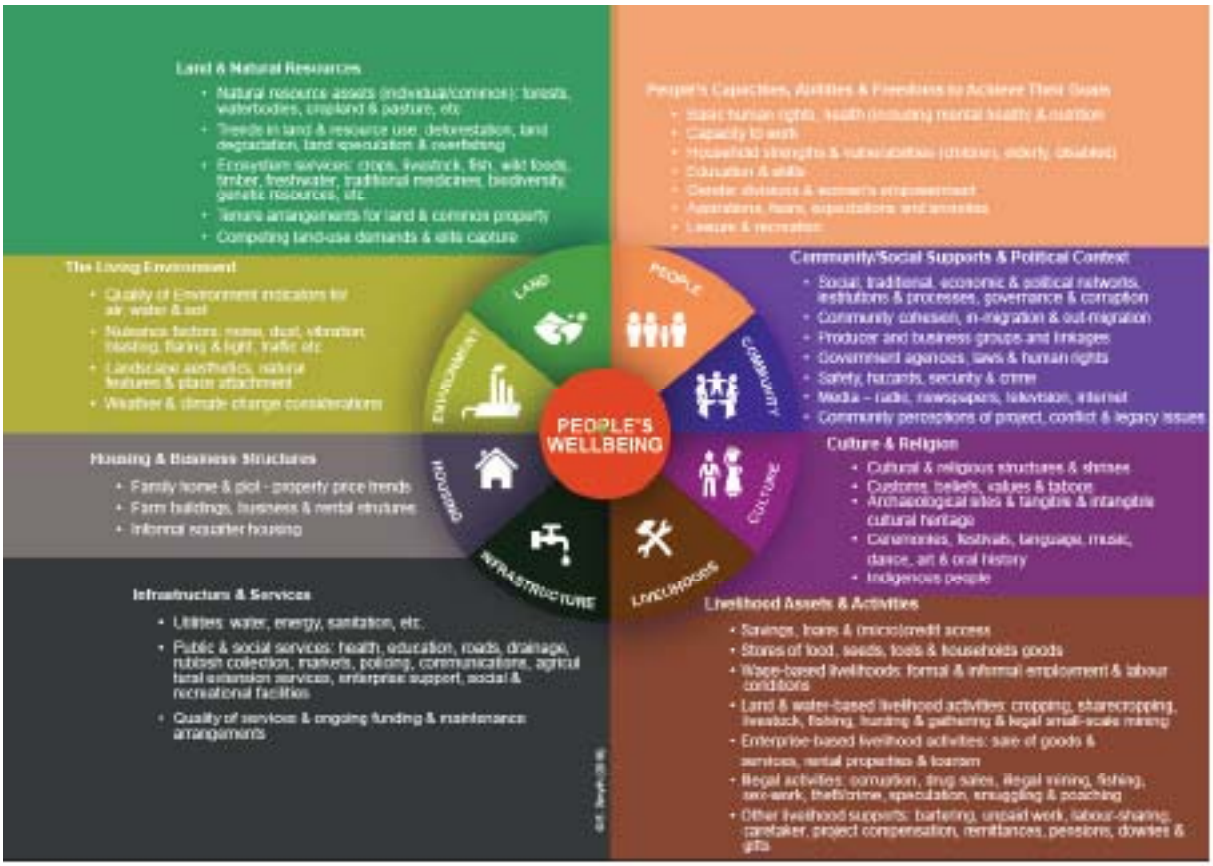

Figure 2: The Social Framework for Projects (elaborated version)

Smyth, E., & Vanclay, F. 2017 The Social Framework for Projects: A conceptual but practical model to assist in assessing, planning, and managing the social impacts of projects. *Impact Assessment & Project Appraisal* 35(1), 65-80. http://dx.doi.org/10.1080/14615517.2016.1271539 (Open Access)

BASELINE DATA COLLECTION AND IMPACT ASSESSMENT

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Complementing traditional impact assessments with indigenous and local knowledge

Danesto B. Anacio

Impact assessments from the social and natural sciences

The objectives of this paper are to 1) describe indigenous values and local peoples practices related to land and livelihoods; 2) recognize gaps in using these knowledge for current impact assessment frameworks; and 3) analyze possible methods for integrating scientific and indigenous and local knowledge in impact assessments. Indigenous peoples' world views toward their environment reveal holistic, interrelated and subsistence frameworks deeply enmeshed within their communities, ultimately correlating with the naturalness of their inhabited ecosystems. Anthropological literature has long recognized this fact due to its predisposition to make sense of people's culture and its general implications to the well-being of the human species. Various studies show indigenous peoples seeing nature as essential components of their selves, of humans seen together with other 'beings' (flora, fauna, abiotic components and supernatural beings) as equals, if not with even greater status.

Intersecting indigenous peoples' environmental world views and environmental conditions thus requires an examination of a range of cultural perspectives on the environment and the contexts wherein such world views exist. Moreover, understanding indigenous world views and their environmental implications require a conceptualization wherein peoples' knowledge about their environment is a different unit for analysis apart from observable practices that indigenous peoples do. Once a distinction between a society's environmental world views and its members' actual use of their environment is made, it is possible to see relationships (or the lack thereof) between environmental impacts and environmental world views which eventually create such impacts.

Methodology

This is a theoretical and ongoing paper based on my personal experiences as an indigenous person from the Mt. Province and Benguet regions in the Philippines; general interest in things indigenous, native and cultural; and from my current PhD research on culture change, environmental degradation, and the indigenous begnas ritual system in Sagada, a highland municipality in Mt. Province inhabited by the Kankana-ey people.

Discussion of key findings for further actions

Traditional impact assessments are mainly disciplinary endeavors undertaken by experts from various scientific fields while often disregarding non-science knowledge held by indigenous and, sometimes, local peoples. Thus, indigenous and local residents should not only be the source of information in conducting impact assessments, but also as active members of the impact assessment team. This allows reflexivity of conceptual frameworks among scientific experts and indigenous knowledge holders. Second, impact assessments should use "conceptual contexts" which show interfaces of culture and nature, or activities which manifest production-consumption regulatory mechanisms. Such contexts enrich and highlight culture-environment changes and its cause-effect variables. Examples of such "conceptual contexts" include indigenous rituals, traditional livelihoods, agricultural practices, and among others. However, more work needs to be done in order to effectively analyze development project impacts, as determined from a transdisciplinary perspective of scientists and other knowledge experts, including holders of indigenous and local knowledge systems.

The Philippine EIS system inputs to planning resettlement and livelihood projects

Pura Vita Guia

Introduction

Similar to other countries, the environmental impact assessment (EIA) requirement in the Philippines is intended to identify and analyze the environmental impacts of undertakings and to provide guidance on environmental management at various stages of the project cycle. In the Philippines, a positive evaluation of the EIA results to the issuance of an environmental compliance certificate (ECC) that is intended to represent the environmental compliance commitments conformed to by the project proponent.

The EIA lays down a framework for incorporating environmental management concerns in the detailed design of the project by taking into consideration the management of the projected environmental impacts of the project. After the release of the ECC, the project proponent is expected to proceed to the next stage of project planning, which is the acquisition of approvals from other government agencies and local government units (LGUs). The EIA and the ECC are intended as considerations of approval, representing the assessment and proposed management of environmental issues concerning the proposed projects.

With the overall framework provided in the EIA Report and recommendations, project proponents are expected to comply with the specific and more detailed standards and requirements of other environmental laws on environmental quality management, on natural resources use and on the management socio-economic impacts as the ultimate way of managing the impacts of development. Among the possible socio-economic impacts of development projects are displacement of settlements and impacts to livelihood.

Methodology

The planning process for resettlement and livelihood projects as a consequence of displacement due to the implementation of development projects is examined in the context of the inputs from the Philippine EIS system vis-à-vis the safeguards requirements of donor agencies, in general.

The compliance to existing country systems requirements and the usefulness of the inputs of the Philippine EIS System to planning resettlement and livelihood projects were analyzed considering three case studies. From these analyses, gaps were identified and recommendations were formulated to optimize the usefulness of these inputs.

Key findings

Normally, except for road projects, proponents go to the Environmental Management Bureau (EMB) for the ECC once the project location has already been selected. Hence, the need for resettlement, if ever, is already established at this stage of project planning and development.

The key parameters that should ideally be considered in the development of a resettlement plan and livelihood projects for displaced communities are required under the Philippine EIS system. However, the requirement for a resettlement plan is not clearly defined under the existing guidelines. It just specifies that either a resettlement framework plan or resettlement action plan (RAP) should be prepared as part of the impact management plan in the EIA report.

The following are the key findings from the three case studies:

1) The assessment of displacement as a development impact in the case studies, in general, does not comply with the existing guidelines. Baseline data specific to the settlements to be displaced on parameters important in the preparation of the most appropriate relocation and livelihood program was generally not presented. City/municipal level data on population, population density, gender and age profile, literacy rate, and profile of educational attainment were presented instead and the assessment/analysis was limited to the number of households to be displaced.
2) The people module of the EIS where the displacement impact was discussed in the EIS case studies, does not integrate impact assessment results in the other modules of the EIA (i.e., land, water, air, people). Ideally, these can be considered in identifying settlements which should be relocated and the corresponding relocation sites.
3) The contents of the resettlement plan included as part of the EIS varies. EIA preparers use various references in the preparation of resettlement plan. Some use funding agency guidelines such as ADB.
4) Not all of the ECCs for projects entailing resettlement contain a condition on the proper implementation of resettlement plans
5) Livelihood development is not uniformly stipulated in ECCs for projects with adverse impacts on existing livelihood

Recommendations for good practice/further actions

The Philippine EIS System, although not designed as the government process that should ensure appropriate design and implementation of relocation and livelihood, it can be an excellent means of gathering relevant data needed to come up with the most appropriate plan.

The role of the Philippine EIS system as a planning tool specifically for the development of the most appropriate resettlement and livelihood for specific cases may be enhanced through the following:

1) Enhancement of the policies and existing guidelines

   - Consider identification and analysis of the type of displacement impact (funding institutions classifications can be referred to such as involuntary acquisition of land or restrictions on land use and access, etc.).
   - Specify parameters to be considered from the results of the baseline data gathering and impact assessment in the other modules of the EIS (i.e., air, water, land, etc.).
   - Clarify when a relocation plan or framework shall be required as part of the EIS and what will be its contents.

2) Enhancing the capacity of the EMB and EIA practitioners in ensuring proper implementation of the policies and guidelines

   - Orient EMB and other EIA practitioners on the importance of the Philippine EIS System inputs in planning resettlement and livelihood programs and how the results of the impact assessment can be used.
   - Training/orientation on enhanced policies and guidelines.

3) Improving the transmission of the Philippine EIS system inputs to and coordination with government agencies with primary mandate on relocation and livelihood

   - Institutionalize and ensure implementation of transmission procedures of key results and recommendations of the EIA critical to the formulation of appropriate resettlement and relocation plan.

4) Enhancement of the capacities of appropriate government agencies in managing relocation and livelihood programs

   - Capacity building.
   - Improve coordination among concerned government agencies.

An evaluation of development-induced relocations process in the Ingquza Hill Local Municipality

Kentridge Makhanya, David De Waal, Kevin Mearns

Study objective 1

The first objective of the research was to investigate and analyze the social impact indicators identified during the relocations.

Secondary data analysis and document analysis

The collected data was expected to demonstrate a clear level of connection between the conceptualizing phase, the planning phase, and the implementation phase of the project. Such connection should be communicated through reports and meetings and it should be commonly understood by all stakeholders involved in the project. This was not the case with the analysis of documents and data that was conducted during the research. The utilized research data reflected that the Eros-Vuyani-Neptune project was designed and delivered solely for the purpose of development. Most projects are time- and budget-oriented, with minimum interest in the impacts induced by such development.

Environmental impact assessment and social impact assessment

The findings from the draft environmental impact assessment (DEIR) identified the impacts associated with the power line, which triggered the relocations. The subsequent recommendation was for the power line to either deviate with the aim of avoiding the relocations of the homesteads, or the developer had to enter into a compensation process with the affected homesteads. All information gathered formed compelling results that the process implemented at IHLM was a "compensation process." The reviewed DEIR does not comprehensively explain what the compensation process should entail, which creates great possibility for misinterpretation and inappropriate implementation.

Project environmental authorization

The environmental authorization (EA) is a legal document of which its conditions are binding. However, the above condition is a serious disadvantage and it marginalizes the people who are in rural areas under tribal land. In tribal land, the legally recognized landowners are the tribal leaders or chiefs. The people who were required to move out of the servitude do not own the land, but only have permission to use the land from the chief. This opens a huge gap in protecting or mitigating social impacts that will be imposed on such people.

Final environmental management plan

The analysis of the environmental management plan (EMP) documents revealed that both documents did not mention or cover any mitigation measures of the relocation activities.

Such relocations are interpreted as a social component that forms part of the holistic environmental impact assessment (EIA) and mitigations thereof. The unfortunate exclusion of the relocation component within the EMP might be due to the fact that relocations are dealt with during the acquisition phase. At the EMP phase, it might be assumed that the assessed servitude has been compensated for and the affected dwellings have been addressed through acquisition. This also triggers a need for process improvement. In a project that has a relocation component, it will be necessary for a social specialist to form part of the team that compiles the EMP for approval by the department of environmental affairs (DEA).

Relocation action plan

During the study and the interviews held with the project managers from the developer's team, it was discovered that no relocations action plan (RAP) was compiled and documented for their records. It is, however, important to mention that the current operational process of the developer is the only method that addresses the relocation component for every project that has a relocations component within it. This can be highlighted as an area that requires improvement.

Study objective 2

The second objective of the study was to evaluate and compare key socio-economic and environmental indicators in IHLM. The key indicators were limited to five in order to maintain the focus of the study and still achieve the objectives of the research. These key indicators: quality education, quality health care, affected age groups, community linkage, and employment.

The results presented by the collected data illustrate that the general concern from the combined data on the social impact is mainly related to the community linkage. Only one out of the total five key indicators shows small improvement; that is quality health care. The combined data are not explicit enough in identifying key problems associated with specific villages. A multiple case study approach was utilized to separate and evaluate the data per village.

Study objective 3

The third and the last objective of the study was to make recommendations on how to improve and close gaps associated with relocations.

Outcome

The following areas are recommended for further investigations:

- Legal requirements for managing resettlements in South Africa. This study should look at the need for legislation that will regulate the process of relocating people mainly for the purpose of development.

- Impacts of resettlements on economic growth. This study can focus on people affected by resettlements while they are self-employed and dependent on their affected land for financial income.
- Understanding community needs during resettlements. All resettlement projects should be treated as unique. Such a study can focus on the needs and benefits of stakeholder engagements during the decision-making phase.
- Resettlements separating people from their graves. There is a gap in understanding of the significance of graves as part of resettlements.
- Resettlement process on tribal land. This study can highlight the different roles played by tribal leaders and government authorities when making decisions on the resettlement process in tribal areas.

Conclusion of the study

The relocation process implemented at the Inguza Hill Local Municipality did not improve the social conditions of the affected people. The selected key indicators have revealed a clear pattern in the various villages.

- Makhwaleni village has been affected negatively on the following indicators: education and community linkage.
- Mantlaneni village has been affected negatively on the following indicators: education, community linkage, and employment opportunities.
- Nkozo village has been affected negatively on the following indicators: education, health, affected age groups, community linkage, and employment opportunities.
- Nqwabini did not have any houses relocated.
- Sphaqeni village has been affected negatively on the following indicators: affected age groups and community linkage.

Social science methodology in the social impact assessment of hydropower in southern Laos

John Pilgrim, Damdouane Khouongvivhit, Phout Simmalavong, Sichit Sackmone

Summary

Research conducted in Attapeu Province, southern Laos, from 2010 to 2013 was directed to developing and testing a methodology for SIA which would provide detailed data on the livelihoods systems of ethnic minority groups impacted by hydropower development as livelihoods portfolio analysis (LPA). The study and related workshops and consultation over a two-year period were aimed to provide a framework and methodology in which disaggregated data on livelihoods systems are recorded as a database and management tool for local and safeguards staff (in Laos the provincial and district DESIA) and hydropower project staff to undertake informed resettlement and livelihoods retention and restoration of affected households and individuals.

The main approach was that of a design for socio-economic household survey which would identify household livelihoods portfolios—a concept employed, for example, in Ellis, in DFID pro-poor research[1] and a sustainable livelihoods approach, and in recent migration, resettlement, and peasant farming research in Laos[2] and neighbouring territories[3]. For that purpose, the 100% household questionnaire socio-economic survey, conducted by interviewers at the household, was accompanied by ethnographic/observational research and by community socio-political case history, by agro-ecological village profiling and by identification of community and household access to external services and markets.

The aim of the research in Attapeu Province was particularly to identify diversification in livelihoods but also to understand the make-up of village economic systems. For that purpose it identified ten main labour-use activities or comparison between villages. The survey also identified the level and purposes of labour exchange between households, production, and use of product for consumption and trading, as well as livelihoods activities which were engaged in by individual households but not generally in the community.

Ethnographic study was directed to understanding the social organisation and the cultural and cognitive basis of economic management and livelihoods systems. Indicators of social and economic connections with external services and markets which were measured in the socio-economic survey included particularly access to and participation in schooling, engagement in wage labor, and possession of two artifacts which were shown to be important socially and economically and instrumental in individual and community connection with mainstream Lao society: the motorcycle and the mobile phone.

The outcome of the research was the creation of two detailed databases:

- One of quantitative data, of the demographic make-up of households and their livelihoods portfolios, was based on a random sample survey of 389 households throughout the 11 villages.
- One of household portfolios of the livelihoods activities of every household, by individual member and by season, of all households in 100% of households of villages with 50 households or less, that is of all the undisturbed upland ethnic minority villages.

The rationale behind seeking this level of detail in databases was that of having a level of knowledge of diverse livelihoods sources and activities which might be necessary for their retention and restoration by safeguard agents working directly with displaced groups.

