CASA 1000 Community Support Project

Government of the Republic of Tajikistan

RESETTLEMENT POLICY FRAMEWORK

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# Abbreviations

|  |  |
| --- | --- |
| BT | Barqi Tojik |
| CAP | Communication Action Plan |
| CASA 1000 | Central Asia South Asia Electricity Transmission and Trade Project |
| CASA1000-CSP | CASA1000 Community Support Project |
| CDD | Community Driven Development |
| CoI | Corridor of Impact |
| CSP | Community Support Project |
| DMS | Detailed Measurement Survey |
| ECA | Europe and Central Asia |
| ES PMU | Energy Sector Project Management Unit |
| GFP | Grievance Focal Point |
| GRM | Grievance Redress Mechanism |
| GRS | Grievance Redress System (WB) |
| IE | Independent Evaluation |
| IOL | Inventory of Losses |
| JPC | Jamoat Project Committee |
| LC | Land Code of the Republc of Tajikistan |
| LGS | Local self-government (jamoat) |
| MDTF | Multi Donor Trust Fund |
| MEWR | Ministry of Energy and Water Resources of the Republic of Tajikistan |
| NGO | Non-Governmental Organization |
| NSIFT | National Social Investment Fund of Tajikistan |
| O&M | Operations and Maintenance |
| OP | Operational Policy |
| PAP | Project Affected Person |
| QPR | Quarterly Progress Report |
| RAP | Resettlement Action Plan |
| RPF | Resettlement Policy Framework |
| RT | Republic of Tajikistan |
| SA | Social Assessment |
| TL | Transmission Line |
| VPC | Village level Project Committee |
| WB | World Bank |

# Glossary of Terms

In this Resettlement Policy Framework, unless the context dictates otherwise, the following terms will have the following meanings:

**“Project affected persons” (PAPs)** means persons who are impacted by involuntaryresettlement as defined below.

**“Involuntary resettlement”** means the involuntary taking of land resulting in directeconomic and social impacts caused by:

1. the involuntary taking of land resulting in:
2. relocation or loss of shelter;
3. loss of assets or access to assets; or
4. loss of income sources or means of livelihood, whether or not the PAP has moved to another location.
5. The involuntary restriction of access to legally designated parks and protected areas resulting in adverse impacts on the livelihoods of the displaced persons.

**“Cut-off date”** is the date by which PAPs and their affected assets, as relevant, havebeen identified and new entrants to the site cannot make claims to compensation or resettlement assistance. Persons whose ownership, use of occupancy prior to the cut-off date can be demonstrated remain eligible for assistance, regardless of their identification in the census.

**“Compensation”** means the payment in kind, cash or other assets given in exchange forthe taking of land, loss of other types of assets (including fixed assets) or loss of livelihoods resulting from project activities.

**“Census”** is a complete count of the population affected by a project activity includingcollation of demographic and property information. This will identify and determine the number of Project Affected Persons (PAP) and the nature and levels of impact.

**“Resettlement Action Plan (RAP)”**is a resettlement instrument (document) to beprepared when subproject locations are identified. RAPs contain specific and legally binding requirements to be abided by to resettle and compensate the affected party before implementation of the project activities causing adverse impacts.

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

**“Replacement cost for houses and other structures”** means the prevailing open marketcost of replacing affected structures, in an area and of the quality similar to or better than that of the affected structures. Such costs will include: (a) the cost of the materials, (b) transporting building materials to the construction site; (c) any labor and contractors’ fees; and (d) any registration or transfer costs.

**“Land acquisition”** means the compulsory taking of or alienation of land, buildings orother assets thereon for purposes of the Project. The landowner may be left with the right to negotiate the amount of compensation proposed. This includes land or assets for which the owner enjoys uncontested customary rights.

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

“**The Resettlement Policy Framework (RPF)’** is an instrument to be used throughout project implementation. The RPF sets out the resettlement objectives and principles, organizational arrangements and funding mechanisms for any resettlement, that may be necessary during project implementation. The RPF guides the preparation of Resettlement Action Plans of individual sub projects in order to meet the needs of the people who may be affected by the project. The **Resettlement Action Plans (“RAPs”)** for the Project will therefore be prepared in conformity with the provisions of this RPF.

**“Replacement cost”** means replacement of assets with an amount sufficient to cover fullcost of lost assets and related transaction costs. The cost is to be based on **Market rate** **(commercial rate)** according to the legislation of the Republic of Tajikistan. In terms ofland, this may be categorized as follows; (a) “Replacement cost for agricultural land” means the pre-project or pre-displacement, whichever is higher, market value of land of equal productive potential or use located in the vicinity of the affected land, plus the costs of: (b) preparing the land to levels similar to those of the affected land; and (c) any registration and transfer taxes.

**“Voluntary Land Donation” -** means communities or individuals may agree to voluntarily provide land for sub-projects for desired community benefits. The operative principles in voluntary land donation are “informed consent and power of choice”. Informed consent means the people involved are fully knowledgeable about the project and its implications and consequences and freely agree to participate in the project Power of choice refers to the people involved have option to agree or disagree, without adverse consequences imposed formally or informally by others.

# Project Context and Objectives

The CASA-1000 is aimed at improving the reliability and efficiency of electricity services, and increasing the country’s energy export potential. The Tajikistan portion of CASA-1000 is a 170-km transmission line that extends from Sughd province in the north bordering the Kyrgyz Republic to Khatlon province in the south, covering eight districts and 24 Jamoats. The Transmission Line 3-km corridor of impact (CoI) (i.e. 1.5 km on either side of the TL) includes communities that are economically and socially vulnerable with limited access to public infrastructure and services. Like much of the country, communities in the CoI suffer from winter energy shortages.

The 500 kV high-voltage CASA-1000 transmission line will not itself provide electricity to communities located nearby. Henceforth, to share the benefits expected from the CASA project and create a supportive environment for the project, Community Support Projects (CSPs) are being implemented in all four countries party to CASA-1000, including Tajikistan, as a means to mitigate social risk and maximize the socio-economic benefits of the energy investments. Specifically, the CSPs will be predicated on a community driven development approach to ensure that local investments are tailored to community needs and enjoy broad support. In addition, the CSPs will establish the mechanism through which the longer-term benefits-sharing mechanism, the Community Development Fund, will benefit communities and individuals located within the area of the CASA1000 project [[1]](#footnote-1) through a portion of project revenues from the units of energy exported/imported during the commercial phase of CASA-1000. Each CSP thus aims to put in place the foundation of community engagement in planning, decision-making, implementation, and monitoring and evaluation of local investments. This includes, inter alia, capacity building for communities and the lowest level of government.

The Community Support Projects, in each of the four CASA1000 countries, will adopt a community-driven development (CDD) approach, through which communities prioritize their needs, select sub-projects to be implemented, and directly implement or monitor sub-project implementation. Through this process and the associated capacity building, the proposed project will also support the development of local governance in target areas.

The Project Development Objective for CSP Tajikistan is to increase quality of and access to energy, social and economic infrastructure services, and contribute to the strengthening of local governance capacity in communities in the project area.

The project will be implemented in all Jamoats with villages that lie within the CASA1000 corridor of impact. The CASA-1000 TL extends from Sugdh province in the north bordering the Kyrgyz Republic to Khatlon province in the south. There are 60 villages in the CoI, traversing 24 Jamoats and 8 districts. It is estimated that 130,000 people live within the CoI, and 73,000 in target areas in Isfara. In addition, the project will support target areas in Isfara district, in Sughd province and the enclaves and border villages near the CASA1000 TL in the Kyrgyz Republic.[[2]](#footnote-2)

At the institutional level, the Energy Sector Project Management Unit (ES PMU) of the Barqi Tojik, National Social Investment Fund of Tajikistan (NSIFT) and 24 Jamoat Councils/Administrations will benefit from the project through capacity building aligned with their institutional responsibilities.

The project is structured in four components, with subcomponents, as follows:

**Component 1: Support for Rural Electricity Supply Improvements (*Barqi Tojik/ES PMU*)**

(1A) Village Power Supply Improvements

(1B) Isfara Substation and Rural Village Electricity Improvements in Border areas

(1C) Energy-related Project Management, M&E, and Communications

**Component 2: Community-led Investments in Socio-Economic Infrastructure (*NSIFT*)**

(2A) Subgrants to communities in CoI

(2B) Subgrants to communities in Border areas

**Component 3: Support for Community Mobilization and Local Capacity Building (*NSIFT*)**

(3A) Community Mobilization

(3B) Local Capacity Building

(3C) Social Accountability, Transparency and Oversight

(3D) Support for Border communities

**Component 4: Project management, and monitoring and evaluation, and communications (*NSIFT*)**(4A) Subcomponent 3A: Project management and coordination

(4B) Subcomponent 3B: Monitoring and evaluation

(4C) Subcomponent 3C: Communications

Implementation will start with electricity supply improvements. As early as possible in the project, around 60 villages within the Corridor of Impact (COI) will benefit from village level electricity investments. This will address the importance of a direct, sector-specific link between the CSP and CASA1000 by ensuring improvements in power supply and street lighting in villages the lie within 1.5 km of the transmission line. After preparation activities are complete, all 60 villages will receive a subgrant allocation to support community driven developments initiatives across a broad range of social and economic infrastructure investments. In addition, activity in the Isfara will begin, with the electricity improvements and community-driven developments proceeding from the outset.

**Component 1: Village Power Supply Investments**

**Subcomponent 1A: Village Power Supply Improvements**

Project aims to kick start support for village-level energy investments for communities within the COI in Year 1. This will address the importance of a direct, sector-specific link between the community support project and CASA-1000 by supporting electricity (and any necessary off-grid (solar) solutions) to improve the quality, reliability, and efficiency of electricity in the villages in the 3-km CoI, as well as street lighting. The sequencing will be agreed and set out in the POM. Efforts to improve energy services will be supplemented by energy efficiency investments supported under Component 2.

Due to budget constraints, CSP support to improve power supply activities under Component 1 will be limited to those powersupply improvements that lie within the villages that are located in the CoI.[[3]](#footnote-3) Component 1 will fund improvements to the quality and reliability of electricity supply by upgrading village level infrastructure to an agreed service standard. The majority of the work will involve: (i) replacement of old, and where necessary and installation of new supply-level 10 kV/0.4 kV transformers; (ii) replacement of deteriorated wood poles with concrete poles; and/or (iii) replacement/ installation of new 10 kV lines and 0.4 kV self-supporting insulated wire. These investments in power supply improvements will help communities access a more regular and reliable power supply, reduce technical losses, improve voltage conditions in the main load areas of the target villages, and reduce health and safety risks associated with an aging system.

In addition, the subcomponent will finance: (i) the procurement and distribution of clean efficient heating stoves and/or solar-powered cookers for local facilities (such as health units, schools, community centers) where communities select them; (ii) street lighting (including LED or solar-powered systems); (iii) small renewable energy elements (solar powered PVs, or solar powered water heaters/collectors, heat pumps). Energy efficiency measures, such as the replacement of doors and window, will be included in Component 2.

**Operations and maintenance.** At completion, the assets funded under Component 1 will be moved to the Barki Tajik balance sheet. Barki Tajik will be responsible for the operation and maintenance of all new equipment and infrastructure. The Barki Tajik local power team, will carry out supervision site visits to review and confirm that infrastructure procured is properly maintained.

**Subcomponent 1B: Substation and Rural Village Electricity Improvements in Isfara** (US$5.0 million).

Subcomponent 1B has been included to address a critical gap in the supply of electricity to villages in the Isfara area in Sughd. It will include two linked sets of investments as follows:

This subcomponent will also cover construction and reinforcement of 110/10 kV, connection to 110 kV line distribution networks, including lines and substations. This will also include adjustment infrastructure to connect new Makhala Vahdat in Isfara, including financing of new supply-level 10(6) kV/0.4 kV transformers and installation of new 10(6) kV lines and 0.4 kV self-supporting insulated wire (replacement require 10(6) kV line – 510.5km, replacement of 0.4kV line – 1212km, new 10(6) line – 36.1 km and new 0.4kV line – 34.6km). These investments will help Barki Tojik to efficiently meet load growth, by supplying power to Mahalla Vahdat, the township being created for 3000 households (an estimated 15,000 people) that are relocating from the townships/Jamoats of Vorukh, Chorkuh and other neighboring areas.

This new 110/10kV substation will also address load supply constraints due to distribution system congestion, including supply power to neighboring Mahalla 14 va 15, (serving 1500 households) and Mahalla Nuravshon (serving 500 households). Through this investment, Barki Tojik will reduce losses and improve reliability and quality of power supply in Isfara district.

An estimated 40% of electricity will be used to serve the newly created settlement of Mahalla Vahdat, 40% of electricity will strengthen existing neighboring villages located in Isfara District (including Mahalla 14 va 15 and Mahalla Nuravshon) and the remaining 20% will be used as a reserve for future development purposes. The estimated costs of the new Isfara 2 110/10kV substation with connection to the main grid 110kV line are estimated at US$ 4.50 million and the US$0.50 million will finance transformers, poles and wires to connect the residents of Mahalla Vahdat.

**Subcomponent 1C: Energy-related Project management, M&E, and communications**

The project management, monitoring and evaluation, and communications for the implementation of the electricity-related subcomponents described above will be included in the project as Component 1C.

This subcomponent will finance the incremental costs of ESPMU for the component coordination, management and supervision of the implementation of the electricity subcomponents described above, procurement, financial management, including project audits, and the overall MIS. This subcomponent will fund a dedicated project management team (which will include experts in electrical engineering, project management, technical design, procurement, safeguards, financial management, M&E, and communications) the annual workplans and budgets, the relevant parts of the approved project POM. The costs of ESPMU project coordination are already covered by the CASA1000 project financing. In addition to ESPMU staff, the subcomponent will include financing consultants, equipment, operating costs, technical assistance, and training. ESPMU will establish a communications team and a Grievance Redress Mechanism (GRM), which will provide a formal channel for feedback from communities on any matter concerning the CSP, and specifically collect, process and address safeguards complaints.

**Component 2: Community-led Socio-Economic Infrastructure Investments**

Component 2 will finance subgrant allocations to Jamoats to support priority small-scale socio-economic infrastructure investments at village-level. Under component 2, communities will be facilitated to select a priority subproject investment from an open menu of social and economic infrastructure, facilities and services. The types of works may involve new construction, improvement, upgrading, rehabilitation, demolition, repair, restoration, retrofitting, or maintenance of small scale infrastructure. Eligible sub-projects may include, but are not limited to, rehabilitation of village-level water supply and sanitation systems, rehabilitation of on-farm irrigation systems, rehabilitation of schools and local health clinics, expansion or construction of kindergartens on existing premises, rehabilitation of tertiary roads, and/or economic infrastructure, such as small-scale storage and processing facilities for horticultural products. Support for village power supply, in addition to that financed under Component 1, will also be eligible should communities choose to prioritize them. A negative list will be included in the Operations Manual.

**Subcomponent 2A: Subgrants to villages in Corridor of Impact**

Subcomponent 2A will cover 60 villages in the 24 Jamoats traversed by the CoI. Village level decision making will follow participatory and inclusive community decision-making processes as set out in Component 3. Following a first cycle focused on electricity investments (financed from Component 1A), it is anticipated that there will be two cycles of participatory decision-making and subgrants for investments in socio-economic infrastructure, facilities and services which will be carried out in years 2-4 of the project.

**Scope of investments – Energy efficiency measures**. To further support energy-related activities and to optimize the investments made under component 1, energy efficiency measures will be financed under Component 2. This will include: (i) insulated doors and windows, and (ii) energy efficient water pumps for public buildings (schools, kindergartens, health units, community centers). As part of the CDD approach, communities will be facilitated to submit proposals for activities related to energy efficiency. Subcomponent 3 will also include awareness building activities that will help to promote changes in behaviors and household investments that improve energy efficiency.

**Subgrant allocation**. Jamoats within the CoI will benefit from two cycles and subgrant allocations to finance these subprojects. The village subgrant allocation formula (for each cycle) will be based on five criteria: (i) the target population size, (ii) poverty, (iii) conflict risks, (iv) an estimate of tertiary infrastructure needs (“infrastructure gap”), and (v) proximity to the transmission line. Tajikistan Statistical Office census data has been used for population.

**Criteria for selection of subprojects.** Selection criteria will be detailed in the POM. All subprojects will meet poverty reduction and gender equity goals, and provide evidence that the community mobilization and decision-making has been undertaken genuinely, that proposals are included in Jamoat Development Plans that they are technically viable (through a technical checklist provided by the district) and have sub-project sustainability and O&M plans, that any necessary coordination with other donors has taken place.

**Subcomponent 2B: Subgrants to communities for village investments in border areas**

Subcomponent 2B will support village-level investments in communities in the district of Isfara near the Kyrgyz-Tajik border and the Tajik enclave of Vorukh some 20 kilometers inside the Kyrgyz Republic. These areas are contiguous with the subdistricts receiving support from the CASA1000 CSP in the Kyrgyz Republic, and the border areas face social, economic and conflict risks. The proposed Project investments are intended to promote inclusive local development platforms in these border areas in Tajikistan that complement the activity already approved in the Kyrgyz Republic CASA1000 CSP (and supporting grants).Vorukh and ChorkuhJamoats/Townships will be the focus of Project investments under Subcomponent 2B, including 50 densely-populated villages and neighborhoods, with a total population of approximately 73,000.

**Scope of investments.** Under sub-component 2B, communities in the Tajik border and enclave communities will be facilitated to select from the same open menu of socio-economic infrastructure subprojects described in Subcomponent 2A.

