

Involuntary Resettlement Safeguard Systems Assessment

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Results-Based Loan People's Republic of China: Chongqing Gaoxin District Green and Low-Carbon Urban Development Program

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CURRENCY EQUIVALENTS

(as of 23 April 2024)

Currency unit	–	yuan (CNY)
CNY1.00	=	\$0.1380
\$1.00	=	CNY7.2440

ABBREVIATIONS

ACGD	–	Administration of Chongqing Gaoxin District
ADB	–	Asian Development Bank
APMO	–	Administration of Chongqing Gaoxin District Program Management Office
CGD	–	Chongqing Gaoxin District
EEB	–	Ecology and Environment Bureau
GRM	–	grievance redress mechanism
LAR	–	land acquisition and resettlement
O&M	–	operation and maintenance
PIU	–	program implementation unit
PLA	–	permanent land acquisition
PMO	–	Program Management Office
PNRB	–	Planning and Natural Resources Bureau
PRC	–	People's Republic of China
RBL	–	results-based lending
RDB	–	Reform and Development Bureau
SES	–	socioeconomic survey
SOL	–	state-owned land
SPS	–	Safeguard Policy Statement
TLO	–	temporary land occupation
UDAC	–	Urban Development Affairs Center
WWTP	–	wastewater treatment plant

WEIGHTS AND MEASURES

<i>mu</i>	–	Chinese unit of measurement for land area (1 <i>mu</i> = 666.67 m ² = 0.0667 ha)
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NOTE

In this report, "\$" refers to United States dollars.

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A. INTRODUCTION

1. The program will support the Chongqing Gaoxin District Green Low-Carbon and High-Quality Development Program (2023–2035). The geographic slice is the urban and semi-urban areas of 3 subdistricts and 7 townships in the Chongqing Gaoxin District (CGD). The sector slice is focusing on green buildings and ultra-low energy building, green eco-district, wastewater collection and treatment, reuse of reclaimed wastewater, nature-based solutions for surface water quality improvement and flood risk management, sustainable infrastructure development with sponge city principles, and renewable energy-powered district heating and cooling supply, public awareness raising and participation on topics such as green buildings, green communities, climate risks and management, domestic waste separation, energy saving, environmental protection, and adopting a low-carbon lifestyle, etc.

2. The results-based lending (RBL) program's impact will be green, low-carbon, and nature-based city established and CGD's contribution to carbon dioxide (CO₂) peaking and carbon neutrality target supported. The outcome will be green and low-carbon urban development in CGD improved. The primary beneficiaries will be the residents in 3 subdistricts and 7 townships in CGD. The RBL program has three outputs, including:

3. **Output 1: Institutional capacity and human capital enhanced for green and low-carbon urban development.** Output 1 results will be achieved through (i) establishing and operationalizing a cross-bureau steering committee in Administration of Chongqing Gaoxin District (ACGD) for multidisciplinary green and low-carbon initiatives; (ii) establishing at least 8 partnership agreements among ACGD, academic institutions, and enterprises resulting in, at least, 2,500 students (including 40% female) obtaining certifications in green, low-carbon, and climate-resilient practices; (iii) engaging at least 300,000 CGD residents, including at least 50% women, in awareness activities to enhance knowledge and understanding of key environmental topics; (iv) facilitating participation of at least 5,000 public employees, including at least 50% women, in activities designed to enhance skills on key environmental topics; (v) conducting policy studies relating to climate change adaptation, green finance, and private sector participation; and (vi) publishing at least three knowledge products on best practices from the program.

4. **Output 2: Green and low-carbon urban infrastructure and services in CGD established.** Output 2 results will be achieved through (i) expanding and improving the wastewater treatment network that will increase the annual centralized domestic wastewater collection rate in the urban areas of CGD to 75%, (ii) promoting sustainable water resource management with at least 30% of the reclaimed water in CGD's wastewater treatment plants (WWTPs) being reused, (iii) demonstrating at least two three-star green buildings and/or ultra-low energy buildings in CGD, (iv) achieving a one-star or higher green building rating for at least 30% of all new buildings in CGD, and (v) adding 1.06 million square meters of renewable energy-powered district heating and cooling supply serviced area in CGD.

5. **Output 3: Urban ecology and climate resilience enhanced using nature-based solutions.** Output 3 results will be realized by (i) developing a Green Eco-district in CGD that holistically incorporates sustainable urban development principles such as efficient land utilization, good ecological environment and nature-based solutions, green building adoption, efficient use of resources and carbon emission reduction, green mobility and transportation, urban information management, industry-city integrated development, and inclusive people-oriented green lifestyle into the design, construction, and operation stages; (ii) securing flood prevention capacity for a 100-year return period flood, incorporating nature-based solutions for key river sections in the urban areas of CGD; (iii) increasing green spaces, including parks, gardens, walkways, and

grasslands in the urban areas in CGD to 40%; and (iv) generating at least 3,000 job opportunities under the program, including at least 20% for women during the construction and at least 30% for women during the operation.

6. Chongqing Municipal Government (CMG) will be the executing agency with overall policy guidance and supervision. The CMG's Chongqing Foreign Loan project management office (CPMO) oversees Chongqing's internationally financed loan projects and programs and will provide overall municipal-level coordination, guidance, and oversight of the proposed RBL program. ACGD is the implementing agency with a dedicated ACGD program management office (APMO) for the RBL program implementation established in February 2024. The APMO is responsible for day-to-day supervision, coordination, and guidance of program preparation and implementation. The program implementation unit (PIU) is the Chongqing Gaoxin Development and Construction Investment Group Co., Ltd. (CGDG), responsible for procurement, contract and construction management, operation and maintenance of the program infrastructure and facilities. Additional bureaus or agencies such as ACGD's Construction Bureau, Urban Development Affairs Center, Ecology and Environment Bureau, and Government Affairs Service Center will also be involved in some program activities and sector development, such as capacity building and institutional strengthening.

7. The broader government program and the RBL program are summarized in **Table 1**.

Table 1: Program Scope

Item	Broader Government Program	Results-Based Lending Program
Outcome	Green and low-carbon urban development in CGD established	Green and low-carbon urban development in CGD improved
Key outputs	- Capacity enhancement and systems support - Green and low-carbon livable environment - Eco-friendliness and climate resilience	- Output 1: Institutional capacity and human capital enhanced for green and low-carbon urban development - Output 2: Green and low-carbon urban infrastructure and services in CGD established - Output 3: Urban ecology and climate resilience enhanced using nature-based solutions
Activity types	- Enhancement of policies, scientific and technological innovation support, collaboration mechanisms, digitization, green financing, and public participation - Green and low-carbon urban and rural development - Green and low-carbon transition of energy - Industry symbiosis - Green and low-carbon transportation - Improve capacity of carbon sequestration of ecosystem	- Institutional strengthening, human capital development, awareness raising, and participation - Green and low-carbon urban and rural development (green buildings and ultra-low energy buildings, Green Eco-district, wastewater collection and treatment, reuse of reclaimed wastewater, renewable energy-powered district heating and cooling) - Sustainable and climate-resilient infrastructure development with nature-based solutions and sponge city principles (surface water quality improvement, flood risk management, urban green spaces)
Expenditure size	\$8.16 billion (CNY59.00 billion)	\$829.33 million
Main financiers and their respective total amounts	Government: \$7.96 billion ADB: \$0.2 billion	Government: \$629.33 million ADB: \$200 million
Geographic coverage	CGD	CGD
Implementation period	13 years, 2023–2035	7 years, 2024–2030

ADB = Asian Development Bank, CGD = Chongqing Gaoxin District.

Source: ADB.

8. **Category of involuntary resettlement (category B).** Table 2 presents the initial resettlement screening with the RBL program. As the APMO and PIU confirmed, any subprojects that have sensitive,¹ diverse,² or unprecedented³ involuntary resettlement impacts on the affected people as defined in Asian Development Bank (ADB) Safeguard Policy Statement (SPS 2009) and the RBL Technical Staff Guidance (2021) or if there are any major and/or sensitive resettlement related outstanding issues or legacy issues will be excluded from the RBL program. APMO also confirmed that there will be no subprojects that trigger category A for involuntary resettlement.⁴ As such, the involuntary resettlement impacts for the RBL program will not be significant. Activities within the RBL program which may induce resettlement impacts include (i) upgrade or new construction of pipeline works for wastewater, rainwater, and reclaimed water; (ii) expansion or upgrade of urban WWTP and reclaimed water facilities; (iii) construction and/or upgrade of green buildings and/or ultra-low energy buildings; (iv) construction of renewable energy-powered heating and/or cooling supply facilities; (v) construction of green eco-district; (vi) rehabilitation of key sections of key rivers in urban built-up areas; and (vii) construction of green spaces in built-up areas.

9. According to the consultation with the domestic Program Preparation Institute, APMO, PIU, and the survey results of sample activities on 30 January 2024 and site survey on 26–28 February 2024, potential land acquisition and resettlement (LAR) impacts may include permanent land acquisition (PLA) of collective land, permanent occupation of state-owned land (SOL), temporary land occupation (TLO) of collective land and/or SOL, and existing facilities are expected to be involved during the program implementation. It can be concluded that:

- (i) **PLA/SOL.** (a) PLA or SOL for construction of green buildings and or ultra-low energy buildings (6–10 *mu*), (b) SOL for construction of green eco-district (330 *mu*), (c) rehabilitation of key rivers in urban built-up areas may involve PLA of collective land or SOL (about 1–220 *mu*), (d) construction of green spaces in built-up areas is expected to involve SOL of around 100–600 *mu*.
- (ii) **TLO.** Civil works will also involve TLO of collective land or state-owned land during construction, especially for pipeline works for wastewater, stormwater, and reclaim water; reclaimed water facilities; and stockyards or camps of activities during construction, etc. The lasting period of TLO is expected to be less than 1 year, as

¹ “Sensitive” generally means impacts which could have a major bearing on the environment and or affected people and cause serious or irreversible damage or some reason requires special attention. For social safeguards, this could include, for example vulnerable affected people losing or partially losing their way of life and livelihood, or physical displacement.

² “Diverse” means impacts that are multi-dimensional in nature, leading to multiple types of impacts or impacts that may affect an area larger than the sites or facilities subject to physical works and might have cumulative and synergistic effects. For social safeguards, this could include, for example, impacts that affect different types of affected people such as landless, non-titled, seasonal workers as one type, and landowners as another, or impacts that involve different impact types, such as loss of land, physical displacement, economic displacement, crop losses, tree losses, other socioeconomic impacts, and/or cultural impacts. A combination of environmental and social impacts could also contribute to diversity of impacts.

³ “Unprecedented” means impacts of a type, nature, or scale that have not occurred before or occur very rarely, or where little is known or understood about the likelihood and nature of the impacts, such that mitigation measures are not readily available or have not been tested within the program context. For social safeguards, this could include, for example, large-scale physical displacement of indigenous peoples communities from customary land and sources of livelihood, or households that have been previously displaced by earlier development projects and may be displaced again by the program.

⁴ The involuntary resettlement impact of the proposed activity will be considered significant, or classified as category A, if 200 persons or more will experience major impacts, which are defined as (i) being physically displaced from housing, or (ii) losing 10% or more of their productive assets (income generating).

the ground excavation, pipeline laying and backfilling will be implemented section by section, for each section, the construction period will be about 6 months.

- (iii) **Existing facilities.** Consultation also indicated that construction or upgrading of some subproject facilities are expected to be carried out in locations without physical displacement involved and limited LAR impacts, e.g., upgrade and renovation of public buildings, WWTPs, pipeline networks, construction of emergency pools and inflow channels, as well as underwater biodiversity restoration during river or reservoir rehabilitation, construction of centralized heating and cooling supply facilities (30–60 *mu*), etc.

10. APMO confirmed that most of the activities will be implemented in the urban built-up areas of CGD, where the land type is SOL, which was acquired progressively from 2004 and 2021, with the expropriated agricultural land being converted into state-owned construction land for urbanization development and not in anticipation of this ADB project of which the initial negotiation commenced in September 2022. The land that was acquired in 2020–2021 just after the establishment of CGD was vacant at the time of acquisition without involving large-scale house demolition, nor impacts on the livelihoods of the affected households (refer to Annex 7). Therefore, the past LAR of proposed subproject sites do not reach involuntary resettlement category A. Moreover, the sites will be, as much as possible, on SOL, vacant unused land or on non-agricultural land for avoiding and/or minimizing PLA impact on rural people. Based on the assessment above, the RBL program is categorized as B for involuntary resettlement safeguards.

11. It was also confirmed by the APMO that, where acquisition of agricultural land is unavoidable, resettlement and compensation measures will be implemented and national and local land use regulations, e.g., LAR will be applied. For activities that involve new LAR impacts, the site selection will be subject to the land pre-examination approval of the CGD Planning and Natural Resources Bureau (PNRB) to avoid any contradiction with the land use policies and local economic development planning. For activities to be implemented on the land where LAR has been completed (past LAR) before the program preparation, due diligence will be carried out. If any outstanding legacy issues identified, gap-filling measures will be developed and implemented and exclude those with major and/or sensitive legacy issues. For activities to be implemented in existing facilities, social compliance audit (SCA) will be carried.

Table 2: Chongqing Gaoxin District Results-Based Lending-Resettlement Screening Table⁵

	Outputs	Activities	Resettlement Impact
1	Output 1: Institutional capacity and human capital enhanced for green and low-carbon urban development	(i) establishing and operationalizing a cross-bureau steering committee in ACGD for multidisciplinary green and low-carbon initiatives; (ii) establishing at least 8 partnership agreements among ACGD, academic institutions, and enterprises resulting in, at least, 2,500 students (including 40% female) obtaining certifications in green, low-carbon, and climate-resilient practices; (iii) engaging at least 300,000 CGD residents, including at least 50% women, in awareness activities to enhance knowledge and understanding of key environmental topics; (iv) facilitating participation of at least 5,000 public employees, including at least 50% women, in activities designed to enhance skills on key environmental topics; (v) conducting policy studies relating to climate change adaptation, green finance, and private sector participation; and (vi) publishing at least three knowledge products on best practices from the program.	The activities will not entail any involuntary resettlement impacts.
2	Output 2: Green and low-carbon urban infrastructure and services in CGD established	(i) expanding and improving the wastewater treatment network that will increase the annual centralized domestic wastewater collection rate in the urban areas of CGD to 75%; (ii) promoting sustainable water resource management with at least 30% of the reclaimed water in CGD's WWTPs being reused; (iii) demonstrating at least two three-star green buildings and/or ultra-low energy buildings in CGD; (iv) achieving a one-star or higher green building rating for at least 30% of all new buildings in CGD; and (v) adding 1.06 million square meters of renewable energy-powered district heating and cooling supply serviced area in CGD.	The activities may trigger involuntary resettlement impacts. Wastewater collection and treatment network, wastewater reclaimed facilities • TLO: pipeline works for wastewater and reclaimed water collection and distribution, lasting for less than 1 year; • Existing facilities: upgrade and expansion of existing WWTPs and pipeline works. Green buildings and/or ultra-low energy buildings • SOL: new construction of green buildings and/or ultra-low energy buildings (6–10 <i>mu</i>); • Existing facilities: upgrade of existing civic buildings and public buildings; upgrade of the building enclosure structures (including walls, roofs, doors, and windows,

⁵ For outputs 2 and 3 with civil works, the boundaries of subprojects will be defined by civil works packages. Exact dimensions of works footprints and affected areas will be included in resettlement documentation.