A second purpose was that of testing a methodology which would examine the connection between social science methodology in social impact assessment (SIA). and probable or recorded failure or success in the planning and management of involuntary resettlement and livelihoods restoration.[4]

The researchers were also concerned with theory and methodology, notably on functionalism in knowledge and communication systems. A secondary question is that which asks in what ways is research a bridge between the knowledge systems of the developer and safeguard agency and that of the impacted community, and what role does that play in access to services and resources, in the sustaining of livelihoods systems and in the prevention of impoverishment? With this intent, a system of LPAs was designed on the basis of the research findings to identify individual, household and community livelihoods, as databases which could be provided, with other data, as dossiers in the hands of local and hydropower project safeguards managers and staff with direct and intimate contact with the community and individual households and individuals.

Dossiers—partly made up of recorded research data and partly on consultative and case material assembled by the safeguard case worker— would serve as a means of consultation and as a management and monitoring instrument, and would continue to be so throughout and beyond the project cycle. Household labour use and livelihoods data are triangulated for this purpose with community agro-ecological profiling, showing access to resources and services, both of the natural environment and of external services and markets—shown to differ significantly throughout the sample, and thus influencing requirements for resettlement and livelihoods retention and restoration. To this would be added the local and project knowledge of the manager in continuing to use and apply the dossier.

The results of the research are demonstrated in the LPA, shown here (Figure 1) for a three single households at the village of Dom Khene, but which would be brought together to create community LPA for all 22 households in that village, and similarly for all households in affected villages.

Data from the household socio-economic questionnaire survey are shown in the bar charts (Figure 2) for comparative household labour use distribution from ten most important livelihoods sources for two villages in each of three main hydropower impact areas:

- The reservoir areas of Xhekhaman 1 dam and its subsidiary Xekhaman Xanxai dam
- The transmission line
- Xekhong 3 upper dam

Agro-ecological data on three areas are shown as the key to the agro-ecological typology used for villages in the three areas as factors determining access to natural resources, markets and services.

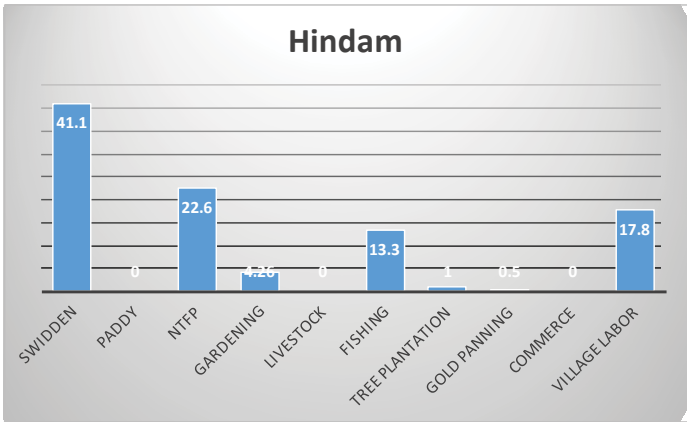
Figure 1. Livelihoods Portfolio Analysis of Keobandid's household at Dom Khene*

HH Code: DK 011

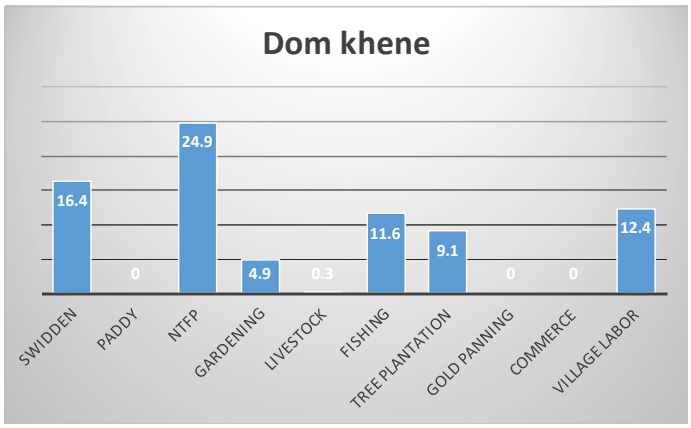
No.	Name	Rel to HH	Marital status	Age	Sex	Ethnic	Level of Edu	Currently study?	Occupation	Wet	Dry	All Year	Intermittent
1	Keobandid	Head	Married	32	M	Yeh	Sec sch	No	Govt. official	☐	☐	☑	☐
									Swidden farm	☑	☑	☐	☐
									Logging	☐	☑	☐	☐
									Gardening	☐	☑	☐	☐
2	Jone	Wife	Married	28	F	Yeh	Pri sch	No	Swidden farm	☑	☑	☐	☐
									Gardening	☐	☑	☐	☐
3	Phonexay	Daughter	Single	7	F	Yeh	Pri sch	Yes	Student	☑	☑	☐	☐
4	Bee	Son	Single	3	M	Yeh	No	No	Dependent	☐	☐	☑	☐
5	Nin	Daughter	Single	5	F	Yeh	0	No	Dependent	☐	☐	☑	☐
6	Soukan	Adopted son	Single	11	M	Yeh	Pri sch	Yes	Student	☑	☑	☐	☐
									Dependent	☐	☐	☑	☐
7	Baht	Wife's mother	Widow	50	F	Yeh	No	No	Swidden farm	☑	☑	☐	☐

Additional livelihoods sources	Gardening (cassava, chili, banana), household head and spouse livestock (poultry, pig), fishery, NTFP (mushroom, wild vegetable, bamboo shoots, wild animals, herbs),wage income from government salary, and from logging for timber company.
Income sources and sufficiency	Sufficient rice, income from livestock, sales of vegetables, salary from government employment. Household income has remained the same in last five years.

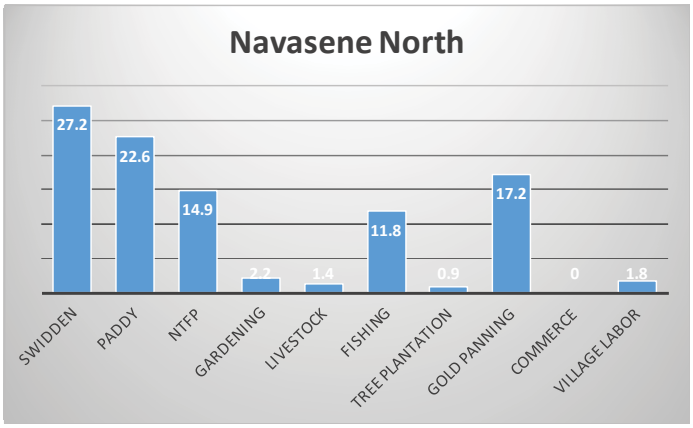
Figure 2.



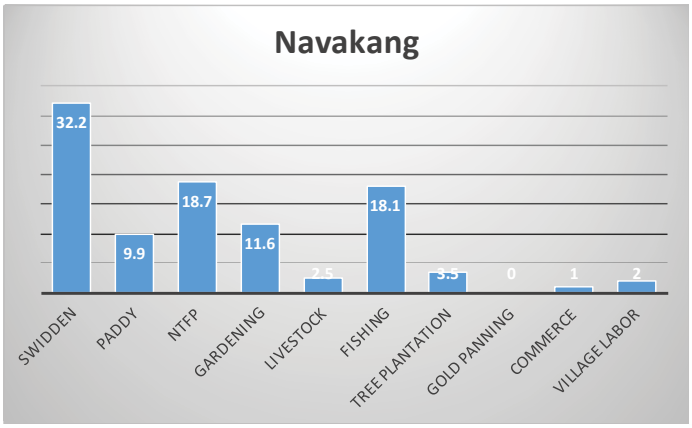
A1: Upland, access to primary forest and game, adjacent to main river, impacted by Xekhaman 1.



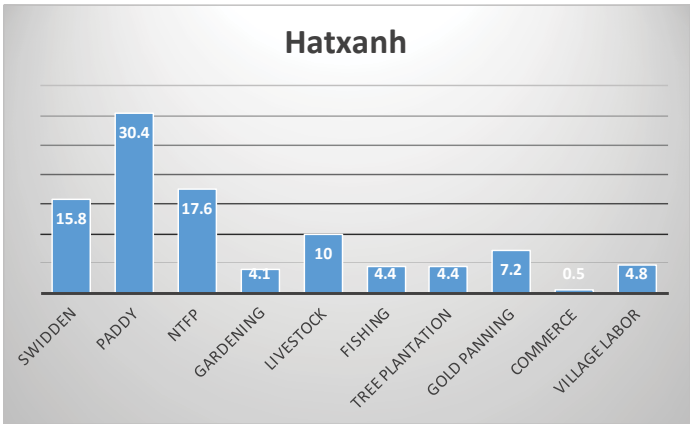
A2: Upland, access to depleted forest, commercial logging areas, 2km distant from main river impacted by X. Xanzai.



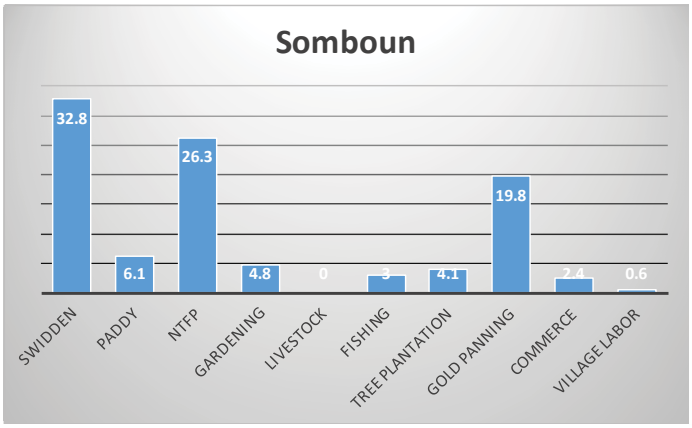
B1: Lowland, access to irrigated paddy, 1-2km distant from main river, impacted by Xekhong 3 Upper Dam.



B2: Lowland, resettled communities, some access to paddy, 2km distant from main river impacted by Xekhing 3 Upper Dam.



C1: Lowland, no immediate access to forest, from river, on main road, development village, 30km from Attapei, impacted by TL.



C2: Creek/valley terrain, in foothills backing onto NCA, 1km from main river, large development village and district center impacted by TL.

Figure 3. Key to agro-ecological locations and access

A1: Upland, access to primary forest and game, adjacent to main river, impacted by Xekhaman 1/Xanxai.

A2: Upland, Access to depleted forest, commercial forestry and logging areas, 2km distant from main river impacted by Xekhaman 1/Xanxai.

B1: Lowland, Access to irrigated paddy, 1-2 km distant from main river, impacted by Xekhong 3 Upper Dam.

B2: Lowland, Resettled communities with limited access to paddy, 1 to 2 km distant from main river, impacted by Xekhong 3 Upper Dam.

C1: Lowland, No immediate access to forest, 5km distant from river, on main road, large development village hosting multiple resettled ethnic households, suffering land loss from transmission line and from rubber plantation.

C2: Upland, immediate access to primary forest in NCA, on National Road close to Vietnam border, losing forest/hunting areas to transmission line.

C3: Creek/valley in foothills of NCA and production forest, losing forest/hunting areas to transmission line, on recently constructed access road running from NR18A to Cambodian border along the Ho Chi Minh Trail close to Vietnam border.

C4: Creek/valley terrain, in foothills backing onto NCA, 1 km to main river, development village with mainly Brao villagers, with recently installed water supply and mains electricity, and access to some paddy, administrative centre of Bouvong sub-District, losing forest/hunting areas to transmission line, on recently constructed access road running from NR18A to Cambodian border along the Ho Chi Minh Trail close to Vietnam border.

IAIA Special Symposium on Livelihoods and Resettlement: Review of discussion and findings on social survey and database management in social impact assessment

Presentations and discussion on livelihoods in the symposium paid particular attention to social survey and research in social impact assessment in the planning of livelihoods retention and restoration in involuntary resettlement.

It appeared to participants that procedures for studying and consulting with affected households and communities, e.g. those set out in IFC Standard 5, are not identified with sufficient precision, and especially not made sufficiently available to practitioners. Those procedures which are available in guidelines and handbooks are not sufficiently directed to describing factors which practitioners and academics alike have found to be key in identifying the existing livelihoods systems of affected people and their safeguarding or restoration: the key role which households play in day to day and long-term management of often widely varying sources of income and sustenance of its members; the role of communities and their institutions in the management of resources and services; gender roles in livelihoods and welfare management; the changing relationship of ethnic minority groups with mainstream services and markets; the socio-cultural and cognitive basis of livelihoods and their functioning in relocation; and the relationship of resettlement with development.

There was consensus that the information needed is first that at the household level, to permit the informed consultation, shared knowledge and safeguarding which can be achieved by the work of project and local safeguard agencies and staff; and secondly, as databases on diversity and sources of information of communities and areas. Socio-economic surveys tend not to be undertaken to a schedule early enough to permit timely planning for the safeguarding or restoration of vital areas of the livelihoods systems of households and communities. Both are needed as a database for planning and action at the inception and at every stage of resettlement consultation, management, monitoring and evaluation of the resettlement cycle.

Several presentations and discussions reported on the experience of participants of the role of consultation and research in recording and utilizing information, including essential baseline data about existing livelihoods systems of affected peoples, and on instances of impoverishment and social disarticulation in involuntary resettlement which relevant and early information would have assisted in preventing. This discussion ranged across virtually all areas and aspects of community displacement and resettlement, including that of urban redevelopment in the Philippines, major regional population transfers in Burma, displacement of populations by hydrocarbon development in Vietnam, displacement by linear railway, roads and irrigation projects in Cambodia, and – in the report on research dedicated to the strengthening of the methodology of SIA for these specific purposes – Pilgrim report on the National University of Laos research on social survey of ethnic minority villages displaced by hydroelectric dams and a transmission line in southern Laos.

Socio-economic survey, census, detailed measurement survey, qualitative research, and consultation were all seen to contribute to the identification and record of existing livelihoods systems of Project-Affected Persons (PAPs) and to the utilization of this information in resettlement and in livelihoods retention and restoration. They were discussed as jointly constituting essential baseline data, but as often being managed as separate exercises and databases. They are often formulated to be provided to planners and regulatory agencies but not to—and not in a form usable by—managers and staff working directly with the affected people, whose knowledge of local languages, culture and economic systems may be crucial to retaining existing social capital and livelihoods.

Research and experience in the management of resettlement and livelihoods restoration of rural communities affected by infrastructure and land use development in Asia has indicated that baseline data on household livelihoods resources and management collected at the earliest stage of projects and of resettlement planning is the most valuable database for purposes of livelihoods retention and restoration. It has, however, to be designed and generated for the specific purposes both of safeguard staff working directly with affected households with diverse livelihoods sources, and for project and sector

planners planning for their restoration, but also for the long-term development of impacted community and regional or basin land and water use systems.

Information at household and community levels can and should be made available rapidly from surveys and local fact finding, and may best be obtained by having research, survey and consultation done by the local agents working and living with the affected groups. Data processing can in that case be minimal, and in the form of household dossiers or case files rather than in the tabulated data which will be available from computerization and analysis. However, computerization often means that data are made available months later in the project cycle for purposes of planning, monitoring and evaluation, but in the meantime the value of the raw household data in providing a basis of consultation and potentially of the utilization of PAPs' experience and skills in development on the basis of resettlement is lost or diminished.

In common SIA practice, discussion at the symposium concluded, these elements of fact finding and database development are not technically adequate, relevant or sufficiently timely or brought together as the basis of a necessary social science tool for purposes of resettlement and livelihoods restoration databases, or as an instrument in the hands of local and project -level safeguards practitioners or for their training.

It appeared important, however, to note that these are adjustments to or measures which can accompany existing procedures required by international best practice including those of IFC Standard 5, notably in the socio-economic household survey conducted in the context of census and DMS. These are mainly lacking in definition and detail on household livelihoods portfolios and means of identifying their linkages with community management systems and with markets and services—elements that an appropriate social science instrument or instruments would correct.

The introduction of a strengthening of social science methodology and procedure in involuntary resettlement research and management was seen as especially necessary in identifying the livelihoods systems of vulnerable people, including indigenous minorities, and in tailoring support to the special needs of their individuals, households and communities. Where it is in evidence it provides substance, meaning and an entry point to realising fairness in the compensation of peoples—essentially based on their indigenous rights and livelihoods systems—lacking formal land and related rights. The role of a strengthened social science is then to contribute to the possibility for realistic and appropriate livelihoods development and retention to be defined and achieved.

It will, however, be most valuable when accompanied by policies of devolution to permit the continuous consultation and case study and related support provided by local and project safeguard managers and staff with language and social affinities with PAPs. This role is strengthened by resource and consultation units, such as the social and environmental units, which ADB has advocated should be placed with local representation and technical support within affected communities or in agencies working with them.

We recommend that, as an addition to existing requirements, IFC Standard 5, ADB SPS and related guidelines specify the need and means:

- For socio-economic household survey and related research which will, at household level, provide a sufficient database for the identification and planned retention of existing livelihoods systems of PAPs, and especially of vulnerable and severely affected people, including Indigenous Peoples.
- For the timely provision of data management and access as baseline and benchmark data for the development, management and monitoring, and evaluation of impact, resettlement and livelihoods restoration at every stage of the project cycle.
- For the policy measures and documents to encourage and signpost the social science, including specific survey and research instruments which would permit the gathering, disaggregation and recording of data to identify and safeguard the existing livelihoods systems of affected households and communities.

Susanna Price:

How could use of your method have improved the prospects of impacted households? What did it contribute specifically, and what potential do you see for this method in the future?

The method strengthens the methodology of SIA, employing instruments, primarily that of the socio-economic survey, which identify all the existing livelihoods systems of impacted households as household livelihoods portfolios. The detailed database would provide an economic and effective means of devolution to local and project safeguard managers in a usable social science methodology for participative research and for management of displacement of ethnic minority peoples impacted by hydropower. The methodology can potentially be used in any displacement of poor communities impacted by infrastructure in rural areas.