In addition, a second category of border area socio-economic investments will be eligible for financing. These would be subprojects that: (i) promote opportunities for enhanced cross-border cooperation on development, (ii) improve community safety and security, (iii) promote livelihoods opportunities for youth, and/or (iii) complement community-based investments in adjacent communities on the Kyrgyz side of the border. Based on initial consultations in target villages, eligible subprojects would include, for example:

* *Border area electrification:* for example, investment in street lighting in insecure border areas
* *Cross-border transport connections*: for example, small repairs of roads or bridges that support cross border trade and market connections, and improve safety and security.
* *Livelihood facilities for border-area youth*: for example, investment small-scale storage and processing facilities, youth centers and IT hubs.
* *Shared medical points and health campaigns*: for example, construction of local health clinics/shared medical/first-aid points or joint local health campaigns that could be supported by both Kyrgyz and Tajik health workers and serve border communities.

**Subgrant allocation**. Communities in the two Jamoats—Vorukh and Chorkuh—will benefit from two cycles and subgrant allocations to finance these two categories of subprojects. The allocation of subgrants to villages and Mahallas within Isfara will be based on four criteria: (i) population size; (ii) poverty; (iii) an estimate of tertiary infrastructure needs (“infrastructure gap”); and (iv) youth population. Communities will decide the proportion of investment committed to border area investments (a target of 40 percent will be established). An average investment of US$3,000,000 total has been budgeted for these target villages and Mahallas. Villages and Mahallas may choose to defer/carry-over village-level subgrants from the previous cycle if they wish to undertake higher-value investments.

To date, the World Bank has not funded a community-driven development (CDD) project in Tajikistan and experience of bottom-up approaches has been limited to relatively small-scale efforts. However, as noted above, and consistent with the vision of the CSP in the CASA-1000 project appraisal document, this component will support community mobilization and local capacity building in the COI and Isfara target areas. This will include participatory needs assessment, village development planning and prioritization, subproject implementation, participatory monitoring and support for developing social accountability, transparency and good local governance. The modality envisaged for the implementation of the outreach and community level work will include NSIFT staff and/or NGOs skilled in community mobilization and local capacity building.

**Subcomponent 3A: Community (and youth) mobilization and capacity building**

Investment in small-scale infrastructure and facilities in villages has often been decided by government without the engagement of target communities, and this project will bring a significant change in the approach to village investment. The aim of this subcomponent is thus to build capacity for community-driven development (CDD) so that communities are genuinely engaged in decision-making on the use of the sub-grants. Sub-component 3A will thus ensure that CSP village investments (funded under components 1 and 2) are decided by communities and responsive to their needs, while establishing a new model for community investment in the country.

Subcomponent 3A will provide support to ensure that target communities are actively engaged in selecting poverty-focused local investments, and that they are provided with the information, facilitation and capacity building necessary to make decisions that are needs-based, specifically engaging women and youth, and beneficial for vulnerable and poor households. The annual cycle of activities financed by this subcomponent will engage communities in participatory approaches for needs assessment, planning and prioritization, implementation, oversight and monitoring, as well as O&M where relevant. This is expected to activate target communities and youth groups throughout the construction period of the Transmission Line.

**Scope of activity.** At the village-level, community mobilization activities will take place in each cycle to enable community members to drive the decision-making process. For component 1, communities will be facilitated to select energy investments from a closed menu of activities/investments, and will actively monitor the implementation of the selected sub-projects. For component 2, communities will be engaged in all stages of the sub-project cycle, including needs assessment, prioritization, implementation, management, and O&M. The engagement will be facilitated and ensure the active engagement of women and youth.

This subcomponent will cover the costs of community meetings, training workshops at the community and Jamoat level, village exchanges and other learning events and, to build the capacity of communities and Jamoats to carry out the steps outlined above. Relevant trainings will be targeted at Village Project Committees, community volunteers, youth facilitators and monitors, as well as Jamoat stakeholders (Jamoat Project Committees, Jamoat Councilors, and administrators). Training and technical assistance activities for communities will cover the participatory process described above, and for Jamoats will also cover small procurement, accounting and book-keeping, project management, participatory community monitoring, operations and maintenance, and safeguards.

To promote the equal participation of young men and women in community decision-making and monitoring, opportunities for youth leadership will be offered throughout the community mobilization process. From the outset, the project will fund youth mobilization events to select and build the capacity of youth in target villages to support community mobilization activities and represent youth interests. Gender-sensitive mechanisms will be identified in communities, and tailored to the local context to ensure the active participation of young women.

**Subcomponent 3B: Support for Social Accountability, Transparency and Oversight**

Component 3B will support a number of social accountability measures to enhance subproject oversight and promote transparency and accountability of government and project actors to the broader community.

1. First, **social audits** will be conducted with support from NSIFT/the facilitating partner. The ‘community audit meeting’ will provide a public forum for the VPC to present progress, challenges and the financial management (subgrant and expenditure on subproject). Communities will have the opportunity to ask questions, air grievances or discuss issues about the subproject. All communities will conduct this annual social audit process to ensure that decisions are inclusive and poverty-focused, and are genuinely bottom-up. This will also serve as a check that there is continuity in the chain of decisions made by focus groups, VPC and JPC and operationalized by NSIFT. The social audit meetings will provide a “report back” to the target communities on sub-project decision-making, progress on sub-project implementation, as well as procurement and financial management. A list of information and documents to be presented at the social audit meetings will be set out in the POM. Social audit meetings will be held at the village level, to encourage participation, and ensure broad attendance by community/village members and community representatives, community leaders, representatives of the VPCs and the JPCs. The project will fund the support need to prepare, organize and document community audit meetings.
2. Second, communities will also engage in semi-annual **community scorecards** which will provide opportunity for quick and simple feedback on project implementation. NSIFT with facilitating partners will conduct the scorecard process independently from the VPC and JPC. The annual scorecard will be conducted prior to the social audit meeting, and provide structured feedback for discussion.
3. Third, a **beneficiary** **feedback mechanism** will be established to address grievances, comments and any other type of feedback regarding the Project. The design of the BFM will be included in the POM. It will specify the systems and requirements for grievance redress from uptake, sorting and processing and acknowledgement and follow-up, to verification and action, monitoring and evaluation, and finally closing the feedback loop for persons who provided comments or reported complaints. NSIFT will develop and implement the BFM from a unit tasked with this role. The design and implementation of the BFM will be gradually developed over the life of the project such that by Year 3, the BFM is a sustainable part of NSIFT able to process feedback on any issue. The project will support the development of the system. Component 3C will include awareness building, outreach and training of the JPCs, VPCs and community leaders involved in sub-project implementation. Staffing is included under Component 4. The BFM will include social media platforms and the piloting of a photo-based feedback mechanism.Feedback will be reported in disclosed annual reports, as a part of the project efforts to create a benefit sharing approach.

**Subcomponent 3C: Support for Local Capacity Building**

Subcomponent 3B will finance capacity building activities for local level government and quasi-government actors including Jamoat commissions, Jamoat councils and Mahalla community leaders. Four areas of capacity building are envisaged.

* **Managing investments locally (planning, project management and oversight).** The capacity building provided to *Jamoat* and *Mahalla* leaders will complement the support provide for participatory planning and investment processes at the community level. It will focus on the development of a range of skills, including community participation, local development planning, infrastructure planning and operations; subproject cost estimation, social accountability mechanisms, financial management and equitable use of resources; avoiding and/or mitigating environmental impacts of infrastructure projects, rules and procedures for preparing ESIAs and ESMPs; project management and monitoring; fundraising and sustainability of community projects; and training in operations and maintenance. Notably, given that most local government actors have not worked on community-driven projects, training modules will also mainstream the principles and practice of citizen engagement, and project procedures at the community level. The intention of this training is to deepen the skills in participating *jaomat* structures and enhance their capacity to manage investments.
* **Managing finance locally.** Capacity building for managing finance locally will entail the establishment of ‘Special Accounts’ at the Jamoat level to manage the funding of subprojects valued at less than $10,000. Training will focus on capacity to manage these accounts and how the village committee is involved in: i) matching the subprojects to the grant allocation; ii) the commitment of funds; and iii) the authorization of expenditure. With the actual order to debit Jamoat accounts done at the District level, effort will be made to see that relations between the Jamoat and District level are clear and efficient so that Project funds are managed expeditiously. As needed, training will also be provided to village, Jamoat and District level operatives to ensure the overall financial management objectives can be met. Training programs will also seek to recruit and train a cadre of youth accountants with relevant skills that could be mentored and supported to support Jamoat-level financial management.
* **Managing risks locally.** The project will also include capacity building for local level actors (*Jamoat* councils, administrations and *Mahalla* committees) on a set of relevant FCV and DRM issues. This will be formulated and conducted as trainings and dialogues with local institutions, formal and informal leaders. It will focus specifically on (i) mapping FCV anddisaster risks; and (ii) monitoring risk mitigation measures at the community level. This would also include establishing the mechanisms for dialogue and communication between local administration and communities on risks (such as the roles of local leaders, engaging with youth, empowering women’s groups etc) and developing skills for enhanced engagement in national risk management and mitigation strategies.
* **Managing governance and anti-corruption risks.** This subcomponent will also support project efforts to establish good governance in the project. The actions will include: the training of local stakeholders on the principles and practice of local governance such as i) accountability in public affairs; ii) awareness of local responsibilities in relations with higher levels of government; iii) tools for good governance (code of conduct, integrity pacts, social audits); (iv) transparency and disclosure of information; and (v) anti-corruption assessments/process audits. Emphasis will be placed on measures to minimize the room for misuse, fraud, and corruption at the various stages of the project cycle.

**Subcomponent 3D: Support for Border Communities**

Subcomponent 3D will be implemented in the Jamoats/Townships of Vorukh and Chorkuh in Isfara. These target areas lie close to the transmission line in the Kyrgyz Republic. The subcomponent will support tailored activity in these border and enclave communities, helping to address the gap in infrastructure and services in these localities many of which contribute to the root cause of cross-border tensions, local-level violence and the conflict seen over the last decade.

Accordingly, *in addition to* the community mobilization, social accountability, and local capacity building activities described in subcomponents 3A, 3B and 3C, this subcomponent will support the incremental cost of establishing platforms of local development activity in these high-risk localities. This additional support will include: (i) building the capacity and resilience of local institutions, (ii) engaging youth in cross-border investment planning, and (iii) promoting cross-border dialogue and strategic planning on border area development. It will ensure all key stakeholders and groups are included, focusing particularly on youth, women and local leadership, and where possible bring together relevant Tajik and Kyrgyz stakeholders.

The incremental support in these two border and enclave townships will focus on three areas of activity:

1. **Support for capable and resilient local Jamoats and Mahallas**. In order to support better prioritization and decision-making of border area investments, based on community-identified needs, a tailored program of capacity building and cross-border dialogue for representatives of Jamoats and Mahallas in Vorukh and Chorkuh will be provided to build capacity and enhance resilience of targeted local institutions. Activities may include: joint training on issues such as cross-border development (drawing on regional and global experience), mapping and monitoring risks, promoting cross-border investment, private-sector development and connectivity, and regular forums that bring together local officials (Tajik and Kyrgyz) and national-local to discuss socio-economic development issues of mutual interest, promote information sharing, monitor progress of community investments.
2. **Support for youth engagement**. The community mobilization process for these border areas will also focus on engaging youth at each stage of the project cycle to encourage investments and connectivity in the border areas that provide livelihoods opportunities for young men and women and engage youth in in dialogue with local leadership and institutions. This will include, for instance: (i) engaging youth and youth facilitators to work with communities on the needs assessment and subproject prioritization process, (ii) facilitating young women and men in near-border corridor communities to advocate for and local investment that meet youth priorities; (iii) to provide the opportunity for interaction between Kyrgyz and Tajik youth in border communities, and between youth and local institutions; and (iv) youth-led joint monitoring of community-based investment

1. **Cross-border dialogue and strategic planning on border area development**. To engage Tajik local and national leadership and private sector representatives, in livelihoods development in the target areas, the subcomponent will support dialogue and strategic planning activities that encourage private sector development and employment generation. These activities would take place at the early stages of the community mobilization process in order to inform subproject selection for border investments. This would include data-driven discussions around opportunities for enhancing connectivity, access to markets and value chain development, small and medium-size enterprise development and employment opportunities for the sub-region. This would include actions necessary on both sides of the border to facilitate investment and development progress, and promising sectors for youth employment.

**Component 4: Project Management, Coordination, Monitoring and Evaluation, and Communications**

**Subcomponent 4A: Project Management**

Subcomponent 4A will finance the incremental costs of NSIFT for overall project coordination, management and supervision of implementation, procurement, financial management, including project audits, and the overall MIS. This subcomponent will fund a dedicated project management team (which will include experts in community driven development, social accountability, civil engineering, project management, procurement, financial management, and M&E, that will prepare a project, and annual workplans and budgets, ensure a fully functioning POM, including terms of reference (ToR) for all staff and consultants, and training manuals.

Through this component, the project will provide financing for key agency staff, consultants, essential equipment, operating costs, technical assistance, and training, for all CDD-related activities. Under subcomponent, the Component 2 sub-project technical design[[4]](#footnote-4) will be conducted, as will support for the management of local relationships with, communities, commissions, jaomat councils regarding Component 2 village investments. A separate Project Management subcomponent is included under Component 1 to cover the Barki Tajik and ES PMU activities and costs associated with all electricity aspects of the project.

The subcomponent will also contribute to the regular coordination with a number of national stakeholders, namely, Barki Tajik and the Energy Sector PMU (ES PMU), and the Ministry of Finance (MoF), and the Facilitating Partner of the FCV activities (defined under Subcomponent 3D). The project will fund andNSIFT will also manage a Beneficiary Feedback Mechanism (BFM), which will include a Grievance Redress Mechanism (GRM), which will provide a formal channel for feedback from communities on any matter concerning the CSP, and specifically collect, process and address safeguards complaints. While NSIFT will manage the beneficiary feedback system for the project, complaints will be channeled to the institution that can take action. Regular meetings will be held to ensure responsiveness and accountability regarding beneficiary feedback. The budget for awareness building is included in Component 3, but the staffing and the operationalization of the BFM will be covered and clearly allocated under the Project Management costs.

**Subcomponent 4B: Monitoring and Evaluation**

Subcomponent 3B will support monitoring and evaluation (M&E) activities to track, document and communicate the progress and results of the project. M&E will be conducted through an M&E team appointed by NSIFT to establish and use, effectively, a management information system (MIS), who will be responsible for overall compilation of progress and results. The subcomponent will finance NSIFT to prepare quarterly, semi-annual reports and quarterly unaudited interim financial reports (IFRs) that will be submitted to the World Bank (for ESPMU see Component 1C).

This subcomponent will also support community-level monitoring which includes semi-annual assessments of outcomes and results. Community feedback for the purposes of monitoring will be provided through the activities under Subcomponent 3C. The feedback and grievances received through the BFM will also be included in semi-annual reporting, and the quality of the community mobilization and other inclusion, voice, and agency activities with communities will be measured annually through community scorecards which will be discussed and verified, along with financial records and project implementation records, in village audit meetings. This facilitated community feedback will be included in all M&E reports.

Results measurement will focus primarily on the outcomes defined in the results framework and an agreed set of output indicators defined in the POM (these are indicated at the end of each component description above). An independent evaluation will include a baseline, midline and endline, and be procured by NSIFT. The intent of the IE is to capture the results of the investments funded in Components 1 and 2, and to provide an independent evaluation of the community mobilization processes funded under Component 3. ADD - work on infrastructure gaps etc. An implementation completion report (that draws on the evaluation results) will be conducted prior to completion.

**Subcomponent 4C: Communications**

Activities funded under Subcomponent 4C will complement the scope of work carried out by the communications firm already engaged to support overall CASA1000 and CASA1000-CSP communications.[[5]](#footnote-5) A CSP Communications Action Plan (CSP-CAP) will be developed by NSIFT/ESPMU in the POM, with the specific aim of: (i) building village-level support for the CASA1000 project by improving community understanding of the benefits and opportunities offered by the CSP; (ii) establishing trust in the CSP and managing expectations by transparently communicating CSP scale, scope and eligibility; and (iii) providing a supportive communications platform for messaging related to the broader CASA1000 project.

**Timing and target audience.** Given the importance of community understanding of the CASA1000 transmission line, and the CSP as a benefit-sharing mechanism, activities under the CSP-CAP will begin as early as possible in project implementation, including with support from the CASA1000 MDTF. The target audience will include community members, *Mahalla* committees and village organizations, *Jamoat* councils and *Jamoat* commissions. The design/publicity firm will be contracted to (a) produce print and multimedia products that can be disseminated to local communities (b) conduct brief focus group discussions in villages within the CoI to determine communities’ level of awareness regarding the CASA1000 project and communication channels that would be most appropriate for sharing information with them for the duration of the CSPs in Tajikistan and the Kyrgyz Republic.

**Activities.** Under Subcomponent 4C, NSIFT/ESPMU will facilitate the dissemination of CASA1000 materials[[6]](#footnote-6) and messaging, ensure ongoing information sharing and feedback, monitor the impact of communications efforts, and train communications staff to take part in communications activities. Emphasis will be placed on two-way communication; feedback from local stakeholders will be documented, and the response of the relevant agency tracked. ES PMU/NSIFT will work closely with the communications firm to ensure that messages and materials meet the needs on the ground in target villages, adjusted as needed to constantly improve effectiveness. The subcomponent will finance: (i) NSIFT/ES PMU’s close engagement with the firm to ensure locally-relevant communications materials; (ii) dissemination of CSP communications materials through a broad range of channels to deepen local-level understanding, e.g. radio, roadshows, loudspeakers, community meetings, social media, and corridor village and AA events; (iii) any communications materials required on specific issues; and (iv) feedback on the communications activities and to reflect on any revisions that may be necessary.

# 2. Rationale for Resettlement Policy Framework and its Scope

The Resettlement Policy Framework (RPF) provides guidelines for the development of appropriate mitigation and compensation measures for adverse impacts caused by project activities whose exact locations are not known.