Outputs		Activities	Resettlement Impact
			etc.), and the central lighting system, monitoring or air-conditioning system shall be renovated, which will not trigger involuntary resettlement impacts. Centralized heating and cooling supply facilities • Existing facilities: new construction of energy supply stations (about 30–60 <i>mu</i>) • TLO: pipeline networks
3	Output 3: Urban ecology and climate resilience enhanced using nature-based solutions	(i) developing a Green Eco-district in CGD that holistically incorporates sustainable urban development principles such as efficient land utilization, good ecological environment and nature-based solutions, green building adoption, efficient use of resources and carbon emission reduction, green mobility and transportation, urban information management, industry-city integrated development, and inclusive people-oriented green lifestyle into the design, construction, and operation stages; (ii) securing flood prevention capacity for a 100-year return period flood, incorporating nature-based solutions for key river sections in the urban areas of CGD; (iii) increasing green spaces, including parks, gardens, walkways, and grasslands in the urban areas in CGD to 40%; and (iv) generating at least 3,000 job opportunities under the program, including at least 20% for women during the construction and at least 30% for women during the operation.	The activities may trigger involuntary resettlement impacts. Green Eco-district • SOL: new construction of Green Eco-district (330 <i>mu</i>); River and water body rehabilitation • PLA: construction of riverside landscaping, road on top of the embankment, etc., about 15–30 <i>mu</i>. This activity will be implemented in the built-up areas of CGD where most of the land is SOL and some small pieces of land is collective-owned land. Young crops on the ground will be affected. There are no aquaculture activities in the waterways, so it's expected not to involve significant livelihood impacts. • SOL: construction of affiliated river maintenance rooms, riverside greening/landscaping, road on top of the embankment, construction of water channel connecting system, deflector tanks and emergency pools, installation of signboards and pillars, fences, mainly within the state-owned flood land without any individuals or entities involved; • TLO: construction of interceptor sewerage pipeline works, stockyard for construction materials, camp areas; • Existing facilities: waterlogged sites remediation, upgrade and/or renovation of existing flood control facilities, river maintenance and management stations, as well as water body remediation (underwater vegetation, aquatic microbial and animal restoration), will not change the land ownership and will not trigger involuntary resettlement impacts.

Outputs		Activities	Resettlement Impact
			Urban green spaces • SOL: new construction of green spaces (greening, slow lanes, lighting system, services facilities, etc.) (100–600 <i>mu</i>) • TLO: stockyard for construction materials, camp area, lasting no more than 1 year; • Existing facilities: upgrading of existing parks and public spaces, e.g., roof purification, sloping, greening and coloring.

ACGD = Administration of Chongqing Gaoxin District, CGD = Chongqing Gaoxin District, PLA = permanent land acquisition, SOL = state-owned land, TLO = temporary land occupation, WWTP = wastewater treatment plant.

Source: Asian Development Bank, ACGD Program Management Office, Program Implementation Unit, and the draft Comprehensive Chongqing Gaoxin District Urban Construction Green Low-Carbon and High-Quality Development Program (2023–2035).

B. SAFEGUARD POLICY PRINCIPLES TRIGGERED

12. Upon review of relevant national and provincial regulations, and in the light of the activities and potential impacts, the involuntary resettlement safeguard systems assessment (IRSSA) identified the following (Table 3) ADB SPS (2009) principles to be triggered by the RBL program under the involuntary resettlement safeguard (SR2 of ADB SPS) – refer also to Table 2.

Table 3: Involuntary Resettlement Safeguard Policy Principles Triggered

Policy Principles	Description
Principle 1: Screen the project early on to identify past, present, and future involuntary resettlement impacts and risks. Determine the scope of resettlement planning through a survey and/or census of displaced persons, including a gender analysis, specifically related to resettlement impacts and risks.	New construction, expansion or upgrading facilities would involve or result in resettlement impacts. Necessary screening and due diligence are needed in the early stage to identify the past, present, and potential land acquisition and resettlement impacts and check if there is any unresolved grievance of affected people and legal disputes on the acquired land or legacy issues.
Principle 2: Carry out meaningful consultations with affected persons, host communities, and concerned nongovernment organizations. Inform all displaced persons of their entitlements and resettlement options. Ensure their participation in planning, implementation, and monitoring and evaluation of resettlement programs.	Understanding the views of the affected communities and persons is important to providing effective and efficient risks and impacts mitigation measures. Meaningful consultation will be undertaken, including considering the needs of vulnerable groups, ensuring their participation, and a specific grievance redress mechanism will be established to receive and address any complaints.
Principle 3: Improve, or at least restore, the livelihoods of all displaced persons through (i) land-based resettlement strategies when affected livelihoods are land based where possible or cash compensation at replacement value for land when the loss of land does not undermine livelihoods, (ii) prompt replacement of assets with access to assets of equal or higher value, (iii) prompt compensation at full replacement cost for assets that cannot be restored, and (iv) additional revenues and services through benefit sharing schemes where possible.	Impacts on livelihoods will be carefully assessed and the necessary livelihood restoration measures will be developed in consultation with the affected people.
Principle 4: Provide physically and economically displaced persons with needed assistance, including the following: (i) if there is relocation, secured tenure to relocation land, better housing at resettlement sites with comparable access to employment and production opportunities, integration of resettled persons economically and socially into their host communities, and extension of project benefits to host communities; (ii) transitional support and development assistance, such as land development, credit facilities, training, or employment opportunities; and (iii) civic infrastructure and community services, as required.	As above, impacts on livelihoods will be carefully assessed and the necessary livelihood restoration measures will be developed in consultation with the affected people. If house demolition cannot be avoided despite design optimization, households affected by house demolition will be consulted on their relocation options and the necessary assistance during transition will be provided.
Principle 5: Improve the standards of living of the displaced poor and other vulnerable groups, including women, to at least national minimum standards.	As part of the screening, vulnerable households will be identified to ensure that the necessary support and assistance to improve their living standards will be provided to them.
Policy Principle 6: Develop procedures in a transparent, consistent, and equitable manner if land acquisition is through negotiated settlement to ensure that those people who enter into negotiated settlements will maintain the same or better income and livelihood status.	Not applicable.
Principle 7: Ensure that displaced persons without titles to land or any recognizable legal rights to land are eligible for resettlement assistance and compensation for loss of non-land assets.	Where the results-based lending program affects persons without titles to land or any recognizable legal rights to land, proper social/risk analysis will be conducted during implementation.

Policy Principles	Description
Principle 8: Prepare a resettlement plan elaborating on displaced persons' entitlements, the income and livelihood restoration strategy, institutional arrangements, monitoring and reporting framework, budget, and time-bound implementation schedule.	Where land acquisition and resettlement is involved, resettlement plan will be prepared for subprojects following PRC regulations and ADB Safeguard Policy Statement (2009).
Principle 9: Disclose a draft resettlement plan, including documentation of the consultation process in a timely manner, before project appraisal, in an accessible place and a form and language(s) understandable to affected persons and other stakeholders. Disclose the final resettlement plan and its updates to affected persons and other stakeholders.	Under the results-based lending program, key information in the resettlement planning documents will be disclosed to the affected people and stakeholders, which should be easily accessible and understandable. The consultation and disclosure process will be properly documented,
Principle 10: Conceive and execute involuntary resettlement as part of a development project or program. Include the full costs of resettlement in the presentation of project's costs and benefits.	Where involuntary resettlement involved, the resettlement plan will be developed to ensure proper implementation, including estimate and arrangement of full costs.
Principle 11: Pay compensation and provide other resettlement entitlements before physical or economic displacement. Implement the resettlement plan under close supervision throughout project implementation.	This provision is consistent with the national requirements of the PRC and will be reflected in the resettlement planning documents and monitored.
Principle 12: Monitor and assess resettlement outcomes, their impacts on the standards of living of displaced persons, and whether the objectives of the resettlement plan have been achieved by taking into account the baseline conditions and the results of resettlement monitoring. Disclose monitoring reports.	The APMO will carry out the resettlement monitoring and evaluation to monitor and assess resettlement outcomes. The monitoring reports will be disclosed to relevant stakeholders and on ADB's website.

ADB = Asian Development Bank, APMO = Administration of Chongqing Gaoxin District Program Management Office, PRC = People's Republic of China.

Source: ADB.

C. DIAGNOSTIC ASSESSMENT

1. Assessment Methodology and Resources

13. The involuntary resettlement safeguard systems assessment was conducted through (i) review of documents—a desk review of ADB SPS (2009); the PRC policies and the Chongqing Gaoxin District Green Low-Carbon and High-Quality Development Program (2023–2035); (ii) a review and screening of the potential resettlement impacts under the RBL program, for example, PLA, SOL, and TLO based on the initial activities list of the government program (Annex 7); (iii) consultations and field visits—the transaction technical assistance consultants visited the existing and potential sites in CGD on 30 January and 16 April 2024, including green spaces and parks, bicycling lanes, green eco-district and green building, wastewater and rainwater collection network, river and wetland/reservoir rehabilitation, municipal waste segregation facilities, new energy charging stations, etc.; and (iv) interviews with the key informants from ACGD, district PNRB, Land Use Affairs Center, EEB, Construction Bureau, RDB, and CDAC which are the part of ACGD, representatives of some facilities operation units and township and village leaders, as well as representatives of residents of the related sites in the field.

2. Potential resettlement impacts and risks

14. **Land use and involuntary resettlement.** As summarized in **Table 2**, the program activities are not expected to involve large-scale land acquisition and house demolition. Most of the activities will be implemented on the state-owned land in urban built-up area: limited resettlement impacts to individual residents or business will be involved due to activities such as the construction of green buildings, green eco-district, green spaces, etc. The upgrade and renovation of public buildings, centralized heating and cooling supply facilities, pipeline networks,

etc. will be implemented on and/or within existing facilities. Activities like river rehabilitation in the urban built-up areas may involve permanent land acquisition of collective land along the river side for embankment and landscaping. The collective land is scattered and fragmented. Proper arrangements, including compensation and restoration, shall be made to address these impacts. There will be no house demolition involved during the river rehabilitation activities. In addition, temporary occupation of collective land and/or SOL may be involved by the activities of wastewater and rainwater collection pipelines, storage area for construction materials, etc. Usually, proper fencing will be set to avoid surrounding residents entering the construction sites and access road will be constructed to ensure road travel of the public. Temporary land occupation usually lasts for few months, no more than 1 year. Given that the overall scale of permanent acquisition or temporary occupation of collective land is relatively small, the risk of involuntary resettlement is moderate.

15. **Livelihood impacts.** Young crops and attachments on the ground will be affected by subprojects land use and permanent land acquisition. There are no aquaculture activities in the waterways. In general, it is not expected to cause significant livelihood impacts to local communities. However, it is still important to identify and manage any potential impacts that may arise.

3. Safeguard Assessment

16. Laws, regulations, and policies of the PRC related to LAR include:

- (i) Land Administration Law of the PRC (1 January 2020) (*RenDa* [2019] No. 32);⁶
- (ii) Regulations for the Implementation of the Land Administration Law of the People's Republic of China (effected on 2 July 2021) (*RenDa* [2021] No. 743);⁷
- (iii) Management Regulations for Construction Project Land Use Pre-examination (*GuoZi* [2008] No.42);⁸
- (iv) The Decision of the State Council on Deepening the Reform and Rigidly Enforcing Land Administration (*GuoFa* [2004] No. 28);⁹
- (v) The Notice on Doing a Good Job in Employment Training and Social Security for Land-expropriated Farmers (*GuoBanFa* [2006] No.29)¹⁰ and Notice of the Ministry of Labor and Social Security, and the Ministry of Land;
- (vi) Resources on Doing a Substantially Good Job in Social Security for Land-expropriated Farmers (*LaoShe* [2007] No.14);¹¹
- (vii) Regulations on the Expropriation of Houses on State-owned Land and Compensation (*GuoFa* [2011] No. 590);¹²

⁶ The Standing Committee of the National People's Congress of the PRC. 2019. [Land Administration Law of the PRC](#). Beijing (in Chinese).

⁷ The Standing Committee of the National People's Congress of the PRC. 2021. [Regulations for the Implementation of the Land Administration Law of the PRC](#). Beijing (in Chinese).

⁸ Former Ministry of Land and Resources of the PRC. 2008. [Management Regulations for Construction Project Land Use Pre-examination of the PRC](#). Beijing (in Chinese).

⁹ The General Office of State Council of the PRC. 2004. [The Decision of the State Council on Deepening the Reform and Rigidly Enforcing Land Administration of the PRC](#). Beijing (in Chinese).

¹⁰ The General Office of State Council of the PRC. 2006. [The Notice on Doing a Good Job in Employment Training and Social Security for Land-Expropriated Farmers of the PRC](#). Beijing (in Chinese).

¹¹ Former Ministry of Land and Resources of the PRC, Former Ministry of Social Security of the PRC. 2007. [Resources on Doing a Substantially Good Job in Social Security for Land-expropriated Farmers of the PRC](#). Beijing (in Chinese).

¹² The General Office of State Council of the PRC. 2011. [Regulations on the Expropriation of Houses on State-Owned Land and Compensation of the PRC](#). Beijing (in Chinese).