It provides a database both of disaggregated household and individual livelihoods systems and resources of affected communities and of the economic systems of all impacted communities and of their diversification in the context of village agro-ecological profiles; and of access to external services and markets for use in resettlement and livelihoods restoration planning and as a benchmark for monitoring and evaluation.

A psychosocial approach to resettlement: The ISVul

Sérgio Moreira, Luisa Lima

Summary

A key endeavor in resettlement projects is to turn the potential adverse impacts into development opportunities (The World Bank, 2003). In this paper we describe a case study with a new tool to aid this complex task— the Index of Social Vulnerability (ISVul). This case study was conducted in the context of Fridão Hydroelectric Dam in Portugal as part of a consultancy project to assist the project proponent, Energia de Portugal SA. (EDP)

The ISVul is based on the framework of vulnerability proposed by Susan Cutter (e.g., Cutter, 2003). According to this framework, the impact of an event on individuals, communities, and systems is determined by a combination of physical, social, economic, and political components. In other words, these components determine the degree of threat of the event, as well as their ability to mitigate these threats and recover if the event was to occur. Importantly, the ISVul integrates a set of relevant psychosocial variables into the vulnerability framework (Marques, 2005; Vanclay & Esteves, 2012). More specifically, based on the environmental psychology literature a set of protective and risk factors was identified. Protective factors are defined as variables that improve the individual and group ability to adapt to the environmental change. On the other hand, risk factors involve variables that reduce the individual and group ability to adapt to the same environmental change. Theoretically, we assume that these factors might interact with each other in complex ways. Still, for sake of simplification to compute the ISVul we consider that, ultimately, these interactions will result in protective factors and risk factors, when present, to cancel out each other. Finally, the psychosocial variables considered mirror well-established constructs in psychology like place identity, perceived justice and coping.

In more detail, the protective factors considered were: life stage not involving the property (Cuba & Hummon, 1993; Hay, 1998), existence of previous knowledge about the resettlement (Heller, 1982; Tyler & McGraw, 1986), reports of behavioral preparation for the resettlement (Speller, 2000; Stokols, Shumaker, & Martinez, 1983), high levels of perceived and distributive justice (Runciman, 1966; Stokols et al., 1983; Tyler, 1994), high levels of trust in the proponent (Heller, 1982; Lima, 2006), presence of coping mechanisms (Speller, 2000; Stokols et al., 1983), and presence of a social networks outside the resettlement area (Fried, 2000; Heller, 1982). On the other hand, the risk factors considered were: young and older age, and lower incomes (Hay, 1998; Heller, 1982), presence of mental or physical disability (Heller, 1982), life stage involving the property (Cuba & Hummon, 1993; Hay, 1998), high levels of place identity (Fried, 2000; Giuliani, 1991; Heller, 1982; Speller, 2000), functional and economic dependence (Stokols et al., 1983), low levels of mental and physical health (Heller, 1982).

These variables were measured using validated instruments adapted from the literature. Depending on the level of analysis of the variables—family or individual level—these instruments were used in one of two assessment conducted with the communities—a household interview and an individual survey. Prior to the data collection for the ISVul, a meeting to introduce the residents and field teams and a brief survey to characterize the residents and properties took place. This preliminary approach to the communities was considered crucial to grant the necessary trust and transparency for the data collection.

Data collection resulted in a sample of 48 households and 153 individuals directly involved in the resettlement process. Based on the literature review, a weight grid was created to compute the ISVul, with each variable being assigned a value from 1 (present) to 0 (not present). Then, protective and risk factors where averaged and then subtracted. In this sense, for the sake of interpretation we have the following general rules: a value of -1 reveals only risk factors are present and vice-versa; a value of 0 indicates risk and protective factors are canceling out each other; values below 0 indicates more risk than protective factors, and vice-versa.

The potential application of ISVul as a decision tool is extensive. In our project this index was used from a general characterization of the level of vulnerability in the households sample to a much more detailed individual characterization of each household. In terms of intervention, the ISVul had implications for household specific actions, for project planning, and even in the municipality land use registration structure. Importantly, the core of the ISVul is its framework, specifically, the integration of psychosocial variables into a measure of vulnerability. In this sense it can be adapted to different sets of data (e.g., primary vs secondary data), to different data collection procedures (e.g., first-person vs third-person participants; individual vs group assessment) and to different report needs (e.g., housing vs neighborhood vs place specific reporting).

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What defines a "shelter"?

Liz Wall, Angela Reeman

Introduction

Michael Cernea in 1997 noted that one of the objectives of resettlement should be to move from a state of homelessness to one of house reconstruction. When IFC Performance Standard 5 was developed in 2006, it defined physical displacement "as the relocation or loss of shelter." Both these concepts presuppose that there is a clear definition of "homelessness" and "shelter," which will make it straight-forward to know when physical displacement is going to occur. Experience, however, suggests that these definitions are not so clear, and the distinction between physical displacement (loss of shelter) and economic displacement (loss of an asset in this context) can be difficult to determine in certain circumstances.

Methodology

This presentation has been developed drawing on case studies the authors have personal experience of, where determining whether physical displacement will occur/has occurred has been made challenging due to a contested or unclear definition of shelter or homelessness in that circumstance. The case studies include:

- Winter camp sites for nomadic herders in Mongolia
- Seasonal herders in Armenia
- Gardening huts used in Papua New Guinea
- Communities with both hilltop and coastal homes which are used on a regular basis in the Solomon Islands to meet different needs
- Fishing communities in Indonesia

Each of the cases highlights aspects of the definitional challenge which can appear when considering intermittently or seasonally used structures for accommodation.

Discussion

Drawing on the case studies which will be shared, the presentation will considers whether there is consensus amongst practitioners on what constitutes a shelter, and the consequences of the lack of consensus. If a Mongolian winter shelter is considered by one consultant to be an economic asset while to another it is a home, the level of impact is assessed vastly differently and the resulting compensation and mitigation measures will be inconsistent. In the absence of such a consensus on the definition, suggestions for future work to address this issue will be proposed.

Recommendations for good practice/further action

The presentation will conclude with suggestions for how to resolve this confusion. Suggestions will include the drafting of additional guidance text on this topic, and the sharing of practice between colleagues of similar situations related to the definition of shelter and how they have been resolved. Depending on the interest in this topic, there may be an opportunity to convert this field-based experience in to an academic paper to be shared with colleagues and to inform future practice.

Identity formation in resettlement planning

Cindy Bryson, Michelliza Guerrero

Disarticulation within post-relocated communities continues to be a concern for resettlement practitioners. The objective of this paper is to discuss ways in which resettlement planners could consider individual and collective identity capital—and how it can be sustained and/or re-imagined during the resettlement process—as a potential impact mitigation activity. Another objective of the paper is to consider a variety of multi-disciplinary concepts and tools, as well as to encourage dialogue among resettlement practitioners on sociocultural preservation and aspiration as it relates to the notion of identity.

The idea for the paper evolved from a workshop held at GHD offices in Manila with a team of impact assessment and resettlement specialists. In the free-flowing brainstorm on new ideas for resettlement planning, the idea of utilizing the marketing approaches of property developers to reflect the aspired new life (or identity) of project affected persons was posed by the team. In the Philippines, marketing campaigns by property and land developers are pervasive. Their representation of future village life on large-scale billboards, TV advertisements, and paid newspaper content is fine-tuned and carefully crafted, with people 'buying' into the plan and their imagined identity well before any construction commences.

The idea (albeit seemingly whimsical) led us to explore theories, approaches, and tools related to individual and community identity formation, social capital, disarticulation and resilience. Initially we focused our literature review on finding multi-disciplinary approaches to sustain and strengthen the 'sense' of community and belonging.

We read about how individual identity is inter-connected to place, and thought about how the process of commodifying the family home, for some families, could begin the process of dissolving emotional connections to both home and place—two notable "intangible" assets within the construction of individual identity capital (excluding any impacts on livelihoods).

Yet, at the crux of the initial idea is the recognition that some project-affected people may aspire to have the opportunity to alter, change or "improve" (aspects of) their individual and their community's identity, especially with regards to how the host community who already reside in or near the relocation site perceive them.

In the paper, we put forward a few potential (and untested) ideas, measures, activities, drawn from the Philippines experience, as well as triggers and assessment tools, and we outline the limitations of the paper and the need for further research. We truly welcome comments, suggestions, criticisms, case examples and collaborations on the topic, and invite practitioners to email me (cindy.bryson@ghd.com) to continue the discussion.

Papers

Stakeholder engagement in planning and implementation of resettlement and livelihood restoration program: A case study in Indonesia context
Aldi Muhammad Alizar, Afandi Arifin

Resettlement and communication procedures: The ComPro
Sérgio Moreira, Luisa Lima

Stakeholder collaboration in Philippine relocation
Mark Anthony Velasco

Stakeholder engagement in planning and implementation of resettlement and livelihood restoration program: A case study in Indonesian context

Aldi Muhammad Alizar, Afandi Arifin

Introduction

Local communities are usually affected by most project development, such as toll-road infrastructure development and power plant development. Therefore, appropriate mitigation measures of physical and economic displacement need to be established to reduce the effect of land acquisition and/or rehabilitation/restoration of the community's livelihood. In the view of international best practices/standards, the projects' initiator is required to avoid severe long term hardship, impoverishment, and environmental damages upon the appropriate measures which are carefully planned and carried out through the project's environmental and social management system. The appropriate physical and economic displacement mitigation is deemed to ensure improvement or at least restore the livelihood of land owners and/or land occupiers, as well as project-affected communities (PACs). Therefore, transparent project disclosure, public consultations, and negotiations should be undertaken between the affected communities and the project's initiators in order to establish best practice of land acquisition and resettlement process, from assessment, planning, implementation, monitoring and evaluation stages. In addition, the mitigation measures to the PAC also could be directed to stipulate participatory and accountable local development through the resettlement and livelihood restoration program. The implementation of this approach accounts for the collaborative works of government, private sector, civil society organizations (CSOs), local institution, and the PAC.

Methodology

This paper explores "the implementation of development for all" paradigm, in the context of resettlement and livelihood restoration planning and implementation which is developed based on experiences and case study in Indonesia context. The importance of this issue is the sense of its contribution to an increase of civic engagement in resettlement and livelihood restoration program implementation. In this case, civic engagement refers to the ways in which civil society participates in the resettlement and livelihood restoration process in order to improve livelihood conditions of the PAC's future and local development at the same time. This approach accounts the collaborative works of government, private sector, CSOs, local institution, and project-affected people in order to stipulate participatory and accountable local development through the resettlement and livelihood restoration program.

Discussion of key findings

Even though the policy and fundamental principles have been established in Indonesia, the Presidential Decree No. 30 of 2015 serves as an operationalization to the previous 2012 law to provide clarity of the land acquisition process. However, the models and approaches for public participation in resettlement and livelihood restoration have not been properly defined in the constitutional and development frameworks. In addition, at present the implementation of public participation provisions in land acquisition, resettlement, and the livelihood restoration process is considered to a large extent tokenism and formality and the extent of true public participation is low.

In addition, the impact of formality and the inappropriateness of the techniques employed in the process have resulted in poor quality of engagement. In other words, most civic engagement fails to address the actual issues in the community.

The process of land acquisition and resettlement is largely driven by local elites and bureaucrats and excludes women and vulnerable groups. This has resulted in social inclusion being seen as a "political stunt" rather than as a strong commitment and rational intervention. The issue of inclusion has not been properly mainstreamed and internalized in the strategic framework of land acquisition and resettlement. As a result, the concept of public participation is not sufficiently understood by government officials at the local level, due to local government officials lacking experience in a civic engagement approach.

The influence of the local culture, characterized by the various ethnicities, religions and other local cultures, influence political culture and power relations in Indonesia to date. In the New Order era the political culture of Indonesia is dominated by Javanism which, in terms of the relationship between the ruling elite and the people, is characterized by patron-client relationships. In this sort of relation, the leader should be benevolent and the people should be obedient. This traditional political culture seems to have played a role in the practices of the implementation of the civic engagement in land acquisition and resettlement.

Case studies confirm widespread concern about the risks associated with large-scale project development, including the following:

- Weak land governance and a failure to recognize, protect, or—if a voluntary transfer can be agreed upon—properly compensate local communities' land rights.
- Lack of country capacity to process and manage large-scale investments, including inclusive and participatory consultations that result in clear and enforceable agreements.
- Some project development proposals from the investors that were insufficiently elaborated, nonviable technically, or inconsistent with local visions and national plans for development, in some cases leading investors to encroach on local lands to make ends meet.
- Resource conflict with negative distributional and gender effects.

Recommendations for good practice/further actions

The traditional approach in planning and implementation of resettlement and livelihood restoration process tends to concentrate power in the hands of a few technocrats and experts, and that decision analysis is most compatible with bureaucratic decision-making which is antithetical to stakeholder participation. As such, the role of stakeholder participation in the traditional approach analysis process is minimized.

This statement has important implications with respect to government and Project developer's accountability and public trust. Recent issues with respect to democratic government suggest that this approach is no longer effective in managing the sustainable development agenda. Many experts suggest that traditional comprehensive and strategic development planning and implementation processes are insufficient for current resource management planning and advocate a more interactive approach to planning, implementation, and evaluation. Therefore, an integrated approach to resource planning must provide for best interaction practices with the stakeholders in the search for relevant information, shared values, consensus, and ultimately, proposed action that is both feasible and acceptable.

An interactive planning in resettlement and livelihood restoration program is based on the assumption that open, participative processes lead to better decisions. The planner engages directly with stakeholders to gain support, build consensus, identify acceptable solutions, and secure implementation. Success in interactive planning is measured by the extent to which balance can be achieved among competing interests and consensus is reached on appropriate actions.

Resettlement and communication procedures: The ComPro

Sérgio Moreira, Luisa Lima

Summary

Communication is a central theme in resettlement. However, it is more frequently used as reaction to communities or as a superficial interpretation of the legal requirements than as a structured plan (Creighton, 2005; Depoe, Delicath, & Elsenbeer, 2004; Laurian, 1999; Lucie, 1995). In this paper, we describe a framework used with EDP SA., a major Portuguese utility, to create a set of effective communication procedures: the ComPro. The need to revise and create communication procedures was a response of EDP to several dam concessions of the PNBEPH in Portugal (Apambiente.pt, n.d.). These procedures were defined considering the existing evidence on how community involvement impacts project acceptability.

Conceptually, the ComPro consists in three dimensions for communication. The first dimension deals with the targets of communication and proposes that communication should be for all stakeholders, and not just for the more important or more difficult. This dimension refers to the embracement of communication and requires mechanisms of stakeholder identification and record. From a psychological perspective, the embracement is key to promote a strong perceived justice regarding the process and the outcomes (Lind & Tyler, 1988; Törnblom & Vermunt, 2007).

The second dimension deals with the timing of the communication and proposes that communication should be permanent, and not just for when it can solve a specific problem. This dimension refers to the permanence of the communication and requires the creation of mechanisms for stakeholder management. Again, from a psychological perspective, permanence is fundamental to grant high levels of perceived control and low levels of perceived risk over the project evolution, both when there is activity that interferes the communities and when there is no activity or even a pause on the project development (Slovic, 2000).

Finally, the third dimension deals with the way of communicating and proposes that communication should be adjusted to the propose, either, to inform, to consult, or to create dialog and delegation. This dimension tackles the flexibility of communication and requires a diverse outlet of mechanisms and skills, form the traditional communication and project marketing, to social research, consensus building and delegation practices. Flexibility has also a vast array of psychological consequences on communities such as reducing perceived risk, increasing control, increasing procedural and distributive justice and, ultimately, increasing the quality and sustainability of the project (Creighton, 2005; Dietz & Stern, 2008; Fischhoff, 2013; Slovic, 2000; Törnblom & Vermunt, 2007; Tyler, 2000).

Technicians form EDP SA with direct contact with communities were trained on these the three dimensions of ComPro. The training courses took a total of 12 hours in groups of approximately 20 technicians and was administered to a total of more than 500 participants. The results from these training courses strongly encourage the use of the ComPro as a framework. More specifically, the results show that, compared to a control group, the training had a significant reduction in prejudice towards the communities and resulted in the adoption of practices and tools form the training to improve performance and to solve problems on a daily basis.

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To collaborate or not: Dynamics of stakeholder cooperation in Philippine relocation initiatives

Mark Anthony M. Velasco

To collaborate or not? This has been the dilemma confronting collective action efforts of social actors in the conduct of relocation projects in the Philippines. Getting the relevant stakeholders to cooperate has been difficult or close to impossible despite opportunities and mechanisms to do so. Therefore, the primary goal of the study is to create an answer to the main research question: how and why do stakeholders collaborate in relocation projects?

The research problem was analyzed using the institutional analysis and development framework and collective action theory. To do this, the perspectives of the stakeholders individually and the group where collaboration happened were examined. The variables of the study include the exogenous variables represented by the biophysical and material conditions, attributes of the community and rules-in-use and the action arena represented by the interaction of stakeholders involved and the perceived potential outcomes. Initially, the study would like to inform the theory by validating the hypothesis that the exogenous variables determine the situation of interaction and outcomes in the action arena.

The study has utilized the comparative case study research method with fifteen relocation projects as case subjects. Cases were randomly selected from an inventory of relocation programs in the country. The study indicated that stakeholders consider pre-conditional factors in deciding to engage in collaborative housing initiatives. Actors make a decision based on environmental factors like motivations, contributions, other stakeholders involved, and the rules forged. Notably, the stakeholders put a premium on trust issues, past experiences, and social norms as important indicators of their commitment. These elements have fundamentally affected the collaborative process and its outcomes. The dynamics of collaboration revolve around the interactions of stakeholders based on the information shared, the process of communication, patterns of relations through informal agreements and community norms. In terms of outcomes, variations can be observed in each of the cases. The collaborative process determines most of the success or failure in the conduct of housing for the informal settlers.