Potential Impacts on Assets, People and Livelihood

Given the planned work under Components 1 and 2, the impact on involuntary resettlement will be limited by small scale land acquisition, temporary land acquisition, restriction of access and economic impact. Physical relocation of households is not expected. It is expected that the construction will be carried out within the footprint of existing infrastructure or on available lands that are publicly owned. However, land may be required for new low-voltage lines in settlements where no electricity transmission lines currently exist, as well as for expansion of water supply systems, placing mini-shops for fruit processing, dairy products, placement of paramedic posts, schools, hospitals, etc. that may be selected by beneficiary communities. The presence of informal users or structures and associated economic impacts covered under OP 4.12 also cannot be ruled out. While public land is expected to be made available in case of expansion of new infrastructure, the project allows for voluntary land donations by the community or individuals and this process will have to be closely managed during implementation. Individual land donation will be subject to strict scrutiny and approved by the World Bank, prior to accepting donation. Land donation cannot result in a person or household being worse off than pre-project levels and must receive benefits from the project. As the investments will be determined by the communities, the impact will not be known until the investments are selected in each cycle.

Although the detailed impacts will only be known once detailed designs are prepared, the Government of the Republic of Tajikistan intend to develop a RPF to address possible impacts related to land acquisition and access restrictions and risks involving potential links to some of the subproject interventions that might considered as ‘associated facilities’ under the OP 4.12. The RPF will identify the possible impacts from project activities, describe the range of potential impacts (temporary and permanent) to land use/access and structures and describes how compensation rates will be determined and procedures for the same. Where there is a gap between national and World Bank procedures, the latter will prevail for all activities financed under this project. The RPF will serve as a screening device to ascertain if there will be any impacts resulting from project activities. The RPF is intended as a practical tool to guide the preparation of safeguards instruments such as Resettlement Action Plans (RAPs) and necessary due diligence for activities during implementation of the comprehensive project. If any impacts are identified, the Government of the Republic of Tajikistan will develop safeguards instruments for each sub project based on the guidelines and procedures highlighted in the RPF document.

This RPF will be approved by the Government of the Republic of Tajikistan and cleared with the World Bank (WB). Once the document has been approved, it will be uploaded to WB’s external web-site and be available locally through the development centre/Infoshop, in compliance with the WB’s policy. The RPF will be translated into Russian and/or Tajik and further will be distributed in such a way as to be available to central and local government agencies and potential PAPs. Implementation of the planned project investments will only take place following these approvals and information sharing/consultation.

# 3. Objectives and Principles of Resettlement Planning

The Resettlement Policy Framework (RPF) aims at describing policies and procedures to ensure that people adversely affected under the Project are adequately consulted with on project activities and receive compensation or assistance that will at least restore pre-project level of livelihoods.

The RPF provides policies and procedures to determine if project activities trigger the World Bank’s Involuntary Resettlement policy (OP 4.12), assess expected impacts, identify detailed steps to develop appropriate mitigation measures, including mitigation and compensation for the impact caused under the project including:

* involuntary land acquisition (temporary or permanent);
* loss of, or impact on, assets or access thereto;
* loss of standing crops, trees income source or livelihoods, regardless of whether the project affected persons (PAPs) will be resettled, or not;
* restricted access to natural resources, public places and services ,
* legal framework, eligibility criteria of displaced population, valuation methodology, compensation provision, entitlement matrix, implementation process, consultation procedures,
* due diligence procedures in case of project interventions linked to other development activities supported by the Government and other funding agencies
* grievance redress mechanisms, entitlement payment procedures, and monitoring and evaluation procedures for land acquisition and resettlement under this project.

The basic objectives of the RPF are to: (i) guide the national and local self-government (Provincial, District, Jamoat) in properly identifying, compensating, and restoring the livelihoods of Project Affected Persons (PAPs), (ii) serve as a binding document to ensure payment of compensation and assistance to PAPs, and (iii) provide direction in preparing, updating, implementing and monitoring subproject Abbreviated RAPs and RAPs. The RPF includes measures to ensure that PAPs are (i) informed about their options and rights pertaining to resettlement; (ii) consulted on, offered choices among, and provided with technically and economically feasible resettlement alternatives; and (iii) provided prompt and effective compensation at full replacement cost for losses of assets attributable directly to the Project.

The RPF is based on the following principles:

* Involuntary resettlement is to be avoided or at least minimized.
* PAPs are to be suitably assisted in their efforts to improve, or at least restore, incomes and living standards.
* PAPs are fully informed and consulted on compensation options.
* Lack of formal legal land title is not a barrier to compensation or alternative forms of rehabilitation assistance.
* Particular attention is paid to socially vulnerable groups, such as ethnic minorities, female headed households, elderly households, etc. and appropriate assistance is provided to help them adapt to project-related changes.
* Land acquisition and resettlement is conceived and executed as a part of the project, and the full costs of compensation are included in project costs and benefits.
* Compensation/rehabilitation assistance will be paid prior to displacement and prior to ground levelling, demolition, and in any case, before an impact occurs.
* Compensation is to be paid at full replacement cost to PAPs, without deductions for depreciation or any other purpose.

It should be noted that according to World Bank’s Policy OP 4.12, the term resettlement encompasses more than the ‘physical relocation or resettlement’ of affected people. It is defined as the direct social and economic impacts of a project that are permanent or temporary and are caused by the involuntary taking of land resulting in (i) relocation or loss of shelter; (ii) loss of assets or access to assets; (iii) loss of income sources or means of livelihood, whether or not the affected persons must move to another location; or (iv) the involuntary restriction of access to legally designated parks and protected areas resulting in adverse impacts on the livelihoods of the displaced persons. The policy also applies in case any subproject activities found as ‘ linked’ or ‘associated facility’.[[7]](#footnote-7)

It should be further noted that no changes to the RPF entitlement matrix, eligibility criteria, compensation rates or other entitlements to assistance can be made without prior approval of the World Bank. Any RAPs prepared on the basis of the RPF will also be subject to prior approval of the World Bank.

# 4. Legal Frameworks and Policies Related to Land Acquisition and Resettlement

## 4.1 Relevant Legislation of the Republic of Tajikistan

The Constitution of the Republic of Tajikistan establishes exclusive state property on land whereas the state ensures its effective use in the best interests of the people. The amendments to the Land Code, that took place in August 2012 allow alienating land use rights and land use rights became subject to buying/selling, gift, exchange, pledge and other transactions. Amendments to the Mortgage Law, allow the individual land user to pledge his/her user rights to the land plot to another individual, bank or institution at the current market price. The implementing mechanisms for these amendments are being developed, although this right provides greater scope and flexibility to the land user. Cost of realty, constructions and assets should be compensated to physical persons.

The Land Code of the Republic of Tajikistan is the most systematized code of rules regulating the complex of legal relations arising during the process of exercising the land use rights. Matters related to suspension of land use rights, in case of their acquisition, and compensation of losses to land users and losses connected to withdrawal of land from the turnover are considered in two chapters and nine articles of the Land Code. These articles contain basic provisions on land acquisition for public and state purposes. The Code allows the state to seize the land from land users for the needs of projects implemented in the interests of state and at the state scale, and describes methods, system and order of protection of rights and interests of persons whose land is subject for withdrawal for the purposes of the project, and provides for the complex of compensatory measures to cover the land users’ losses. The Regulation about an order of compensation of the land users’ losses and losses of agricultural production, approved by the Resolution of the Government of the Republic of Tajikistan # 641, dd. 30th December, 2011, establishes concrete and detailed order of reimbursement of the land users’ losses.

Following are main provisions regarding the problem of involuntary resettlement indicated in the Land Code:

* Acquisition of the land plots for the purposes of the state and public needs have to be done after provision of the equivalent land plot;
* New dwelling, production and other buildings, similar to those seized, have to be constructed on the new plot in established order;
* Losses occurred during the land plot acquisition have to be compensated in full amount, including missed profit, and losses should be calculated at market cost;
* Construction of buildings and compensation of losses will be made by the institutions and organizations in whose favor the land is seized (project beneficiaries);
* Provision of the new land plot, construction of buildings, compensation of all types of losses, including lost incomes, have to be done before the official land acquisition from the land users.

The amount of compensation is determined by an interdepartmental commission established at the district level where the acquisition will take place. This commission is chaired by the Deputy Head of District and members include representatives from various line departments, Barqi Tojik, NSIFT and community. Determination of losses of land users during the acquisition of agricultural lands should be established on the basis of corresponding documents, provided by the land user.

In case a consensus is not achieved on the size of compensation of losses and amount of damage, the land user can apply to court with a request to compensate damage occurred during the land exemption.

According to the Articles 41 and 43 of the Land Code the land plot could be seized for the purposes of state or public needs but only upon equal compensation of realty, constructions and crops located on this plot. This compensation couldn’t be less than the current market cost of such realty as the law states about the principle of compensation at the market price.

The Land Code requires that the institution which is interested in the land acquisition should justify the necessity of such acquisition and demonstrate that the plot of land should be seized and there is no alternative for the project implementation. The land plot could be seized in cases of need of construction of buildings and constructions or implementation of works of the state interest. If the project presents the interest of the state, the beneficiary of the project has to prepare a proposal on land acquisition required for the purposes of commencement of such acquisition. In accordance with the Law, the process of acquisition has to be completed and all people and households which were included into the project zone provided with the compensation before permission is granted to commence construction.

The following laws and normative legal acts regulate land acquisition for the state and public, involuntary resettlement and compensation of losses related to such acquisitions:

* The Constitution of the Republic of Tajikistan establishes land as an exclusive property of the state.
* The Land Code, Civil Code, rules on land allocation for individuals and legal entities.
* The Land Code of the Republic of Tajikistan is a systematized code of rules regulating complex of relations arising in the process of possession and use of land.
* The Civil Code of the Republic of Tajikistan is regulating the legal status of participants of civil circulation, grounds for arising of rights and order of their implementation, contractual obligations, property and non-property relations.
* The Law of the Republic of Tajikistan dd. 12 May, 2001 “On Land Valuation” establishes legal grounds for normative land valuation.
* The Law of the Republic of Tajikistan dd. 14 May, 2004 “On Local Bodies of the State Authority” establishes normative grounds for allocation and reallocation of land.
* The Law of the Republic of Tajikistan dd. 5 January, 2008 “On Land Management” regulates relations connected to legal grounds of activities in the sphere of land management.
* The State Land Cadastre is a system of information and documentation on natural, economic and legal status of lands, their categories, qualitative characteristics and economic value.
* Regulation on the order of compensation for losses of land users and damage of the agricultural production process, approved by the Resolution of the Government of the Republic of Tajikistan # 641, dd. 30 December, 2011, establishes an order of compensation of losses of land users.
* The Civil Procedural Code of the Republic of Tajikistan establishes an order, rules and terms of judicial protection in case of legal proceedings on matters related to involuntary resettlement.
* The Economical Procedural Code of the Republic of Tajikistan also establishes an order, rules and terms of judicial protection in case of legal proceedings on matters related to involuntary resettlement.

## 4.2 The World Bank Involuntary Resettlement Policy

The WB’s policy on Involuntary Resettlement OP 4.12 is aimed at avoiding where feasible or minimizing and mitigating negative impacts associated with involuntary land acquisition and impact on assets.

The overall ОР 4.12 objectives are as follows:

Involuntary land acquisition shall be avoided, where possible, or minimized after exploring and analyzing all technically feasible project implementation alternatives.

If involuntary acquisition or impact on assets, including economic assets, is inevitable, resettlement activities shall be implemented as sustainable development actions, providing sufficient investment resources to enable the Project Affected Persons (PAPs) to gain benefits from these activities. PAPs shall be meaningfully consulted and have opportunities to participate in planning and implementing resettlement programs.

PAPs shall be assisted in their efforts to improve their livelihoods and living standards or, at least, to recover them, in real terms, to pre-resettlement levels or to the levels prevailing prior to project implementation, whichever is higher.

To address the resettlement impact, this policy requires preparation of a RAP for the land acquisition process, once the extent of the direct impact is known. Where an impact is minor (less than 200 people, no person is physically displaced, and less than 10 percent of their productive assets are lost), an Abbreviated RAP can be prepared. For projects that have significant impacts, a full RAP is required. The policy requires that the following issues be taken into account in the process of resettlement planning:

To achieve the policy objectives, the World Bank requires special attention to be paid to the needs of vulnerable groups of the impacted population, especially to the residents living below the poverty line, the residents without land rights, the elderly, women, children, and ethnic minorities.

## 4.3 Comparison of the WB OP 4.12 Requirements with the Tajikistan Resettlement Requirements

Differences between the Tajikistan Land Code and the WB policy are outlined in table below. In the event of a discrepancy between the laws of the Republic of Tajikistan and the requirements of OP 4.12 "Involuntary resettlement", the principles and procedures of OP 4.12 shall be applied. This priority of the WB regulations over the state legislation shall be obligatory for all the World Bank-financed projects.

|  |  |
| --- | --- |
| **Provisions of the Republic of Tajikistan’s**  **Land Code** | **WB’s Policy on Involuntary Resettlement** |
| Compensation for acquired land only for  titled landowners, those with formal land  use shares. Any informal agreements  between primary land user and renter are not acknowledged. | Lack of formal title to land will not bar PAPs from  entitlements, those people without legal title to land  and/or structures occupied or used by them are  entitled to various options of resettlement  assistance, provided they cultivated/occupied the  land before the eligibility cut-off date. |
| Consultation with PAPs or communities  not required. | PAPs are to be fully informed and consulted on  compensation, entitlements and resettlement  options incl. relocation sites. Includes consultation,  participation, information dissemination campaigns,  and opportunities to participate in monitoring based  on the nature and scale of impacts.  Resettlement plans to be developed and prepared in  consultation with PAPs and other stakeholders.  Grievance redress mechanisms are to be  established.  Requirement for gender specific consultations and  information disclosure. |
| Land compensation is at replacement rates  through provision of land for land or in  cash.  Normative land prices are established  through coefficients.  No specific reference as to whether depreciation and/or deductions should be factored in. | Land for land as a priority, with replacement land to  be acceptable to PAPs and combination of  productive potential, location advantages, and other  factors of which is at least equivalent to the  advantages of the land taken. If suitable land  cannot be found, compensation in cash, or a  combination of land and cash, at replacement value,  that is current market value plus any transaction  costs associated with transfers or the purchase of  replacement land. |
| Compensation for other assets (structures, crops and trees and business income) is at market rate. No provision for replacement cost, severe impacts or vulnerable PAPs.  Does not clearly provide for transition  expenses/costs. | The amount of cash or kind needed to replace an  asset in its existing condition, at current market  price without deduction for depreciation or any  material salvaged, and including the costs of any  transaction (administrative charges, taxes,  registration or titling costs). Includes provision of  transfer or relocation allowances as needed. |
| At infrastructure planning stage, proposals for acquisition of agricultural or high- yielding land discouraged when other land is available. | Any land acquisition and resettlement is to be avoided, or if it cannot be avoided, it should be minimized by exploring all viable options. |
| No clear provision for livelihood disruption. | Requires compensation for disruption of livelihoods and loss of income as a result of land acquisition for project purposes. |
| Compensation for temporary land acquisition limited to compensation for current losses and costs associated with standing crop for one year  at the Government rates. | Compensation for temporary land acquisition for standing crop, all structures regardless of legal status at replacement cost or re-construction of replacement structure as well as compensation for any disruption in access that may affect income (e.g. for shops) or livelihood (e.g. access to schools). |

In principle, the Land Code of the Republic of Tajikistan and the World Bank Policy both adhere to the objective of compensation at replacement cost, but Tajikistan legislation does not provide for rehabilitation and in practice this has been left to ad hoc arrangements made by the Government of the Republic of Tajikistan

To clarify these issues and reconcile eventual gaps between Tajikistan legislation and World Bank Policy, this RPF has been drafted for the Project, ensuring compensation at replacement cost of all items, the rehabilitation of non-titled people and informal settlers, and the provision of subsidies or allowances for PAPs who may be relocated, suffer business losses, or may be severely affected.

The main provisions affording reconciliation of the differences between Land Code and World Bank Policy include:

* Any PAPs, regardless of title or not, will be entitled to compensation (for structures, crops and trees) and rehabilitation measures under the project. This includes land-less people using land and squatters.
* PAPs and affected communities will be consulted on options and any impacts of land acquisition and resettlement.
* A social screening will be conducted to identify the level of potential impacts and appropriate mitigation measures.
* If land for land compensation is not technically feasible or socially viable, compensation will be in cash at full replacement cost at current market value.
* Compensation for any other assets affected (structures, crops and trees, as well as business/income loss) will be in cash or kind at full replacement cost at current market value. Vulnerable and poor PAPs will be entitled to additional measures as relevant, and gender issues will be addressed.
* Maintenance works will avoid or minimize, as far as possible, the need for land acquisition and resettlement.
* Compensation for temporary loss of land or assets, or for temporary disruption of income will be provided.

It must be especially noted that under the WB OP 4.12, status of those without legal title is clearly defined. In accordance with this policy, those people who do not possess official legal title or judicial rights for the land use, but still use the state land are entitled to receive compensation, taking into account the investments they made into the state land, their labor and lost assets, but not for land ownership as in the case of a titled owner. Instead, alternative sites are allocated for their use, or other forms of assistance in lieu of land compensation, are provided to those informally using or occupying land to the project cut-off date.

In case of disparity of the laws of the Tajikistan with the requirements of the policy of the WB on involuntary resettlement (OP 4.12), the principles and procedures of OP 4.12 should be applied. This priority of WB norms over the national legislation is required for World Bank financed projects and provided for by the national legislation.