- (viii) The Notice on Issuing the Measures for the Expropriation and Evaluation of Houses on State-owned Land (*JianFang* [2011] No.77);¹³
- (ix) The Notice of the Ministry of Natural Resources on Regulating the Management of Temporary Land Use (*ZiRanZiGui* [2021] No.2);¹⁴
- (x) The Implementing Regulations on the Land Administration Law of PRC, Provisions on Land Administration of Chongqing Municipality (*YuFuFa (YFF)* [1999] No.53);¹⁵
- (xi) Measures for Compensation and Resettlement for Acquisition of Collective Land in Chongqing (*YFF* [2021] No. 344),¹⁶ effective on 1 July 2021;
- (xii) Notice of the Chongqing Municipal People's Government on Transmits the Decision of the State Council on Deepening the Reform and Rigidly Enforcing Land Administration (*YFF* [2004] No. 96);¹⁷
- (xiii) Trail Measures for Basic Endowment Insurance for Farmers converting to non-farmers due to new land acquisition in Chongqing after 1 January 2008 (*YFF* [2008] No.45);¹⁸
- (xiv) The Notice of the People's Government of Chongqing Municipality on the Announcement of Matters Relating to Compensation and Resettlement Standards for Land Acquisition (*YFF* [2021] No. 14);¹⁹
- (xv) The Notice of the ACGD on the Issuance of the Implementation Measures for Compensation and Resettlement of Permanent Land Acquisition of Collective Land in CGD (*ACGD* [2021] No 24);²⁰ and
- (xvi) The Notice of Chongqing Municipal Planning and Natural Resources Department on Regulating the Management of Temporary Land Use (*YuGuiZiGuiFan* [2022] No.1).²¹

17. With the regulation framework, PRC has established an effective LAR management system at national, municipal, and local level. The analysis below has presented the key principles and elements for planning and implementation of LAR.

- (i) **Minimizing negative impacts related to land acquisition.** The Management Regulations for Construction Project Land Use Pre-examination (*GuoZi* [2008] No.42, footnote 8), the Land Administration Law (effective from January 1, 2020) (*RenDa* [2019] No. 32, footnote 6), and the regulations on social stability risk assessment (SSRA) require that projects and enterprises shall utilize existing

¹³ Ministry of Housing and Urban-Rural Development of the PRC. 2011. [*The Notice on Issuing the Measures for the Expropriation and Evaluation of Houses on State-owned Land of the PRC.*](#) Beijing (in Chinese).

¹⁴ Ministry of Natural Resources of the PRC. 2021. [*The Notice of the Ministry of Natural Resources on Regulating the Management of Temporary Land Use of the PRC.*](#) Beijing (in Chinese).

¹⁵ Chongqing Municipal Government. 1999. [*The Implementing Regulations on the Land Administration Law of the PRC, Provisions on Land Administration of Chongqing Municipality.*](#) Chongqing (in Chinese).

¹⁶ Chongqing Municipal Government. 2021. [*Measures for Compensation and Resettlement for Acquisition of Collective Land in Chongqing.*](#) Chongqing (in Chinese).

¹⁷ Chongqing Municipal Government. 2004. [*Notice of the Chongqing Municipal People's Government on Transmits the Decision of the State Council on Deepening the Reform and Rigidly Enforcing Land Administration.*](#) Chongqing (in Chinese).

¹⁸ Chongqing Municipal Government. 2008. [*Trail Measures for Basic Endowment Insurance for Farmers.*](#) Chongqing (in Chinese).

¹⁹ Chongqing Municipal Government. 2021. [*The Notice of the People's Government of Chongqing Municipality on the Announcement of Matters Relating to Compensation and Resettlement Standards for Land Acquisition.*](#) Chongqing (in Chinese).

²⁰ Administration of Chongqing Gaoxin District. 2021. [*The Notice of the ACGD on the Issuance of the Implementation Measures for Compensation and Resettlement of Permanent Land Acquisition of Collective Land in CGD.*](#) Chongqing (in Chinese).

²¹ Chongqing Municipal Planning and Natural Resources Bureau. 2022. [*The Notice of Chongqing Municipal Planning and Natural Resources Department on Regulating the Management of Temporary Land Use.*](#) Chongqing (in Chinese).

construction land, and avoid any occupation of farmland (especially permanent basic farmland) where possible, and reduce LAR impacts through design optimization, thereby reducing social stability risks. At the preparation stage, natural resources authorities will participate in the survey to confirm the land used for the project align with the overall national and local land spatial planning, and the feasibility study will compare different alternatives for LAR impacts. The government authorities, which are responsible for review and approval of the project land use and feasibility study, will check if the land use plan is rational during land use review and feasibility study. For TLO during the project construction, it is required in the *ZiRanZiGui* [2021] No.2 (footnote 14) that not to occupy or less occupy cultivated land as possible, and strictly control the occupation of cultivated land if it is difficult to restore after use and the original planting conditions shall be restored after the completion.

- (ii) **Identifying and addressing economic and social impacts arising from land acquisition or loss of access to natural resources.** Land Administration Law (effective from January 1, 2020) (*RenDa* [2019] No. 32, footnote 6) stipulates, “Owners (refer to village committees) or users (refer to contracted Households) of the land to be acquired shall, within the time limit specified in the announcement, go to fill the compensation registration form holding its assets ownership certificate. The people’s government at or above the county level shall organize the department concerned to estimate the relevant costs and make them fully available.” The land acquisition and compensation policies of Chongqing Municipality, e.g., Measures for Compensation and Resettlement for Acquisition of Collective Land in Chongqing (*YFF* [2021] No. 344, footnote 16), make systematic arrangements for land acquisition compensation and resettlement in accordance with the Land Administration Law (*RenDa* [2019] No. 32, footnote 6), including for those lacking legal title. During land acquisition, affected people shall confirm the results of detailed measurement survey (DMS), and the land acquisition implementing agency shall enter into compensation and resettlement agreements with landowners and users before submitting land use application for project. In addition, a whole set of grievance redress mechanisms (GRM) for land acquisition and compensation has been established from village or community level to townships governments level, and/or to the county/district level or above. If any affected person is dissatisfied with the DMS result, and/or the compensation or resettlement, he/she may file a grievance with the village head or village committee, or with the township or county/municipal government. According to the Regulations on Complaint Letters and Visits (*GuoFa* [2005] No.431),²² governments at or above the county level shall perform such duties as acceptance, handling, coordination and supervision. If a grievant is dissatisfied with the disposition, he/she may settle the dispute through litigation to protect its lawful rights and interests.
- (iii) **Compensation and transition subsidy to be fully paid at replacement cost before land use.** The Land Administration Law (effective from 1 January 2020) (*RenDa* [2019] No. 32, footnote 6) defines compensation policies, rates, principles, flows, schedules, etc. for different types of land use. Article 47 stipulates, fair and reasonable compensation shall be granted for land acquisition to ensure that the living standard of the affected farmers is not reduced, and their long-term livelihoods are secured; in case of land acquisition, the land compensation fees,

²² The General Office of State Council of the PRC. 2005. [Regulations on Complaint Letters and Visits of the PRC](#). Beijing (in Chinese).

resettlement subsidy, and compensation fees for rural residential houses, other ground attachments, young crops, etc. shall be paid timely and fully according to the law, and social security costs for the affected farmers be disbursed accordingly; the rates of land compensation fees and resettlement subsidy for acquired agricultural land shall be fixed by provinces, autonomous regions and municipalities by fixing and disclosing block comprehensive land prices, which shall be adjusted or reissued at least every three years; compensation rates for acquired land other than agricultural land, ground attachments, young crops, etc. shall be fixed by provinces, autonomous regions and municipalities. For rural residential houses, fair and reasonable compensation shall be provided on the principle of compensation before relocation and residential condition improvement by such means as reallocating housing land for house construction, offering resettlement houses, or granting cash compensation, and relocation, transitional period and other costs resulting from acquisition shall be compensated for in order to protect the lawful residential and property rights of rural residents.

Compensation rates for land acquisition are usually adjusted every two to three years based on local economic development and market conditions in each province, city and county. For example, the land acquisition compensation standard in Chongqing Municipality was updated in May 2021, promulgated the Notice of the People's Government of Chongqing Municipality on the Announcement of Matters Relating to Compensation and Resettlement Standards for Land Acquisition (*YFF* [2021] No.14, footnote 19). Based on the above policies, the CGD governments, according to the local economic development level and actual situation, formulated district-level compensation standards for land acquisition, attachments and young crops on the expropriated, namely the Notice of the ACGD on the Issuance of the Implementation Measures for Compensation and Resettlement of Permanent Land Acquisition of Collective Land in CGD (*ACGD* [2021] No.24, footnote 20). In addition, the new Land Administration Law (*RenDa* [2019] No. 32, footnote 6) requires that land occupied or used for projects shall be compensated for before occupation or use.

The compensation and resettlement mode for expropriated houses on state-owned land is that a compensation will be determined through third party market appraisal. The state has promulgated the Regulations on the Expropriation of Houses on State-owned Land and Compensation (*GuoFa* [2011] No. 590, footnote 12) and the Notice on Issuing the Measures for the Expropriation and Evaluation of Houses on State-owned Land (*JianFang* [2011] No.77, footnote 13), etc. to make systematic arrangements for land appraisal, process management, public participation, compensation payment, resettlement policies, etc. Provincial, municipal and district/county governments also offer such supporting measures as relocation subsidy, transitional subsidy, and compensation for production/business suspension/shutdown losses based on local conditions.

- (iv) **Policy arrangements for livelihood restoration.** The Land Administration Law (*RenDa* [2019] No. 32, footnote 6) requires that the living standard of the affected farmers shall not be reduced, and their long-term livelihoods shall be secured. State policies, such as the Notice on Doing a Good Job in Employment Training and Social Security for Land-Expropriated Farmers (*GuoBanFa* [2006] No.29, footnote 10), also requires that each localities shall establish a social security system suited to the characteristics and needs of land-expropriated farmers, secure employment training and social security funds, promote land-expropriated

farmers to get employed and be incorporated into urban society, and ensure that the living standard of land-expropriated farmers is not reduced due to land acquisition, and their long-term livelihoods are secured. For eligible land-expropriated farmers, employment and startup supporting policies shall be implemented to restore their income, including occupational training and public employment/start-up services.

- (v) **Policy arrangements for infrastructure restoration.** For potential infrastructure impacts arising from land acquisition, the Land Administration Law (*RenDa* [2019] No. 32, footnote 6) and the Regulations for the Implementation of the Land Administration Law (*RenDa* [2021] No. 743, footnote 7) stipulate, after the land acquisition plan is approved and announced, the county government shall organize a land survey within the range of land acquisition, and disclose the results to the public for at least 30 days. Article 47 of the new Land Administration Law (*RenDa* [2019] No. 32, footnote 6) stipulates, *“For rural residential houses, fair and reasonable compensation shall be provided on the principle of compensation before relocation and residential condition improvement, ...”*
- (vi) **Information disclosure, public participation and informed decision-making.** Public participation runs through the whole project cycle, and is an important measure to ensure the success of LAR activities. The Ministry of Natural Resources issued the Standard Guidelines for Grassroot Government Affairs Disclosure in Rural Collective Land Acquisition in June 2019, sorting out matters to be disclosed, regulating the disclosure process, and improving modes of disclosure to protect the people’s rights of information, participation, expression, and supervision practically. The main objectives of public participation at different stages of LAR are as follows:
 - (a) During design optimization, the project owner and design agency shall conduct meaningful consultation with affected people and other stakeholders, and improve the engineering measures and determine the range of land use based on feedback, thereby avoiding, if not, minimizing LAR impacts.
 - (b) Participation at the DMS stage includes land acquisition pre-announcement, DMS publicity, participation in the DMS, and confirmation, disclosure and review of DMS results.
 - (c) During the SSRA, meaningful consultation will be conducted early with stakeholders to assess potential major social risks arising from land acquisition and house demolition, including other major risks that are not directly related to but may materially affect the project.
 - (d) During the drafting of the compensation plan, the plan shall be disclosed to collect comments from affected people, and a public hearing held when necessary.
 - (e) Public participation at the implementation stage mainly includes production and life resettlement, and effective information disclosure and consultation should be conducted in the allocation and use of compensation.
 - (f) If TLO is involved, the TLO approval should also be disclosed to be public as requested according to law.

18. **Assessment.** PRC has established a complete legal framework and policy system on land acquisition, resettlement and compensation. Land acquisition and resettlement is based mainly on the Land Administration Law (*RenDa* [2019] No. 32, footnote 6), the Implementing Regulations on the Land Administration Law of PRC, Provisions on Land Administration of Chongqing Municipality (*YFF* [1999] No.53, footnote 15), and relevant compensation rates. The

Land Administration Law (*RenDa* [2019] No. 32, footnote 6) that was amended in August 2019 and came into effect on 1 January 2020 has substantively strengthened the practices of land acquisition and house demolition. The new Land Administration Law (*RenDa* [2019] No. 32, footnote 6) defines the scope of land acquisition for public interests, strengthens preparatory risk management for land acquisition, and information disclosure and public participation (including public hearings) in land acquisition and house demolition, and requires that an agreement shall be signed with the land owners (refer to village committees) and users (refer to contracted households) before land approval, and compensation and resettlement funds be arranged in advance. The new Land Administration Law (*RenDa* [2019] No. 32, footnote 6) also requires that land acquisition compensation rates shall be determined based on block comprehensive land prices, and adjusted or reissued at least every three years, and that fair and reasonable compensation shall be granted for land acquisition and be paid before land use to ensure that the living standard of the affected farmers is not reduced. Therefore, the new Land Administration Law (*RenDa* [2019] No. 32, footnote 6) will protect the rights and interests of affected persons, ensure sustainable livelihoods and improve living conditions more effectively. In general, the LAR regulations are consistent with the requirements of ADB SPS 2009.