Papers

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Drivers of intensive agriculture expansion in Ampusongan Watershed, Benguet, Philippines

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Population and development are both rapidly growing as well as the demand for food and livelihood. Agriculture plays a vital role in providing these needs and with limited land resources in the urban areas; the pressure is placed in the rural areas of the country. While agriculture plays a vital role in addressing human needs on food and livelihood, it however threatens the forest which is the most vital ecosystem that could sustain it and the sustainability of other ecosystem services needed by man. This scenario can be commonly observed in the Philippines' countryside.

The Ampusongan Watershed in the province of Benguet, Philippines, is home to the indigenous people of the Bago-Kankanaey and Kankanaey tribes. Its vegetation-diverse forests primarily support and regulate hydrologic and production functions vitally important to agriculture, which is a major source of income for 90% of the indigenous people. However, the sustainability of these watershed services is threatened with the expansion of intensive agriculture. The challenge now is on how to conserve the remaining forests in order to safeguard other watershed services while sustaining agriculture.

In this study, systems theory using the landscape or watershed approach was considered to elucidate the driving forces of intensive agriculture aimed at developing better planning and policy making. A household survey was made based on the concept of Central Limit Theorem (CLT), considering only the barangay sitios which falls within the watershed.

Various complex, interrelated socio-cultural, economic, technological, and political as well as natural factors influence intensive-agriculture engagement and its expansion into forested areas. The increasing financial needs, with the limitation of other promising livelihood, drives families to engage in agriculture. Start-up capital in farming is not a problem brought about by the availability of unregulated capitalist and suppliers who offer, mostly, unfair sharing schemes to farmers. Nonetheless, even while the market price of vegetables is unstable, the increasing demand for vegetables which causes sudden price-surges at times entices farmers and would-be farmers to take their chance. Without much open space to cultivate, forests regarded as free are not well protected, and are converted into farms because of associated more fertile soils and better water availability. Tax-declared forests are more prone to farm conversion because of the limited tangible economic benefits from forest conservation. In relation to this, poor guidance on tenurial instruments leads to misconceptions and misguided use of lands. The absence of a land use plan and/or its poor implementation lead to unguided infrastructure development, such that development of roads provides even better accessibility for agriculture development in forested areas. Weak regulation of mechanized equipment (bulldozer, chainsaw, etc.) eases forest clearing for agriculture.

Furthermore, the use of fire and the kaingin system are widely practiced among farmers in forest clearing and farm operation. The absence of land use policies as well as the poor implementation of laws and sound management strategies aggravate intensification and expansion of agriculture in forested areas. Overlapping and conflicting management objectives among various stakeholders is the biggest obstacle and challenge in the effective and sustainable management of land and forest resources in the watershed. Critically, the too-slow and/or ineffective functioning of each stakeholder, particularly of government institutions, causes and/or aggravates the inability of other stakeholders to function effectively ans well.

Enabling agriculture to be sustainable needs integrated and synergistic watershed management interventions with consideration of accelerated mechanisms and processes. Enabling this would require collaboration and harmonization among stakeholders in institutionalizing short and long-term management interventions with primary consideration of the following strategies:

a. Institutionalizing acceptable incentive/reward mechanisms for sustainable land use (i.e., payment for ecosystems services (PES) performance works statement (PWS), tax discounts, scholarship programs, etc.), and promotion of forests associated with livelihood as an alternative source of income. This would offer promising opportunity for promoting forest conservation, good agricultural practices, organic farming, agroforestry, and other best management practices in agriculture.

b. Institutionalizing a penalty for unsustainable use of land resources and unproductive idle lands.

c. Strengthening and accelerating individual land titling or claim registration with clear mandate on responsibility and accountability of each owner or claimant. This would provide land security and land rights to land owners/claimants, enable better monitoring and regulation of land use, and facilitate lands associated transactions including taxes, PES, etc.

d. Strengthening land use regulation, policy implementation, and monitoring. All land uses including agriculture, roads and forests and their associated operations and/or activities need to be guided and regulated (farm subsidies, use of mechanized equipment, road development projects). Roads may be constructed away from forest conservation areas, except for conservation management purposes, but they must be built in conjunction with identified agricultural areas. To facilitate monitoring, a system may be developed which may include registration of every farm.

e. Continuing community Information and Education Campaign (IEC) programs need to be strengthened and localized to ensure up to date stakeholders awareness of land use and management policies and programs.

f. Land suitability assessment for forest, fruit trees and crops (fruits, vegetables, etc.) can be undertaken to guide conservation, production and restoration programs.

Nam Theun 2 (NT2) Hydropower in Lao PDR: Lessons Learned from a Unique Resettlement Project

Pierre Guedant, Vatsana Pravongue, Fabien Nathan

Introduction

This paper presents some lessons learned from the resettlement program for more than 6,000 indigenous people in central Lao PDR. Nakai Plateau resettlement took place in a singular context: social sensitivity of project stakeholders, flagship investment, ambitious goals, and extensive pre-resettlement consultation. This led to profusion and depth of social development activities, and a high level of close external monitoring. For these reasons, while every resettlement project is unique to its own context, the NT2 experience nevertheless provides lessons that can be generalized for other multi-stakeholder large-scale infrastructure projects in the ASEAN region. Most recently, the challenge for the project is a successful closure of the Resettlement Implementation Period (RIP) which satisfies the requirements of the numerous external stakeholders and builds the resettled communities towards an independent and sustainable future.

Methodology

The resettlement process was planned since the 1990s as part of the Nam Theun 2 hydropower project and implemented in stages from 2003 to 2008. Financial close and the majority of physical relocation began in 2005, and livelihood restoration work and investment has been continuous since relocation—and for some activities, even before. After more than 12 years' experience in resettlement implementation, the discussion explores the attempts at supporting communities displaced by the Nam Theun 2 hydropower reservoir to rebuild their livelihoods and institutions. It is based on a review of internal studies and lessons learned; project planning documents, progress, and completion reports; technical reviews and reports from specialist consultants; publicly-published scientific articles; external monitoring reviews; and whole-project experience review based on interviews of current and ex-NTPC (Nam Theum Power Company) staff, local government authorities, village leaders, and other external stakeholders. This paper is also informed by the knowledge and fieldwork experience of NTPC staff directly involved in the project. The ongoing challenges in the closure of the contractual "Resettlement Implementation Period" will also be discussed, in light of the need to transition toward a new phase where communities and local authorities will fully drive their future.

Key findings

In order to avoid, mitigate, and compensate social and economic impacts and transform them into opportunities, the NT2 project, through the NTPC and government of Laos (GoL), has pursued ambitious development outcomes by attempting to apply best practice in socio-economic development as defined World Bank and Asian Development Bank Safeguards. This included applying and sometimes overtaking the most demanding social and environmental standards; internalizing environmental and social (E&S) commitments and obligations into the project's contractual obligations (Concession Agreement), valuing those E&S aspects as highly as technical aspects in project implementation, conducting gender and ethnically-sensitive consultations, setting up robust grievance mechanisms, constructing model resettlement housing in 16 resettlement hamlets, developing an ambitious infrastructure program, funding its maintenance over more than 2 decades, and applying an adaptive management approach for social issues.

The NT2 Project has attempted to apply both innovative development approaches and successful models from similar projects. The participatory land use planning and associated community land titling conducted by the project was the first of its kind in Lao PDR. Other important programs include the participatory fisheries co-management system, villager-run micro-finance institutions in each resettlement village, an effective regional and local health program, a multi-faceted and integrative approach to social issues through the Community Living Well Program, iterative capacity-building activities for resettlers and other Project Affected Persons (PAPs), and co-operative approaches with local and national authorities.

Livelihood restoration for resettlers was developed through five livelihood pillars (agriculture, livestock, fisheries, forestry, off-farm), directed using participatory techniques, and supported by community development, technical 2 / 2 training, and capacity-building.

Outcomes from all efforts by NTPC, the Government of Laos, and the resettlers are significant:

- Health care and education outcomes have seen significant improvement: child mortality has dropped, and school attendance has drastically increased.
- Resettlers' income, consumption, asset possession, and living standards have also considerably improved.
- The entire Nakai plateau has been declared as "out of poverty" by the Lao Government.
- Access to community infrastructure including roads, electricity, water, and community support services has improved.

Despite improvements in material and overall wellbeing, NT2 resettlers remain apprehensive about their livelihoods into the future. In particular, their concerns focus on access to agricultural land to produce rice and raise large livestock for food sufficiency, the traditional measure of wealth in the area. At the same time, external monitors have raised concerns about the sustainability of the current livelihood dependence on natural resources, and emphasize the need to diversify income sources in the communities. Finding a common definition among a varied group of stakeholders of what project success and sustainability

looks like and how it should be achieved in practice has proved difficult, not to say impossible. In 2015, citing concerns about long-term sustainability, external monitors mandated an extension of the RIP and, thereby, the continuation of the livelihood development programs. This has transformed the outlook on the NT2 resettlement project from "widely recognized success" to "unachievable project."

Closing the RIP is therefore a key step for the NT2 project, as (i) it would mean official recognition of the fact that resettlers have received their entitlements and have materially improved their livelihoods on a sustainable basis; (ii) it would enable a shift towards a less constrained development approach, in agreement with national guidelines, as desired by the local authorities.

In order to achieve a closure of the current phase of the project, a Joint Working Group of the Government of Lao (GoL) PDR, the IFIs, and NTPC collaborated to develop a mutually and formally agreed comprehensive action plan to achieve the remaining obligations and provisions stipulated in the concession agreement. After the RIP closure, NTPC's contribution to the development of the 16 resettlement hamlets of the Nakai plateau will be carried forward with support from the Nam Theun 2 Development Fund (NT2DF). Over and above concession agreement obligations, the NT2DF will allocate LAK 1,000/MWh of electricity generated (~USD750,000 per annum). This fund will be made available for projects to support villagers and the GoL to implement a selected set of identified development priorities.

Recommendations for good practice and further actions

- Livelihood restoration is by far the most complex and difficult task involved in resettlement. Targeted, effective, and on-going livelihood improvement support provided by a team of qualified development specialists has been a centerpiece of the project.
- Commitment to high standards for environmental and social outcomes is a crucial risk management technique in a multi-stakeholder project. The inclusion of precise, ambitious objectives in legally binding project documents ensures that E&S aspects are valued as highly as the technical and financial aspects.
- Adaptive management (vs. rigid, immutable planning and budget) is key to dealing with social issues' high complexity and rapid changes. Outcomes must be binding; the outputs to achieve them must have a level of flexibility.
- Use SMART[1] indicators to ensure agreement on closure conditions.
- Resettlement (and other social management activities) should be conceived as a project. This implies ensuring sufficient time, staff and material resources; high-level strategic consensus; early stakeholder engagement (information, consultation and participation); understanding and building on what previously existed within communities; a series of community-based and diversified livelihood projects; a commitment to ensuring sustainable livelihood sources; grievance management; and full involvement of local authorities towards a jointly planned handover.
- Trust building with IFIs and monitors is fundamental. It must be built since the first contact between monitors and the company is in the planning and development phase.
- A solid relationship must be constructed between the company and the government, in order to carefully plan roles and responsibilities, manage the handover of activities to the government during and after completion, and facilitate adaptive management for rapid reactions during emergencies or critical problems. The government is one of the keys to successful achievement of project activities, and to their sustainability.

[1] Specific, Measurable, Attainable, Relevant, Time Bound

Livelihood adaptation strategies in Dar es Salaam city, Tanzania

Nyandaro Mteki, Takehiko Murayama, Shigeo Nishikizawa

Introduction

Studies reveal that the adaptation strategies of people experiencing livelihood shock and stresses are not as well considered in the context of resettlement planning as they are in environmental and climate changes (Connell & Connell, 2014; Kura et al., 2017). Resettlement studies have been focusing on analyzing negative impacts and inadequacy of the compensation packages, rather than exploring the knowledge about resettled communities' initiatives and their adaptation in the new environment (Kura et al., 2017). Most commonly methodology used to identify the socio-economic impacts is comparing livelihood conditions at two points in time—before and after resettlement. Although this approach offers important insights as to how resettled communities may have been impacted by development projects, it does not allow for a quantitative understanding of the dynamic process of change in livelihoods, and of the possible causes of these changes.

When communities are faced with livelihood shocks, the shock normally acts as a push factor that forces them to redesign their strategies to cope with it and pursue their day to day lives (Ricci, 2011; Sayatham & Suhardiman, 2015; Tran & Lim, 2011). This unveils the fact that experiencing a livelihood change or even a loss of livelihood assets does not necessarily diminish livelihood outcomes if households are able to adapt (Bui et al., 2013; Sayatham & Suhardiman, 2015). However, the adaptive capability is always not uniform between affected households. It depends on a number of factors, including how resettlement is planned and implemented; the type of support provided before, during and after relocation; the timing of relocation, the quality and location of resettlement sites and individual household characteristics (Connell & Connell, 2014).

Only a few studies have explored the knowledge about how people affected by development projects adapt to their new environment and the factors that enable them to restore their livelihood, or limit their strategies. This knowledge is important due to the fact that many studies have continuously reported the failure of resettlement processes to focus on the socio-economic development and rehabilitation of those affected, instead focusing only on the physical relocation process. The objective of this study therefore is to investigate the adaptation process of a resettled community that was affected by airport expansion project in Dar es Salaam City. Special focus is on livelihood assets, strategies, and livelihood outcomes.

Methodology

This study builds on a previous work in which we analyzed the socio-economic impacts induced by an airport expansion project in Dar es Salaam city. In that study, questionnaire survey data were collected from 190 affected households that were living in the resettlement site, 25kms from their original settlements. The current study intends to continue the analysis on the same sample group to investigate the adaptation strategies used in diversification of the livelihood and income sources and the outcomes. The study uses the Sustainable Livelihood Framework as an analytical framework to frame the analysis by first identifying the changes in livelihood assets that act as key determinants of affected people's strategies to seek livelihood security.

Discussion

The succeeding study conducted in 2015 that focused on the socio-economic changes revealed that the affected community experienced a number of socio-economic impacts that included loss of income and employment opportunities, and also limited access to basic social infrastructure after resettlement. Households who had been involved in small businesses before relocation failed to re-establish their income-generating activities in the new environment either due to lack of funds (due to inadequate compensation) or lack of customers in the resettlement site. As a result, most of the affected people experienced a decline in their livelihood conditions. On the other hand, affected households were allocated big land areas as compared to what they had had before relocation. However, despite having big lands, observations conducted five years after relocation revealed that, most of the affected people were not able to utilize the land, for example by having a home based business store or house garden (e.g., vegetable farming). Lack of basic utilities like water and also lack of skills account to the failure of resettled households to start house gardens in their new environment.

The findings suggest that the ability for the affected households to adapt to the new environment is strongly connected to the available livelihood assets. For instance, lack of water hindered the affected people from utilizing their new land hence limits their livelihood options. Lack of livelihood options in the resettlement site may always compound the risks of resettlement. While compensation and livelihood support are crucial in helping the affected people restore their livelihoods after relocation, however, more emphasis should be put to help them rebuild livelihood assets for stable outcomes even after the support ends. Resettlement programs should create environments that support more livelihood options and flexibility to enable affected people maximize the opportunities that resettlement may offer (Connell & Connell, 2014).

Recommendation

In order to enhance adaptation and re-establishment of sustainable income sources in resettlement sites, a more complex and flexible resettlement planning is required. Developers and project planners should make sure that livelihood assets substitution is well addressed during resettlement planning

to provide affected households with a wider range of livelihood options after relocation.

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Households, livelihoods, and mining-induced displacement and resettlement

Alidu Babatu Adam

Introduction

This presentation draws on a paper published by Adam, Owen and Kemp (2016) in *Extractive Industries and Society* titled: "Households, livelihoods, and mining-induced displacement and resettlement." The paper addresses the state of household level analysis in mining-induced displacement and resettlement (MIDR). In my presentation I draw on the paper to examine the nature and extent to which MIDR policy and practice engages with households and addresses their livelihood reconstruction concerns. I also introduce aspects of my own more recent PhD research.

The paper itself focuses on critical oversights in MIDR practice; that is, the conceptualization and operationalization of household level issues in the formulation and implementation of resettlement initiatives. It notes that MIDR has a unique set of characteristics that have implications for displaced households. My more recent research confirms that unless the material considerations are met at the household level, impoverishment from MIDR is the most likely scenario.

Discussion

The state of knowledge around resettlement and mining is poor (Downing, 2002; Owen and Kemp, 2015). This condition emanates from decades of undocumented practice and an industry that has, for the most part, not engaged with a rapidly changing landscape of debate and scholarship around resettlement (Owen and Kemp, 2015). Outside of the mining industry, the knowledge based on displacement and resettlement has expanded for almost fifty years (Colson, 1971; Cernea and McDowell, 2000; Scudder, 2005; Cernea and Mathur, 2009; Mathur, 2013). The mining industry has yet to embrace this expanded knowledge base. This state of poor knowledge and practice in mining is evident in the industry's policy and practice around resettlement and household livelihood reconstruction. In my research, I confirmed the following;

Global resettlement standards

- No clear approach to household-level analysis, especially on post-relocation livelihood restoration.
- Lack of clarity around definitions, responsibilities, rights, and obligations.
- Corporate resettlement policy.
- Generic deferral to global resettlement standards without contextualizing to the specific features of mining.
- Minimal reference to households and intra-household dynamics.
- Corporate resettlement practice.
- Knowledge about households is constrained: weaknesses of EIA process (different intents); data aggregation without attention to unique household circumstances.
- Inadequate knowledge and participation of households in the planning process.
- Poor linkages between easily addressable physical risks as against inherent social risks.
- Weak connections between composition, functionality, or strategizing of households as against the challenging task of improving livelihood conditions.
- Little understanding on how households under stress of MIDR make decisions: resourcing is usually focused on community-level engagement, not household level.

Across the domains of MIDR, "households tend to have a presence in the early phases of mine planning, drop out in the programmatic phases, and re-appear when external drivers draw corporate attention back to households to respond to grievances or mitigating reputational or production risks. When communities and civil society groups draw attention to collective issues, companies are once again distracted by the aggregate nature of the problem and may even be prevented from substantive engagement with the household unit" (Adam et al., 2015: 585).