# 5. RAP Preparation, Approval and Disclosure Process

The first step in the process of preparing a RAP is the assessment to identify land plots and assets that may be affected by the Project. This assessment of land plots affected will be carried out by the NSIFT or ES PMU Safeguards Specialists in conjunction with the representatives of local self-government bodies, and will be used to identify the types and nature of potential impacts associated with the activities proposed for implementation under the Project, to adopt respective impact mitigation measures. This assessment also shows that the prevention or minimization of resettlement is a key criterion in preparation of the RAP prior to implementation of the CSP.

The assessment will be carried out according to the established criteria detailed in Annex 1, and will be documented in the form of a report on screening (see Annex 1-3) of the expected social impacts, following the adoption of main technical solutions or detailed sub-projects.

The design will not be completed until it is clearly established that all attempts have been made to minimize the impacts of resettlement. If the assessment indicates the need for physical displacement, land acquisition, impact on assets or negative impact on economic resources, whether or not there is physical displacement, the next step will be a social and economic census and inventory of the land resources and assets in order to determine the extent of the need for resettlement. This will be followed by the development of the RAP for the Project, following the steps outlined below.

## 5.1 Census, Social and Economic Surveys, Inventory of Losses

The census and socio economic survey shall be carried out using a structured questionnaire to record the details of the present occupants of land being acquired, their tenure status (primary land user or secondary land user), the extent of land required for the proposed improvements, in order to: (i) assess the magnitude of impact to private assets; and (ii) to assess the extent of physical and/or economic displacement, as well as standard of living, inventory of assets, sources of income, level of indebtedness, profile of household members, health and sanitation, perceived benefits and impacts of the sub-project and resettlement preferences of those who require to relocate. This information would facilitate the preparation of a resettlement action plan to mitigate adverse impact.

The purpose of the baseline socio-economic survey of affected persons is to capture the socio-economic characteristics of the affected persons and to establish monitoring and evaluation parameters. The key socio-economic indicators will be used as a benchmark for monitoring the socio-economic status of project affected persons. The survey shall cover all PAPs and the survey shall also collect gender-disaggregated data to address gender issues in resettlement. As part of socio-economic survey, a wide range of consultations with different impacted groups as well as other stakeholders will be conducted to ascertain their views and preferences. Based on the outcome of these consultations the design changes, if required, and mitigation measures will be incorporated. Consultations will include women and their concerns and reactions, in particular to land tenure, livelihood impacts, delivery of compensation, and resettlement planning, will be addressed through appropriate mitigation.

A cut-off date will be established during the census and will be the date of the population census and enumeration of impacted assets. Following the census, a RAP will be developed based on the collected data of impacts and impacted persons.

## 5.2 Preparation of RAP

RAP will be prepared after the social and economic census and the identification of project affected parties. The RAP will be drafted in consultation with the project affected parties. In particular, consultations will be held on compensation entitlement, as well as on emerging obstacles to economic and livelihood activities, on assessment methods, compensation, possible assistance, PAPs' inspirations, grievance mechanisms, as well as on the timeline for implementation. The final version of the RAP will incorporate PAP's remarks/comments. The key RAP elements indicated in OP 4.12 are listed below. More detailed guidance on RAP preparation is available on the World Bank website or in the World Bank's Involuntary Resettlement Sourcebook.[[8]](#footnote-8) The RAP contents are outlined in the Annex 5. The level of Project impact on individual affected people is not expected to be significant (i.e., the PAPs are not likely to be physically displaced or lose their productive assets). It is expected that the number of affected people under any single subproject will be less than 200 people. In such cases, an abbreviated RAP can be prepared. If the number of affected people exceeds 200, a full RAP will be developed. However, given the community driven village level subprojects under the project, no interventions will lead to physical or economic displacement of 200 or more persons.

The abbreviated RAP will include several standard sections, such as: description of project impact and valuation of affected assets, description of affected people and of their basic socioeconomic and demographic characteristics, institutional arrangement and implementation procedures, compensation and assistance to be provided to affected people; results of consultations, monitoring and evaluation procedures, timeline and budget, at minimum. The data on the project-affected households are considered as an important component of the RAP; however, due to respect for privacy, the information relating to particular individuals and households shall not be subject to public disclosure. Data collected at the beginning of the RAP process can then be used as a baseline to ensure affected persons and households are able to maintain, or preferably improve, their standard of living to pre-project levels.

Where a full RAP needs to be developed, it should include the following at minimum: (i) baseline census and socioeconomic survey information; (ii) specific compensation rates and standards; (iii) policy entitlements related to any additional impacts which are not identified in this RPF but which are identified through the census or survey during implementation; (iv) programs for improvement or restoration of livelihoods and standards of living; (v) implementation schedule for resettlement activities; (vi) and detailed cost estimate.

## 5.3 Disclosure and approval

The following steps should be followed after full/ abbreviated RAP preparation:

* The draft RAP shall be subject to discussion with PAPs who will receive a copy of the RAP a week before the discussion. Public consultations shall be attended by PAPs, LSG representatives, ES PMU/NSIFT representatives, and NGO representatives.
* After the discussion, comments and proposals shall be reflected in the RAP.
* The RAP shall include a section of the consultation process with the matrix of comments and proposals for the inclusion and implementation thereof.
* The Safeguards Specialists shall submit the RAP to the Project Coordinator for approval.
* After inclusion of the comments received as a result of disclosure of the RAP and after approval thereof by the Project Coordinator, the RAP shall be officially sent to the WB for review and confirmation on the compliance with OP 4.12 and other applicable policies/procedures.
* Once the World Bank confirms the acceptability of the quality of each RAP, it shall be disclosed on the WB website, published as a final RAP on the ES PMU/NSIFT websites and re-shared with all stakeholders. Private information about PAPs shall not be made publicly available.

No changes shall be made to the compensation entitlement matrix, eligibility criteria, compensation rates, or provisions for assistance without the prior World Bank's consent.

6. Eligibility Criteria and Procedures for Various Categories of Project Affected People

This section sets out eligibility criteria, which are necessary to determine who will be eligible for resettlement and benefits, and to discourage claims of ineligible people.

## 6.1 Principles

The involuntary taking of land results in relocation or loss of shelter; and loss of assets or access to assets or loss of income sources or means of livelihood, whether or not the PAPs must move to another location. Meaningful consultations with the affected persons, local authorities and community leaders will therefore allow for establishment of criteria by which displaced persons will be deemed eligible for compensation and other resettlement assistance. OP 4.12 suggests the following three criteria for eligibility:

1. Those who have formal rights to land recognized under Tajik Law.
2. Those who do not have formal legal rights to land at the time the project or census commences but have a claim to such land or assets provided that such claims are recognized under the laws of Tajikistan or become recognized through a process identified in the RPF / RAP.
3. Those having no recognizable legal right or claim to the land they are occupying, using or getting their livelihood from before the cut-off date, but are recognized under World Bank OP 4.12.

Those covered under (a) and (b) above are to be provided compensation for the land they lose, and other assistance in accordance with this RPF.

Persons covered under (c) above are to be provided with resettlement assistance in lieu of compensation for the land they occupy, and other assistance, as necessary, to achieve the objectives set out in this RPF, if they occupy the project area prior to a cut-off date established by the project authorities in close consultation with the potential PAPs, local community leaders and the respective local authorities and acceptable to the World Bank.

Persons who encroach on the area after the cut-off date are not entitled to compensation or any other form of resettlement assistance. All persons included in (a), (b) or (c) above are to be provided with compensation for loss of assets other than land. It is therefore clear that all project affected persons irrespective of their status or whether they have formal titles, legal rights or not, squatters or otherwise encroaching illegally on land, are eligible for some kind of assistance if they occupied the land or had use of it, before the entitlement cut-off date.

Eligibility for assistance under World Bank OP 4.12 also applies for project affected persons even if it is deemed that Tajikistan legal provisions provide for temporary or permanent acquisition of private land immediately adjacent to existing public roads without compensation.

## 6.2 Eligibility Criteria and Entitlements

The RPF stipulates eligibility and provisions for compensating all types of losses (land, crops/trees, structures, business/employment, and workdays/wages). All PAPs including non-titled or informal dwellers will be compensated for lost assets (crops, structures, trees and/or business losses) and will receive (i) compensation (as required, to match replacement value), and/or (ii) replacement land, structures, seedlings, other resettlement assistance such as shifting allowance, assistance with rebuilding structures, compensation for loss of workdays/income.

The criteria for eligibility is based on PAPs belonging to one of three groups: (a) those who have title or formal legal rights to land; (b) those who do not have formal legal rights to land at the time of the Inventory of Losses (IOL)/Detailed Measurement Survey (DMS) or census begins but have a claim to such land or assets—provided that such claims are recognized under the laws of the country or become recognized through a process identified in the RAP;[[9]](#footnote-9) and, (c) those who have no recognizable legal right or claim to the land they are occupying (i.e. non-titled users or informal settlers).

The PAPs who are entitled to compensation under the Project include:

* Persons whose structures are in part, or in total, affected temporarily or permanently by the Project;
* Persons whose residential or commercial premises and/or agricultural land (or other productive land) is in part, or in total, affected (permanently or temporarily) by the Project;
* Persons whose businesses are affected in part, or in total, (temporarily or permanently) by the Project;
* Persons whose employment or hired labor or share-cropping agreement is affected, temporarily or permanently, by the Project;
* Persons whose crops (annual and perennial) and/or trees are affected in part, or in total, by the Project;
* Persons whose access to community resources or property is affected in part, or in total, by the Project.

Where land is to be acquired, titled or legalizable PAPs will receive compensation for land acquired by the Project at replacement cost. This will be in cash at replacement value or land-for-land with a combination of productive potential, location advantages, and other factors of which is at least equivalent to the advantages of the land taken to the satisfaction of the PAP (of equal size and/or productive value and be satisfactory to the PAP). Non-titled PAPs are not eligible for compensation for land but will receive compensation for assets attached to land and other assistance as required, in lieu of land compensation.

Households headed by single women with dependents and other vulnerable households will be eligible for further assistance to fully mitigate project impacts. Table 5.1 below presents the Project’s entitlement matrix, based on potential losses.

Compensation eligibility will be limited by a cut-off date to be set for each subproject and PAPs who settle in the affected areas after the cut-off date will not be eligible for compensation. They, however will be given sufficient advance notice, requested to vacate premises and dismantle affected structures prior to project implementation. Their dismantled structures will not be confiscated and they will not pay any fine or sanction. Forced eviction will only be considered after all other efforts are exhausted.

## 6.3 Entitlement Matrix: Eligible PAPs, Assets and Compensation Guidelines

|  |  |  |  |
| --- | --- | --- | --- |
| **Project Impact** | **PAP Category** | **Asset Affected** | **Compensation Guide** |
| Permanent  acquisition of land  for works such as  construction of  small infrastructure  facilities (schools, water pipelines, energy sub-stations etc.) | Primary land user | Land | Replacement land of equivalent market value as priority option within 3 km radius. Failing availability of land, cash compensation at replacement cost. If over 10% of land is acquired, an additional 5% of replacement value will be paid (increasing to 10% if over 20%) as a severe impact subsidy. If the remainder of the plot is not economically viable the entire plot will be purchased/compensated |
| Temporary  acquisition of land  for works, or  construction. | Primary land user | Land | Rental value of land based on market rates and restoration of land and all assets thereon to  former status. |
| Temporary  acquisition of land for works, or construction | User/occupier without  certificate | Land | Restoration, replacement or  compensation of all assets damaged or removed. In the case of loss of income, disturbance allowance set on the basis of  minimum wage for each week (7 days) of disturbance calculated on a pro rata basis. |
| Permanent  acquisition of land  for works such as  construction of  small infrastructure facilities. | Land renter or share-  cropper | Land | In addition to land user  compensation. Re-imbursement of rent for remainder of contract  period, plus 3 months of rent or 3 months of market price of share-  cropping produce as disturbance allowance. |
| Permanent  acquisition of land  for works  associated with the  construction of  transmission lines or any other small scale infrastructure. | User/occupier without  certificate | Land | Compensation equal to 2 months of rent/share-cropping benefit as disturbance allowance. |
| Permanent  acquisition of land  for works  associated with the  construction of small scale infrastructure. | Primary land user | Crops | In addition to land compensation, will be allowed to take standing crop and cash compensation for 2 seasons or annual crop yield depending on the crop. |
| Permanent  acquisition of land  for works  associated with the  construction of  small scale infrastructure facilities. | Tenant farmer, share-  cropper or informal  user/occupier | Crops | In addition to land compensation, allowed to take standing crop  and cash compensation for 2 seasons or annual crop yield depending on the crop. |
| Permanent  acquisition of land  for works  associated with the  construction of small scale infrastructure facilities. | Owner | Business | In addition to land compensation, owner will be paid for the lost income during the transition period, calculated on the basis of average daily /monthly income. Further, an additional payment equivalent to three month’s income will be paid to restart the business in the new location |
| Permanent  acquisition of land  for works  associated with the  construction of small scale infrastructure. | Renter | Business | The renter will be reimbursed the rent for the remainder of the contract. Further, an additional payment equivalent to three month’s income will be paid to restart the business in the new location. |
| Temporary  acquisition of land  for works, or  construction. | Owner | Business | Rental value of land based on market rates and restoration of land and all assets thereon to former status. In addition, owner will be paid for the lost income during the transition period, calculated on the basis of average daily / monthly income. |
| Temporary  acquisition of land  for works, or  construction. | Renter | Business | In addition to the reimbursement of rent during the transition period, the renter will be paid for the lost  income during the transition period,  calculated on the basis of average daily /monthly income. |
| Common Property  uses such as Grazing | User | Grazing land | Grazing can continue.  No expected impacts on grazing land. |
| Destruction of fruit  tree (mature) | Owner | Fruit tree | Allowed to take standing crop. Price of a sapling and associated cost (fertilizer, water, labor) and cash compensation for the value of a mature tree harvest multiplied by number of years it will take for  the sapling to reach maturity |
| Commercial tree owner | Owner | Commercial trees | Price of a sapling and cash compensation for the market value of the commercial tree. Any costs associated with planting of saplings in the new plot. |
| Permanent  acquisition of legal  structure. | Owner of structure | Any structure  including house,  fence, or  sanitation  structure etc. | Replacement structure or cash compensation at replacement value of a new structure plus full compensation for all fees needed to make replacement structure legal. Affected buildings/ structures should be compensated in their entirety. |
| Permanent  acquisition of illegal  structure | Owner of structure | Any structure  including house,  fence, or  sanitation  structure etc. | Replacement structure or cash compensation at replacement cost. Affected buildings/ structures should be compensated  in their entirety. |
| Temporary  acquisition of legal  structure | Owner of structure | Any structure  including house,  fence, or  sanitation  structure etc. | Structure restored to original condition. If inconvenienced then  build a temporary replacement structure to service the affected  person. |
| Temporary  acquisition of illegal  structure | Owner of structure | Any structure  including house,  fence, or  sanitation  structure etc. | Structure restored to original condition with alternatives for  legalization. If inconvenienced then build a temporary replacement structure to service the affected person. |
| Vulnerable people | Identified on the basis of  the socio-economic survey and criteria developed such as income level, disability, household size, etc.  Vulnerable people may  include the disabled, pensioners, widows, female-headed households, and impoverished  households) and only if  project renders them  vulnerable. |  | In addition to compensation for assets lost, a lump-sum  equivalent to one year of average salary payments could be paid depending on the impacts. Any additional impacts to be identified and compensated, for example logistical support may be  required for moving, and assistance in the restoration of livelihoods may be required. |

## 6.4 Voluntary Land Donation

In case of small sections of land required for micro level subproject activities, the project may seek support from the community to donate lands. However, the community members have the right to make a contribution of their land or other assets without seeking or being given compensation at full replacement value. Voluntary contribution is an act of informed consent. Local Authorities must assure that voluntary contributions are made with the affected person’s full and prior knowledge of the availability of other options (including compensation at replacement cost) and are obtained without coercion or duress. Also, voluntary donations are allowed only if the affected people are direct beneficiaries of the investments that cause such impact.Proposals including voluntary contributions will not be submitted for approval where they would significantly harm incomes or living standards of individual owners or users (the size of land contributed on a voluntary basis should not exceed 5% of that individual’s total land holding).

Specifically, the following protocol will govern voluntary contributions under the project :a) Voluntary contributions are an act of informed consent and affected people are not forced to donate land or other assets with coercion or under duress, or misled to believe that they are obliged to do so, without regard to the legal status of their land occupancy. b) Voluntary donations are allowed only for very minor impacts that meet the following two criteria: the households contributing land or other assets are direct beneficiaries of the sub-project; the impact is less than 5% of the total productive assets owned by said household. (See Annex 7 – Voluntary Land Donation Form)

The affected people are fully informed that they have the right to refuse to donate land or other private assets, and instead receive compensation at replacement cost, and that a grievance handling mechanism is available to them through which they can express their unwillingness to donate. Furthermore, people are encouraged to use the grievance handling mechanism if they have questions or inquiries, either in writing or verbally.

## 6.5 Methods to Determine Cut-Off Dates

Once the design of an activity has been finalized and legal procedures completed, a RAP will be prepared for the activity. As part of the RAP, a census will be undertaken to identify all the PAPs and the related levels of impact. The date when the census begins is the cut-off date for eligibility for resettlement and compensation. Hence, it is important that this date is fully communicated to all potential PAPs, including through local and national mass-media in the project affected area with sufficient time for these people to ensure their availability for the census.

This communication will be done through ES PMU and NSIFT under the overall supervision and management of the Ministry of Energy and Water Resources (MEWR), and in line with the consultation procedures outlined in this document. The potential PAPs will be informed through both formal notification including through local and national mass-media, in writing and by verbal notification delivered in the presence of the community leaders or their representatives.