19. Details on key gaps between SPS and PRC's system and local practice are identified and presented in Table 4.

Table 4: Comparative Analysis of Legal Framework and ADB Safeguard Policy Statement (2009)

ADB Safeguard Policy Statement	Legal Provisions and Local Practice	Gap-Filling Measures
Policy Principle 1: Screen the project early on to identify past, present, and future involuntary resettlement impacts and risks. Determine the scope of resettlement planning through a survey and/or census of displaced persons, including a gender analysis, specifically related to resettlement impacts and risks.	<i>Management Regulations for Construction Project Land Use Pre-examination (GuoZi [2008] No.42)^a</i> requires screening the area and type of the land to be provided for the project before approving the feasibility study report or reviewing the project proposal. The detailed measurement survey on land and house demolition is usually conducted by the local government when the preliminary design is done. It is not requested by PRC regulations to assess past LAR impacts. There is no specific legal provision to include gender analysis in resettlement planning. In line with local government program, the gender and risks to and/or vulnerability caused by any project particularly on women can already be identified and assessed based on the (i) Households in Extremely Hardship, (ii) Minimum Living Guarantee System and (iii) low-income households under local government monitoring and supporting programs during resettlement planning. Please see Policy Principle 5 for more details.	Screening and categorization will be undertaken for every subproject site, at an early stage to identify the nature and extent of potential resettlement impacts. Conduct due diligence on the past LAR impacts. Where there are any major and/or sensitive outstanding compensation or resettlement issues, or unresolved grievances or legacy issues, the subproject shall be excluded from the RBL program. For those non-sensitive legacy issues, a corrective action plan with gap-filling measures should be developed and implemented in line with the guidance in the PSSA and monitored during the program implementation stage.
Policy Principle 2: Carry out meaningful consultations with affected persons, host communities, and concerned nongovernment organizations. Inform all displaced persons of their entitlements and resettlement options. Ensure their participation in planning, implementation, and monitoring and evaluation of resettlement programs. Pay particular attention to the needs of vulnerable groups, especially those below the poverty line, the landless, the elderly, women and children, and Indigenous Peoples, and those without legal title to land, and ensure their participation in consultations. Establish a grievance redress mechanism to receive and facilitate resolution of the affected persons' concerns. Support the social and	At national level, <i>Land Administration Law of the People's Republic of China (RenDa [2019] No. 32)</i>,^b <i>State Council's Decision on Deepening Reform and Managing Strictly Land (GuoFa [2004] No. 28)</i>,^c and <i>Regulations on the Compensation of Houses on State-owned Land and Compensation (2011)</i> have similar requirements on consultation and participation. The new <i>Land Administration Law (RenDa [2019] No. 32)</i>^b substantially strengthens upfront procedures of consultations and information disclosure for land acquisition to manage the underlying risks better and protect the interests of the affected persons. Article 47 requires that the government can apply for land acquisition only after completing the following actions (but not limited to): (i) a land acquisition pre-announcement with a period of at least 10 days; (ii) a land status survey; (iii) a Social Stability Risk Assessment; (iv) information disclosure of compensation plan, with a period of at least 30 days, on the scope of land acquisition, land status, land use purposes, compensation measures and social pensions arrangement for affected persons; (v) soliciting the opinions of various primary stakeholders on land acquisition; (vi) the county government shall hold a public hearing to clarify when most	Identification of the poor and vulnerable groups as early as the screening stage, so that a plan can be prepared for engaging the vulnerable households during the project preparation and for ensuring their full participation, impacts on them are fully mitigated, and their concerns are considered during project planning and implementation. Documentation of the consultation and information disclosure activities and grievances received and actions taken to address the grievances in a timely manner, satisfactory to the affected persons.

ADB Safeguard Policy Statement	Legal Provisions and Local Practice	Gap-Filling Measures
cultural institutions of displaced persons and their host population. Where involuntary resettlement impacts and risks are highly complex and sensitive, compensation and resettlement decisions should be preceded by a social preparation phase.	affected persons perceive the compensation and resettlement plan does not comply with the laws and regulations; (vii) survey and registration of the affected land and assets with the owners; (viii) forecasting compensation fee for land acquisition and mobilizing the fund ready in advance; and (ix) signing compensation and resettlement agreements with the affected persons. In line with local government program, the gender and risks to and/or vulnerability caused by any project particularly on women can already be identified and assessed based on the (i) Households in Extremely Hardship, (ii) Minimum Living Guarantee System and (iii) low-income households under local government monitoring and supporting programs. In practice, the local village committee, women's federation, civil affairs bureau (in CGD, it is public services bureau) and human resources and social security bureau (administrative service and social affairs center in CGD). As per law, a grievance redress mechanism is established at the local government where farmers can first raise their concerns with the village collective or bring their grievances through the legal system directly. However, the documentation system is not adequate and need to be strengthened. Any proposed subproject under the RBL program that have sensitive, diverse, or unprecedented involuntary resettlement impacts on the affected people as defined in ADB Safeguard Policy Statement (SPS 2009) may be classified as resettlement category A will not be eligible for RBL financing and will be excluded from the scope of the program.	
Policy Principle 3: Improve, or at least restore, the livelihoods of all displaced persons through (i) land-based resettlement strategies when affected livelihoods are land based where possible or cash compensation at replacement value for land when the loss of land does not undermine livelihoods, (ii) prompt replacement of assets with access to assets of equal or higher value, (iii) prompt compensation at full replacement cost for assets that cannot be restored, and (iv) additional revenues and services through benefit sharing schemes where possible.	The <i>New Land Administration Law (RenDa [2019] No. 32)^p (Article 48)</i> placed much importance on livelihood sustainability post displacement. The newly adopted method of Block Comprehensive Land Price allows farmers to have a much higher price for land acquisition than before. The new law mandatorily requires that farmers affected by land acquisition shall be covered by basic endowment insurance, which can guarantee livelihood sustainability when they reach the retirement ages. For rural residential houses, fair and reasonable compensation shall be provided on the principle of compensation before relocation and residential condition shall be improved by such means as reallocating housing land for house construction, offering resettlement houses, or granting cash compensation, and relocation, transitional period and other costs resulting	No additional gap filling required as PRC regulations adequately cover this principle.

ADB Safeguard Policy Statement	Legal Provisions and Local Practice	Gap-Filling Measures
Policy Principle 4: Provide physically and economically displaced persons with needed assistance, including the following: (i) if there is relocation, secured tenure to relocation land, better housing at resettlement sites with comparable access to employment and production opportunities, integration of resettled persons economically and socially into their host communities, and extension of project benefits to host communities; (ii) transitional support and development assistance, such as land development, credit facilities, training, or employment opportunities; and (iii) civic infrastructure and community services, as required.	from acquisition for in order to protect the lawful residential and property rights of rural residents. <i>The Regulations on the Demolition and Compensation of Houses on State-Owned Land (GuoFa [2011] No. 590)^d and the JianFang [2011] No.77^e regulates that (i) compensation for houses on state-owned land shall be determined through third party market appraisal at a principle of full replacement cost; (ii) supporting measures as relocation subsidy, transitional subsidy, and compensation for production/business suspension/shutdown losses shall be offered based on local conditions.</i> <i>The GuoFa [2004] No. 28^c and the Notice of the Chongqing Municipal People's Government on Transmits the Decision of the State Council on Deepening the Reform and Rigidly Enforcing Land Administration (YFF [2004] No. 96)^f states that (i) where the project concerned generates profits the people displaced can use the land as investment to have a right to share in those profits; (ii) within a planned urban area, improvement of employment system and social security to safeguard affected people's lives; (iii) out of a planned urban area, land resettlement, employment resettlement, or displacement resettlement shall be implemented; and (iv) carry out employment trainings.</i> <i>Trail Measures for Basic Endowment Insurance for Farmers converting to Non-Farmers due to New Land Acquisition in Chongqing after 1 January 2008 (YFF [2008] No.45)^g requires that special fund for Basic Endowment Insurance should be paid before approval and implementation of land acquisition.</i>	No additional gap filling required as PRC regulations adequately cover this principle.
Policy Principle 5: Improve the standards of living of the displaced poor and other vulnerable groups, including women, to at least national minimum standards. In rural areas provide them with legal and affordable access to land and resources, and in urban areas provide them with appropriate income sources and legal and affordable access to adequate housing.	As per legal provisions, poor and vulnerable groups are defined as those (i) households in extremely hardship, (ii) eligible for the Minimum Living Guarantee System and (iii) low-income households under government monitoring and supporting programs. The local village/community committee, civil affairs bureau (or public services bureau), human resources and social security bureau (or administrative service and social affairs center) and other agencies pay attention to the needs of the poor and vulnerable groups: (i) Households in Extremely Hardship, the elderly, weak, widowed and people with disabilities who are unable to work and have no means of living, or whose households lack labor a rural production cooperative would provide production and living assistance (e.g., food, clothing, fuel, education and burial expenses); (ii) those eligible for the Minimum Living Guarantee System are provided with living subsidy each month; (iii) those low-income households under government monitoring and assistance system are provided with employment supports, fund supports and government	Identification of the poor and vulnerable groups at an early stage of land acquisition process so they can participate, impacts on them are mitigated, and their concerns are considered during consultations and planning. Monitoring of the standards of living of the displaced low-income and other vulnerable groups will be carried out.

ADB Safeguard Policy Statement	Legal Provisions and Local Practice	Gap-Filling Measures
	subsidies; and (iv) other assistance—urgent cash assistance if the households have serious illness in addition to the subsidy paid under rural cooperative medical care system; cash or in-kind assistance for the women headed households provided by the women's federation; priority given by the village committee to be included in the basic endowment insurance system for the farmers affected by land acquisition.	
Policy principle 6: Develop procedures in a transparent, consistent, and equitable manner if land acquisition is through negotiated settlement to ensure that those people who enter into negotiated settlements will maintain the same or better income and livelihood status.	Not applicable.	Not applicable.
Policy Principle 7: Ensure that displaced persons without titles to land or any recognizable legal rights to land are eligible for resettlement assistance and compensation for loss of non-land assets.	Based on the <i>Regulations on the Demolition and Compensation of Houses on State-owned Land</i> (GuoFa [2011] No. 590),^d <i>Measures for Compensation and Resettlement for Acquisition of Collective Land in Chongqing</i> (YFF [2021] No. 344),^h and the <i>Notice of ACGD on the Issuance of Implementation Measures for House Demolition on State-owned Land in CGD</i> (ACGD [2022] No.12),ⁱ the illegal houses and temporary structures which were constructed after the approval period will not be compensated. As good practice, for households who are not eligible for compensation for houses at replacement value, the history or reason why the structure has no certification/license; and their socio-economic conditions and vulnerability will be assessed by the local government and concerned bureaus to determine the necessary assistance that can be provided to them to ensure that they will be able to restore or will not be worse-off. According to the <i>Regulations to Solve the Housing Difficulties for the Low-Income Household issued by State Council</i> (GuoFa [2007], No.24),^j affordable housing and low-rent housing should be provided to the households who have housing difficulties. The demolished households can apply the affordable housing and low-rent housing.	Identify the displaced persons without titles to land or any recognizable legal rights to land and provide resettlement assistance and compensation for loss of non-land assets.
Policy Principle 8: Prepare a resettlement plan elaborating on displaced persons' entitlements, the income and livelihood restoration strategy, institutional arrangements, monitoring and reporting framework, budget, and time-bound implementation schedule.	Except for large-scale water sector projects, there are no specific requirements to prepare a resettlement plan which is similar to the resettlement plan required by ADB.	Resettlement plan will be prepared for subprojects with LAR impacts, due diligence reports for subprojects with past LAR and social compliance audits for existing facilities based on guidance in the PSSA. These documents will be prepared by implementing agency. Key information of the resettlement planning documents will be
Policy Principle 9: Disclose a draft resettlement plan, including documentation of the consultation process in a timely manner, before project appraisal, in an accessible place and a form and language(s) understandable to affected persons		

ADB Safeguard Policy Statement	Legal Provisions and Local Practice	Gap-Filling Measures
and other stakeholders. Disclose the final resettlement plan and its updates to affected persons and other stakeholders.		disclosed to the affected persons and other stakeholders
Policy Principle 10: Conceive and execute involuntary resettlement as part of a development project or program. Include the full costs of resettlement in the presentation of project's costs and benefits. For a project with significant involuntary resettlement impacts, consider implementing the involuntary resettlement component of the project as a stand-alone operation.	Refer to <i>Article 12 of No. 28 Decree (2004)</i>,^c the total resettlement cost should be included in the total project cost. All compensation and administrative costs are included. <i>Decree No.29 (2006)</i>^k issued in 2006 states land compensation and resettlement should ensure that the living standards and sustainability of the livelihood of the landless farmers are ensured; and that vocational training and social security programs should be properly implemented for landless farmers. Any shortfall in the resettlement budget should be provided by the local government.	No additional gap filling required as PRC regulations adequately cover this principle
Policy Principle 11: Pay compensation and provide other resettlement entitlements before physical or economic displacement. Implement the resettlement plan under close supervision throughout project implementation.	Regulations generally require compensation and other financial forms of resettlement assistance to be paid before physical or economic displacement. Local government is responsible for supervising throughout the project implementation period, but only focused on if the affected households have received the full compensation.	No additional gap filling required as PRC regulations adequately cover this principle
Policy Principle 12: Monitor and assess resettlement outcomes, their impacts on the standards of living of displaced persons, and whether the objectives of the resettlement plan have been achieved by taking into account the baseline conditions and the results of resettlement monitoring. Disclose monitoring reports.	Except for large-scale water projects, there are no requirements to monitor and evaluate resettlement outcomes, including impacts on standards of living of displaced persons. Local government is responsible for supervising throughout the project implementation period; however, monitoring reports are not prepared and disclosed.	Coordination with local governments will be established to properly monitor and supervise LAR activities. An internal monitoring mechanism will be established to monitor the LAR implementation. The monitoring reports will be prepared and submitted to ADB semiannually and disclosed. Semi-annual third party verification of program resettlement performance by an ADB staff consultant will be carried out for 1.5 years early during program implementation.

ADB = Asian Development Bank, LAR = land acquisition and resettlement, PRC = People's Republic of China.

^a Former Ministry of Land and Resources of the PRC. 2008. [Management Regulations for Construction Project Land Use Pre-examination of the PRC](#). Beijing (in Chinese).

^b The Standing Committee of the National People's Congress of the PRC. 2019. [Land Administration Law of the PRC](#). Beijing (in Chinese).

^c The General Office of State Council of the PRC. 2004. [The Decision of the State Council on Deepening the Reform and Rigidly Enforcing Land Administration of the PRC](#). Beijing (in Chinese).