Conclusion

Reversing impoverishment and improving resettlement practice is possible if the material considerations of household livelihood reconstruction are engaged in MIDR policy and practice. Doing this require; (i) paying attention to the transformational effects of mining on local communities, not just deliverables; (ii) investing in household level research and engagement across the mine life cycle; and (ii) expanding the scope of responsibility beyond the mine environment.

In drawing these conclusions, the paper also makes observations relative to the prospects for change. The principal cause for doubt relates to the prevailing economic climate of the industry. The majority of MIDR cases that point to impoverishment were documented during the "commodities boom"; that is, at a time when companies had fewer budgetary constraints in securing funds, resources or expertise to service livelihood restoration in resettlement. The current reality is that the industry is in a tight market with falling commodity prices and escalating production costs. Pressure to reduce cost means that many companies are cutting budgets, including in the critical area of livelihood restoration. Cuts to resettlement spending

may promise to alleviate costs pressures for companies in the short-term, however recent research suggests that most companies fail to recognize the link between social risk, company-community conflict and cost to the business (Franks et al., 2014). With declining resources, the likelihood is that resettled communities will agitate and protest will increase.

An improved future prognosis for MIDR hangs on greater effort and responsibility across all stakeholder groups. Fragmentation in the regulatory domain has clear knock on effects in the practice domain. Comprehensive, coherent, and deliberate changes are needed if the sector is to move beyond the current stage of resettlement practice. Transparency around how policy makers and mining personnel engage and formulate responses to the material dimensions of MIDR is essential. The call for household level research within and across mining companies is but one step in this direction.

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Livelihoods restoration planning: Practical insights from the case of sand mining workers at the Nachtigal Hydropower Project (Cameroon)

Fabien Nathan, Clotilde Gouley

Introduction

This paper presents lessons learned from livelihood restoration planning —compliant to IFC standards—in a particularly complex environment: the economic displacement of artisanal sand miners as a result of Nachtigal Hydropower Project in Cameroon.

In-channel sand extraction in the Sanaga River, through rudimentary manual techniques (divers load sand with buckets into non-motorized pirogues) provides a significant number of informal jobs to local, national, and migrant workers. It is recognized as a lucrative activity for divers, loaders and unloaders, and sandpit owners or managers. The loss of access to sand pits, downstream and upstream of Nachtigal future dam, was identified as an unavoidable impact from the project.

The Livelihood Restoration Plan (LRP) is the outcome of a tailor-made participatory process and has been widely endorsed by local, national, and international stakeholders.

Methodology

One of the main conclusions of the symposium on Resettlement and Livelihoods in South Africa (October 2014) was that "livelihood restoration is [generally] not properly planned or implemented (…)" and that "it is a complex process that requires a long-term commitment." Contributing practitioners concurred that conditions conducive to a successful livelihood program include the understanding of complex livelihood strategies and the development of thorough baseline studies, comprehensive and sustained stakeholder engagement, the definition of a clear exit strategy, and partnerships with local agencies. The discussion in this paper will follow one structuring question—how to respond to sometimes contradictory challenges—that will be broken down into the following sub-questions:

- How to collect critical baseline data in the context of high mobility and turnover of potentially affected persons (PAPs)—especially sand mining workers? And how to respond to the need for an iterative and flexible process while meeting the imperative project deadlines?
- How to valuate economic (and social) losses in a volatile informal sector?
- How to ensure that selected eligibility criteria allow for a fair compensation process and avoid dissatisfaction among the PAPs?
- How to integrate predictability challenges (sand miners' mobility, individual adaptation strategies, uncertainties) into IFC's requirements of livelihood restoration objectives?
- How to respond to the sustainable livelihood restoration imperative for one of the most profitable income sources locally available?

Key findings

The estimate of income in informal settings, such as artisanal sand mining (and indirect activities, such as small food stalls, canoe manufacturing and motor-taxi businesses), characterized by seasonality and irregular work—and strong power and social influence in relationships—is subject to substantial error and must be taken with great caution. We found that even income-expenditure surveys did not provide sufficiently accurate data to serve as a basis for the compensation calculation. It was therefore necessary to establish criteria for "reasonable evidence," obtained from different sources and through mixed methods. Secondly, it was essential to go beyond the income assessment. An iterative and flexible data collection strategy was implemented: the methods of inquiry evolved in response to the data obtained. It took about one and a half years to survey about 1,000 PAPs working in 51 seasonal sand pits, in 17 different villages. Local committees, composed of representatives of local authorities and PAPs, were constituted to validate the results of the census.

Financial compensations are primarily meant to compensate the loss of income during the transition period (lump sums) and past investments in the sand quarries or work material. The objective was to minimize inconsistencies in calculations of values that would translate into some degree of unfairness and eventually lead to PAPs' dissatisfaction. This compensation is accompanied by support to livelihood restoration. Restoring or improving livelihood of a gainful activity such as sand mining is not easier than restoring land-based livelihood. Mixing individual and collective measures, as well as monetary and non-monetary compensation strategies, is an adequate way to operate, but presents practical challenges. In this LRP, emphasis was put on the PAP's capacity to further developing existing activities (e.g., cocoa farming) or start up new ones.

Monitoring livelihood restoration/improvement will be particularly difficult because of PAPs' mobility (migrant workers) and the difference between extractive vs all other income levels. IFC livelihood restoration objectives are adapted to local realities: the naturally-existing situation of short-term and unhealthy highly profitable extraction activities will be translated into long-term less profitable but more sustainable activities, better ensuring households' security. In the long run, it is an adequate trade-off for PAPs, who understood and validated this approach.

Recommendations for good practice/further actions

- Plan significant resources and time to collect baseline data.
- Conduct the same survey and census in different seasons.
- Allow for flexibility in the data collection framework to respond to needs identified during the process.

- Use indirect methods of estimation and "reasonable evidence" with triangulation of information.
- Mixing cash compensation for investment and transition and technical support for livelihood restoration is accurate.
- Propose tailored LR packages according to each category of PAPs.
- The LRP needs to be fully endorsed by PAPs themselves.
- During implementation, adaptive management will be key.
- Agreement on clear LR objectives and indicators (means and/or results + period for support) will allow all stakeholders to measure performance and permit the closure of the program.

Papers

Social impact of Jatigede Dam construction
Bangkit A. Wiryawan

Mining-induced displacement and resettlement in China: Institutions and local practices
Xiuyun Yang, Peter Hol

Communal rural governance in the resettlement of a Mexican *ejido*
Andres Recalde

Retroactively applying MIGA's Performance Standards: A case study of the National Highway 20 Project in Vietnam
Kathleen Wallace, Atia Byll-Cataria

After the deluge: A longitudinal study of resettlement at the Three Gorges Dam
Brooke Wilmsen

Restarting the resettlement process post-conflict (Cote D'Ivoire Henri Konan Bédié Bridge)
Atia Byll-Cataria, Kathleen Wallace

Social Impact of Jatigede Dam construction

Bangkit A. Wiryawan

"Jatigede, tos katelah bakal panjang lalakon."

– Aden, Cipaku Elder

(Because Jatigede is destined to have a long story)

Introduction

The construction of Jatigede Dam is one out of several dozen national dam projects targeted at improving access to water, especially for the purposes or irrigation and flood control. The general plan was described in detail in the National Five Year Plan (RPJMN) in 2010-2014 and 2014-2019, although the initial planning for the Jatigede Dam dates back to the 1960s.

After almost three decades, failed relocation efforts became one of the most crucial problems in Jatigede. In principle, the government refused to repurchase for the already paid land in the 1980s and 1990s, although some adjusted payments were made to offset unfair and forced land purchasing in the past (Pikiran Rakyat, 2013, Sumedang online, 2011). On the other hand, local government which was tasked to handle the relocation problem had failed to come out with new strategy. This then left the government with only little choice but to give cash compensation for the affected households to assist their relocation.

This paper seeks to find (1) pattern of relocation, whether the result follows general views of involuntary relocation or not, and (2) to draw a recommendation for the improvement of resettlement plan policy.

Methodology

This study follows a mixed-method approach by using quantitative and qualitative data. Questionnaire surveys as well as focus group discussion (FGD) and individual interviews were carried out to gather necessary information to reveal the real condition of Jatigede society after relocation. Descriptive-explanatory analysis is utilized in the discussion together with comparing the findings with external secondary sources from previous studies or news reports.

For the survey, quota-based purposive sampling was chosen to determine the sample. Out of 28 villages affected by the dam construction, five were selected judging by locational distribution to represent two regencies and three counties. Meanwhile, confidence level for the analysis is 90% with 8.67% margin of error.

Results and discussion

Chart 1.
Loss of jobs and/or livelihood

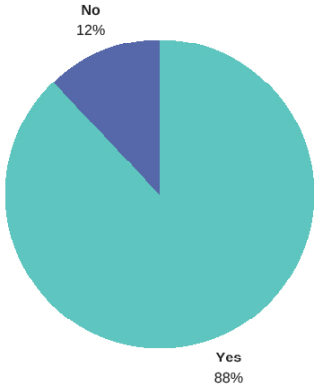
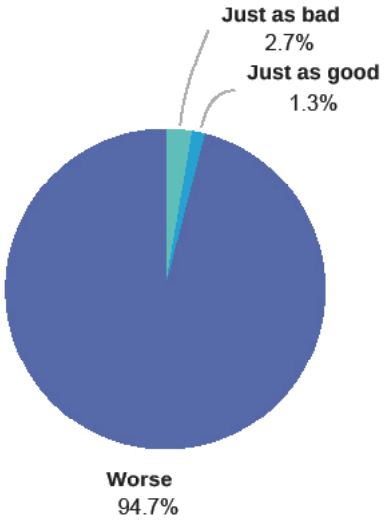


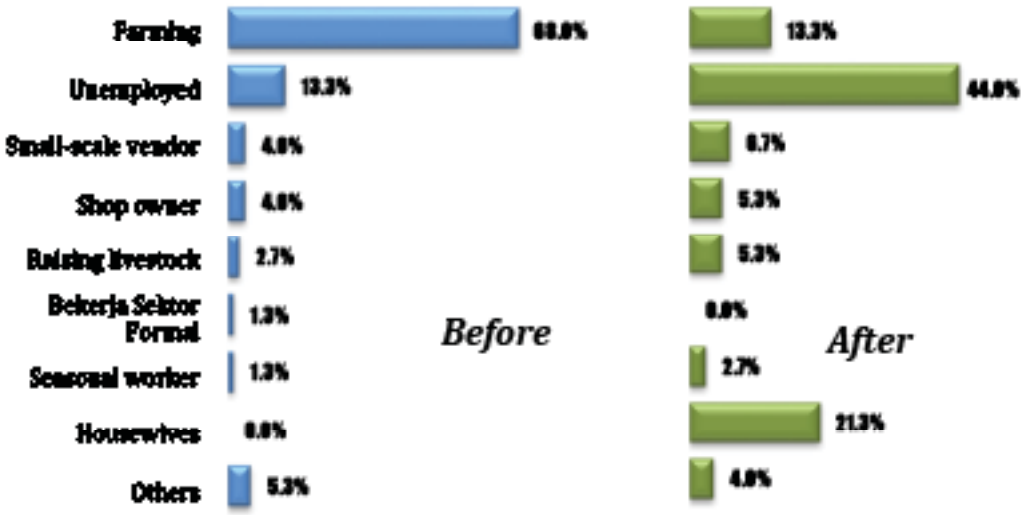
Chart 2.
Economic condition after relocation



A very large percentage (88%) of the respondents lost their jobs after relocation (see chart 1), in addition to losing their land and home. This worsening condition is also reflected in their feeling towards their economic situation. 94.7% stated that their economy is getting worse compared to pre-relocation. Only 1.3% stated that the condition is the same as before (see Chart 2).

government would only provide cash compensation based on the period of land acquisition. To compensate for the loss of livelihood, each household was given six months' equivalent of income, which ranged between IDR 29 million to 122 million (USD 2,300 - 10,000) depending on the category and period of land acquisition. However, the assumptions did not meet the expectation as the affected society suffered from significant income drop.

Graph 1.
Activities prior to and after relocation



In terms of income, the majority of respondents (74.7%) receive below IDR 700,000 (USD 50) per month, while another 17.3% receive around IDR 700,000 - 1 million (USD 50 - 80). Less than 7% of respondents managed to get more than IDR 1 million.

Prior to relocation, a majority of respondents (68%) engaged in agricultural activity, but after relocation only about 13.3% remain in the same activity. In terms of housing size, a majority of respondents owned less than 100 m^2 (66.7%) now, with only 4% of them owning a bigger house compared to before. Public facilities such as roads and electricity were also inadequate, especially for those relocated to remote locations around the dam.

The survey has shown that there is a clear connection between the relocation and change of livelihood. During the FGD, almost all participants admitted that they could not purchase new arable land for rice plantation. With the compensation money they received around the time of impounding, they were barely able to afford for decent housings.

The failed resettlement plan by local government had forced central government to take a drastic measure. In 2015, it was decided that the

Three recommendations can be suggested from the experience of the Jatigede dam affected society. First, cash compensation is not the most sustainable method to address the problem of relocation. Furthermore, it was also clear that the compensation, which amounted to six months' equivalent of income, has not been able to help for both resettlement cost and the loss of livelihood. After around one year of relocation, only a small percentage of the affected society managed to get a better living. The government needs to at least double their current assumption for the compensation.

Second, relocation through a resettlement action plan, including in Jatigede, is mandated by law. Local government's failure in executing the plan was due to their low capabilities in managing large scale resettlement, which in this case involved more than 4000 households. Central government, who has a better track record in providing settlement and housing, should be more involved.

Last, maintaining law enforcement is important to prevent further complications of the resettlement process.

Mining-induced displacement and resettlement in China: Institutions and local practices

Xiuyun Yang, Peter Hol

China boasts a substantive amount of mineral resources. It has, for instance, the world's third largest reserves in coal, the second largest in lead and zinc, and the sixth largest in manganese. An important proportion of these minerals are excavated through underground mining. However, the "blessing" of China's rich resources has also come with a clear downside, as underground mining has led to severe land subsidence. It is estimated that the number of displaced peasants is more than 2.3 million, a figure that exceeds the amount of people displaced by the Three Gorges Dam.

The large-scale acquisition of land is generally the most significant driver for displacement in mining areas. However, in the Chinese context, displacement and resettlement by and large only occurs after mining-induced land subsidence has taken place. Markedly, the displacement and relocation of entire villages appears to be more frequent in China as compared to other countries. In this context, the paper focuses on three important research questions: 1) Why do relocation and resettlement in China frequently occur after mining-induced land subsidence? 2) What are the institutional factors that influence Chinese mining-induced land subsidence and displacement? 3) What are the economic and social consequences for peasants of mining-induced resettlement in China?

In this study, we examine both the macro and micro level. First, we will review the national laws and regulations around four aspects: i) land use for mining; ii) the principle of voluntarism or affected peoples' right to Free, Prior and Informed Consent; iii) material and financial compensation; and iv) legal liability, so as to get a clearer image of the legal loopholes and deficiencies that affect the governance of mining-induced displacement and resettlement (MIDR). Second, a detailed view from the grassroots will be provided, based on quantitative surveys coupled to semi-structured interviews with relocated and non-relocated peasants. During May and September 2015, 230 valid questionnaires were collected in 27 villages (11 relocation villages and 16 non-relocated villages) spread over 5 provinces and 1 provincial-level municipality where underground mining is prevalent.

Institutional analysis finds that there are certain legal loopholes. First, land acquisition, resettlement and compensation procedures only apply to open-pit mining where the surface land is directly occupied and used. Yet, in the case of underground mining, where the surface land is not directly occupied and used by mining companies, there is no legal requirement for land expropriation. Second, it ruled out the consent of the land owner, thereby enabling the mining company to extract without consent or without prior notification. Third, national law provides no standards for compensation induced by mining. Fourth, although the Polluter Pays Principle (PPP) has been included in certain mining laws and regulations, this is only partially so (mainly related to coal), while the distribution of the liability between central and local state/collectives might still need readjustment.

Under the current institutional framework, we found in our survey that mining-induced land subsidence is the major cause of peasants' displacement and resettlement, instead of land expropriation. Villages and peasants have no legal basis to protect their interests until damage on the surface has occurred. Visible damage and a high willingness to be relocated were no guarantee that peasants could be relocated in a short term. This study found that in the 11 relocated villages the average time to be reallocated was 6.3 years (SD=3.6) after the first signs of damage. The lag in relocation has triggered significant social tension. In 19 out of 27 surveyed villages collective complaints had been lodged through "letters and visits" (Xinfang) or the Chinese petitioning system. Of these, nine villages had lodged their complaint with the central authorities in Beijing. Nine villages (among them, four lodged their complaint in Beijing) also reported violent confrontations with mining companies, such as sit-ins, strikes, demonstrations and even destroying facilities and mining equipment.

Even when peasants were resettled in the relocation village, there was a substantial difference between the compensation for the original house and the purchasing price for new property. Less than half of the respondents expressed satisfaction about the building quality in the relocation village. Resettled peasants received no new land, but remained dependent on agricultural land in the original village. As the relocation villages were located at some distance from the original villages, farming had become more difficult, while many had difficulty in securing off-farm jobs. There was also concern amongst the relocated respondents about the increased cost of living. Only 5.2% of respondents themselves were willing to contribute to the relocation costs. Yet, in reality the displaced peasants had to make up for a large share of the resettlement costs. Many peasants believe that the government should be liable for the cost of resettlement, while a similar amount of respondents believe that mining companies should take full responsibility.

Despite the lower rates of China's gross domestic product (GDP) growth in recent years, the demand for mineral resource has not yet reached its peak in China. It is therefore highly likely the mining-induced displaced persons would also increase. Thus it is imperative for the Chinese government to formulate a sustainable framework to mitigate the risks of displacement and resettlement. Therefore, this study provides several implications for further policy formulation/consideration the land as a means of social welfare so as to diversify the compensation schemes, and enforcement of PPP so as to assume the mines' liability.