# 7. RPF and RAP Implementation Arrangements and Procedures

## 7.1 Overview

The overall coordination of the project will be provided by Energy Sector Project Management Unit (ES PMU) for Component 1 under the overall supervision and management of the Barqi Tojik and National Social Investment Fund of Tajikistan (NSIFT) for Components 2-4. These units will oversee all resettlement planning and coordinate all compensation related issues. They will collaborate closely with Jamoat (self-governing body in towns and townships) and Head, District Administration for locations in rural areas, and Mayor for cities.

The implementation arrangements of the RPF build on:

* Previous experiences, for example transmission line project from Sangtuda to Afghanistan; and
* The implementation arrangements for resettlement and compensation activities in line with the Republic of Tajikistan legislation outlined in this document.

Actors involved in both these sets of institutional arrangements need to be taken into account in the implementation of resettlement and compensation activities for sub-projects. This section describes the optimal arrangements that build on responsibilities already in place to ensure that the requirements of this RPF are met for each project activity. These are based on the institutional structure at the time of writing the RPF. Should these institutional structures change, this will need to be reflected in the arrangements outlined.

## 7.2 Screening of Project Activities

The first step in the process of preparing individual RAPs is the screening process to identify the land/ areas that may result in resettlement impacts. This screening is used to identify the types and nature of potential impacts related to the activities proposed under this project, and to provide adequate measures to address them. It also ensures that the avoidance or minimization of resettlement is a key criterion when designing project activities.

Screening will be undertaken in accordance with established screening criteria and procedures, by consultants contracted to design the construction of transmission lines and sub stations under the supervision of ESPMU[[10]](#footnote-10) who is given the responsibility to oversee the construction process under Component 1. Screening will be also undertaken in accordance with established screening criteria and procedures, by consultants contracted to design the construction of social sub-projects (kindergartens, schools, water pipelines et.) under the supervision of NSIFT[[11]](#footnote-11) who is given the responsibility to oversee the construction process under Component 2. No design will be finalized unless it is clearly determined that every effort has been made to minimize resettlement impacts.

## 7.3 Socio-Economic Profiling and Inventory of Losses

Should the screening process show that land acquisition will be required[[12]](#footnote-12), the next step will be the socio-economic identification and profiling of Project Affected Persons (e.g. their age, asset dependence, income, family status etc.). This is the equivalent of a census conducted for large-scale resettlement. Similar to a census, 100% of PAPs will be profiled. This step should take place at the same time as the inventory and valuation of all assets affected for each individual PAP.

Once these steps are completed and there is evidence of resettlement issues, a Resettlement Action Plan (RAP) will be developed on the basis of the data collected. This RPF provides a framework for the preparation of RAPs to address resettlement associated with the activities of this project.

The screening process will involve direct consultation with the PAP(s) who will work with the ES PMU and NSIFT representatives and officials from the Jamoat (sub-district), mahalla (village) and District Administration (or Mayor / Municipal Corporation in case of cities and towns) on-site to verify the affected assets and discuss their socio-economic situation. Before the process begins, the PAP(s) will be advised in writing and verbally of their rights and will be consulted throughout the resettlement process. This will include sharing a copy of the grievance redress procedure and the entitlement matrix.

## 7.4 Due Diligence Review of Linked Activities

The local community driven interventions and socioeconomic infrastructures supported by the project may or may not be part of the Government and local government development activities. The initial review of some of the proposed interventions reveal that there might be some potential links to other development activities which need due diligence reviews. Therefore, in addition to above mitigation measures, some protocol should be established to review any infrastructure activities planned and/or implemented by other donors and/or government institutions, which may be associated or linked to the sub-projects to be supported under the CSP Project will be reviewed by the ES PMU/NSIFT and the WB social safeguards team members. Due diligence review report will be prepared to assess the associated social and reputation risks and to propose mitigation measures.

## 7.5 Estimates of affected population and assets in the project affected areas

Cases of temporary or permanent acquisition of individual land plots cannot always be avoided as suitable public land may not be available for the construction of transmission towers and / or sub stations. More likely is the case of temporary acquisition of part of fields to construct the transmission towers or sub stations. The extent to which any temporary or permanent land acquisition will be necessary or whether the access and use of land will be constrained on a temporary or permanent basis is not yet known and can only be fully determined after each sub-project design is completed. ES PMU and NSIFT do not expect any demolition of capital structures during implementation of the Project, though the destruction of smaller-scale structures (fences etc.) cannot be fully precluded at this stage. Given that the impact on affected populations and/or assets are not yet clear, estimates will be produced when the project commences.

However, discussions with the officials from the Ministry of Energy and Water Resources, Barqi Tojik and Department of Land Code reveals that the impacts on the entire displaced population will be minor (i.e. affected people are **not** likely to be physically displaced and less than 10% of their productive assets will be lost) and fewer than 200 people would be affected in any activity.

# 8. Methods of Valuing Affected Assets

This section sets out the guidelines for determining the value of affected assets.

## 8.1 Type of Compensation Payments

Compensation for all land use and assets in kind or cash as guided by the entitlement matrix will be required for the following:

* Land;
* Residential buildings, structures and fixtures;
* Cultivated crops (both cash and food crops) and trees; and
* Business houses like shops and restaurants.

In addition, disturbance allowance, storage of goods, replacement of lost services and other assistance will be given, as outlined in the Entitlement Matrix above. However this is for guidance only, and it is essential that at the time of detailed RAP preparation current market values and replacement cost values are used to establish actual compensation. All cash amounts will be adjusted to reflect any economic changes and buying power of currency since the preparation of this RPF. The ESPMU and NSIFT will evaluate the compensation amounts recommended in the RAP and ensure that they reflect market reality and that it is consistent with Republic of Tajikistan laws as long as it meets the requirements of WB OP 4.12.

## 8.2 Preparation of Asset Inventory

During the survey, each asset will be enumerated and inscribed on an inventory and a valuation of the asset carried out using the principles and guidance of the RPF. The total list of affected assets and their assigned values including any additional compensatory measures will be recorded in a register and shown to the affected person for agreement. The register will be signed and a copy given on the spot to the affected person. The document will indicate when the affected person will be notified, and that the inventory will not be official until a second signed copy, verified by project supervisory staff, is returned to the affected person. At this time, a copy of the grievance procedure will also be given to the affected person as stated in the grievance redress mechanism.

## 8.3 Valuation Method

### 8.3.1. Compensation for Land

In the event of permanent land acquisition of titled land, the first premise is provision of replacement land. In the case where no alternative land is available within a reasonable distance such as to minimize disruption to other aspects of socio-economic life, cash compensation at full replacement value should be provided. This should be valued based on the prevailing market value in the locality to purchase an equally productive plot of land in the same locality. In addition, any associated costs of purchasing the land i.e., taxes, registration fees will need to be included in the compensation.

In addition, the PAP will be compensated for any permanent improvements made to the land (for instance irrigation structures). This will be calculated based on the price of making the permanent improvement at current prevailing market rates for labor, equipment and materials.

Where land lost is only a small proportion of total land owned by the PAP (as per discussion with the Government officials in Dushanbe, this will be likely the case with most of the land users), but renders the remaining land as unusable, the compensation provided should be calculated based on the total land affected (i.e., the actual land lost plus the remaining unusable land).

Where land is temporarily acquired, standing crop will be compensated at fully matured market rate or government rate, whichever is higher. The compensation will be paid to the tiller rather than the owner, where the tiller is not the owner (e.g. tenant or share cropper). There will hence be no adjustment in the terms of the rent of share cropping agreement. Aside from the payment for standing crop, the project will ensure that the land is returned to its original form so it is suitable to resume its former use.

### 8.3.2 Calculation of Crops and Fruit Trees Compensation Rate

The current prices for the crops will be determined taking into account the Government recommended rate and the highest market price, whichever is higher. Where land is rented, 2 seasons or annual crop estimate, depending on the crop will be compensated. Where land is owned, aside from the replacement land or cash compensation for land, the owner will also get compensation for 2 seasons or annual crop estimates depending on the crop. The crops used will be the ones that are currently or have most recently been cultivated on that land. In addition, PAPs will be encouraged to harvest their produce before loss of land. In order to ensure that this is possible, and that appropriate market prices are received for yields, there needs to be sufficient consultation beforehand so that harvesting can be properly planned.

The value of the labour invested in preparing agricultural land will be compensated at the average wage in the community for the same period of time. The rate used for land compensation should be updated to reflect values at the time compensation is paid.

Fruit trees will be compensated to the owner based on the price of a replacement sapling along with the annual value of the fruit produced by that tree for the number of years it will take the sapling to reach full maturity, using Government or highest market price, whichever is higher.

### 8.3.3. Compensation for Structures

The preferred option is to provide alternate structures (latrines, storage facilities, fences etc.) of at least equal quality and of improved quality where possible. The second option is provision of cash compensation at full replacement value.

Replacement values will be based on:

* Measurements of structures and detail of materials used.
* Average replacement costs of different types of household buildings.
* Structures based on collection of information on the numbers and types of materials used to construct different types of structures (e.g. poles, bricks, rafters, bundles of straw, corrugated iron sheets, doors etc.).
* Prices of these items collected in different local markets.
* Costs for transportation and delivery of these items to the acquired/ replacement land or building site.
* Estimates of construction of new buildings including labor required.
* Compensation will be made for structures that are (i) abandoned because of relocation or resettlement of an individual or household, or (ii) directly damaged by subproject activities.

### 8.3.4. Compensation for Community Assets

Compensation will be provided for community assets identified through the socio-economic survey. In all cases these will be provided in kind and new facilities will be provided even if there are existing facilities at the new location.

### 8.3.5. Compensation for Sacred Sites

This policy does not permit the use of land that is defined to be cultural property by the Banks Safeguards OP 4.11. Sacred and genocide war memorial sites include but not restricted only to museums, altars, initiation centres ritual sites, tombs and cemeteries. It includes other such sites or places/features that are accepted by the legislation of the Republic of Tajikistan (including customary), practice, tradition and culture as sacred. To avoid any possible conflicts between individuals and/or communities, the use of sacred sites for any project activity, is not permitted under this project. Relevant clauses will also be inserted in the civil works contracts.

### 8.3.6. Compensation for Loss of Businesses

Any structures will be replaced in an appropriate location as outlined above. In addition, compensation will be paid for the lost income and production during the transition period (time lag between losing the business and re-establishment). This will be estimated based on the daily or monthly income of the affected parties.

# 9. Implementation Schedule, Linking Resettlement Implementation to Civil Works

Before site-specific civil works for sub projects begin implementation, PAPs will need to be compensated in accordance with the provisions of a disclosed and approved Resettlement Action Plan which is based on this Resettlement Policy Framework. For activities involving land acquisition or loss, denial or restriction to access, it is further required that these measures include provision of compensation and of other assistance required for relocation prior to displacement. Taking of land and related assets may take place only after compensation has been paid and, where applicable, resettlement sites and moving allowances have been provided to displaced persons. PAPs who need to be physically relocated should be able to either complete construction of their houses at the replacement land plots or the rental fees for temporarily placing them in an alternative housing/apartment to be covered by the compensation budget. A written agreement regulating the specific terms and conditions should be signed between the parties.

The measures to ensure compliance with this RPF will be included in the RAPs that will be prepared for each activity involving resettlement or compensation. The schedule for the implementation of activities must be agreed to by the ES PMU/NSIFT, Head/representative of Jamoat (village) and the PAPs. These include the target dates for start and completion of civil works, timetables for transfers of completed civil works to PAPs, and dates of possession of land/structures/services that PAPs are using. The dates must be after transfer date for completed civil works to PAPs and payments of all compensation. How these activities are linked to the implementation of the overall subproject must also be agreed between the parties. The screening process must ensure that RAPs contain acceptable measures that link resettlement activity to civil works in compliance with this policy.

The timing mechanism of these measures would ensure that no individual or affected household would be displaced (economically or physically) due to civil works activity before compensation is paid and resettlement sites with adequate facilities are prepared and provided for to the individual or homestead affected. Once the RAP is approved by the designated authority, the RAP should be sent to the World Bank for final review and approval.

Compensation will be paid to individual PAPs only after a written consent of the PAPs, including both husband and wife.

# 10. Grievance Redress Mechanism

## 10.1 The Overall Process

There are two options for Project stakeholders and citizens to submit complaints regarding the CSP, i.e. the Project Grievance Redress Mechanism (GRM) and the World Bank Grievance Redress Service.

*Objectives GRM for the CASA 1000 CSP***.** The GRM in CASA1000 CSP is incorprtrated into a broader beneficiary feedback Mechanism to be established by NSIFT at the central level of the institution. The GRM for the CASA 1000 CSP for Tajikistan is intended to serve as a mechanism to:

* Allow for the identification and impartial, timely and effective resolution of issues affecting the project.
* Strengthen accountability to beneficiaries, including project affected people, and provide channels for project stakeholders and citizens at all levels to provide feedback and raise concerns.

Having an effective GRM in place will also serve the objectives of: reducing conflicts and risks such as external interference, corruption, social exclusion or mismanagement; improving the quality of project activities and results; and serving as an important feedback and learning mechanism for project management regarding the strengths and weaknesses of project procedures and implementation processes.

*Who can communicate grievances and provide feedback?* The GRM will be accessible to a broad range of Project stakeholders who are likely to be affected directly or indirectly by the project. These will include beneficiaries, community members, project implementers/contractors, civil society, media—all of who will be encouraged to refer their grievances and feedback to the GRM.

*What types of grievance/feedback will this GRM address?* The GRM can be used to submit complaints, feedback, queries, suggestions or compliments related to the overall management and implementation of the CSP, as well as issues pertaining to sub projects that are being financed and supported by the CSP, including:

* Mismanagement, misuse of Project Funds or corrupt practices.
* Violation of Project policies, guidelines, or procedures, including those related to child labor, health and safety of community/contract workers and gender violence.
* Disputes relating to resource use restrictions that may arise between or among affected communities.
* Grievances that may arise from members of communities who are dissatisfied with the eligibility criteria, community planning measures, or actual implementation of community energy investments or socio-economic infrastructure.
* Issues with land donations, asset acquisition or resettlement specifically for CSP supported sub projects.

*What types of grievances/feedback will this GRM* ***not*** *address?* Concerns or feedback pertaining to the construction of the CASA 1000 transmission line, including environmental impacts or issues of compensation, relocation or livelihood restoration measures related to resettlement should be addressed and channeled through the procedures established specifically for the CASA 1000 project[[13]](#footnote-13).

The GRM for the CSP will be based on the Laws of the Republic of Tajikistan “On Citizens’ Appeals” and “On Civil Service” as well as the Instructions of the Government of the Republic of Tajikistan “On the Procedures of Records Management on the Appeals of Citizens”.

The GRM’s functions will be based on the principles of transparency, accessibility, inclusiveness, fairness and impartiality and responsiveness.

*Standards.*The CSP GRM will establish clearly defined timelines for acknowledgment, update and final feedback to the complainant. To enhance accountability, these timelines will be disseminated widely to Project stakeholders. The timeframe for acknowledging receipt of a feedback will not exceed 7 days from the time that it was originally received; if an issue is still pending by the end of 30 days the complainant will be provided with an update regarding the status of the grievance and the estimated time by which it will be resolved; and all grievances will be resolved within 45 days of receipt.

*Structure.* The structure of the Feedback system/GRM for the CSP will be comprised of three levels, from the level of the *mahalla* through the central PMU level (see figure 2).

Mahalla Level.To ensure that the GRM is accessible to people at the *mahalla* level, they will have the option to report their complaint/feedback to the *mahalla* leader who will also serve as the grievance focal point (GFP) at the village level. For those instances in which the *mahalla* leader is male, a female GFP will be nominated by members of the *mahalla* who can receive feedback from members of the community and report to the *mahalla* leader on their behalf. The *mahalla* leader will be responsible for addressing complaint/feedback within 15 days of being apprised of the issue. Village/mahalla level GFPs will also be responsible for maintaining logs of the feedback received, as well as issues that have been resolved and those which are pending. If the issue cannot be resolved at the *mahalla* level, then the *mahalla* leader will immediately escalate it to a higher level, i.e. either to the the GFP appointed by the ES PMU\NSIFT district office and the *Jamoat* Subprojects Support Commission’s feedback/grievance redress subcommittee or directly to the ES PMU/NSIFT.

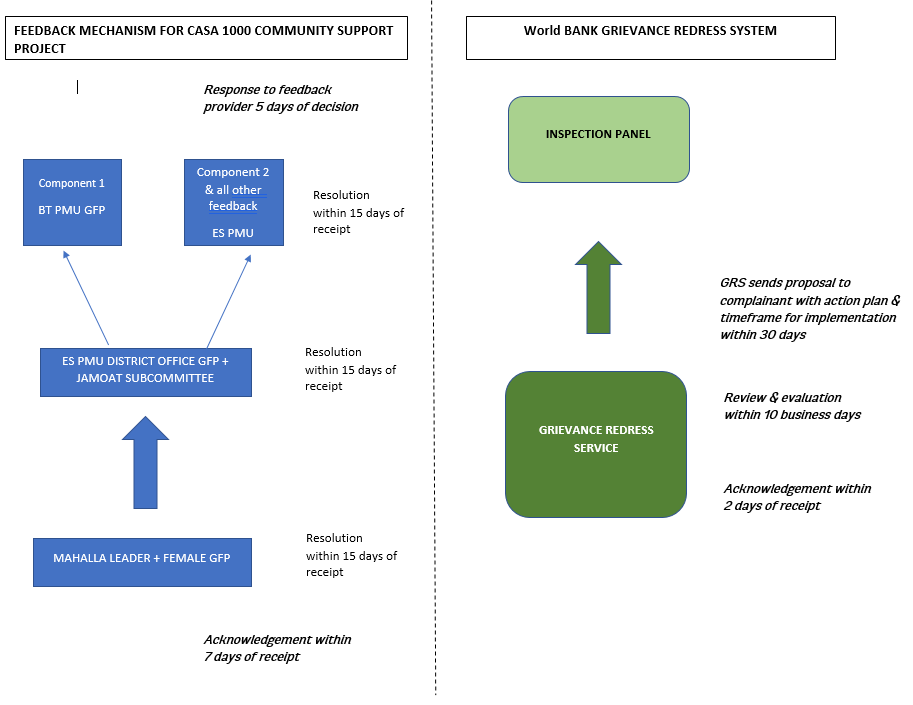
District/Jamoat Level*.* GFPs for each ES PMU/NSIFT district office will be responsible for addressing issues or resolving complaints in collaboration with *jamoat* level feedback/complaint subcommittees within 15 days of receiving complaints. ES PMU/NSIFT district level GFPs will also be responsible for maintaining feedback logs, and if needed, for liasing with the *Hukumat* or other representatives of the Project Grievance Redress Committee established for the CASA 1000 project. If the issue cannot be resolved by GFPs at the district ES PMU/NSIFT offices, then it will be escalated to the central ES PMU GFP.