- ^d The General Office of State Council of the PRC. 2011. [Regulations on the Expropriation of Houses on State-owned Land and Compensation of the PRC](#). Beijing (in Chinese).
- ^e Ministry of Housing and Urban-Rural Development of the PRC. 2011. [The Notice on Issuing the Measures for the Expropriation and Evaluation of Houses on State-owned Land of the PRC](#). Beijing (in Chinese).
- ^f Chongqing Municipal Government. 2004. [Notice of the Chongqing Municipal People's Government on Transmits the Decision of the State Council on Deepening the Reform and Rigidly Enforcing Land Administration](#). Chongqing (in Chinese).
- ^g Chongqing Municipal Government. 2008. [Trail Measures for Basic Endowment Insurance for Farmers](#). Chongqing (in Chinese).
- ^h Chongqing Municipal Government. 2021. [Measures for Compensation and Resettlement for Acquisition of Collective Land in Chongqing](#). Chongqing (in Chinese).
- ⁱ Administration of Chongqing Gaoxin District. 2022. [The Notice of ACGD on the Issuance of Implementation Measures for House Demolition on State-owned Land in CGD](#). Chongqing (in Chinese).
- ^j The General Office of State Council of the PRC. 2007. [The Regulations to Solve the Housing Difficulties for the Low-Income Household of the PRC](#). Beijing (in Chinese).
- ^k The General Office of State Council of the PRC. 2006. [The Notice on Doing a Good Job in Employment Training and Social Security for Land-expropriated Farmers of the PRC](#). Beijing (in Chinese).

Source: ADB.

4. Likely Programmatic Risks

20. The legal and regulatory framework for different land use approaches, for example land acquisition and resettlement and temporary land occupation, in PRC consists of laws, regulations and administrative decrees issued by the State Council and the Ministry of Natural Resources (MNR). The main aspects of the legal system include the way, procedure, policies and related standards of transferring collective land to state-owned land, or transferring farmland to construction land. The PRC has established a comprehensive legal system governing LAR and TLO issues.

21. For PLA and house demolition of rural houses and/or structures on collective land, the new amendments on Land Administration Law (*RenDa* [2019] No. 32, footnote 6), effective from 1 January 2020, strengthens upfront risk management for land acquisition to better protect the interests of affected farmers (Article 47) and substantially improves the key principles on compensation for land acquisition and resettlement to secure legal rights and livelihood sustainability for affected farmers. The Notice of the People's Government of Chongqing Municipality on the Announcement of Matters Relating to Compensation and Resettlement Standards for Land Acquisition (*YFF* [2021] No. 14, footnote 19), effective from 1 July 2021, established the standards of land value of different counties and districts based on the comprehensive land survey and replacement cost. The Notice of the ACGD on the Issuance of the Implementation Measures for Compensation and Resettlement of Permanent Land Acquisition of Collective Land in CGD (*ACGD* [2021] No. 24, footnote 20), effective from 2 July 2021, stipulated the detail compensation standards for land acquisition and resettlement measures for 3 subdistricts and 7 townships.

22. Regarding TLO, the Notice of the Ministry of Natural Resources on Regulating the Management of Temporary Land Use (*ZiRanZiGui* [2021] No.2, footnote 14) published on 4 November 2021 and the Notice of Chongqing Municipal Planning and Natural Resources Department on Regulating the Management of Temporary Land Use (*YuGuiZiGuiFan* [2022] No.1, footnote 21) published on 22 February 2022, regulated the TLO application scope, site selection, period, procedures, compensation standard, restoration and supervision at the national and municipal level.

23. In addition, the Notice on Doing a Good Job in Employment Training and Social Security for Land-Expropriated Farmers (*GuoBanFa* [2006] No.29, footnote 10) and Notice of the Ministry of Labor and Social Security, the Ministry of Land and Resources on Doing a Substantially Good Job in Social Security for Land-Expropriated Farmers (*LaoShe* [2007] No.14, footnote 11) and the Trail Measures for Basic Endowment Insurance for Farmers (*YFF* [2008] No.45, footnote 18) converting to Non-farmers due to new land acquisition in Chongqing after 1 January 2008 are in place for ensuring the livelihood of people affected by land use to keep restored to at least the pre-project level.

24. There are still some gaps between the ADB SPS and the PRC system and local requirements. These include (i) lack of impact screening and categorization at the early stage of the project; (ii) no requirement for resettlement plan preparation (unless large and medium-scale water conservation and hydropower projects), due diligence regarding past land acquisition and associated facilities, and social compliance audits for existing facilities where lands have been acquired before the subproject preparation; (iii) lack of identification of poor and vulnerable groups during the involuntary resettlement screening and preparation; (iv) inadequate documentation of consultation and information disclosure activities and grievances received; and (v) inadequate monitoring and evaluation. None of the gaps identified will impede the borrower's capacity to

effectively implement the land acquisition, where it is required. See safeguard assessment and **Table 4** for more details about the policies and gaps.

25. The programmatic risks are not expected to be significant given the nature of the components proposed, existing capacities of the local governments in implementing land acquisition (refer also to para. 28 for support to be provided to local government in LAR implementation) following the national and local policies and regulations, the relatively small scale of involuntary resettlement impacts, and the limited gaps between the national requirements and ADB SPS involuntary resettlement requirements.

5. Institutional Risk

26. CMG will be the executing agency with overall policy guidance and supervision. The CMG's Chongqing Foreign Loan Project Management Office (CPMO) oversees Chongqing's internationally financed loan projects and programs and will provide overall municipal-level coordination, guidance, and oversight of the proposed RBL program. ACGD is the implementing agency with a dedicated ACGD Program Management Office (APMO) for the RBL program implementation established in February 2024. The APMO is responsible for day-to-day supervision, coordination, and guidance of program preparation and implementation. The PIU is the Chongqing Gaoxin Development and Construction Investment Group Co., Ltd. (CGDG), responsible for procurement, contract and construction management, and operation and maintenance of the program infrastructure and facilities. Additional bureaus or agencies such as ACGD's Construction Bureau, Urban Development Affairs Center, Ecology and Environment Bureau, and Government Affairs Service Center will also be involved in some program activities and sector development, such as capacity building and institutional strengthening. APMO has assigned three focal persons to coordinate resettlement safeguards planning and implementation. PIU will assign one resettlement focal point for planning and implementation of land use and resettlement activities. Other government departments will coordinate and support the LAR implementation when needed.

27. The detail existing institutional arrangements for implementing LAR for the program include:
- (i) ACGD is responsible for the overall LAR planning and implementation within CGD;
 - (ii) APMO is responsible for day-to-day supervision, coordination, and guidance of program preparation and implementation;
 - (iii) PIU is responsible for planning and implementation of land use and resettlement activities for their own subprojects;
 - (iv) Municipal NRPB is responsible reviewing project-specific permanent acquisition of collective land (except basic farmland and ecological conservation redline);
 - (v) PNRB at CGD level is responsible for accepting land use applications for construction projects, directing the PIU to prepare necessary land approval application documents, and submitting such documents to the competent government;
 - (vi) The land use affairs center of CGD is responsible for the exact implementation of LAR workers, including DMS, negotiation, entering LAR agreements, compensation, etc.;
 - (vii) The Administrative service and social affairs center of CGD is responsible for the social security insurance and employment support to land loss farmers;
 - (viii) Public services bureau of CGD is responsible for providing minimum living subsidies for the affected low-income households;
 - (ix) Security bureau of CGD is responsible for reviewing and verification of the household registration data of affected people;

- (x) RDC of CGD is responsible for the management of rural land contract and collective assets related issues;
- (xi) Finance bureau of CGD is responsible for the resettlement fund management;
- (xii) construction bureau is responsible for implementing house demolition, the construction and quality control of resettlement housing for households affected by house demolition;
- (xiii) Integrated law enforcement bureau of CGD is responsible for receiving and addressing LAR related complaints and grievance;
- (xiv) Township governments and subdistrict governments provide support and coordination for LAR works.

28. The ACGD will be responsible for managing the PLA and TLO for all subprojects within the jurisdictions. While there have been ADB and World Bank funded projects in Chongqing Municipality, i.e., Loan 3897-PRC: Chongqing Innovation and Human Capital Development Project and Loan 3704-PRC: Chongqing Longxi River Basin Integrated Flood and Environmental Risk Management Project, ACGD did not engage in the implementation of these projects.²³ Additionally, since CGD was established in 2020 as a new development area, the institutional organization of ACGD is newly established and lacks experience in implementing projects funded by ADB and the World Bank. Clear coordination is crucial within CGD departments and between CGD and CMG departments during the preparation and implementation of the RBL program.

29. Apart from coordination, capacity of those involved should be strengthened. A training on involuntary resettlement of ADB's SPS was carried out to the officers of the APMO, PIU, and Program Preparation Institute face-to-face by the resettlement specialist engaged under ADB's transaction technical assistance during the ADB Inception Mission from 29 January to 1 February 2024, site survey from 23 to 28 February 2024, 7 April and also 15 April 2024 during the loan fact-finding mission. The trainings covered an introduction to the RBL program and the procedure in relation to involuntary resettlement policy requirements, screening and categorization, information disclosure and meaningful consultation, document preparation, and monitoring and evaluation. The APMO will recruit a resettlement specialist within 3 months of loan effectiveness and maintained throughout the program cycle to support the PIU in subproject screening and classification, preparation of resettlement plans and/or land use due diligence reports (DDRs), social compliance audits (SCAs), and other related social safeguard documents. Training workshops on ADB's SPS and implementation of the resettlement plans will be provided by the resettlement specialist recruited by APMO throughout program implementation.

6. Likely Contextual Risks

30. The RBL program will support the government's Chongqing Gaoxin District Green Low-Carbon and High-Quality Development Program (2023–2035) and is not expected to result in any reputational risks. Any subprojects classified as category A for involuntary resettlement impacts will be excluded from the RBL program. Also, subproject sites with major and/or sensitive resettlement-related legacy or outstanding issues will be excluded from the program. In addition, the RBL program will include capacity building of the APMO and PIU in preparation and implementation of resettlement plans, due diligence of past land acquisition and social compliance audit of existing facilities, and will cover consultations to identify any past or unresolved grievances/complaints related to land acquisition and involuntary resettlement.

²³ ADB. [People's Republic of China: Chongqing Innovation and Human Capital Development](#); and ADB. [People's Republic of China: Chongqing Longxi River Basin Integrated Flood and Environmental Risk Management Project](#).

7. Major Weaknesses Identified and Proposed Measures

31. **Screening of potential resettlement impacts during the design stage.** The current PRC regulations require a land pre-examination approval, by which the land use will be assessed if it follows the local overall national land spatial planning. However, there should also be a screening procedure for the RBL to determine if the subprojects are eligible for the RBL program. Staff of APMO and PIU are not familiar with the screening requirements on resettlement impacts; on the other hand, numbers of subprojects will be raising up by PIU during the program implementation and the resettlement impacts need to be screened and categorized. Guidance will be included in the PSSA.

32. **Preparation of resettlement plans.** In the PRC, except for large-scale water sector projects, there are no specific requirements to prepare a resettlement planning document which is similar to the resettlement plan required by ADB. Meanwhile, the RBL modality also sets challenges for preparation of resettlement plan since there could be many subprojects relevant with resettlement plans, providing the realities that the APMO and PIU may not have RBL experience. Even though a resettlement specialist will be recruited to support the APMO and PIU, the big number of resettlement plan preparation, which may be raised up one by one or batch by batch, will be a material challenge as well to the resettlement specialist. Therefore, good institutional building with the APMO and each individual PIU becomes a very important and sustainable approach to bridge the existing gap.

33. **Land use due diligence report.** For state-owned land, facilities that already exist or are under construction, or going to be constructed on land already completed the land acquisition process before RBL program preparation, ADB requires to undertake a due diligence to identify past or present concerns related to impacts on social safeguard. PRC's country system has no such requirements. The same as resettlement screening, preparation of resettlement plan, the numbers of DDRs and social compliance audits will also be a challenge for APMO, PIU and resettlement specialist to be hired.

34. **Documentation, especially for public participation and grievance redress mechanism.** Based on the site survey and based on other projects in Chongqing Municipality and CGD, documentation is always one weakness with APMO and PIU, even if there are consultation and participation activities required and conducted by governments and parties. For the RBL program, all activities need to be properly documented. Similarly, there is an existing GRM as per government laws and regulations, but complete documentation of cases are limited, except for grievances raised to public complaints offices, administrative reconsideration or lawsuit. To improve the system, grievances also need to be properly documented with sufficient detail, including the topic of each grievance, who lodged the complaint and when, all actions taken to address the grievance, final resolution, and closing date.

35. **Vulnerable people.** There is lack of a process for identification of the poor and vulnerable groups early, as part of resettlement impact screening so measures can be put in place for vulnerable groups to actively participate, and to ensure their concerns are considered during consultations and project planning. Monitoring of the living standards of the poor and other vulnerable groups displaced due to the program is also not required after completion of land acquisition. Capacity building of relevant staff needs to be carried out to ensure they can properly assess and identify the poor and vulnerable groups during subproject screening and that post-LAR situation of vulnerable groups are adequately monitored.

36. **Monitoring and evaluation.** There is supervision done by PNRB and from the Audit Bureau but only focused on if the affected households have received the full compensation. There is no arrangement from the program level on monitoring and evaluation of the implementation progress, such as land permitting, land use status (e.g., LAR, TLO, SOL), compensation and payment, livelihood restoration, information disclosure, public participation, GRM and documentation. Under the RBL program, a mechanism to internally monitor and evaluate implementations should be strengthened and set-up.

37. **Institutional capacity.** Although institutional arrangements for implementing LAR is established in the PRC national and local management system, the APMO and PIU do not have previous RBL experience. Although the LAR will be implemented by the PNRB and other government departments, it is necessary for relevant staff of APMO and PIU to be assigned on a stable basis and have adequate knowledge for land use screening, safeguard report preparation, documentation, and monitoring throughout the program. The PIU may assign resettlement focal points employed on a regular basis; in parallel, regular capacity building on safeguards with refresher trainings should be provided by resettlement specialist recruited by APMO.

8. Safeguard Program Actions

38. Based on the detailed involuntary resettlement assessment findings, the actions listed in Table 7 are deemed necessary to ensure compliance with SPS principles, or to otherwise address the identified performance gaps with respect to the involuntary resettlement safeguard. The APMO has committed to implementing these actions, of which several are also included in the Program Action Plan (PAP). The APMO is also committed to monitor and report to ADB on implementation of safeguards program actions on a semiannual basis. ADB will disclose internal monitoring reports on the ADB website.