Communal rural governance in the resettlement of a Mexican *ejido*

Andres Recalde

Introduction

In Mexico's land tenure system, an *ejido* is an area of communal land used for agriculture, on which community members individually farm designated parcels and collectively maintain communal holdings.

One of the main causes of the Mexican Revolution was the demand for agrarian reform. The result was the *ejido*. As a reaction to the colonial era system of haciendas, the *ejido* legitimized communal land ownership and governance. The fact that *ejido*s are absolutely tax exempt protected peasants in the early days after the revolution but later acted as a disincentive to their participation in Mexico's subsequent economic prosperity. As the new urban middle class appeared, *ejido* members were largely left behind.

That began to change in 1992 when an amendment to the Mexican constitution gave *ejidos* full legal title to their land and gave *ejido* councils the right to privatize either the parcels of individual members or collective tracts. One result was that *ejidos* gained access to the mineral wealth beneath their land by virtue of their right to negotiate land use and tenure agreements with mining companies. Despite this, there are still very few cases in Mexico in which an *ejido* has been resettled to make way for a mining operation.

This paper is an attempt to describe the socio-political shifts in the relationship between a mining company and a set of *ejidos* that involved the resettlement of one *ejido*. At each stage of the mine planning and development process there were corresponding political changes in the social and governance processes in the resettled *ejido*. The paper describes the social evolution in terms of changes in ownership structure, expectations, and governance decisions as the resettlement process moved through different stages. The paper makes a particularly useful contribution in focusing on how the different stakeholders inside the *ejido* reacted and positioned themselves during the mine feasibility stage when the need for a resettlement was identified.

The case study

This paper draws from the author's direct field observations. For five years he led the social engagement efforts of a Canadian mining company with six *ejidos* in Southern Mexico. One of the six was resettled.

The levels of social engagement with local stakeholders varied at each successive stage of mine feasibility study and planning. In terms of the company's listening and responsiveness, there were many meetings, assemblies, and focus groups in which expectations were articulated and the resettlement process was discussed.

The feasibility stage was a critical moment for the decision about the resettlement of one of the six stakeholder *ejidos*. From the company's perspective, the resettlement of one *ejido* was found unavoidable, not because the land was needed for ore extraction, but rather for safety reasons. The community was part of the safety buffer zone for the open pit operation. Different simulation models put the community at risk of falling rock, noise, and dust. Besides, the slope of the original community was too steep in the view of the residents, which is why they requested that resettlement take place even before the mine operation started.

After successive consultative assemblies, a peak moment was reached when it came time to decide about the resettlement itself. This resettlement decision was a precondition to lease part of the *ejido's* land according to the mine design. The resettlement acceptance decision was reached with approval of almost the entire *ejido* membership that, according to agrarian law, was eligible to vote. It was verified that the vote expressed by the *ejido* members included acceptance by their families as well.

Once the decision to resettle was approved and funded by the corporate office, the long process of preparing a Resettlement Action Plan (RAP) began.

A special joint committee with representatives from the *ejido*, local governments and the company was created. This committee reviewed the progress report and called consultative assemblies to decide on significant aspect in the RAP. For example, the house design was approved after 37 revisions and modifications.

All the standard steps of a RAP were followed. For example, there was a detailed census of people and an inventory of family and community assets. Because people and assets in a community are in constant flux, a cutoff date was established with assent from all the families in the *ejido*.

In a series of successive community meetings, the RAP started to take shape. More importantly, the affected people (i.e., the *ejidatarios* and their families) had a clear understanding of what was involved and gave their consent.

The construction of the new community occurred in parallel with the construction of the mine facilities. This created so much tension that it provoked the appearance of community vigilante groups. Nonetheless, the company managed to avoid major breaches of trust, even with the appearance of subcontractors for the mine construction. Some delays in the construction of the new village created some tension since the mine construction activities were affecting the residents in their original location. This was the case, for example, with the use of rock blasting and earth movement operations. All these situations were handled in a way that did not disrupt trust in the resettlement process.

Key Findings

The *ejido's* governance process, established by law, helped assure that free prior informed consent was given in all critical decisions, especially the resettlement.

In this case, the mine design included social and economic mitigation factors to take account of priorities expressed by the stakeholder *ejidos*. For example, the internal roads needed for the mine operation were modified to avoid cutting through farming parcels. Also, the shape of the mine footprint among hills isolated the mining operation from farming and communal areas. As a result, land tenure was not significantly affected by the presence of the mine. Economic livelihood was preserved with the added benefit of local employment at the mine site. Families saw their income improve from farming, salaried jobs, and contracting to supply services to the mine operation.

Promoting the local economy through job opportunities was subject to a local governance body allowing for transparency and fairness in the hiring process.

Recommendations for good practice/further actions

The respect for existing governance processes in the *ejido* structure made it possible to reach a free, prior, and informed consent in the decision to resettle.

The close coordination between the mine design and construction teams and the community relations department made possible a number of design adaptations that avoided negative political and social reactions during the resettlement process.

A deep analysis of fears and expectations among local stakeholders made possible to communicate and engage in a way that created trust and confidence.

Retroactively applying MIGA's Performance Standards: A case study of the National Highway 20 Project in Vietnam

Kathleen Wallace, Atia Byll-Cataria

Introduction and methodology

In March 2014, the Multilateral Investment Guarantee Agency (MIGA) provided a non-honoring of sovereign financial obligation (NHSFO) guarantee to a syndicate of commercial banks where Sumitomo Mitsui Banking Corporation is the guarantee holder, Goldman Sachs is lead arranger, and ten other international commercial banks are invested in the upgrade of National Highway 20 (NH 20) in Vietnam. The upgrade of the NH 20 project included widening of the existing NH-20 corridor by approximately 2m on each side to create two lanes of traffic in both directions. The inside lanes are intended for cars and trucks and the outside lanes are intended for motorbikes and bicycles. The project also included the replacement and/or upgrade of six bridges and the installation of cross and vertical culverts, slope reinforcement, retaining walls, and traffic safety works (signs, km pillars, safety fencing, and paint marking).

This case study describes the initial approach taken by the District Land development departments, the issues identified by MIGA, and then the steps taken to address and retro-actively ensure compliance with MIGA's Performance Standard 5 Land Acquisition and Involuntary Resettlement (PS 5). The case study is based on the information provided in the project Environmental and Social Impact Assessment (ESIA) and Resettlement Action Plan (RAP), MIGA's initial environmental and social appraisal of the project (including two field visits in 2013) and subsequent monitoring (including independent resettlement monitoring reports and six field visits from 2014 – 2016).

Given the nature of the project (rehabilitation and widening of an existing right of way), the project had a relatively minor impact on several thousand households in four districts and one municipality in two provinces (i.e. permanent loss of a small percentage of existing land holding; impact on assets constructed on public land, etc.). While some residential and commercial land was affected, the majority of affected land was either agricultural or existing road corridor. Approximately 40 households were permanently physically displaced by the project. The majority of physically displaced households were moved in close proximity to their previous location, allowing livelihoods to largely remain intact. In addition to permanent impacts, during the construction phase, the project had a temporary impact on approximately 3,230 micro and small businesses situated along the sides of the road. Additional background information on the Project is available on MIGA's website: https://www.miga.org/Pages/Projects/ESRS.aspx?esrsid=97&pid=1324.

Findings

Resettlement and compensation for the project commenced in 2013—prior to MIGA engagement in the project. Resettlement planning and implementation was undertaken by Project Management Unit 7 ("PMU 7"), the project management unit established under the Ministry of Transport to oversee implementation of the project) in cooperation with the Land Development Departments in the four districts and one municipality affected by the project. As the process started prior to MIGA involvement, the resettlement framework was prepared and resettlement and compensation was implemented according to the expropriation laws of Vietnam without consideration of MIGA's requirements. During appraisal, MIGA reviewed the resettlement planning documents for the households that were permanently physically displaced. Inventory of loss surveys had been undertaken with detailed information on the assets and land affected by the project. MIGA's review identified the following areas to be addressed to ensure compliance with the E&S requirements:

- Baseline surveys to be updated in accordance with the guidance providing in the "Handbook for Preparing a Resettlement Action Plan" (IFC, 2002) (e.g., full census of all project-affected people; collection of socio-economic information (e.g., detailed income and expenditure information was not available)).
- Review of compensation rates to determine whether they met the Performance Standard criteria of ""full replacement value."
- Consideration of economic displacement (impact from loss of income—temporary or permanent).
- Quantify the extent of land acquisition and associated compensation beyond the marked right of way (for safety corridors and other reasons).
- Consideration of lessees and other households without legally recognized ownership for compensation and relocation assistance, as per PS 5.
- Consideration of alienated land/assets.

Recommendations for good practice

MIGA mutually agreed with the land development department and BT20 that the following actions be completed to address requirements for compliance with MIGA E&S Performance Standards:

- Retroactive household surveys were undertaken to capture more detailed information on the number of individuals affected and the socio-economic status of households. The focus was on obtaining this information from households that were permanently displaced and households that lost more than 20% of their total land and assets.
- The total compensation package was reviewed. In some cases, while the compensation rates were not at full replacement value, the value of the overall package (i.e. including moving allowance, materials

allowance, disturbance allowance) ensured that the objectives of PS 5 were met. In cases where PS 5 objectives weren't met, as it would be difficult to change provincial rates, additional allowances were made to affected households to bring compensation to a level consistent with the requirements of PS 5.

- A "business impact study" was undertaken to quantify the potential economic impact on the businesses along the road. Based on this study, businesses were provided with compensation for temporary impacts during construction.
- Additional land acquisition during construction was undertaken as per the resettlement framework. The extent of land acquisition for safety buffer was quantified after completion of the road, and compensation is currently being undertaken.
- Lessees and other households without legally recognized ownership rights were compensated for affected assets (as per PS 5) and physically displaced lessees were provided with relocation allowances.
- Permanently alienated land / assets were acquired in the same manner as permanently lost assets.

In addition to the above measures, MIGA agreed with BT20 to engage an independent consultant to prepare quarterly monitoring reports on the implementation of the resettlement action plans. MIGA also engaged an independent consultant to undertake regular monitoring and to provide support to the BT20 and the land development departments in meeting MIGA's requirements. Regular monitoring ensured that any issues were identified quickly, and therefore were able to be addressed in a timely manner.

After the deluge: A longitudinal study of resettlement at the Three Gorges Dam[1]

Brooke Wilmsen

Objectives of the study

Resettlement frameworks such as Scudder and Colson's Four Stage Model, Cernea's Impoverishment, Risks and Reconstruction Model, and Downing and Garcia-Downing's Routine and Dissonance Culture Model conceptualize resettlement as a long-term transitional process. In practice, involuntary resettlement is usually planned and implemented according to the timelines of the infrastructure project—typically two to six years. In this respect, the Three Gorges Project (TGP) was an exception with its resettlement planned and implemented with a view to the long-term viability of the region. By introducing tailored development responses such as the Partnership Support Program (PSP) and the Development Assistance Fund (DAF), the State Council attempted to stimulate the regional economy. As this approach is unique, it warranted closer inspection to understand the longer-term implications for the fortunes of the affected population.

My earlier research conducted in the region between 2003 and 2004 suggested that although the state council attempted to equitably share the benefits of the project via the introduction of tailored development assistance, the majority of households were experiencing lower living standards than before resettlement (Wilmsen et al., 2011). However, there was one variation in the data-income growth of a minority of urban residents was significantly correlated to employment in an enterprise (McDonald, Webber, & Duan, 2008). This suggested that in time, as development initiatives were expanded, the benefits might flow to the affected population. The question then for this paper was: if resettlement is conceptualized and planned as a development opportunity, can the livelihoods of those resettled improve through time?

Methodology

To explore livelihoods at the TGP, this research used mixed methods—a questionnaire and in-depth interviews. The questionnaire was first distributed in 2003/2004 and asked respondents to reflect on their household's situation before resettlement (around 1998) and in 2003. The questionnaire was redistributed to the same households in 2012 to understand their livelihoods in 2011. All 521 households that participated in the 2003 survey were revisited and asked to participate in a follow-up survey. A total of 351 households responded to the 2012/13 survey, 67% of the original sample. This paper is largely a comparison of post-resettlement data to determine what has happened to livelihoods after the completion of the TGP.

Discussion of key findings

The TGP displaced some 1.2 million people. In 2003, only a few short years after displacement, impoverishment was widespread and those resettled were suffering multiple deprivations. In response, they drew on their assets and cobbled together a living from available opportunities—mostly working as manual laborers to contribute to the reconstruction effort. Fast-forward eight years and the gains were great. Income inequality declined within the sample groups, food was more secure and wellbeing improved on 2003 levels. What is more, incomes generally grew and were positively correlated to employment in an enterprise. It appears that the Chinese government's resolve to stimulate the regional economy through the DAF and the PSP and to turn the crank on enterprise investment paid off. The enterprise sector expanded in Badong and Zigui counties. Between 2003 and 2011, the importance of enterprise employment for incomes spread beyond a small number of fortunate households to become a significant factor in raising incomes. However, outcomes are never uniform: the rural-to-urban households of both counties were not faring as well the other groups and the disparity between Badong and Zigui, seen so distinctly in 2003, continued. Livelihoods were still harder to grow in Badong than in Zigui.

Recommendations for good practice/further actions

The TGP case provides a number of valuable insights.

1. It highlights the benefits of approaching resettlement as a development opportunity.
2. It builds the case for aligning standard practice with conceptual understandings of resettlement—that is, as a long-term process of change.
3. It illustrates the importance of following the livelihoods of resettled households through time. The data identified an initial period of deprivation which could be used to implement timely and targeted remedies. By monitoring resettled households beyond the project cycle, the onset of recovery and even improvement was also seen. At that stage, the relationship between regional development initiatives and the improvement of households' livelihoods was captured. This suggested that the approach was effective.
4. Those looking to emulate China's approach should be cautioned:
    a. The strong arm of the state directed much that is reported in this research and is unlikely to be transferable to a liberal democracy.
    b. The attention paid to the fortune of the region is exceptional even within China.
    c. The impacts of state interventions may not be spread uniformly across the 18 counties subject to resettlement, as evidenced by the differing effects in the study.
5. Rural to urban households were not doing as well as the other groups. This should be considered by practitioners who might be employed to support China's new-type urbanization resettlement. Under this plan,

some 3 million rural people will be resettled to urban areas by 2020. That this is in the best interest of the rural populace, is a socially constructed notion that this research calls into doubt.

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Restarting the Resettlement Process Post-Conflict (Cote D'Ivoire Henri Konan Bédié Bridge)

Atia Byll-Cataria, Kathleen Wallace

Introduction and methodology

In 2012 the Multilateral Investment Guarantee Agency (MIGA) provided a guarantee for the Henri Konan Bédié Bridge (HKB Bridge) project, which consists of the design, construction, and operation of a toll bridge, over the Ebrié lagoon in Abidjan, with access roads to the north and south between the residential area of Riviera and the industrial area of Marcory. The total length of the full road connection is around 6.6 kilometers (km), with the bridge itself spanning 1.5 km. To the north, construction consisted of a 2x2 lane dual carriageway that connects with the junction of the Boulevard Mitterrand and Est-Ouest roads and on which is the toll plaza. To the south, construction consisted of a 2x3 lane dual carriageway with lateral access roads that connect to Boulevard Giscard d'Estaing, the main road that joins Abidjan's airport. An interchange (VGE Interchange), not part of this project, connects the access road to the bridge with Boulevard Giscard d'Estaing. Initial work on the project, funded by the Government of Côte d'Ivoire, started in October 2011. The Project's sponsor is Bouygues Travaux Publics S.A. of France and SOCOPRIM is the company responsible for construction and operation of the bridge.

The concession agreement for construction of the HKB Bridge was signed in 1997. Under this agreement, the Government of Cote D'Ivoire is responsible for providing the project site to the project sponsor free of any occupants and to manage the land acquisition and relocation of project-affected people (PAPs). Resettlement and compensation of affected households and businesses started in 1998. In December 1999, however, when resettlement was almost complete, and early construction had just started, political events and civil unrest forced SOCOPRIM to suspend its activities indefinitely. In 2009, the situation in the country had stabilized, and the government gave SOCOPRIM approval to recommence construction of HKB. At this time, MIGA was approached to provide guarantees for the project.

This case study describes how civil unrest and the associated interruption in the development of the project potentially affected the ability of the project to implement the Performance Standards (PSs) and resettlement and compensation plans. The case study also looks at the actions taken in collaboration with SOCOPRIM and the government to reduce this risk and ensure compliance. The case study is based on the information provided in Project safeguard documents, MIGA's initial due diligence review of the project (including two site visits between 2009 and 2012) and subsequent monitoring of Project implementation (including review of monthly monitoring reports and three field visits from 2013 to 2016) assessment of potential E&S risks and impacts associated with this type of infrastructure project. Additional background information on the project is available on MIGA's website: https://www.miga.org/documents/ESRS_HKB_Bridge_REVISED.pdf.

In 1998, the project required land acquisition resulting in the physical and economic resettlement of about 2,500 PAPs. While MIGA was not involved in the project at this time, due to the participation of development finance institutions, resettlement and compensation was conducted mostly in compliance with the IFC/MIGA and AfDB safeguard policies in effect at the time. An Abidjan-based branch of an international NGO was involved in the resettlement planning and, community consultations and witnessed the payment of compensation. The local NGO also provided advice to the Ministry of Construction and Public Works with regard to community consultations and information disclosure. The majority of PAPs had been fully resettled and had received compensation and a large part of the project land had been cleared when the civil unrest started in December 1999. The remaining PAPs had been relocated to a temporary site, and had not yet received full compensation for their affected assets.