Central/PMU Level*.* If there is a situation in which there is no response from the *mahalla/*village level GFPs, or the district ES PMU/NSIFT GFPs, or if the response is not satisfactory then complainants and feedback providers have the option to contact the BT PMU or the ES PMU/NSIFT directly to follow up on the issue. The BT PMU will be responsible for complaints and issues related to Component 1. The PMU’s Director will make a final decision after a thorough review of the investigation and verification findings. The GFP for the ES PMU/NSIFT will be responsible for resolving complaints and issues related to Component 2 and NSIFT for Component 3 as well as Project management issues for the CSP. The ES PMU’s/NSIFT’s Directors will make a final decision after a thorough review of the investigation and verification findings.

The timeline for complaint resolution at the central/ES PMU/NSIFT level will be 15 days upon receipt of the complaint. The complainant will be informed of the outcome within immediately and at the latest within **5 days** of the decision.

*Appeal Mechanism.* If the complaint is still not resolved to the satisfaction of the complainant, then s/he can submit his/her complaint to the appropriate court of law.

*Figure 1. Structure of CSP Feedback and GRM System*

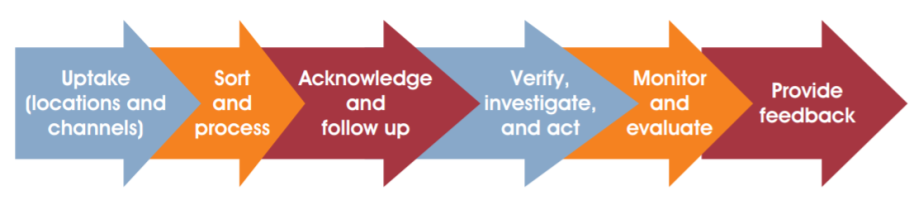


## 10.2 GRM Communication & Process

*Communication.* Information about the CSP’s GRM will be publicized as part of the initial feedback consultations in the participating *jamoat*s and villages. Brochures will be distributed during consultations and public meetings, and posters will be displayed in public places such as in government offices, project offices, village notice boards, community centers, etc. Information about the GRM will also be posted online on the NSIFT website (http:/www.nsift.tj).

*Process.*The overall process for the GRM will be comprised of 6 steps: (1) uptake (2) sorting and processing (3) acknowledgment and follow up (4) verification, investigation and action (5) monitoring and evaluation and (6) feedback (see figure 3).

*Figure 2. Feedback and GRM Process*



Source: Agarwal, Sanjay and Post, David. 2009. Feedback Matters: Designing Effective Grievance Redress Mechanisms for Bank-Financed Projects – Part I. SDV. World Bank.

Step 1: Uptake.Project stakeholders will have the opportunity to provide feedback and report complaints through several channels (in-person, mail, telephone, project website) at different levels (*mahalla*/village, ES PMU district offices and the PMU).

Step 2: Sorting and Processing. To consolidate, monitor and report on information related to grievances, complaints and feedback related to the CSP will be documented upon receipt/communication at each level of the GRM, and will be classified and prioritized in order to manage the grievance redress process more effectively. Feedback/complaints regarding environmental or social issues related to the construction of the CASA1000 transmission line and/or management of the CASA 1000 project will be referred to the GRM established for the CASA 1000 project and will **NOT** be logged/documented as part of the complaints/feedback on the Tajikistan CSP..

Step 3: Acknowledgement and Follow-Up.Within 7 days of receiving complaint/feedback, the GFP will inform the complainant about the timeframe and the likely course of action. At the 30-day mark, if a complaint/question is still pending, the GFP in charge of the complaint at that point should provide an update about the status of complaint/question to the person who submitted it and provide an estimate of how long it will take to resolve the grievance or respond to the query.

Step 4: Verification, Investigation & Action.Verification and investigation involves gathering information about the grievance to determine its validity and to generate a clear picture of the circumstances surrounding the issue under consideration. This process normally includes site visits, document reviews, a meeting with the complainant (if known and willing to engage) and meetings with individuals and/or entities who can assist with resolving the issue. Potential actions include responding to a query or comment, providing users with a status update, imposing sanctions, or referring the grievance to another level of the system for further action.

Step 5: Monitoring & Evaluation**.** Monitoring refers to the process of tracking grievances and assessing the extent to which progress is being made to resolve them. Ultimately, the ES PMU will be responsible for consolidating, monitoring and reporting on the total number of complaints, enquiries and other feedback for the CSP that has been received, resolved and that is pending at the *mahalla* and district levels*,* as well as feedback pertaining to the BT PMU. Information compiled by the ES PMU will be essential for reporting on progress on grievance indicators included in the Project Results Framework, and to compile information for semi-annual reporting.

Step 6: Providing Feedback.This step entails informing GRM users and the public at large about the results of investigations and the actions taken. GFPs will provide feedback by contacting the complainant directly within a 45-day period of receiving the feedback/complaint. The ES PMU will make quarterly reports available to the World Bank team on the implementation of the Project GRM. In addition, data on grievances and/or original grievance logs will be made available to World Bank missions on request.

## 10.3 Grievance Logs

The Grievance Focal Points will maintain local grievance logs to ensure that each complaint has an individual reference number and is appropriately tracked and recorded actions are completed. When receiving feedback, including grievances, the following is defined:

* Type of appeal
* Category of appeal
* People responsible for the study and execution of the appeal
* Deadline of resolving the appeal.
* Agreed action plan

The Project Social Safeguards Specialists (one in ES PMU and one in NSIFT) will ensure that each complaint has an individual reference number and is appropriately tracked and recorded actions are completed. The log should contain the following information:

* Name of the PAP, his/her location and details of his / her complaint.
* Date of reporting by the complaint.
* Date when the Grievance Log was uploaded onto the project database.
* Details of corrective action proposed, name of the approval authority.
* Date when the proposed corrective action was sent to the complainant (if appropriate).
* Details of the Grievance Committee meeting (if appropriate).
* Date when the complaint was closed out.
* Date when the response was sent to the complainant.

## 10.4 Monitoring and Reporting on Grievances

The ES PMU/NSIFT Social Safeguards Specialists will be responsible for:

* + Collecting and analyzing the qualitative data from GFPs on the number, substance and status of complaints and uploading them into the single project database;
  + Monitoring outstanding issues and proposing measures to resolve them;
  + Submitting quarterly reports on GRM mechanisms to the WB.

Quarterly reports shall include Section related to GRM which provides updated information on the following:

* Status of GRM implementation (procedures, training, public awareness campaigns, budgeting etc.);
* Qualitative data on number of received grievances \ (applications, suggestions, complaints, requests, positive feedback), highlighting those grievances related to the WB policy OP 4.12 on Involuntary Resettlement and number of resolved grievances;
* Quantitative data on the type of grievances and responses, issues provided and grievances that remain unresolved;
* Level of satisfaction by the measures (response) taken;
* Any correction measures taken.

## 

## 10.4World Bank Grievance Redress System

Communities and individuals who believe that they are adversely affected by a World Bank (WB) supported project may submit complaints to existing project-level grievance redress mechanisms or the WB’s Grievance Redress Service (GRS). The GRS ensures that complaints received are promptly reviewed in order to address project-related concerns. Project affected communities and individuals may submit their complaint to the WB’s independent Inspection Panel which determines whether harm occurred, or could occur, as a result of WB non-compliance with its policies and procedures. Complaints may be submitted at any time after concerns have been brought directly to the World Bank’s attention, and Bank Management has been given an opportunity to respond. For information on how to submit complaints to the World Bank’s corporate Grievance Redress Service (GRS), please visit [*http://www.worldbank.org/en/projects-operations/products-and-services/grievance-redress-service*](http://www.worldbank.org/en/projects-operations/products-and-services/grievance-redress-service). For information on how to submit complaints to the World Bank Inspection Panel, please visit [www.inspectionpanel.org](http://www.inspectionpanel.org/).

# 11. RPF Implementation Budget

At this stage, it is not possible to estimate the exact number of people who may be affected since the technical designs and details have not yet been developed. It is therefore not possible to provide an estimated budget for the total cost of resettlement that may be associated with implementation of this project. However, when these locations are known, and after the conclusion of the site specific socio-economic study, information on specific impacts, individual and household incomes and numbers of affected people and other demographic data will be available, a detailed and accurate budgets for each RAP will be prepared. Each RAP will include a detailed budget, which will provide costs of the following:

* Compensation may include, for example: costs for land, structures, crops; restoring structures; community structures and services.
* Relocation costs may include, for example: costs of resettling PAPs, administrative costs of resettling PAPs.
* Income restoration costs may include, for example: temporary income support for PAPs.
* Administrative costs may include, for example: staff costs, training and capacity building costs, monitoring and evaluation.

ES PMU and NSIFT are responsible for implementing the Resettlement Policy Framework and RAP, including payment of compensation, provision of other types of assistance, implementation of the grievance redress mechanism to be covered through the resettlement budget to be allocated by the Government.

# 12. Public Consultations and Participation of Project Affected Persons in Planning, Implementation and Monitoring

### 12.1 Arrangements for consultations with PAPs

As project activities will be based on community-driven decisions, local community members will meet at a local venue to discuss project priorities. Local government and project representatives will present project goals to initiate community discussion on project options, and assist communities in making decisions on for project proposals. The participants will be selected from representatives of jamoats, deputies of local majlis, representatives of architectural services, ecology, representatives of rayon sanitary epidemiological services, etc., as well as non-governmental organizations and local residents. The public meetings will be documented and submitted as a part of quarterly reports to the WB.

During the Project implementation, the PAP will be consulted at all stages:

* prior to commencement of CSP implementation, consultations will be held to discuss the RPF with the stakeholders;
* after determining the construction sites, the CSP team will consult with the directly impacted PAP to inform them about the project, its scale, impacts and solicit feedback. The result can be a change in the project scale or design to minimize impacts. the need for resettlement;
* preparation of RAP census will begin after completing the inventory and asset assessment, the CSP Safeguard specialists / Consultant will discuss the details with the PAP, and affected household, to ensure that the inventory assessment is valid and acceptable to them;
* after completion of RAP and approval from the Bank, the PAP/ affected households will be provided with a copy of the RAP in the language and form available to them;
* prior to commencement of the sub-project implementation, with every PAP/ affected household, the proposed amount of compensation in cash or in kind, for consideration and approval will be discussed before the transfer of assets;

The relevant materials shall be provided in time before the consultation, which in form and language will be understood by the residents with whom consultation is being conducted. Prior to implementation of resettlement measures, the population will be given enough time to review and discuss the information provided. Community feedback will be included in the design and implementation of the RAP, and, if necessary, the implementation of the project on a wider scale.

Efforts will be made to ensure vulnerable groups are active participants during consultations. Smaller focus groups for separate vulnerable group consultations may be necessary.

The consultations will be recorded in minutes with details of the consultation process: the participants, the issues under review, the nature of the information provided, the questions and answers raised. The consultation report should also include participants’ demographic data (gender, age, interest groups, etc.).

PAPs will be consulted in the following manner at each stage of the project:

1. Following the identification of their plot, a Representative of ES PMU/NSIFT will visit the PAP and where necessary affected communities, share information on project activities, discuss and collect information on valuation of assets including land and livelihoods. The representative will advise them of their rights under the project and will include sharing information on their entitlements to compensation and grievance redress mechanisms. This will take place in the presence of a representative of the Jamoat and District Administration.
2. Once the inventory and valuation of assets is completed, the Representative of ES PMU/NSIFT will present and discuss the details with the PAP(s) and whether or not the inventory is accurate and the valuation is acceptable to them. In addition, resettlement assistance and/or resettlement arrangements will be discussed with PAPs to ensure the development of mutually acceptable arrangements.
3. Once the RAP is complete the PAPs will be provided with the RAP as per the disclosure procedures described above.
4. Prior to implementation of the sub project the amount of cash or in kind (land) offered for compensation will be discussed with each eligible PAP for consideration and endorsement before transfer of the asset is effected. PAPs are entitled to have a third party present at this crucial time or at the other steps leading up to this final transfer. At any point PAPs can instigate a complaint using the grievance redress process described above.

### 

### 12.2 RPF consultations and disclosure

The draft Resettlement Policy Framework was posted on the ES PMU and NSIFT websites on November 20, 2018 ([www.nsift.tj](http://www.nsift.tj), [www.barqitojik.tj](http://www.barqitojik.tj))[[14]](#footnote-14).

On December 4-8, 2018, public consultations with stakeholders and beneficiaries of the CASA-1000 - CSP Project were held in Kushoniyon, Jaihun, Isfara and Jabbor Rasulov districts. The objective of these consultations was to familiarize the participants with environmental and social safeguard measures within the framework of the project. Presentations on the design of CASA-1000 -CSP Project, on environmental and social security measures and the basics of resettlement policy framework under this project were provided. In particular, the audience was informed about involuntary resettlement avoidance and mitigation legal provisions, potential impacts which may by generated, as well as measures to be taken to prevent/mitigate potential impacts.

The total number of participants attended was 128 people. They represented various state bodies, representatives of district administrations, energy companies, jamoats, representatives of the public and local media.

The consultations facilitated active discussions among the participants. The participants raised questions on the CASA-1000 Project, specifically on the route of the projected power transmission line, on the health effects of high-voltage power lines and on community contributions. ES PMU/NSIFT representatives clarified that the separate information sessions are planned for the CASA 1000 project. While under the CSP the target communities will be involved in selection and monitoring of CDD sub-projects under the CSP. Annex 8 presents details of public consultations, lists of participants and pictures. Based on the feedback obtained, the RPF was updated and finalized.

The final version of the RPF will be officially submitted to the World Bank for disclosure in English on the WB external webpage by December 15, 2018. The English and Russian versions will be also posted on the web pages of the ES PMU/NSIFT. This final document will be used by respective government agencies and other Project stakeholders during the project implementation.

### 12.3 Monitoring and Evaluation Arrangements

The arrangements for monitoring will fit with the overall monitoring plan of the entire project which will be implemented through ES PMU and NSIFT. All RAPs will set major socio-economic goals by which to evaluate their success which will include (i) affected individuals, households, and communities being able to maintain their pre-project standard of living, and even improve on it, (ii) the local communities remaining supportive of the project and (iii) the absence or prevalence of conflicts. In order to assess whether these goals are met, RAPs will indicate parameters to be monitored, institute monitoring milestones and provide resources necessary to carry out the monitoring activities. ES PMU/NSIFT will institute an administrative reporting system that will:

* Provide timely information about all resettlement arising as a result of project activities.
* Identify any grievances that have not been resolved and require resolution through the involvement of the grievance committee or higher authority.
* Document the timely completion of project resettlement obligations for all permanent and temporary losses.
* Evaluate whether all PAPs have been compensated in accordance with the requirements of this RPF and that PAPs have higher living standards in comparison to their living standards before physical or economic displacement.
* Evaluate whether livelihood restoration efforts have been successful and identify justifiable challenges and measures to address them.
* Collect data on impacts (changes in income, livelihoods, social activities) on all affected individuals and/or communities. These data will include data from vulnerable households, as previously identified, and will be disaggregated by gender.
* Alert project authorities to the necessity for land acquisition in the project’s planned activities.
* Document any conflict and its amicable solution.

The objective will be to make a final evaluation in order to determine:

* If affected people have been paid in full and whether the compensation has been paid before the implementation of any project activity that is causing resettlement,
* If people who were affected by the project activities have been affected in such a way that they are now living a higher standard than before, living at the same standard as before, or are they actually poorer than before.
* Specific impacts on vulnerable households.

The project will not be considered complete until all the objectives of the site-specific RAPs are achieved as determined by regular monitoring and the submission of RAP completion report that is satisfactory to the World Bank.

### 12.4 Monitoring of RAP Implementation

ES PMU/NSIFT Project Social Safeguards Specialists will manage the compilation of basic information on all physical or economic displacement arising from the project, on a quarterly basis.

They will compile the following statistics:

1. Number of activities requiring preparation of a RAP.
2. Number of households and individuals physically or economically displaced by each activity.
3. Length of time from design finalization to payment of compensation to PAPs.
4. Timing of compensation in relation to commencement of physical works.
5. Amount of compensation paid to each PAP household (if in cash), or the nature of compensation (if in kind).
6. Number of vulnerable households received compensation (cash / kind) and additional support provided.
7. Number of people raising grievances in relation to each sub-project.
8. Number of unresolved grievances.

ES PMU/NSIFT will review these statistics in order to determine whether the resettlement planning arrangements as set out in this RPF are being adhered to. For reasons of objectivity, it must be ensured that the staff who are doing this check are not the same staff who have prepared the report. They will alert the Head of ES PMU/NSIFT if there appears to be any discrepancies. Financial records will be maintained by ES PMU/NSIFT to permit calculation of the final cost of resettlement and compensation per individual or household. The statistics will also be provided to an independent consultant that will be contracted on an annual basis.