Table 5: Detailed Safeguard Program Actions

Gap	Proposed Action	Indicator/Targets	Responsibility	Timeframe
Involuntary Resettlement				
Institutional arrangement and staffing	Each PIU assigns one resettlement focal point for planning and implementation of land use and resettlement activities. Each PIU assigns the LAR work to a design institute or appropriate third party like contractor which will accordingly assign a dedicated person to manage LAR, including screening, safeguard document preparation, consultation and GRM documentation, and related issues, with support and guidance of APMO and the resettlement specialist (consultant).	Designation of at least one qualified staff with experience in land acquisition and resettlement at each PIU. Assignment by each PIU of LAR management to the design institute or appropriate third party. Assignment by the design institute/third party of a dedicated person in charge of LAR management. Engagement by APMO of one qualified resettlement specialist (consultant) with at least 7 years relevant experience to provide implementation support and build capacity in APMO and PIU	APMO and PIU	Within 3 months of loan effectiveness and maintained throughout the program cycle
Capacity building related to resettlement management	Develop training schedule for the APMO, PIU and related agencies and persons, and conduct regular resettlement safeguard trainings including refresher trainings as needed for staff of APMO, PIU and relevant agencies, particularly those directly engage in LAR implementation and reporting.	Training workshops on resettlement, reflected in the semiannual monitoring reports.	APMO, PIU, and resettlement specialist	At least one training course per year. It should be increased subject to observation of the resettlement specialist and request from APMO or PIU.
Screening and categorization	The PIU's dedicated staff/consultant will carry out land use and resettlement screening for all candidate subprojects under the program to classify the subproject category. See Annex 1 for the detailed requirements of screening. Where necessary, the PIU's staff/consultant goes to the APMO and/or resettlement specialist for support.	All candidate subprojects are screened and classified regarding land use and resettlement impacts, including past LAR impacts. Results of screening and categorization included in regular monitoring reports. Involuntary resettlement categorization checklists for the first three category B subprojects which require preparation of resettlement plans and first three category C subprojects which require preparation of DDRs will be submitted to ADB for prior review and clearance. ADB review will continue if it is found that quality is low and/or APMO has	APMO, PIU, and resettlement specialist	Maintain throughout the program implementation period. The screening checklists and categorization forms will be included in the semi-annual monitoring reports to be submitted to ADB.

Gap	Proposed Action	Indicator/Targets	Responsibility	Timeframe
		capacity issues in implementing resettlement safeguard requirements. No category A subprojects and those with major and/ or sensitive involuntary resettlement legacy issues will be approved for implementation		
Resettlement plan for subprojects with potential land acquisition	For subprojects with potential LAR impacts, The PIU with support from the dedicated staff/consultant shall prepare a resettlement plan in accordance with PRC regulations, ADB Safeguard Policy Statement (2009), and the provisions of the PSSA, and submitted for clearance to APMO. The level of detail and comprehensiveness of the resettlement plan will be commensurate with the significance of involuntary resettlement impacts. See Annex 2 of the IRSSA for the outline of resettlement plan. APMO's clearance of the resettlement plan will be a prerequisite for awarding of civil works contract for the subproject. Where necessary, the PIU's staff/consultant goes to the APMO and/or resettlement specialist for support.	Resettlement plans will be prepared for all subprojects that are categorized as B for involuntary resettlement. Each PIU is the primary owner of resettlement plan and preparation. Where necessary, the APMO and resettlement specialist assist as requested. APMO will submit the first three resettlement plans to ADB for prior review and clearance. ADB review will continue this review of resettlement plans if it is found that quality is low and/or APMO has capacity issues in implementing resettlement safeguard requirements.	APMO, PIU, and resettlement specialist	Prior to award of civil works contract for individual subprojects
Resettlement due diligence for ongoing or past land acquisition	For subprojects where land acquisition and resettlement is ongoing or has been completed before subproject preparation or affecting state-owned land, the PIU's with support from dedicated staff/consultant will conduct resettlement due diligence and prepare a resettlement DDR and submit to APMO for clearance. Where necessary, the PIU's staff/consultant goes to the APMO and/or resettlement specialist for support. The level of detail and comprehensiveness of DDR will be	Further land acquisition/clearance for new sites to be used for the RBL is stopped or should now be carried out in line with ADB SPS requirements. DDRs will be prepared. APMO will submit the first three DDRs to ADB for prior review and clearance. ADB review will continue if it is found that quality is low and/or APMO has capacity issues in implementing resettlement safeguard requirement.	APMO, PIU, and resettlement specialist	Prior to award of civil works contract for individual subprojects

Gap	Proposed Action	Indicator/Targets	Responsibility	Timeframe
	commensurate with the significance of legacy issues. See Annex 3 of the IRSSA for the outline of DDR. APMO's clearance of the DDR will be a prerequisite for awarding of civil works contract for the subproject.			
SCA for existing facilities, to be upgraded	For subproject with existing facilities, the PIU's dedicated staff/consultant will conduct SCA and submit it to APMO for clearance. The level of SCA detail will be commensurate with the significance of legacy issues. See annex 3 of the IRSSA for the outline of SCA. APMO's clearance of the SCA will be a prerequisite for awarding of civil works contract for the subproject.	SCAs will be prepared. The first three SCA reports will be submitted to ADB for review and clearance. ADB review will continue if it is found that quality is low and/or APMO has capacity issues in implementing resettlement safeguard requirement.	APMO, PIU, and resettlement specialist	Prior to award of civil works contract for individual subprojects
Identification of the poor and vulnerable groups during the screening process and resettlement planning.	Assessment of impacts including consultations with poor and vulnerable groups among the affected persons identified at the screening stage, as part of the resettlement plans DDR and SCA preparation.	Results of screening and assessment, including poor and vulnerable groups identified, will be included in the involuntary resettlement categorization checklist, resettlement plan, DDR, and SCA	APMO, PIU, and resettlement specialist	Prior to preparation of resettlement safeguard documents and throughout program implementation period.
Documentation of the consultation and information disclosure activities	Consultations, information disclosure, and grievances received will be documented properly. See Annex 5 of the IRSSA for the guidance note on consultation and information disclosure.	Documentation is reflected in the resettlement safeguard documents and monitoring reports.	APMO and PIU	Prior to preparation of resettlement safeguard document and throughout the program implementation period.
Grievance redress mechanism	Arrangements for the grievance redress mechanism will be developed, established, and implemented at the program and subproject levels. See Annex 6 of the IRSSA for the guidance note on GRM.	A well-established and functional GRM should be in place at APMO and PIU, with clear roles and responsibilities in dealing with the government agencies handling resettlement	APMO, PIU	By program approval and throughout program implementation period
Disclosure of resettlement safeguard documents during program and subproject preparation and implementation	Disclose resettlement safeguard documents including resettlement plans, DDR, SCA report, and resettlement monitoring reports with affected persons and other stakeholders in the local language.	All resettlement plans, DDRs, and SCAs disclosed on APMO and PIU websites. Key information of resettlement plans, DDRs, and SCAs provided to affected	APMO, PIU	Throughout the subproject lifecycle

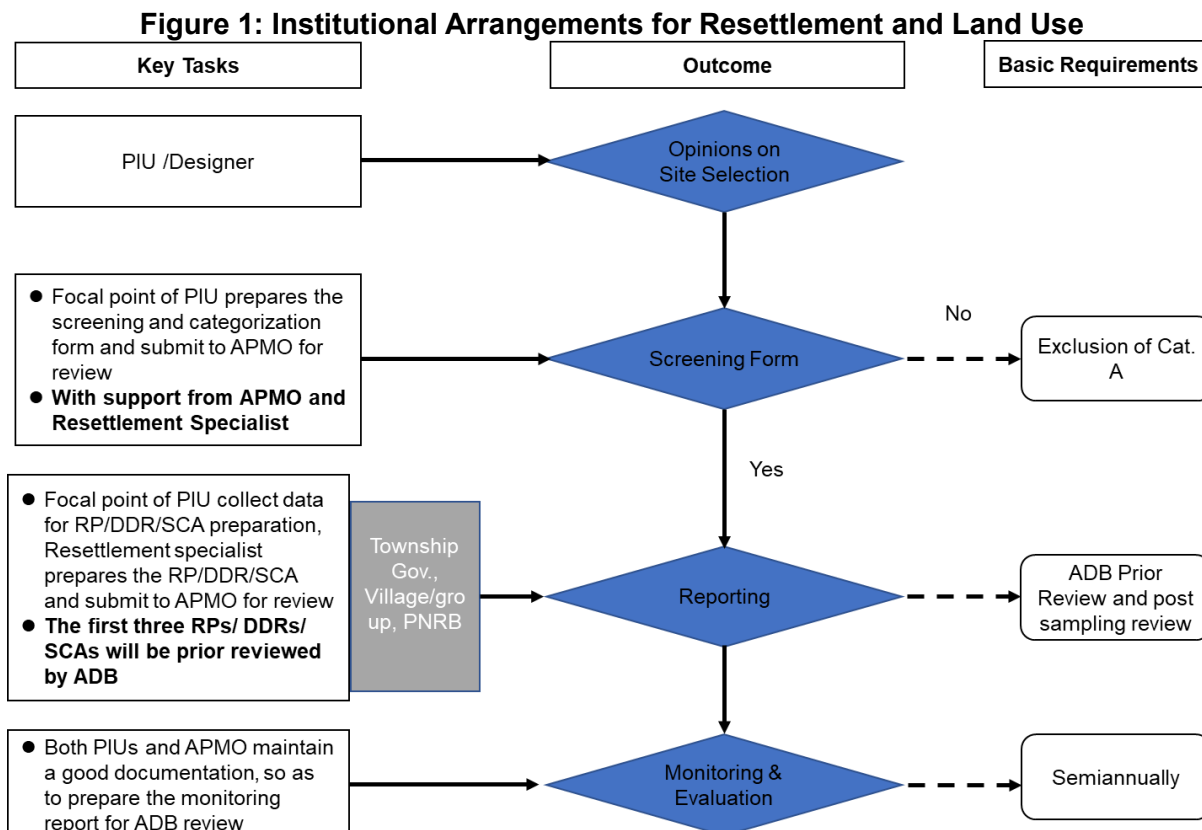
Gap	Proposed Action	Indicator/Targets	Responsibility	Timeframe
	The semiannual resettlement monitoring reports will be disclosed on ADB and APMO website.	people and other stakeholders in a form and language understandable to them. Disclosure activities reported in the semiannual resettlement monitoring reports that will be disclosed on ADB and APMO websites.		
Monitoring and evaluation	APMO to establish a safeguard monitoring system to allow proper coordination and facilitation with concerned agencies. Submission of resettlement monitoring report to ADB semiannually during the program implementation period.	Safeguard monitoring tracking system established. Resettlement monitoring reports submitted to ADB semiannually. A resettlement agency or specialist (consultant), acceptable to both ADB and APMO, will be engaged by APMO within 2 months after RBL program approval to monitor and verify resettlement safeguard document implementation. ADB staff consultant to carry out third party verification of resettlement performance semi-annually for 1.5 years of program implementation. ^a	APMO, PIU	Semiannually throughout the program implementation period. Within 2 months after RBL program approval and maintained through the program implementation period.

ADB = Asian Development Bank, APMO = Administration of Chongqing Gaoxin District Program Management Office, DDR = due diligence report, GRM = grievance redress mechanism, IRSSA = involuntary resettlement safeguard systems assessment, LAR = land acquisition and resettlement, PIU = project implementation unit, PSSA = program safeguard systems assessment, RBL = results-based lending, SCA = social compliance audit, SPS = Safeguard Policy Statement.

^a ADB will mobilize a staff consultant to carry out third party verification of resettlement performance semi-annually for 1.5 years during program implementation, commencing after submission of APMO's first semiannual environmental and social monitoring report (Q3 2025–Q1 2027).

D. Institutional Arrangements

39. Given the gaps identified and the involuntary resettlement safeguards actions proposed, the RBL program has designed an institutional arrangement, see Figure 1 for an overview with the institutional settings. Meanwhile, role and responsibilities are provided in the following.



Roles and Responsibilities of the Institutions

40. APMO' Safeguards Team:

- (i) organize related training on ADB's involuntary resettlement policies;
- (ii) review the involuntary resettlement impacts and categorization forms submitted by PIU;
- (iii) engage a resettlement specialist to assist the PIU in conduct of subproject due diligence, preparation of resettlement plans, DDRs, and SCAs;
- (iv) conduct due diligence for past land acquisition and resettlement and on existing facilities, and coordinate with the local government in developing corrective action plan as needed and to be integrated in the resettlement documents;
- (v) set-up resettlement database;
- (vi) set-up GRM tracking system;
- (vii) during program implementation, closely monitor the implementation and coordinate with the PIU to collect information for the monitoring reports;
- (viii) file all approval documents related to LAR;
- (ix) prepare the semi-annual monitoring and evaluation reports;
- (x) submit semi-annual monitoring reports to ADB; and

- (xi) follow up with the PIU in implementation of the actions identified in the semi-annual monitoring reports.

41. **PIU** is the implementation unit of the RBL program in CGD. The roles and responsibilities include:

- (i) assign dedicated agency (e.g., the design institute) and focal point for LAR management issue;
- (ii) screen the involuntary resettlement impacts and prepare categorization forms, submit to APMO for review;
- (iii) prepare resettlement plans with support from resettlement specialist of the APMO as needed, submit to APMO for review;
- (iv) prepare DDRs for prior LAR, and SCA on existing facilities, and coordinate with the local government in developing corrective action plan as needed;
- (v) coordinate with the PNRB and Land Use Affairs Center at all levels to make sure the PLA and TLO are in compliance with local overall national land spatial planning and related regulation, and provide all the necessary LAR information as required;
- (vi) file all approval documents related to LAR;
- (vii) provide information and coordination to APMO for the preparation of semi-annual monitoring reports and carry out required actions.

42. **CGD PNRB** is one of the key agencies for management and supervision the implementation of LAR.

- (i) confirm the proposed site selection is compliance with the local overall national land spatial planning and related regulations;
- (ii) process the domestic land acquisition approval procedures (land use pre-examination, transferring collective land to state-owned land, approval of land in-out balance);
- (iii) provide information for the monitoring and evaluation reports in terms of LAR progress and concerns; and
- (iv) based on discussions and agreement with PIU on recommendations raised in the semiannual monitoring reports, carry out required actions.