Findings

In the decade that followed, much of the land that had been cleared was re-occupied. Therefore, when the project was ready to recommence, a second entitlement cut-off date was set and a second socio-economic baseline was undertaken by the ESIA consultant. The second baseline required extensive consultation and considered both the original PAPs and new residents of the project area. This baseline, which was undertaken in 2010, identified that in addition to the small numbers of PAPs that still needed to be compensated from the first resettlement process, additional small businesses would need to be displaced. The small businesses were primarily temporary structures, and the PAPs did not have a legal right to the land and were aware via public consultations that they would eventually be relocated. Some minor agricultural activity, such as livestock grazing, was also identified to be present on the site. A second resettlement action plan (RAP) was prepared to guide the new resettlement process. This RAP was prepared with reference to the PSs.

There was some difficulty in finding and identifying the original PAPs, which still needed to be fully compensated, since many households had dispersed to other locations in Abidjan or even moved to other countries after their removal from the temporary resettlement site in 2006.

MIGA and AfDB coordinated closely with the government to ensure effective implementation of the resettlement and compensation program in a manner consistent with the PSs and AfDB's requirements. In addition, to resettlement and compensation, through the project's resettlement plan and ongoing community consultation efforts, the government was able to begin to address and bridge some of the social divisions that had been created by the years of civil unrest.

Recommendations for good practice

In cases where civil unrest occurs during civil works and the project is interrupted for long periods of times:

- A new cut-off date needs to be set, and the RAP and the ESIA need to be updated to reflect changes from the baseline.
- Frequent consultation and communication with PAPs and various concerned parties should restart once project resumes to ensure up to date information is shared. This consultation should form the basis of an updated RAP. Clear communication of cut-off dates, particularly when two or more cut-off dates have been set due to interruptions is essential.
- It is recommended to include an independent credible third party to support both the project enterprise and the government in the implementation of the RAP.
- The RAP should also identify potential for social issues resulting from the civil unrest (e.g. social divisions; distrust between different groups, residual tensions) that may affect the successful implementation of the resettlement program, and incorporate actions to address these issues (or at least not exacerbate them).

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[1] MIGA's Performance Standards (2007; updated 2013) are materially consistent with the IFC Performance Standards (2006; updated 2012, respectively).

Papers

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Angi Gu

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The effects of urbanization on social stratification: A case of Laorencang

Anqi Gu

Abstract

This study aims to assess the changes in social stratification experienced by a relocated village resettled from a rural to an urbanizing setting. In central China, up to 345,000 inhabitants have been relocated to new areas by the government. For Danjiangkou Reservoir resettlements, the government takes the way of urbanization through relocating resettlements to different vast distant areas around small-type cities or towns with land in same province, which is distinct from city-centered urbanization that results from voluntary rural-urban migration, *in situ* urbanization, and the urbanization by merging of villages to build new towns. This paper analyzes this kind of urbanization, which results in social stratification process due to "government-policy" "field-market" and "individual-capability." Differences are seen in land, house, occupation and income. New interests and relationship patterns are developed. The change in the stratification structure influences the level and quality of urbanization. The social structure would be stable, resettlement urbanization may result in risks of social marginalization of immigrants, weak competitiveness, disordered management, and polarization during urbanization.

Methodology

From 2010 to 2015, I did mass investigation and surveys for five villages in Danjiangkou Reservoir and collected a large amount of resettlement information, such policy, population, economy, etc. This paper addresses one village which has LRC as the case. Cluster sampling for LRC resettlements, 22- to 60-year0old persons (barring students, soldiers, and prisoners). The total was 1,038 valid samples. Important resources resettlement was considered, after investigating income, housing, occupation, and how land was put to use.

Highlights

- Relative to the first resettlement stage (from 1959 to 1976), in Danjiangkou Reservoir, the second resettlement (from 2008 to 2012) has been successful.
- Reservoir resettlement changes social stratification.
- Most LRC villagers realized upward occupational mobility, with the middle stratum proportionally increasing the most.

Discussion

The key to the successful resettlement lies in the selection of the resettlement pattern. Before the 1980s, the government paid priority attention to engineering and minimal resettlement. Since the early 1990s, resettlement in environmental capacity has claimed the attention. Traditional resettlement, being removed to areas over the submerge and move lines brings about poverty.

The South-to-North Water Diversion Project Office proposes the urbanization with land resettlement plan to take advantage of urbanization and to integrate the development of resettlements with towns. Reservoir resettlement urbanization is different than the city-centered urbanization and voluntary rural-urban migration, *in situ* urbanization occurs in rural areas where an "urban village" or "suburban village" develops in place after urban expansion and urbanization by merging villages to build new towns.

The government generally selected locations that were close to a main road, near small cities or towns and clusters of industry, in the same province while providing nearby arable land where one person can have 1.4 mu irrigated land or 1.05mu garden plot and at least a 24 m^2 house as basic economic security. Then it transported the village people as a unit out of their home towns to the resettlement areas. The rural household registration system is maintained and the resettled people hunt for new positions and opportunities during the town development process. This plan generally applies to small cities or towns. With their low costs of living, small cities or towns link villages and cities and they have rural and urban characteristics, which makes adaptation to resettlement relatively easy for immigrants. China is now entering a period of rapid urbanization. Every county and district has identified those towns with better development conditions as towns to be targeted for construction.

The entirety resettlement looks like a success, but it takes social stratification change on many aspects, the main of which are income, housing, occupation, and land. The change reasons are government policy, different markets, and personal capacity. The resettlement has been at risk of marginalization, weak competitiveness, position loss in social management, and polarization.

More mutual assistance activities could strengthen understanding and erase misunderstanding. In the economic competition field, the most urgent thing is to conduct technical training that responds to the limited jobs and pressures of the economic downturn. Regarding management, the mode of social management should be reformed. More studies are needed to confirm effective methods of social management. As for strata integration, there are many differences that are generated in economic society and there is a cultural aspect to consider.

Further actions

Some questions to address:

- How do immigrants understand and adapt to the urbanized lifestyle and methods of production?
- How does the invisible shielding mechanism of social stratification function?
- What measures can be taken to address the growing polarization?

All of these are questions that need our consideration. Finally, we should remember that these various dimensions also influence each other. In particular, it is essential to consider ways that we can form a rational social stratification structure that will improve the quality of urbanization. The investigation will continue.

Livelihood restoration in urbanizing environments

Angela Reeman, Liz Wall

Introduction

With rapid industrialization in Asia has come rapid transition of societies from rural to urban. Combined with the stated objective of increasing industrialization and a movement away from agricultural subsistence in a number of countries, it is increasingly common to see resettlement programs which move communities from a rural environment to a new urban or peri-urban setting.

Livelihood restoration models typically assume either a rural or urban environment and there is a need for new/improved models to address livelihood restoration for communities in transition. Issues to consider include the highly competitive job market in many Asian urban areas, age and gender impacts on livelihood opportunities, and the transition shock.

Additionally, we still commonly hear that "there will be plenty of job opportunities" for local residents during construction or when the factories, facility, power station, port, refinery etc is in operation. Indeed, some of the very large scale developments in Asia do present seemingly significant opportunities for improved local employment outcomes. In reality however, it is still too often a different picture that emerges, where directly affected people find it difficult to access the jobs being offered in the short-term and long-term; unless there is a substantial commitment and effort from project proponents and governments to ensure that local content is maximized.

Methodology

This presentation has been developed drawing on case studies the authors have personal experience of, where resettlement programs have resulted in difficult livelihood restoration situations due to their urban environment. The case studies include:

- Farmers and casual laborers transitioning to wage-based labor and small business opportunities in Myanmar.
- Construction labor opportunities for local residents in Indonesia.
- Casual labor to formal employment in various locations.
- Communities in Vietnam adjusting to a rapidly urbanizing livelihood environment.

At the same time, there is strong potential for rapid livelihood restoration in many urban resettlement programs, if properly facilitated, and the case studies will be used to highlight some of these examples.

Discussion of key findings

The discussion will identify some of the key issues, challenges, and opportunities of increasingly urbanized livelihoods in the context of resettlement. We will discuss the common issue of overstating local employment opportunities as a way to support economically displaced communities, and how this can translate to insufficient attention and resources being given to livelihood restoration programs. The presentation will also explore the concepts of "training" and "job matching" as key models for urban livelihood restoration and some of the strengths and weaknesses of the different approaches observed.

The discussion will look at a range of livelihood transition scenarios including farming/pastoralism to wage-based labor, casual labor, and disruption of informal or small businesses. The presentation will also highlight some of the unexpected difficulties people face in these situations, including some of the misconceptions about how easy it is for people in urban environments to restore their livelihoods after resettlement. This discussion will include a lens on gender, age, and ethnicity in terms of how they affect successful livelihood transition.

Other factors influencing the success of livelihood restoration programs in this context will be discussed, including the challenges facing private-public partnerships, the role and responsibility of contractors, and how to define and agree what is "local" so that preferential processes for livelihood restoration can be targeted at the right people.

Recommendations for good practice/further action

The presentation concludes with some good practice examples observed by the authors to support livelihood restoration in transition environments. It highlights the benefits of collaborating with relevant local authorities to help maximize recruitment for unskilled labor and manage labor hire processes.

The recommendations will describe why the authors believe a multi-faceted range of options is required for livelihood restoration programs in urban environments, including wage labor, micro/small business development, and in some cases a continuation of farming/fishing/pastoralist activities.

The presentation will also suggest what it means in practice to "give preference" to local communities and achieve good local content levels, such as by implementing a dedicated local job-seeker service where affected people are fully supported to access employment opportunities. Finally, some safeguards for vulnerable people in this context will also be suggested.

Livelihood transitioning in an economic zone

Alison Stockwell, Gary MacDonald

Introduction

In Southeast Asia, population growth, limited land, and the demand for more energy and infrastructure are making displacement of rural communities a reality. In turn, rural livelihoods must adapt to these changes—ever more diversifying household income across agriculture, industrial, and service sectors. Vietnam is a perfect example of this. The country has one of the fastest-growing economies in Southeast Asia, and a high population density—over 60% of which currently reside in rural areas. All land and land use planning activities in Vietnam are managed by the government. The same is true for resettlement projects. Given high demand for land and a national economic agenda geared towards industrialization, government-led involuntary resettlements are becoming business as usual. As such, there is increasing pressure on rural and agrarian communities to transition to wage-based economies as natural capital-based livelihoods economies become more difficult to pursue as a primary strategy. Amid such rapid change, is "restoring" livelihoods to their previous conditions possible or sustainable?

Methodology

This case study presents lessons learned in transitioning the livelihoods of households displaced in a government-led resettlement for a large infrastructure project in Vietnam, in compliance with IFC PS 5. In the context of a growing economic zone, displaced people face the additional pressures of adapting to a new wage-based economy and the social and demographic change that comes with it. We present three key challenges in livelihood restoration and transitioning, how the project addressed and continues to address them, and lessons learned.

Transitioning livelihoods: Addressing three key challenges

The resettlement occurred in two phases. Phase 1 took place in 2008-2009 before the involvement of IFIs and agreement to comply with IFC PS 5. Phase 2 took place in 2013-2015 and was implemented according to IFC PS 5. Starting in Phase 2, a social team was hired to monitor resettlement and manage social risks. There was no baseline data or a list of affected HHs available for Phase 1. Approximately 3900 households were affected in total, among which 2000 households were physically displaced and a further 1900 economically displaced. Today, households are situated in a growing economic zone. About half still have agricultural land and live adjacent to the project. The other half reside in two semi-urban resettlement sites situated 20km away from their original location. These sites are adjacent to a growing town center and offer substantially improved housing, infrastructure, and access to services. However, there is little agriculture or garden land available.

Challenge 1: Difficult timing

Land acquisition for Phase 2 occurred during the construction phase, putting additional pressure on displaced people due to rapid social, economic, and environmental change. During this time, households had competing priorities, including building a new home, trying to access jobs and business opportunities during the construction boom, and coping with the trauma of having their communities disrupted. Implementing livelihoods interventions such as financial management or trades training during this time understandably had limited success, as households were attending to their immediate challenges. This challenge was addressed as follows:

- The project focused on intensive stakeholder engagement and managing immediate social risks during these early stages, implementing programs to reduce the risks of disease outbreaks, traffic accidents, and conflicts between communities and workers
- The social team played an active role in recruiting for construction phase jobs, including managing the job seeker database, doing preliminary coaching and screening, and coordinating recruitment events with every major subcontractor
- Through consistent stakeholder engagement, the project kept communities informed on project activities and the changes they could expect and what actions they might want to take to help manage risks

Challenge 2: Working with incomplete data

There were many gaps in the data available for Phase 1 of the resettlement, the most pressing of which were the absence of a list of affected households and a lack of baseline data about their assets and livelihoods. Indeed, it is difficult to implement programs for affected people when they cannot be contacted or identified, and equally difficult to restore their livelihoods without knowing what they looked like before displacement. The government had previously agreed to develop and implement a livelihood restoration plan, inclusive of an eligibility list for both phases, but the plan was never developed. On top of this, the project did not yet have a formal information management system, leading to a lack of alignment between interventions and a risk to the security and utility of crucial data including asset inventories, program participation lists and outcomes, and survey results. This challenge was addressed as follows:

- Built relationships with local government to obtain resettlement documents.
- Hired a team to manually encode asset inventories and a list of affected households.
- Invested in a web-based information management system to store data and track stakeholder engagement, program participation and outcomes, surveys, and livelihood information.

Challenge 3: Transitioning livelihoods for all affected people

While international standards assert that projects must improve or restore the livelihoods and standards of living for displaced persons, the reality in countries like rapidly-changing economies like Vietnam is that displaced people are not able to go back to their previous way of life. While industrialization presents many opportunities for improving standards of living, there is no situation that presents equal opportunity for all people. For example, women, elderly people, and vulnerable or marginalized people in the project area had difficulty finding employment with the project and subcontractors due to a cultural preference for hiring young males. Further, economically displaced households still residing next to the project did not have the benefit of living in a new home next to a growing commercial center. This challenge is ongoing and continues to be addressed as follows:

- Implemented programs to support the livelihoods of people who are unlikely to be employed in the economic zone. These include small business training and facilitation, agribusiness support, and soft-skills training to prepare people for working in a wage-based economy.
- Implemented programs targeted at elderly people to rebuild social networks and support non-income generating activities. These include volunteerism, small-scale household projects and food production, informal skills training, and community-led health promotion.

Summary of lessons learned

- Livelihoods engagement and programming should start at early stages, ideally when land acquisition plans are finalized, to avoid adding pressure to households during land acquisition and construction phases.
- While programs that address social risks indirectly support livelihoods of affected people, it is important to implement projects that directly target livelihoods outcomes at an early stage to allow sufficient time to measure results.
- Good quality baseline data should be collected up front and overseen by experts. If critical data, such as eligibility lists, are tied up in government processes, project managers should set a deadline for obtaining it, after which primary data should be collected.
- Projects should invest in information management systems and GIS to keep data safe, organized, and accessible.
- Projects should support both income and non-income generating activities to help households diversify strategies and allow more family members an opportunity to contribute. This is especially relevant for rural-urban resettlements where households formerly dependent on natural capital no longer have access to it.
- Displacement is a form of trauma. Practitioners must be mindful of this in order to manage expectations of how affected people will respond to and benefit from livelihoods interventions.
- It is no secret that livelihoods are difficult concepts to characterize and measure. There are numerous frameworks that help practitioners capture and deconstruct them. Regardless of what parameters are set out to describe them, livelihoods are deeply personal and tied to identity and lived experience. As practitioners, our success in livelihood restoration depends on a willingness to continuously adapt to that level of complexity.

Study on the resettlement impact of aged peasants: A case study on Nanjing City

Huijuan Wang, Guolong Chen

According to data released by the National Bureau of statistics of PRC, the rate of urbanization in China has grown at an average annual rate of 1.35% per year from 2002 to 2011. At the same time, more and more farmland has been acquired and a large number of landless peasants have been transferred to the city. According to the "Outline of National Land Use Planning (2006 - 2020)," 45 million mu of farmland acquisition with about 67 million landless peasants will be increased by 2020. At the same time, it is shown that China has entered an aging society phase since 2000. The population of over 65 years old has reached 138 million in 2014, accounting for the proportion of the total population of 10.1% and is expected to increase to 12.8% in 2020, which means that the population of aged landless peasants will increase to 8.64 million. In the long run, the size of this group will also increase with the rapid growth of aging and urbanization.

Aged peasants are a special group among the land-lost peasants, and the number increases rapidly because of the coming of an aging society. They are significantly more dependent on their land, housing and rural way of life than other groups significantly. The impact on aged landless peasants is mainly reflected in the following:

- The aged peasants will loss the basic security from the farmland after land acquisition.
- It is difficult for them to adapt their mental health because of the living environment has been changed.
- Moving from rural to urban will change the life style of the aged peasants which will increase their living costs and may be unbearable for the low income elderly people.
- The redistribution of family property in the process of land acquisition and demolition often leads to the change of family elderly care mode.
- The middle-aged landless peasants are not competitive compared with young people in non-agriculture production and have to face the same problem with the aged peasants a few years later; they can hardly bear up to their family responsibility any more. Moreover, having elderly and children in their family to take care of, they have a very heavy social and family burden after land acquisition.

Aged peasants should be paid more attention on their resettlement impact analysis, livelihoods restoration and rights, and interests protection. How to protect the interests of the land-lost aged peasants, properly resolve their problems of old-age security with which they can enjoy a sense of security, a sense of belonging, good health, and a feeling of personal worth is a problem that cannot be avoided. Based on the analysis of changes in the life of the aged peasants, including production and living before and after the land acquisition and house demolition, this article takes apart the profit and loss for the elderly brought on by the housing replacement, land replacement, and role replacement as a result of land acquisition and house demolition through a case study in an ADB-loaned project in Nanjing.

The meaning of land and house to aged peasants is not only family properties but also a stable and basic means of livelihood, low-cost lifestyle, and low-risk development mode. In order to protect the aged landless peasants' interests in the process of economic development and help them to be provided for, to be guaranteed, and to be engaged, it is necessary to make reasonable compensation and to make a livelihood restoration program especially for the elderly affected people. Full consideration of aged peasants' material and spiritual interests is also important.