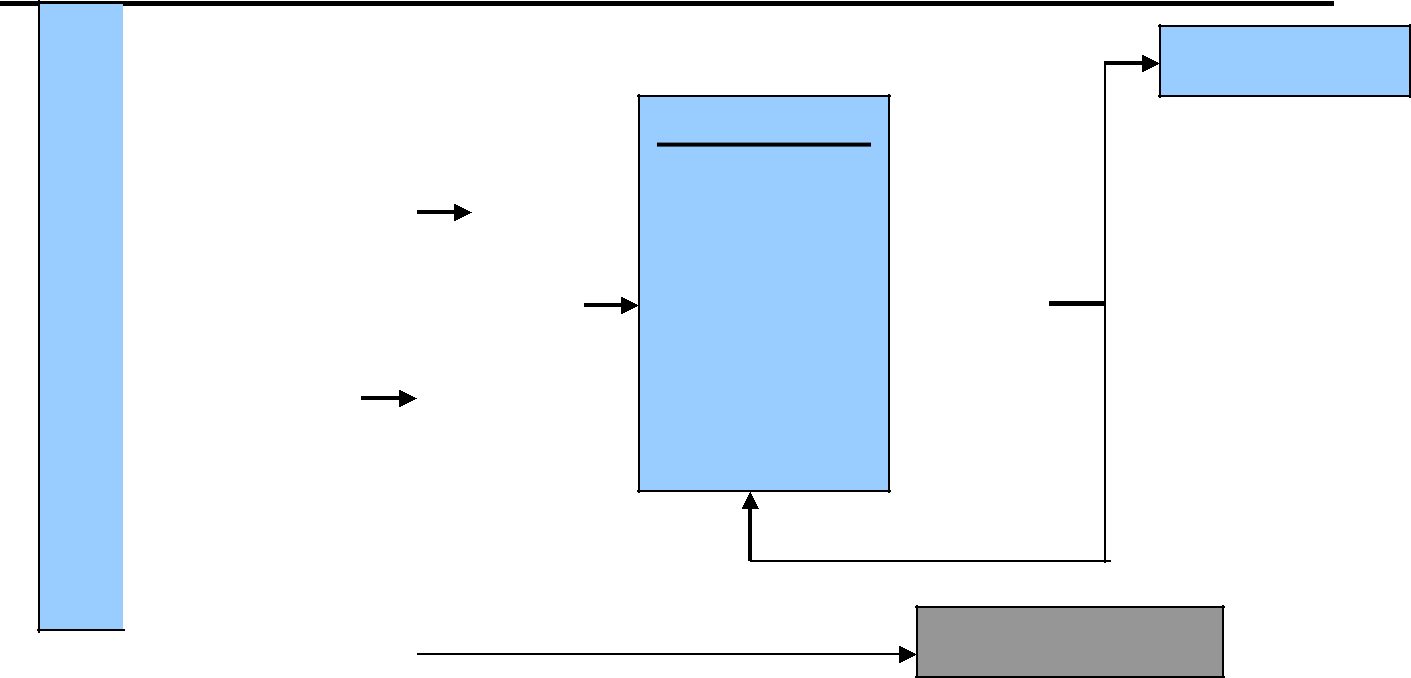
ES PMU/NSIFT will maintain a complete database on every individual impacted by the project land use requirements including relocation, resettlement and compensation, land impacts or damages, and it will provide a copy to the Local Grievance Redress Committee. Each time land is used by the project; the database will be updated to determine if the individual or household is being affected to the point of economic non-viability and eligibility for compensation or its alternatives. Periodic reports on the database will be sent to the World Bank. This will become part of the official documents of the project.

The impact of resettlement implementation will be measured by repeating the exercise of socio-economic profiling (census) six months after the implementation of all sub-projects. This exercise will determine whether or not PAPs are well off as they were before the project, and if not whether their circumstance have declined as result of the project, and what remedial measures may be necessary.

*CASA 1000 CSP: RESETTLEMENT POLICY FRAMEWORK*

# ANNEXES

## Annex 1. Outline of the RAP process.



Present



Approval



**RPF**  submitted 

for sub-

project

|  |
| --- |
| **Screening Process** |

Land/structur

1. acquisition/ access

restriction resulting in impact identified

|  |  |  |  |
| --- | --- | --- | --- |
|  | | **S**ubmit to Resettlement and Compensation Committee |  |
| **YES** |  |  |
| **NO** |  |  |  |
|  |  |  |
|  |  |  |  |

**Develop RAP**

**RAP Process**

* **Census**
* **Inventory & Valuation**
* **Agree Resettlement Measures**
* **Consultation**
* **Grievance**
* **Monitoring**

**Implementation**

|  |
| --- |
| **YES** |

**RAP**

**Approved?**

|  |
| --- |
| **NO** |

**No Action Required**

## Annex 2: Screening report form of expected social impacts

*(The report should be brieft)*

Sub-project\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Sub-project implementation location\_\_\_\_\_\_\_\_\_\_\_\_\_

(Indicate location of implementation with the designation on the map-scheme with photos)

Kind of activity:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

(new construction, reconstruction, rehabilitation, maintenance)

Estimated cost \_\_\_\_\_\_\_\_\_\_\_\_

Estimated start date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Technical drawings / specifications discussed: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Checklist:

|  |  |  |
| --- | --- | --- |
| № | **Possible impact factor** | **Availability (Yes/ No)** |
| 1. | Does the sub-project fall into private land? |  |
| 2. | Is it necessary to physically or economically relocation of residents or businesses? Will there be involuntary acquisition of land? Will there be impact on assets? |  |
| 3. | Are social impacts potentially significant? |  |
| 4. | Is it required to determine the level of assessment of institutional resources necessary for protection measures? |  |
| 5. | Are there any third party assets at the project site? |  |
| 6. | Are there any disputed territories? |  |
| 7. | Will there be access roads and pedestrian paths to residential buildings and commercial structures during construction? |  |
| 8. | Will the construction lead to changes in social environment, will the incomes of commercial structures and the population decrease? |  |
| 9. | Will the planned construction affect the health of the population and harm somebody? |  |
| 10. | Will the sub-project cause protests and concerns among residents? |  |
| 11. | Will activities cause unfavorable impact on the living conditions of the population, its values, and way of life? |  |
| 12. | Will the sub-project cause inequality between population groups? |  |
| 13. | Is the degree of public interest in the sub-project high? |  |
| 14. | Are there any facts of the past impact of involuntary resettlement in a given territory, which require corrective actions for not mitigated past relocations? |  |
| 15 | Is this subproject linked with any other infrastructure development project |  |

Based on the above checklist it will be determined if a RAP is required.

*Recommendations:*

Taking into account responses to monitoring questions, it will be determined whether further actions are required or not to apply procedures of OP 4.12 "Involuntary Resettlement” \_\_\_\_\_\_\_\_\_\_\_\_\_\_

Completed by (full name and contacts): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature: \_\_\_\_\_\_\_\_\_Date:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

## Annex 3: PAP census form and inventory of the land fu

Household interviews

|  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | Name | gender | | age | Marital status and educational level | supporter | | employment | | family income level | Rented or own housing | Does the family receive social assistance? |
| m | f | yes | no | yes | no |
| 1. |  |  |  |  |  |  |  |  |  |  |  |  |
| 2. |  |  |  |  |  |  |  |  |  |  |  |  |
| 3. |  |  |  |  |  |  |  |  |  |  |  |  |

*Consultant’s full name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Date:\_\_\_\_\_\_\_\_\_\_\_*

## Annex 4: Inventory of PAP’s land assets

Location\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

|  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| #  Of interview | Full name of household head | Number of  households | Total land area owned by the family, incl. with the right of ownership, irrigated or bogharic | Land area to be seized m2 / ha | Total loss % | % Loss of assets, (m², m, pcs, etc.) (specify type and number of assets: structures, fences, wells, etc.) | | Loss of housing stock, (m²) | Loss of harvest | | | Other losses, (specify type of loss: rented housing, building, etc.) |
| Permanent | Temporary | Fruit trees, species and quantity, (pcs.) | Loss of crops | Other (specify) |
| 1. |  |  |  |  |  |  |  |  |  |  |  |  |
| 2. |  |  |  |  |  |  |  |  |  |  |  |  |

INTERVIEWER NAME *\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*Signature*\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/* Date\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/

## Annex 5: PAP rights for compensation

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| #  Of interview | Full name of household head | Compensation for land | | | Compensation for construction | | | Compensation for crop and  trees | | | Compensation for other assets and losses (wells, business, etc.) | | |
| amount (m² or hectares) | Unit price per (m² or ha) | Right | Number (m² or ha) | Unit price per (m² or ha) | Right | Number (m² or ha) | Unit price per (m² or ha) | Right | Number (m² or ha) | Unit price per (m² or ha) | Right |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |

*INTERVIEWER NAME \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Signature\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/*

*Date \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_/*

## Annex 6: Indicative Content of the Resettlement Action Plan and Abbreviated Resettlement Action Plan

**Table of content Resettlement Action Plan** The scope and level of detail of the resettlement plan vary with the magnitude and complexity of resettlement. The plan is based on up-to-date and reliable information about (a) the proposed resettlement and its impacts on the displaced persons and other adversely affected groups, and (b) the legal issues involved in resettlement. The resettlement plan covers the elements below, as relevant. When any element is not relevant to project circumstances, it should be noted in the resettlement plan.

1. *Description of the project*. General description of the project and identification of the project area.

2. *Potential impacts*. Identification of

(a) the project component or activities that give rise to resettlement;

(b) the zone of impact of such component or activities;

(c) the alternatives considered to avoid or minimize resettlement; and

(d) the mechanisms established to minimize resettlement, to the extent possible, during project

implementation.

3. *Objectives*. The main objectives of the resettlement program.

4. *Socioeconomic studies*. The findings of socioeconomic studies to be conducted in the early stages of project preparation and with the involvement of potentially displaced people, including

(a) the results of a census survey covering

(i) current occupants of the affected area to establish a basis for the design of the resettlement

program and to exclude subsequent inflows of people from eligibility for compensation and

resettlement assistance;

(ii) standard characteristics of displaced households, including a description of production systems, labor, and household organization; and baseline information on livelihoods (including, as relevant, production levels and income derived from both formal and informal economic activities) and standards of living (including health status) of the displaced population;

(iii) the magnitude of the expected loss--total or partial--of assets, and the extent of displacement, physical or economic;

(iv) information on vulnerable groups or persons as provided for in OP 4.12, para. 8, for whom

special provisions may have to be made; and

(v) provisions to update information on the displaced people's livelihoods and standards of living at regular intervals so that the latest information is available at the time of their displacement.

(b) Other studies describing the following

(i) land tenure and transfer systems, including an inventory of common property natural resources from which people derive their livelihoods and sustenance, non-title-based usufruct systems (including fishing, grazing, or use of forest areas) governed by local recognized land allocation mechanisms, and any issues raised by different tenure systems in the project area;

(ii) the patterns of social interaction in the affected communities, including social networks and social support systems, and how they will be affected by the project;

(iii) public infrastructure and social services that will be affected; and

(iv) social and cultural characteristics of displaced communities, including a description of formal and informal institutions (e.g., community organizations, ritual groups, nongovernmental organizations (NGOs) that may be relevant to the consultation strategy and to designing and implementing the resettlement activities.

5. *Legal framework*. The findings of an analysis of the legal framework, covering

(a) the scope of the power of eminent domain and the nature of compensation associated with it, in terms of both the valuation methodology and the timing of payment;

(b) the applicable legal and administrative procedures, including a description of the remedies available to displaced persons in the judicial process and the normal timeframe for such procedures, and any available alternative dispute resolution mechanisms that may be relevant to resettlement under the project;

(c) relevant law (including customary and traditional law) governing land tenure, valuation of assets and losses, compensation, and natural resource usage rights; customary personal law related to displacement; and environmental laws and social welfare legislation;

(d) laws and regulations relating to the agencies responsible for implementing resettlement activities;

(e) gaps, if any, between local laws covering eminent domain and resettlement and the Bank's resettlement policy, and the mechanisms to bridge such gaps; and

(f) any legal steps necessary to ensure the effective implementation of resettlement activities under the project, including, as appropriate, a process for recognizing claims to legal rights to land--including claims that derive from customary law and traditional usage (see OP 4.12, para.15 b).

6. *Institutional Framework.* The findings of an analysis of the institutional framework covering

(a) the identification of agencies responsible for resettlement activities and NGOs that may have a role in

project implementation;

(b) an assessment of the institutional capacity of such agencies and NGOs; and

(c) any steps that are proposed to enhance the institutional capacity of agencies and NGOs responsible for

resettlement implementation.

7. *Eligibility*. Definition of displaced persons and criteria for determining their eligibility for compensation and other resettlement assistance, including relevant cut-off dates.

8. *Valuation of and compensation for losses*. The methodology to be used in valuing losses to determine their replacement cost; and a description of the proposed types and levels of compensation under local law and such supplementary measures as are necessary to achieve replacement cost for lost assets.

9. *Resettlement measures.* A description of the packages of compensation and other resettlement

measures that will assist each category of eligible displaced persons to achieve the objectives of the

policy (see OP 4.12, para. 6). In addition to being technically and economically feasible, the resettlement

packages should be compatible with the cultural preferences of the displaced persons, and prepared in

consultation with them.

10. *Site selection, site preparation, and relocation*. Alternative relocation sites considered and explanation

of those selected, covering

(a) institutional and technical arrangements for identifying and preparing relocation sites, whether

rural or urban, for which a combination of productive potential, locational advantages, and other

factors is at least comparable to the advantages of the old sites, with an estimate of the time needed to acquire and transfer land and ancillary resources;

(b) any measures necessary to prevent land speculation or influx of ineligible persons at the

selected sites;

(c) procedures for physical relocation under the project, including timetables for site preparation and transfer; and

(d) legal arrangements for regularizing tenure and transferring titles to resettlers.

11. *Housing, infrastructure, and social services*. Plans to provide (or to finance resettlers' provision of)

housing, infrastructure (e.g., water supply, feeder roads), and social services (e.g., schools, health

services);2plans to ensure comparable services to host populations; any necessary site development,

engineering, and architectural designs for these facilities.

12. *Environmental protection and management*. A description of the boundaries of the relocation area; and an assessment of the environmental impacts of the proposed resettlement3and measures to mitigate and manage these impacts (coordinated as appropriate with the environmental assessment of the main investment requiring the resettlement).

13. *Community participation*. Involvement of resettlers and host communities,

(a) a description of the strategy for consultation with and participation of resettlers and hosts in the design and implementation of the resettlement activities;

(b) a summary of the views expressed and how these views were taken into account in preparing

the resettlement plan;

(c) a review of the resettlement alternatives presented and the choices made by displaced persons

regarding options available to them, including choices related to forms of compensation and

resettlement assistance, to relocating as individual families or as parts of preexisting communities or kinship groups, to sustaining existing patterns of group organization, and to retaining access to cultural property (e.g. places of worship, pilgrimage centers, cemeteries); and

(d) institutionalized arrangements by which displaced people can communicate their concerns to project authorities throughout planning and implementation, and measures to ensure that such vulnerable groups as indigenous people, ethnic minorities, the landless, and women are adequately represented.

14. *Integration with host populations*. Measures to mitigate the impact of resettlement on any host communities, including

(a) consultations with host communities and local governments;

(b) arrangements for prompt tendering of any payment due the hosts for land or other assets provided to resettlers;

(c) arrangements for addressing any conflict that may arise between resettlers and host communities; and

(d) any measures necessary to augment services (e.g., education, water, health, and production services) in host communities to make them at least comparable to services available to resettlers.

15. *Grievance procedures.* Affordable and accessible procedures for third-party settlement of disputes arising from resettlement; such grievance mechanisms should take into account the availability of judicial recourse and community and traditional dispute settlement mechanisms.

16. *Organizational responsibilities*. The organizational framework for implementing resettlement, including identification of agencies responsible for delivery of resettlement measures and provision of services; arrangements to ensure appropriate coordination between agencies and jurisdictions involved in implementation; and any measures (including technical assistance) needed to strengthen the implementing agencies' capacity to design and carry out resettlement activities; provisions for the transfer to local authorities or resettlers themselves of responsibility for managing facilities and services provided under the project and for transferring other such responsibilities from the resettlement implementing agencies, when appropriate.

17. *Implementation schedule*. An implementation schedule covering all resettlement activities from preparation through implementation, including target dates for the achievement of expected benefits to resettlers and hosts and terminating the various forms of assistance. The schedule should indicate how the resettlement activities are linked to the implementation of the overall project.

18. *Costs and budget*. Tables showing itemized cost estimates for all resettlement activities, including allowances for inflation, population growth, and other contingencies; timetables for expenditures; sources of funds; and arrangements for timely flow of funds, and funding for resettlement, if any, in areas outside the jurisdiction of the implementing agencies.

19. *Monitoring and evaluation*. Arrangements for monitoring of resettlement activities by the implementing agency, supplemented by independent monitors as considered appropriate by the Bank, to ensure complete and objective information; performance monitoring indicators to measure inputs, outputs, and outcomes for resettlement activities; involvement of the displaced persons in the monitoring process; evaluation of the impact of resettlement for a reasonable period after all resettlement and related development activities have been completed; using the results of resettlement monitoring to guide subsequent implementation.

**Table of Content Abbreviated RAP**

An abbreviated plan covers the following minimum elements[[15]](#footnote-15):

(a) a census survey of displaced persons and valuation of assets;

(b) description of compensation and other resettlement assistance to be provided;

(c) consultations with displaced people about acceptable alternatives;

(d) institutional responsibility for implementation and procedures for grievance redress;

(e) arrangements for monitoring and implementation; and

(f) a timetable and budget.