43. **CGD Land Use Affairs Center** is the key agency for implementation of LAR.

- (i) conduct DMS and socioeconomic survey (SES), meaningful consultation, information disclosure;
- (ii) enter land acquisition and compensation agreement with affected households;
- (iii) documentation of information disclosure, participation and GRM and share with PIU;
- (iv) provide information for the monitoring and evaluation reports in terms of LAR progress and concerns; and
- (v) based on discussions and agreement with PIU on recommendations raised in the semiannual monitoring reports, carry out required actions.

44. **Subdistrict/township governments and village/community committees** play a key role in LAR since they are aware of the history and socioeconomic situation of the affected residents.

- (i) participate in the DMS and SES;
- (ii) assist the PNRB and Land Use Affairs Center to conduct consultation, information disclosure, negotiation and GRM;
- (iii) reallocate land after land acquisition according to their internal needs and procedures;

- (iv) provide information on the affected vulnerable groups or those who may become vulnerable;
- (v) organize village/community meetings to discuss the compensation rates, restoration and relocation plan;
- (vi) documentation of the information disclosure, participation and GRM; and
- (vii) carry out corrective actions, if any, identified during program implementation.

45. **Other agencies.** Apart from the key players above, other agencies will also be requested to support the program based on their specific roles and responsibilities:

- (i) Public Services Bureau is responsible for identification of Households in Extreme Hardship, those eligible for the Minimum Living Guarantee System and the low-income households under local government monitoring and supporting programs;
- (ii) Administrative Service and Social Affairs Center is responsible for basic endowment insurance system for the land loss farmers, provide relevant skill or start-up trainings and access to job opportunities in the area including program-related employment opportunities.
- (iii) Construction Bureau is responsible for the construction of houses for resettlement and quality supervision.
- (iv) Finance Bureau is responsible for the management and supervision of the use of land acquisition and resettlement fund.
- (v) Integrated Law Enforcement Bureau is responsible for the grievance and complaints management.
- (vi) Women's Federation for cash or in-kind assistance to the women-headed households; and
- (vii) Health Commission is responsible for urgent assistance if the households have serious illness; and

E. BUDGET

46. APMO and PIU will bear all costs related to PLA, SOL, TLO, and ground attachments compensation, where relevant and costs for any corrective actions agreed between APMO, PIU, and ADB. The basic principle is that fund flows will be as direct as possible, to minimize the coordination, arbitration, and other intermediate links. The budget will include contingency expenses to meet the needs of cost increase or unexpected resettlement expenses. The costs for monitoring, supervision, grievance redress, reporting, and engaging the resettlement specialist at the APMO as well as resettlement agencies or focal points at PIU will be borne by APMO and PIU as part of their subproject budget.

F. MONITORING AND REPORTING

47. Monitoring and evaluation of resettlement (including PLA, SOL, TLO, and ground attachments compensation corrective actions agreed between ADB, APMO, and PIU) implementation will be carried out to ensure all affected persons and communities are compensated adequately and timely, and that their lands, incomes and property assets are restored or adequately compensated in cash or kind as early as possible and that program safeguards are in line with ADB SPS (2009).

48. The APMO will be responsible for the resettlement internal monitoring and evaluation activities. The internal monitoring and evaluation will include the key information related to the implementation of the safeguard program actions related to land acquisition and involuntary resettlement. Annex 4 provides the template of semi-annual monitoring and evaluation report.

49. The PIU, PNRB, and Land Use Affairs Center will implement the resettlement and land use, maintain the related documents, and provide the documentations to APMO.

50. The PIU and APMO will visit the affected villages and groups periodically, and inquire with the agencies that accept grievances about how grievances have been or are being handled. They will also meet complainants, assess the status of problem resolution. The findings and assessment of complaints/grievances, including recommendations to address the complaints/grievances will be reflected in the internal monitoring and evaluation reports.

51. In addition to internal monitoring, ADB staff consultant to carry out third party verification of resettlement performance semi-annually for 1.5 years of program implementation.²⁴

²⁴ ADB will mobilize a staff consultant to carry out third party verification of resettlement performance semiannually for 1.5 years during program implementation, commencing after submission of APMO's first semiannual environmental and social monitoring report (Q3 2025–Q1 2027).

SCREENING AND CATEGORIZATION OF INDIVIDUAL SUBPROJECTS

A. Key Principles for Site Selection

1. For construction of new facilities, the key principles for site selection include:
 - (i) prioritize retrofitting existing facilities or construction on vacant unused lands;
 - (ii) basic farmland should be avoided;
 - (iii) pre-confirmation with local planning and natural resources bureau as early as possible to make sure the compliance of overall national land spatial planning and feasibility of land use approval;
 - (iv) sites with residential structures or businesses will be avoided as much as possible, to minimize physical and economic displacement;
 - (v) site should comply with the local overall national land spatial plan;
 - (vi) if the present proposed site does not comply with the local land use plan, the local planning and natural resources bureau confirms that the plan can be adjusted for this site;
 - (vii) access road should be available, if access road needs to be built due to the project, and house demolition should be avoided or minimized (if avoidance is impossible);
 - (viii) sites with concentrated ethnic minority communities should be avoided and there should be no negative impacts on any ethnic minorities and any ethnic minorities should benefit equally from the subproject; and
 - (ix) if involuntary resettlement impacts could not be avoided, any site should not result to significant impacts that reach involuntary resettlement category A, i.e., 200 persons or more will be physically displaced from housing or lose 10% or more of their productive or income-generating assets. To ensure quality of screening and categorization, involuntary resettlement categorization checklists for the first three category B subprojects which require preparation of resettlement plans and first three category C subprojects which require preparation of DDRs will be submitted to ADB for prior review and clearance. ADB review will continue if it is found that quality is low and/or APMO has capacity issues in implementing resettlement safeguard requirements.
2. The land identification and selection will be jointly carried out by the PIU, CGD Planning and Natural Resources Bureau together with subdistrict/township government and other government agencies concerned. The proposed subproject site should comply with the overall national land spatial plan, and any changes related to the land use should be approved according to PRC's laws and regulations prior to the finalization of the site selection.

B. Screening of Subprojects

3. The first step in the process of social safeguard documents preparation is the screening process to identify the land and areas of subproject site that may result in land use and/or resettlement impacts. The screening for all candidate subprojects under the program will be carried out in conjunction with the safeguard staff or consultant from PIU, CGD planning and natural resources bureau, land use affairs center and design institute, to identify past and potential involuntary resettlement impacts and risks related to the subproject activities proposed under the program, and to provide adequate measures to address them. The screening and categorization checklist form is in **Annex 1-A**.
4. The proposed subprojects under the program will be classified as one of the following involuntary resettlement categories:

- (i) **Category A.** A proposed subproject is likely to have significant involuntary resettlement impacts; the resettlement impacts of an ADB-supported project are considered significant if 200 or more persons will be physically displaced from home or lose 10% or more of their productive or income-generating assets;
- (ii) **Category B.** A proposed subproject includes involuntary resettlement impacts that are not deemed significant, and
- (iii) **Category C.** A proposed subproject has no resettlement impacts.

5. Category A subprojects and subprojects with major and/or sensitive involuntary resettlement legacy issues will be excluded from the proposed RBL program. Table 1 details the resettlement safeguard categories and the required actions.

Table 1: Resettlement Safeguard Categories and Required Actions

Category	Description	Action
A (significant impacts)	A proposed subproject is classified as category A if it is likely to have significant involuntary resettlement impacts. The involuntary resettlement impacts of an ADB-supported project are considered significant if 200 or more persons will experience major impacts, which are defined as (i) being physically displaced from housing, or (ii) losing 10% or more of their productive assets (income generating).	Category A project is excluded from the RBL program.
B (not significant impacts)	A proposed subproject is classified as category B if it includes involuntary resettlement impacts that are not deemed significant.	Prepare the resettlement plan, DDR, SCA
C (no Involuntary Resettlement impact)	A proposed subproject is classified as category C if no involuntary resettlement impacts are foreseen	Involuntary resettlement checklist completed

ADB = Asian Development Bank, DDR = due diligence report, RBL = results-based lending, SCA = Social Compliance Audit.

6. The APMO will be responsible for the review of the land use and resettlement checklists and information on land ownership submitted by the PIU and their consultants.

Annex 1-A: Involuntary Resettlement screening and categorization checklist

Name of Subproject: _____

Location (township/village/community): _____

Subproject Construction Type Description:

- ☐ New construction with new land acquisition (including TLO) of collective land
- ☐ New construction on state-owned land (including TLO)
- ☐ New construction on land where land acquisition is ongoing or completed
- ☐ Expansion or upgrade on existing boundary of facilities (no additional land acquisition required)
- ☐ Expansion or upgrade existing facilities outside the existing site (additional land acquisition required)
- ☐ Purchase and installation of equipment

Details of civil works to be done:

Safeguard Categorization:

- ☐ Category A. Not eligible for financing because there are more than 200 persons significantly affected¹
- ☐ Category B. Estimated number of affected persons: _____
- ☐ Category C. There are no affected persons.

Safeguards planning documents to be prepared:

- ☐ Resettlement Plan
- ☐ Due Diligence Report
- ☐ Due Diligence Report with Corrective Action Plan
- ☐ Social Compliance Audit
- ☐ Social Compliance Audit with Corrective Action Plan

Impacts on Ethnic Minorities in relation to LAR.

This is to confirm that in accordance with the Project's Key Principles for Site Selection, the project has avoided concentrated ethnic minority communities and that there will be no adverse impacts on any ethnic minorities. Any ethnic minorities present will benefit equally from the subproject.

Details:

Prepared by:

Approved by:

¹ Assessment of impacts includes sites with past land acquisition. Sites cleared in anticipation of ADB support that resulted in 200 persons or more physically displaced and/or losing 10% or more of their total income-generating (productive) assets will not be eligible for financing under the RBL.

A. Probable Permanent Land Acquisition	Yes	No	Remarks
1. Will there be permanent land acquisition?			If the answer is no, please go to Section B, C, and D. For items 2-13 below, put "not applicable" If yes, what is the total land area?
2. Is the site for land acquisition known?			Please indicate if the design document (project proposal/feasibility study report) is ready.
3. Is the ownership status and current usage of land to be acquired known?			
4. Will there be loss of shelter and residential land due to land acquisition?			Please provide estimates
4.1. How many households and people will be affected by the land acquisition?			Refer to footnote 3. Sites that trigger category A will not be selected.
5. Will there be physical displacement ² involved?			
5.1 How many households and people will be affected by physical displacement?			If 200 or more persons will be physically displaced, the site will not be selected.
6. Will there be loss of agricultural and other productive assets due to land acquisition?			Please provide estimates
7. Will there be losses of crops, trees, and fixed assets due to land acquisition?			Please provide estimates
8. Will there be loss of businesses or enterprises due to land acquisition?			Please provide estimates
9. Will there be loss of income sources and means of livelihoods due to land acquisition?			Please provide type of income source/livelihood
9.1. How many households and people will be affected by economic displacement ³			Please provide estimates. If 200 or more persons will lose 10% or more of their total income-generating (productive assets), the site will not be selected.
9.2. How many households and people will be affected by losing 10% or more of their income generating asset?			Please provide estimates

² Physical displacement refers to Relocation, loss of residential land, or loss of shelter as a result of (i) involuntary acquisition of land, or (ii) involuntary restrictions on land use or on access to legally designated parks and protected areas.

³ Economic displacement refers to Loss of land, assets, access to assets, income sources, or means of livelihood as a result of (i) involuntary acquisition of land, or (ii) involuntary restrictions on land use or on access to legally designated parks and protected areas.

10. Total number of significantly affected persons: What is the total number of persons affected by physical displacement and those losing 10% or more of their income generating assets for all land acquisition under this activity (including past, present, and future impacts). Exclude double counting if households/persons are affected by both physical and economic displacement.			
11. Are any affected persons from ethnic minority groups?			
12. Are there any vulnerable groups ⁴ affected?			
13. Are there any problems on permitting of land acquisition and house demolition, e.g., persons occupying the site without title ⁵ (if relevant)			
14. Additional Information if the answer is yes. Based on initial screening, the following preliminary information has been obtained. - Estimated households and persons and other entities affected by land acquisition - Total number of estimated households and persons and other entities affected by house demolition - Estimated number of poor and vulnerable households identified - Other information: Other documents can be added as appendix: ● Design (project proposal/ feasibility study report) approval ● Land Use Pre-examination; ● Site selection approval			

B. Temporary Occupation of Land⁶	Yes	No	Remarks
1. Will there be temporary occupation of land?			Please indicate if the land is state-owned or collective. Please state how long is the period of temporary land occupation.
2. Is the site of the land to be temporarily occupied known?			Please indicate if the design document (project proposal/feasibility study report) is ready.
3. Is the ownership status and current usage of land to be occupied known?			
4. Will there be loss of access for residents during temporary occupation?			Please provide estimates
5. Will there be loss of agricultural and other productive assets?			Please provide estimates
6. Will there be loss of crops, trees, and fixed assets?			Please provide estimates
7. Will there be loss of access for businesses or enterprises during construction?			Please provide estimates
8. Will there be loss of income sources and means of livelihoods during construction?			Please provide type of income source/livelihood
9. Will there be temporary impacts on ethnic minority groups?			
10. Will there be temporary impacts on vulnerable groups?			

⁴ Vulnerable groups refer to the low-income, people in extremely hardship (Five Guarantee Household), people with disabilities, women-head household, non-titled, etc.

⁵ Non-titled household refers to those who occupy or use the land/houses/assets without legal ownership through contract and/or permit.

⁶ For temporary occupation of state-owned land, it should include information on users of land (temporary allocation or encroachers). For example, farmers may be using the land temporarily or there may be structures on land.