Papers

3-D ROW to minimize involuntary resettlement impact
Kenji Ogura

Climate change vulnerability and resettlement
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Land acquisition risk for private sector companies
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A global picture of development displacement
Nadine Walicki

3-D ROW to minimize involuntary resettlement impact

Kenji Ogura

Introduction

This paper proposes utilization of three-dimensional Right-of-Way (3-D ROW) development for urban infrastructure projects by reallocating urban space to both private and public ownership within the local community where project-affected person (PAPs) live. Involuntary resettlement is unavoidable when building an urban transportation (e.g., expressway, mass-transit system) in a highly dense city; thus, the 3-D ROW approach gives an effective solution to minimize involuntary resettlement and restore livelihood of PAPs in an overpopulated city.

Methodology

Hanshin Expressway (HEX) plays a crucial role in sustaining logistics and mobility in the Kansai metropolitan region of Japan. HEX has several showcases that utilize 3-D ROW aimed at allowing PAPs to relocate on/under the urban expressway for their livelihood restoration.

The author was involved in the 3-D ROW projects as a resettlement manager of HEX company limited and has exemplified the following project cases: the shopping mall under the highway, the off-ramp penetrating a privately-owned building, and the community development by means of land readjustment on the high-grade dike under which Hanshin Expressway runs. .

This paper examines the legal framework to bring both infrastructure development and urban resettlement for the idea of an effective solution in a highly dense urban area.

Discussion of key findings

- Resettlement impact and livelihood restoration of the urban community.
- Are there any specific difficulties to relocate PAPs and restore livelihood in urban communities?
- Development/amendment of the legal framework including land law, ROW law, building standard law, etc.
    - Are private premises allowed to use the area of ROW?
    - Is a land use limited for a single purpose (e.g., road for road, residence for residence) in your country?
    - Are there any legal administrative hurdles to amend your legal framework?
- Difficulties of consensus building.
- Are there any tips/ideas to effectively build consensus among PAPs?

Recommendations for good practice/further actions

- Development of the legal framework on 3-D ROW development.
- Development of the legal framework should be prioritized to avoid unnecessary litigation before/after the 3-D project.
- Localization/application in major Asian cities.
    - Major cities in Asian countries are struggling with serious traffic congestion; thus, they need to develop a mass-transit system and urban expressway network to alleviate the traffic jam. The 3-D ROW approach would certainly help solving the issue.

Resettlement and climate change vulnerability

Sarah Rogers

Introduction

China plans to resettle millions of farmers in the coming years, to accelerate urbanization and to alleviate poverty. This continues China's reliance on resettlement to achieve poverty and environment-related goals: it is not just an effect of large infrastructure projects. Given our knowledge of the difficulties of re-establishing livelihoods post resettlement, including in China, it is important to examine how climate change may amplify livelihood insecurity. While it is often implied that resettlement will result in greater vulnerability to climate change, there is little empirical work on this relationship.

This paper examines the relationship between resettlement and climate change vulnerability, with reference to data collected in rural China. In it I outline a case of poverty resettlement and provide evidence that resettled households are more vulnerable to climate change than non-resettled households.

Methodology

The paper draws on a qualitative rural livelihoods study conducted on the Loess Plateau in Shanxi Province in 2012-13 that examined whether vulnerability to climate change was socially differentiated. Four villages were included in the study, but here I focus on one village which had both resettled and non-resettled households. All households are facing increased agricultural water stress due to changes in precipitation and temperature.

Key findings/recommendations

A comparison of different kinds of capital, climate impacts, and household coping strategies shows that resettlement adversely impacts on the income and land resources of resettled households. This can be attributed to inadequate compensation, high levels of debt, and low land allocations. Resettlement has resulted in greater livelihood insecurity and constrains the ability of resettled households to cope with agricultural water stress.

One implication is that in the context of climate change, resettlement risks being maladaptive (i.e. it may increase vulnerability). While resettlement is often proposed as a climate change adaptation strategy, we need to think this through more carefully. Further, practitioners need to be more attuned to the relationship between resettlers' livelihoods and climate risks, particularly in rural-to-rural resettlements. An understanding of how secure post-resettlement livelihoods will be in a changing climate needs to be more fully integrated into resettlement practice.

Land acquisition risk for private sector companies: Diagnosing early intervention needs

Toby Nugent, Ian Bryson

Introduction

Public private partnership (PPP) models are being increasingly adopted to provide key infrastructure throughout the Asia-Pacific region. Alongside development and financial benefits associated with PPP, Companies entering such arrangements must comprehensively integrate land acquisition risk analysis to drive key early decision making phases within the project cycle. PPP projects of national and cross-boundary significance may have been established in collaboration between host country governments and advisors from development finance institutes (DFIs), and therefore safeguards equivalency issues are typically addressed prior to concession proposal requests being released. However, there are a multitude of examples of concession proposal requests entering the open market with the responsibility for land acquisition embedded with the host government's responsibilities in the PPP agreement. With the land acquisition bar in these situations typically set at national level, potential concessionaires seeking the financial support of the DFIs are being exposed to unidentified and unquantified risk. This can lead to proposal budgeting underestimations and unanticipated delays with associated costs required to meet DFI safeguard requirements are not adequately integrated into bid preparation. In most cases, the associated costs cannot be transferred back to the host government.

This paper has investigated what risk PPP opportunities represent from a land acquisition perspective and develops a basic diagnostic tool for use by private sector companies intending to borrow or seek investment from a DFI.

Methodology

Based upon a review of projects disclosed through DFI websites, available literature and the experience of the authors, an initial examination of land acquisition risks within PPP projects was undertaken. A focus was placed on identifying those in what were deemed as high risk countries where the private sector partner had undertaken significant activities in securing DFI safeguard compliance. Underlying factors were analyzed and two risk aspects identified, procedural and rights-based, which combined are obstacles to be addressed for private companies seeking DFI safeguard finance in high risk contexts. The outcome is the development of a basic diagnostic tool which can be used by prospective concessionaires to quickly identify these factors in PPP Project bidding processes. While the focus was on PPP projects, given inherent similarities with projects where land acquisition is government led, the methodology has also included these projects.

Discussion of key findings

Infrastructure development-focused PPP projects typically require large land areas which, depending on the land property rights mechanism of the subject country, are generally provided to the concession holder in the form of a long-term lease or use rights. It was found that while the stated objectives of government are to provide land which is unencumbered, construction ready or free of conflicting claims, there are many instances where misalignment between in-country safeguard systems and those of DFIs can make such assumptions erroneous and a key source of project delays.

Host governments seek to attract private investors as partners in nationally significant projects in an internationally competitive market place, which can drive a perceived need to provide the lowest possible cost base for the project. Where land acquisition mechanisms inconsistent with DFI safeguards and internationally accepted best practice are used to contribute towards this objective, PPP concessions can enter the open market with legacy procedural land acquisition issues (e.g., procedurally deficient negotiated settlements or land donations, expropriation at below market rate, exclusion of non-titled land-users, physical resettlement at zero cost, livelihoods being restored to pre-impact levels or better, management and monitoring measures being driven by complete socio-economic impact assessment), and in more serious instances an abrogation of fundamental human rights which can manifest in increased long term impoverishment risks.

Instances of human rights abrogation, while less common, were identified in varying degrees and tended to be associated with projects displaying one or more of the following characteristics: i) where land acquisition has been undertaken in recent historical time when in-country safeguards where not fully developed; ii) in countries with safeguard systems that are still considered as underdeveloped; iii) where land acquisition was not undertaken for a specific purpose, however undertaken as part of broader government actions, and iv) with low institutional capacity and associated governance factors.

Private companies entering developing countries may have an erroneous expectation that the government led resettlement has either been undertaken in accordance with DFI safeguards, that the procedural and risk based issues do not exist, or that the scheduling and cost risks associated with meeting DFI compliance is the responsibility of the host government. Experience and research show that the expectation of host country governments is that private companies assume all risks associated with identifying and addressing DFI safeguard requirements. It therefore becomes imperative that private companies have a mechanism that can

be utilized during PPP project bidding which identifies where procedural and rights based risks are present, cost and scheduling implications, and how to engage with host country governments in developing interventions.

Recommendations for good practice/further actions

A basic diagnostic tool has been developed to identify these procedural and rights based risks. Compliance with DFI safeguards is used as a basic means to ascertain procedural risks. Human rights risks are assessed in terms of the rights of landholders and land users and how these are at risk of contravention through the land acquisition process. The case is made to integrate major impoverishment risk factors such as landlessness, joblessness, marginalization, and loss of access to common property resources as outlined by Cenrea (2000), and Indigenous Peoples' rights within the tool. These are then coupled with project factors such as the track record of the host country, temporal aspects of the acquisition process, scope and scale of population and asset displacement, replacement and emplacement type, and alternatives examined. It promotes the need for proactive engagement with government stakeholders and while it allows for private sector companies to integrate DFI safeguard compliance into bid and feasibility stage decision making, it also ultimately strengthens the case for land acquisition for PPP projects to be undertaken in the first instance in full accordance with DFI safeguard requirements to promote commercially sustainable projects.

A global picture of development displacement

Nadine Walicki

Introduction

The Internal Displacement Monitoring Center (IDMC) is an NGO established in Geneva in 1998 to monitor internal displacement around the world. We began by focusing on people internally displaced by armed conflict and generalized violence and then in 2008 expanded to include displacement in the context of disasters. In 2015, we broadened our mapping to also include development-induced displacement under both state and private for-profit projects. The aim is to paint a more comprehensive picture of internal displacement and expose the full complexity of the phenomenon. We aim to construct a knowledge tool inexistent until now: a global map of this part of global development—its magnitude, risks, adverse impacts, policies, and possible improvement strategies. As a new actor engaging on this topic, we are seeking expert guidance to steer our work as we embark on global monitoring, data collection, research and policy influencing.

Despite the proliferation of international standards on displacement and resettlement in the context of development, the persisting adverse consequences of displacement and resettlement caused by public and private sector development projects around the world remains a major issue. These consequences relate to the deterioration of access to adequate housing, food, livelihoods, education, water, healthcare, physical security, and social support networks. Displaced women, children, indigenous people, and older persons are often among the most vulnerable and disproportionately negatively impacted. The adverse impacts of displacement and resettlement are historic, long-term and compound over time. The biggest losers are not sufficiently identified and the losses are not sufficiently quantified. The adverse impacts of displacement are a global challenge that pose serious threats to the achievement of sustainable development.

Methodology

Definition of internally displaced persons

IDMC counts and reports on internally displaced persons using a single definition regardless of the cause of displacement. The United Nations Guiding Principles on Internal Displacement define internally displaced persons as "persons or groups of persons who have been forced or obliged to flee or to leave their homes or places of habitual residence, in particular as a result of or in order to avoid the effects of armed conflict, situations of generalized violence, violations of human rights or natural or human-made disasters, and who have not crossed an internationally recognized State border." The list of causes of displacement is not exhaustive and the notion covers persons who are obliged to leave their homes and places of residence because of development projects. IDMC will not impose its definition of an internally displaced person on other institutions and seeks to obtain data and information as it is collected.

The notion of "displacement" covers situations where persons are forced to leave for illegitimate reasons and in violations of their rights, and instances of resettlement that are involuntary but legitimate and legal. Displacement in the context of development projects is a legal process regulated through land acquisition acts and legitimized through justification of the public interest. While the process may be legal and legitimate, the fact of displacement does not change. People displaced because of a development project or business venture cannot choose to remain and are therefore forcibly displaced from their homes. Development-induced displacement includes physical displacement from one's land, home, or habitual place of residence and economic displacement from access to one's livelihood. Internally-displaced people who are resettled are no longer displaced and not yet rehabilitated. When rehabilitated, IDMC would not include in our resettlement data set.

Monitoring and data collection

IDMC's monitoring of development-induced displacement covers the entire globe and includes new and protracted cases of displacement caused by public and private development projects. Types of projects are limited to water supply, transport, energy, mining, urban renewal, environmental protection, infrastructure, mega-events, climate change mitigation measures, and industry. IDMC acknowledges that the phenomenon of development-induced displacement extends beyond public and private development projects, and will disaggregate cases of physical displacement and economic displacement where possible. In order to facilitate consistent monitoring of and reporting on situations of internal displacement, IDMC has developed an online database and information management system that can capture data and information corresponding to each dimension of IDMC's displacement data model. This requires a thorough understanding of the definitions and accounting methodologies used to compile the data as well as who is counted at different stages of the life cycle of the development project and beyond.

IDMC does not collect primary data. We find data in publicly available sources and receive data from partners and then manually populate the database. Data related to development-induced displacement exists in many forms including impact assessments, resettlement action plans, project documents, land registries, surveys, evictions databases, academic papers, media articles and case study reports. The data has been collected by a range of actors over multiple decades and is stored in formats ranging from hand-written and paper records to databases, and is not always publicly available. IDMC is seeking to identify non-traditional sources and methods for data collection, and is currently exploring satellite imagery analysis to corroborate displacement data. IDMC has also begun testing ways to pre-populate the database—for subsequent human analysis and validation—using web scraping, natural language processing and machine learning to identify potential new

displacement events and other movements of IDPs reported on the Internet.

Key questions

Given the massive task ahead to compile a global picture of the number of people displaced by development projects and the impacts they experience, and that it cannot complete this task alone, IDMC would like to seize the opportunity of presenting to a room of development experts to ask for advice on two questions:

1. How can we compile a global estimate of the number of people displaced and resettled by development projects? Where should we start so that we get to the right order of magnitude in the shortest amount of time?

   Compiling a global estimate will be an exercise in pragmatism and will imply the neglect of a significant number of displaced people at least at the beginning. IDMC could take a "top 10" approach and compile the ten countries or projects or project types that have displaced the most number of people, and add up the numbers for a global estimate. IDMC would like expert guidance on whether this is a feasible approach, and which other approaches we might take.

2. How can we quantify the costs (negative impacts) and benefits (positive impacts) of displacement and resettlement caused by development projects? What are the costs and benefits to the displaced, to host communities, to broader society?

Understanding the impacts and costs of displacement is essential in order to identify and evaluate policy responses which can minimize the negative impacts of displacement and maximize the positive opportunities arising from such contexts. As far as IDMC is aware, there has been no comprehensive or systematic global meta-analysis of the overarching costs or benefits of displacement caused by development projects. IDMC seeks expert guidance to design a robust methodology.

Call for advice

To tackle this huge task, IDMC needs and invites all the support that practitioners can provide. We are seeking feedback and suggestions for establishing processes of regular transmittal of displacement and resettlement data to IDMC, for compiling a global estimate of people internally displaced by development projects and for quantifying the costs and benefits of displacement and resettlement in the context of development. IDMC looks forward to collaborating with IAIA participants and other experts further and extends the call to all others whom are interested to contribute and collaborate. All comments, suggestions and advice will be much appreciated and can be sent to Nadine Walicki, Senior Strategic Advisor – Development by email at nadine.walicki@idmc.ch, by Skype at nadine_idmc, by Twitter @NWalicki.

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[1] Beyond the Guiding Principles on Internal Displacement, people displaced by public and private development projects are acknowledged as IDPs in regional and national legal instruments. These include the Great Lakes Pact Protocol on the Protection and Assistance to Internally Displaced Persons (article 5) and the African Union's Convention for the Protection and Assistance of Internally Displaced Persons in Africa (article 10) and laws on internal displacement in Peru, Kenya and Nepal. International financial institutions such as the World Bank and Asian Development Bank, and international development agencies such as UNDP and USAID have also acknowledged forced displacement arising from development work.

ACRONYMS AND ABBREVIATIONS

ADB	Asian Development Bank
AfDB	African Development Bank
ASEAN	Association of Southeast Asian Nations
CSO	Civil Society Organization
DAF	Development Assistance Fund
DFI	Development Finance Institute
DFID	Department for International Development
DIDR	Development-Induced Displacement and Resettlement
ECC	Environmental Compliance Certificate
FGD	Focus Group Discussion
EIA	Environmental Impact Assessment
EIS	Environmental Impact Statement
EMP	Environmental Management Plan
ESIA	Environmental and Social Impact Assessment
IDMC	Internal Displacement Monitoring Center
HH	Household
IEC	Information and Education Campaign
IFC	International Finance Corporation
IFI	International Financial Institution
IP	Indigenous Peoples
ISVul	Index of Social Vulnerability
LAA	Land Acquisition Act
LARR	Land Acquisition, Resettlement and Rehabilitation
LPA	Livelihoods Portfolio Analysis
LRP	Livelihood Restoration Plan
LRS	Livelihood Restoration Strategy
MIDR	Mining-Induced Displacement and Resettlement
MIGA	Multilateral Investment Guarantee Agency
NGO	Non-Governmental Organization
PAP	Project-Affected Person
PES	Payments for Ecosystem Services
PPP	Polluter Pays Principle
PPP	Public-Private Partnership
PS	Performance Standard
PSP	Partnership Support Program
PWS	Performance Work Statement
RAP	Resettlement Action Plan
RIP	Resettlement Implementation Period
ROW	Right-of-Way
SDG	Sustainable Development Goals
SIA	Social Impact Assessment

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ABOUT ADB

ADB's vision is an Asia and Pacific region free of poverty. Its mission is to help its developing member countries reduce poverty and improve the quality of life of their people. Despite the region's many successes, it remains home to the majority of the world's poor. ADB is committed to reducing poverty through inclusive economic growth, environmentally sustainable growth, and regional integration. Based in Manila, ADB is owned by 67 members, including 48 from the region. Its main instruments for helping its developing member countries are policy dialogue, loans, equity investments, guarantees, grants, and technical assistance.

Asian Development Bank

ABOUT IAIA

IAIA is the International Association for Impact Assessment, organized in 1980 to bring together researchers, practitioners, and users of various types of impact assessment from all parts of the world. IAIA involves people from many disciplines and professions. Our members include corporate planners and managers, public interest advocates, government planners and administrators, private consultants and policy analysts, university and college teachers and their students. IAIA has members from over 120 nations.

For 36 years IAIA has been holding annual conferences and events all over the world to promote best practices in impact assessment.

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