## Annex 7: Voluntary Land Donation Form

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Province: |  | | | | | | | |
| Local Authority : |  | | | | | | | |
| Village/Jamoat: |  | | | | | | | |
| Sub-project name: |  | | | | | | | |
| Date of Village/Public Meeting |  | | | | | | | |
| Name of land title owner: | | Land Title Number: | | | Beneficiary of the sub-project: Y/N | | |
| Sex: | | Age: | | | Occupation: | | |
| Address: | | | | | | | |
| Description of land that will be taken by the sub-project: | | Area affected: | Total landholding area: | | | Ratio of land affected to total land held: | Map code, if available: |
| Description of annual crops growing on the land now and project impact: | | | | | | | |
|  | | Details | | Number | | | |
| * Trees that will be destroyed | |  | |  | | | |
| * Fruit trees | |  | |  | | | |
| * Trees used for other economic or household purposes | |  | |  | | | |
| * Mature forest trees | |  | |  | | | |
| * … | |  | |  | | | |
| Describe any other assets that will be lost or must be moved to implement the project: | | | | | | | |
| Value of donated assets: | | | | | | | |
| Will the donated land/asset is less than 5% of the land/property owned? | | | | | | | |

By signing or providing thumb-print on this form, the land user or owner agrees to contribute assets to the project. The contribution is voluntary. If the land user or owner does not want to contribute his/ her assets to the project, he or she should refuse to sign or provide thumb print, and ask for compensation instead.

|  |  |
| --- | --- |
| Date:............................  CDD facilitator /PMU representative’s signature | Date:.........................  Affected persons’ signatures (both husband and wife) |

## Annex 8. Minutes of Public Consultations with Stakeholders on draft RPF and ESMF

1. **Public Consultations on two documents: draft Environmental and Social Management Framework and Resettlement Policy Framework for CASA-1000 Community Support Project (CSP) in Khatlon Province**

**Purpose:**  To describe the objectives and activities for the proposed Project, and to solicit feedback on potential social and environment impacts management measures and involuntary resettlement mitigation measures planned under the project

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| **Khatlon Province Public Consultations (December 2018)** |
| Date: 4 December 2018  Location: *Kushoniyon district*, conference-hall of Khukumat building  Panel Members:   * Jabbori Gafor, Chairman of Kushoniyon district * Aziz Kholov, environmental specialist of ESPMU, Barki Tojik; * Nurullo Nazarov, M, Manager of the branch department, NSIFT * Guljahon Berdieva, Senior specialist, NSIFT * Abulkosim Kotibov, Manager of the Central office department, NSIFT   **List of participants (presented below): 18 participants** |
|  |
| **Comments, notes, conclusions** At the meeting, presentations were made on the environmental and social management and resettlement policy framework issues for the proposed CASA-1000 CSP project.  Information was given on the requirements of WB safeguards policies, national environmental and resettlement legislation, potential social impacts of the sub-projects, safety issues, proposed mitigation measures in EMP, aspects of monitoring (hard copy of the ESMF/RPF summaries in Tajik and Russian, Power point presentations, in Tajik).  The questions from participants were on route of CASA-1000 transmission line and number of villages in CoI within Kushoniyon district, any potential environmental and social risks for the local people, scope of CSP (will it cover the rehabilitation/construction of educational facilities or not, etc.).  The participants actively participated in the discussions, which were mainly focused on the following: the engagement of beneficiaries in implementation of sub-projects, georgraphical coverage of the project and selection criteria for sub-projects; capacity building activities and the need for a campaign to disseminate information and trainings for local people.  Particular attention was paid to the relevance of the project for returning migrants, women, female heads of households, youth, vulnerable groups of the population, including disabled people.  Participants noted that the components of the proposed project will help increase the benefits from the CASA-1000 project, improve livelihood levels in the district.  All participants concluded that the implementation of the ESMF and RPF provisions and appropriate mitigation measures for the consequences of the project activities will have a largely positive impact on their safety, livelihood and the business climate of the country.    Public consultations on ESMF and RPF documents, Kushoniyon district, December 4, 2018 |

List of Participants for Public Consultation Meeting held in Kushoniyon district, December 4, 2018

|  |  |  |
| --- | --- | --- |
| **N** | **Name of participants** | **Profession** |
| 1 | Sh. Safarzoda | Deputy Charman of the District |
| 2 | A.Karimzoda | Chief doctor of the district |
| 3 | S.Kamolzodi | Director of KDF BMMF |
| 4 | Kh.Mahmadshoev | Farmer of Bustonqala village |
| 5 | O.Safarov | Director of Water Users Association |
| 6 | H.Nazirov | Manager of the hospital |
| 7 | M.Tumoshev | Accountant of the district hospital |
| 8 | Sh.Nurmahmadzoda | Head of education department |
| 9. | G.Berdieva | Senior specialist, NSIFT |
| 10 | B.Abdurahmanov | specialist of the Committee of environment protection |
| 11 | A.Kholov | Environmental specialist of ES PMU |
| 12 | N.Kalonov | represesentative of NSIFT in Kushoniyon district |
| 13 | A.Jalilov | Head of farm |
| 14 | A.Yusupov | Head of department of the district hospital |
| 15 | H.Barotov | Chief master |
| 16 | J.Ismonov | Specialist of economy department |
| 17 | E.Imomov | Head of farm |
| 18. | N.Nazarov | worker |

1. **Public Consultations on two documents: draft Environmental and Social Management Framework and Resettlement Policy Framework for CASA-1000 Community Support Project (CSP) in Khatlon Province**

**Purpose:** To describe the objectives and activities for the proposed Project, and to solicit feedback on potential social and environment impacts management measures and resettlement mitigation measures planned under the project

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| **Khatlon Province Public Consultations (December 2018)** |
| Date: 5 December 2018  Location: *Jaihun district*, conference-hall of Khukumat building  Panel Members:   * Aminzoda, Chairman of Jaihun district * Aziz Kholov, environmental specialist of ESPMU, Barki Tojik; * Nurullo Nazarov, M, Manager of the branch department, NSIFT * Guljahon Berdieva, Senior specialist, NSIFT * Abulkosim Kotibov, Manager of the Central office department, NSIFT   **List of participants (presented below): 57 participants** |
|  |
| **Comments, notes, conclusions** At the meeting, presentations were made on the environmental and social management and resettlement policy framework issues for the proposed CASA-1000 CSP project.  Information was given on the requirements of WB safeguards policies, national environmental and resettlement legislation, potential social impacts of the sub-projects, safety ussues, proposed mitigation measures in EMP, aspects of monitoring (hard copy of the ESMF and RPF summaries in Tajik and Russian, Power point presentations, in Tajik).  The questions from participants were on possibility to involve the local NGOs to the project activities, potential environmental and social risks for the local people, date of the project commencement etc.  Participants noted that the components of the proposed project will help increase the benefits from the CASA-1000 project, improve livelihood levels in the district.  All participants concluded that the implementation of the ESMF and RPF provisions and appropriate mitigation measures for the consequences of the project activities will have a largely positive impact on their safety, livelihood and the business climate of the country.      Public consultations on draft ESMF and RPF documents, Jaihun district, December 5, 2018 |

List of Participants, Public Consultations, Jaihun district, 5 December 2018

|  |  |  |
| --- | --- | --- |
| **N** | **Name of participants** | **Profession** |
| 1 | O.Balhiyorova | Community member, resident of Dusti town |
| 2 | S.Bakovulova | Community member, resident of Dusti town |
| 3 | N.Nakdomova | worker, resident of Dusti town |
| 4 | Sh.Shirinova | Director of Water Users Association |
| 5 | R.Mahmudova | Community member, jamoat Jaihund Zarnisor |
| 6 | T.Safarova | Jamoat Zarnisor, community member |
| 7 | S.Palavgonova | Jamoat Zarnisor, community member |
| 8 | G.Aftalova | Jamoat Zarnisor, community member |
| 9. | R.Gulomova | Jamoar Rozikobod, library specialist |
| 10 | S.Sheralishoeva | Jamoat Vakhdat, community member |
| 11 | G.Alieva | Jamoat Rozikobod, community member |
| 12 | O.Sharipova | Jamoat Vakhdat, community member |
| 13 | O.Sheralishoeva | Jamoat Vakhdat, community member |
| 14 | D.Raupov | Jamoat Rozikobod, community member |
| 15 | B.Khojaeva | Dusti town, NGO “Mohi Munir”, specialist |
| 16 | K.Nazarshoeva | 1 May village, NGO “Mohi Munir”, worker |
| 17 | Z.Ashurova | Pahtakor village, Manager of NGO “Mohi Munir” |
| 18. | M.Ashurova | Kumsangir village, community member |
| 19 | K.Vazirova | Kumsangir village, community member |
| 20 | F.Shohnasimova | Kumsangir village, community member |
| 21 | Z.Mamadnazarova | Kumsangir village, community member |
| 22 | A.Talabov | Kuhdamov village, community member |
| 23 | N.Sorieva | Kuhdamov village, community member |
| 24 | S.Primkulova | Kuhdamov village, community member |
| 25 | N.Korshieva | Kuhdamov village, community member |
| 26 | B.Abdunamazova | Istiklol village, community member |
| 27 | F.Ethonova | Istiklol village, community member |
| 28 | M.Zinatshoeva | Istiklol village, community member |
| 29 | R.Hushatchinova | Istiklol village, community member |
| 30 | G.Gafurova | Vahdat village, community member |
| 31 | G.Davlatova | 1 May village community member |
| 32 | N.Mirvalieva | Dusti town, community member |
| 33 | S.Saidburhonova | Dusti town, community member |
| 34 | M.Navruzmamadova | Dusti town, community member |
| 35 | N.Navrozova | Dusti town, community member |
| 36 | A.Bozorov | Dusti town, doctor |
| 37 | A.Sarkulieva | Dusti town, community member |
| 38 | M.Idrisova | Rudaki village, community member |
| 39 | H.Rahmonova | Rudaki village, community member |
| 40 | O.Abdulloeva | Rudaki village, community member |
| 41 | Z.Nazarova | Rudaki village, community member |
| 42 | O.Sidikova | Zarbdor village, community member |
| 43 | H.Kurbonova | Kuhdemon village, community member |
| 44 | R.Davlatova | Zarbdor village, community member |
| 45 | S.Pardaev | Kuhdemon village, head of farm |
| 46 | Z.Holmatov | Kuhdemon village, Chairman of mahalla |
| 47. | S.Majnunov | Aini village, farmer |
| 48 | M.Zamburov | Zarbdor village, chairman of mahalla |
| 49 | M.Siyakov | Fathobod village, farm “Safarali” |
| 50 | H.Dovlatov | Chief engineer |
| 51 | J.Hikmatzoda | Dysti town, head of educational department |
| 52 | A.Kholov | Environmental specialist of ES PMU |
| 53 | B.Abdurahimov | Specialist of the Committee of environment protection |
| 54 | N.Nazarov | Bokhtar town, representative of NSIFT |
| 55 | G.Berdieva | Specialist of NSIFT |
| 56 | M.Asakolov | Kumsangir village, head of jamoat |
| 57 | A.Kotibov | Manager of NSIFT |

**C. Public Consultations on two documents: draft Environmental and Social Management Framework and Resettlement Policy Framework for CASA-1000 Community Support Project (CSP) in Khatlon Province**

**Purpose:** To describe the objectives and activities for the proposed Project, and to solicit feedback on potential social and environment impacts management actions and resettlement mitigation measures planned under the project

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| **Sughd Province Public Consultations (December 2018)** |
| Date: 7 December 2018  Location: *Jabbor Rasulov district*, conference-hall of Khukumat building  Panel Members:   * Faizullo Kosimi, First Deputy Chairman of Jabbor Rasulov district * Khisrav Sharipov, specialist of ESPMU, Barki Tojik; * Temur Bobohojaev, specialist of ESPMU, Barki Tojik * Abulkosim Kotibov, Manager of the Central office department, NSIFT   **List of participants (presented below): 16 participants** |
|  |
| **Comments, notes, conclusions** At the meeting, presentations were made on the environmental and social management and resettelemnt policy framework issues for the proposed CASA-1000 CSP project.  Information was given on the requirements of WB safeguards policies, national environmental legislation, potential impacts of the sub-projects, safety ussues, proposed mitigation measures in EMP, aspects of monitoring (hard copy of the ESMF and RPF summaries in Tajik and Russian, Power point presentations, in Tajik).  The questions from participants were on route of the CASA-1000 TL in jamoat Hayouti Nav, potential environmental and social risks for the local people, date of the project commencement etc. Turaeva Z., specialist of department on women and family issies asked about the compensations to the 2-3 families of one household which can be potentially affected by land acquizition for TL. The team clarified that they are to be compensated under the CASA 1000 Project, but not under the CASA-1000 CSP.  Participants noted that the components of the proposed project will support CDD sub-projects to improve livelihoods in the district. These subprojects may have potential positive and negative social and environmental impacts, therefore these two documents were prepared, consulted and publicized.  All participants concluded that implementation of the ESMF and RPF provisions and appropriate mitigation measures for the consequences of the project activities will have positive impacts on their safety, livelihood and the business environment of the country.    Public Consultations on draft ESMF and RPF documents, Jabbor Rasulov district, December 7, 2018 |

List of Participants, Public Consultations, Jabbor Rasulov district, December 7, 2018

|  |  |  |
| --- | --- | --- |
| **N** | **Name of participants** | **Profession** |
| 1 | H.Niyozov | Jamoat Gulyakandoz, chief engineer |
| 2 | B.Zoirov | Jamoat Gulyakandoz, chief accountant |
| 3 | M.Negmatova | Jamoat Gulyakandoz, senior specialist |
| 4 | N.Ishokova | Jamoat Gulyakandoz, leading specialist |
| 5 | I.Tohirov | Chairman of Hayoti Nav jamoat |
| 6 | V.Khudoiberdieva | Jamoat Gulyakandoz, specialist of epidemiological department |
| 7 | Z.Turaeva | Jamoat Dehmoi,specialist of Department for women and family issues |
| 8 | A.Aliev | Jamoat Gulhona, senior specialist of department for social protection |
| 9. | K.Karimova | Jamoat hayoti Nav, chaiman of mahalla, |
| 10 | F.Karimzoda | Mehrobod town, head of environment protection department |
| 11 | Z.Rahimov | Jamoat Gulhona, senior specialist of department for economy and trade |
| 12 | F.Kosimi | Chairman First Deputy of Jabbor Rasulov district |
| 13 | S.Mirsoliev | Jamoat Hayoti Nav, chairman of mahalla |
| 14 | B.Abdurahimov | Specialist of the Committee of environment protection |
| 15 | H.Sharipov | Specialist of ES PMU, Barki Tojik |
| 16 | A.Kotibov | Manager of department, NSIFT |

1. Project Appraisal Document, Central Asia South Asia Electricity Transmission and Trade Project (CASA1000), March 7, 2014, p. 48.; Master Agreement in relation to the CASA1000 Transmission line. Article 20.6 page 64 [↑](#footnote-ref-1)
2. 2017 population data will be used in the determination of subgrant allocations. [↑](#footnote-ref-2)
3. Within the context of a CDD project the investments are generally limited to intra-village investments. [↑](#footnote-ref-3)
4. A budget will be established for technical design to facilitate appropriate design relevant to village circumstances. [↑](#footnote-ref-4)
5. The communications firm will be contracted by the CASA1000 Secretariat, financed by the CASA1000 MDTF (not from project funds). [↑](#footnote-ref-5)
6. A survey will be conducted by an external communications firm to develop tailored CASA1000 messages, design and produce communications materials, and train relevant implementing partners. These materials will be supported directly from the CASA1000 MDTF and will be coordinated with the project activities funded under Subcomponent 4C. [↑](#footnote-ref-6)
7. OP 4.12 policy applies to all components of the project that result in involuntary resettlement, regardless of the source of financing. It also applies to other activities resulting in involuntary resettlement, that in the judgment of the Bank, are (a) directly and significantly related to the Bank-assisted project, (b) necessary to achieve its objectives as set forth in the project documents; and (c) carried out, or planned to be carried out, contemporaneously with the project. [↑](#footnote-ref-7)
8. The sourcebook is available through the following link:

   http://documents.worldbank.org/curated/en/206671468782373680/pdf/301180v110PAPE1ettlement0sourcebook.pdf. [↑](#footnote-ref-8)
9. This includes people who have not yet completed registration and who are considered as "legalizable" users (this will be identified as a form of land tenure in the IOL), they will be entitled to compensation as if they are legal/titled owners of land. The RAPs prepared will establish that continued facilitation of the registration process will be undertaken as part of livelihoods/wellbeing restoration under the Project's resettlement process. [↑](#footnote-ref-9)
10. There is a Government decree whereby Barqi Tojik is made responsible to oversee the tender for construction of low-voltage transmission lines under Component 1. The agency will oversee the construction activities. [↑](#footnote-ref-10)
11. There is a Government decree whereby NSIFT is made responsible to oversee the tender for small infrastructure construction projects under Component 2. [↑](#footnote-ref-11)
12. The Social Safeguards Due Diligence report (dated October 2018) states that municipal land will be impacted during Isfara sub-station construction. [↑](#footnote-ref-12)
13. CASA 1000 Resettlement Policy Framework. February 2014. Government of the Republic of Tajikistan [↑](#footnote-ref-13)
14. <http://www.barqitojik.tj/upload/iblock/f34/RFP%20CASA%201000%20CSP%20Tajikistan%20RUS.pdf> [↑](#footnote-ref-14)
15. In case some of the displaced persons lose more than 10% of their productive assets or require physical relocation, the plan also covers a socioeconomic survey and income restoration measures. [↑](#footnote-ref-15)