11. For temporary occupation of land, please provide estimated timeframe (i.e. 6 months temporary occupation, 1 year etc.). - Estimated number of households and persons and other entities affected by land acquisition - Villages to be temporarily affected by land acquisition - Type of structures that will be potentially affected (fences, waiting sheds, etc.) - Other information			
C. Ongoing or Past Land Acquisition	Yes	No	Remarks
1. Is there any ongoing or past land acquisition or involuntary resettlement for the sites?			If the answer is yes, please attach the due diligence report or please state that due diligence will be carried out by (specify the date) and the DDR will be submitted to APMO by (specify the date)
Additional Information if the answer is YES . Based on initial screening, the following preliminary information has been obtained. • When it was acquired and for what purpose • Name of village/s and township/subdistrict where project is located and from whom land was acquired • Total land area occupied by the project • Total houses and other structures demolished by the project • Status of land acquisition for the facility/project • Information on status of payment of compensation • Type of land acquired (i.e. land classification prior to project construction) • Amount paid by the government agency to original land users for land and/or fixed assets and basis used for compensation unit rates. Other assistance provided (if any) aside from monetary compensation. • Name of local government agency who handled land acquisition and resettlement activities • Number of persons/households affected by land acquisition and house demolition by the Government • For the HHs affected by house demolition, have they been fully relocated or still in transition? • If the Certificate of State-owned Land Using Right has been issued by the government? If during screening, outstanding or legacy issues were identified, a corresponding corrective action plan should be developed and included in the DDR. If outstanding or legacy issues cannot be addressed, the ADB will not finance the subproject. Other documents can be added as appendix: • Design (project proposal/ feasibility study report) approval • Land Use Pre-examination; • Site selection approval • Land Acquisition Approval (transferring the farmland to construction land) • Certificate of State-owned Land Using Right			

D. Existing Facilities	Yes	No	Remarks
2. Will the project financing involve existing facilities?			If the answer is yes, please attach social compliance audit report or please state that social compliance audit will be carried out by (specify date) and the SCA report will be submitted to APMO by (specify date)

Additional Information if the answer is yes. Based on initial screening, the following preliminary information has been obtained.

- When it was acquired and for what purpose
- Name of village/s and township/subdistrict where project is located and from whom land was acquired
- Total land area occupied by the project
- Total houses and other structures demolished by the project
- Status of land acquisition for the facility/project
- Information on status of payment of compensation
- Type of land acquired (i.e. land classification prior to project construction)
- Amount paid by the government agency to original land users for land and/or fixed assets and basis used for compensation unit rates. Other assistance provided (if any) aside from monetary compensation.
- Name of local government agency who handled land acquisition and resettlement activities
- Number of persons/households affected by land acquisition and house demolition by the Government
- For the HHs affected by house demolition, have they been fully relocated or still in transition?
- If the Certificate of State-owned Land Using Right has been issued by the government?

If during screening, outstanding or legacy issues were identified, a corresponding corrective action plan should be developed and included in the DDR. If outstanding or legacy issues cannot be addressed, the ADB will not finance the subproject.

Other documents can be added as appendix:

- Design (project proposal/ feasibility study report) approval
- Land Use Pre-examination;
- Site selection approval
- Land Acquisition Approval (transferring the farmland to construction land)
- Certificate of State-owned Land Using Right

E. Confirmation that subproject does not have resettlement impacts that are sensitive, diverse or unprecedented in nature.	Yes	No	Remarks
Will the project have resettlement impacts that are "Sensitive" ⁷ , "Diverse" ⁸ , or unprecedented ⁹ ?			If the answer is yes, the subproject is not eligible for the RBL program.

⁷ Generally means impacts which could have a major bearing on the environment and or affected people and cause serious or irreversible damage or some reason requires special attention. For social safeguards, this could include for example vulnerable affected people losing or partially losing their way of life and livelihood, or physical displacement.

⁸ Means impacts that are multi-dimensional in nature, leading to multiple types of impacts or impacts that may affect an area larger than the sites or facilities subject to physical works and might have cumulative and synergistic effects. For social safeguards, this could include for example impacts that affect different types of affected people such as landless, non-titled, seasonal workers as one type, and landowners as another, or impacts that involve different impact types, such as loss of land, physical displacement, economic displacement, crop losses, tree losses, other socio-economic impacts and/or cultural impacts. A combination of environmental and social impacts could also contribute to diversity of impacts.

⁹ Means impacts of a type, nature or scale that have not occurred before or occur very rarely, or where little is known or understood about the likelihood and nature of the impacts, such that mitigation measures are not readily available or have not been tested within the program context. For social safeguards, this could include for example large-scale physical displacement of Indigenous Peoples communities from customary land and sources of livelihood, or households that have been previously displaced by earlier development projects and may be displaced again by the program.

RESETTLEMENT PLANNING DOCUMENTATION

Resettlement Plan

1. For category B subprojects, the Program Implementation Unit (PIU) will collaborate with the local government on the preparation of the resettlement plan in accordance with national laws, local regulations and Asian Development Bank (ADB) Safeguard Policy Statement (SPS) SR 2 on Involuntary Resettlement. Administration of Chongqing Gaoxin District Program Management Office (APMO) will review and clarify the resettlement plan prepared by the PIU. The first three Resettlement Plans will be submitted to ADB for prior review and clearance. Such resettlement plan should be submitted to and cleared by the ADB prior to award of civil work contracts of the subproject. The ADB review will continue if it is found that quality is low and/or APMO has capacity issues in implementing resettlement safeguard requirement.

2. Once the resettlement plan is reviewed and acceptable to the APMO (or ADB for first three subprojects, or as long as prior review is deemed necessary by ADB), APMO will also submit copies of Confirmation Letters that land acquisition and house demolition were satisfactorily completed in line with the agreed resettlement plan before physical and economic displacement of affected as part of the semi-annual monitoring reports to be submitted to ADB.

Preparing the Resettlement Plan

3. The resettlement plan will be prepared following these procedures:
 - (i) Undertake a census of all affected persons. Affected persons who are entitled to receive compensation refer to those who are physically displaced (relocation, loss of residential land, or loss of shelter) and/or economically displaced (loss of land, assets, access to assets, income sources, or means of livelihoods) as a result of (a) involuntary acquisition of land, or (b) involuntary restrictions on land use or on access to legally designated parks and protected areas. Displaced persons in a project area could be of three types: (a) persons with formal legal rights to land lost in its entirety or in part; (b) persons who lost the land they occupy in its entirety or in part who have no formal legal rights to such land, but who have claims to such lands that are recognized or recognizable under national laws; and (c) persons who lost the land they occupy in its entirety or in part who have neither formal legal rights nor recognized or recognizable claims to such land.
 - (ii) Undertake detailed measurement survey (DMS) (see Table 1) of all losses of all affected persons. At the same time, inform potential affected persons, without discrimination, of the project, its likely impacts, and principles and entitlements as per national laws and ADB SPS SR2 on Involuntary Resettlement.
 - (iii) Undertake a socioeconomic survey (see Table 1) of the affected households whose land and/or structures are severely affected. If the impacts on all affected households are all marginal, at least 10% of the total affected households will be surveyed.
 - (iv) Determine the replacement cost for various types of affected assets. Determine the losses and corresponding entitlements, including costs, and prepare an entitlement matrix which will be included in the resettlement plan.
 - (v) Provide subproject and resettlement information to all persons affected in a form and language that are understandable to them, and closely consult them on compensation and resettlement options, including relocation sites and economic rehabilitation.

- (vi) Prepare the draft resettlement plan with time-bound implementation schedule, procedures for grievance mechanism and monitoring evaluation, and a budget.

Table 1: Surveys for Resettlement Plan Preparation

Detailed Measurement Survey (DMS)	The census and DMS of lost assets will collect data on the affected assets from 100% of affected persons following detailed engineering design. The data collected during the DMS will constitute the formal basis for determining affected persons entitlements and levels of compensation. For each affected person, the scope of the data will include: • Total and affected areas of land, by type of land assets; • Total and affected areas of structures, by type of structures (main or secondary); • Legal status of affected land and structure assets, and duration of tenure and ownership; • Quantity and types of affected crops and trees; • Quantity of other losses, e.g., business or other income, jobs or other productive assets; estimated daily net income from informal shops; • Quantity/area of affected common property, community or public assets, by type; • Summary data on households, by ethnicity, gender of head of household, household size, primary and secondary source of household income, viz-a-viz poverty line, income level, whether household is headed by women, elderly, disabled, or poor; • Identify whether affected land or source of income is primary source of income; and • Affected person knowledge of the subproject and preferences for compensation and, as required, relocations site and rehabilitation measures.
Socioeconomic Survey (SES)	The SES will collect information from 10% of affected persons whose land/income generating assets and/or structures will be severely affected, disaggregated by gender and ethnicity. The purpose of the socioeconomic survey is to provide baseline data on households to assess resettlement impacts, and to be sure proposed entitlements are appropriate, and to be used for resettlement monitoring. The scope of data to be collected includes; • Household head: name, sex, age, livelihood or occupation, income, education and ethnicity; • Household members: number, livelihood or occupation, school or age children and school attendance and literacy, disaggregated by gender; • Living conditions: access to water, sanitation and energy for cooking and lighting; ownership of durable goods; and • Access to basic services and facilities.

4. Entitlements of affected households and persons should be in line with PRC and ADB SPS (2009) requirements as indicated below:

5. In the context of involuntary resettlement, affected persons are those who are physically displaced (relocation, loss of residential land, or loss of shelter) and/or economically displaced (loss of land, assets, access to assets, income sources, or means of livelihoods) as a result of (i) involuntary acquisition of land, or (ii) involuntary restrictions on land use or on access to legally designated parks and protected areas.

6. For cut-off date for the eligibility for compensation, it will vary from projects under the program, and depend on the date of project land acquisition/house demolition which the notice is announced by local government officially. Any claims for land, built house or settlement in the project area after this date will not be entitled to compensation or subsidization.

7. If the local government has already established an earlier cut-off date in the project area, the local government's cut-off date will be followed provided that the following conditions below are met: the ACGD will provide a copy of the halt notice on land acquisition and house demolition/pre-notice on land acquisition and house demolition published, documents confirming dissemination of information (billboards, minutes of public meetings, letters to households, newspapers, websites, broadcast, etc.), and the confirmation from households that they were informed about the cut-off-date verbally and in writing.

8. Specific to vulnerable households (men, women, ethnic groups), they are identified as those who belong to the Five-Guarantee Program, the elderly, weak, widowed and disabled members who are unable to work and have no means of living, or whose households lack labor who are being provided with production and living assistance (e.g. food, clothing, fuel, education and burial expenses) and those eligible for the Minimum Living Guarantee System and are provided with living subsidy each month. Those who are not considered as vulnerable groups as per definition but may become at risk of being vulnerable or experience hardship due to impacts of land acquisition/house demolition; i.e., may need special support during the transition period (e.g., during relocation such as labor, transport) will also be identified and will be provided with necessary assistance.

9. A brief description of eligible criteria, types of affected persons, compensation, relocation, and rehabilitation strategies are shown in the entitlement matrix below:

Table 2: Entitlement Matrix

Type of Impact	Affected Person	Compensation Policies and Entitlements	Additional Notes
Permanent land acquisition/ occupation	Owners of using rights of state-owned land	The compensation rate will be based on the principle of replacement value (i) For the affected owners of using rights of state-owned land, compensation will be determined based on appraisal by a qualified appraiser. (ii) For the affected other urban land areas, such as unused land, river channels, and so on, administrative transfer of the land will be carried out. (iii) For the reserved state-owned land for public facilities, administrative transfer of the land will be carried out.	In line with PRC regulations. The potential situation in the program are as follows: (i) the government purchasing state-owned land from real estate development company who has developed the residential commercial housing community, then transfer to PIU for the construction of public services facilities; (ii) the unused state-owned land is vacant and in line with urban land use planning which could be used as public services facilities, administrative transfer of the land to PIU will be carried out by local government.
Permanent land acquisition	Collective rural land • farmland; • construction land and other collective land not contracted to villagers, such as unused land, land used for public facilities. Affected villages and members of affected villages (villagers) who have formal land use rights (called "land contract management rights") either by land take for new facilities or by adjustment of farmlands	(i) Compensation standard for various rural lands will be in line with the <i>PRC Land Administration Law (RenDa [2019] No. 32)</i>,^a <i>The Notice of the People's Government of Chongqing Municipality on the Announcement of Matters Relating to Compensation and Resettlement Standards for Land Acquisition (YFF [2021] No. 14)</i>^b and <i>The Notice of the ACGD on the Issuance of the Implementation Measures for Compensation and Resettlement of Permanent Land Acquisition of Collective Land in CGD (ACGD [2021] No 24)</i>,^c stipulates the comprehensive regional land price for land acquisition which composed of land compensation fee and resettlement subsidy, with CNY 18,900/mu for land compensation fee and CNY 44,100/mu for resettlement subsidy, totaling CNY 63,000/mu, regardless farmland, construction land and unused land. (ii) Land compensation fee will be paid to village committee. If household contracted land involved, 80% of the land compensation fee should be paid to affected household and the remaining 20% will be managed and used by the village committee in accordance with the law; if no household contracted land involved, all the land compensation fee should be will be managed and used by the village committee in accordance with the law; (iii) Resettlement subsidy will be paid to the eligible person for resettlement at a rate of CNY	In line with PRC regulations. <i>PRC Land Administration Law (RenDa [2019] No. 32)</i>^a requires that for collective land compensation, the provincial government needs to formulate and publish comprehensive regional land prices for Land Acquisition, and social security budget should be considered. The original use of land, annual average output value (AAOV), socioeconomic situation of residents, the relationship between land supply and demand and the location of land are taken into account in the formulation of the comprehensive land price and will be adjusted or re announced once every three years by the Provincial Department of Natural Resource. The new Land Administration Law (<i>RenDa [2019] No. 32</i>)^a (Article 48) placed much importance on livelihood sustainability post-displacement. The adopted method of Regional Comprehensive Land Price allows farmers to have a much higher price for land acquisition than before. The new law mandatorily requires that farmers affected by land acquisition shall be covered by social pension, which can guarantee livelihood sustainability when they reach the retirement age.

Type of Impact	Affected Person	Compensation Policies and Entitlements	Additional Notes
		38,000/person. If there is a surplus of resettlement subsidy, the surplus will be managed and used by the village committee in accordance with the law; if the resettlement subsidy is insufficient, the ACGD will arrange funds to make up for it. (iv) The compensation rates for young crops and other ground attachments based on replacement value will be paid directly to the affected persons. (v) Other or various economic restoration measures include skills training, provision of job opportunities, and social security to ensure their incomes and/or livelihoods are fully restored and sustainable. (vi) For land loss farmers, they will be included into the corresponding social security systems such as endowment insurance system. The cost for social security, calculated by the area of acquired land, according to the standard of no less than 5,500 yuan per <i>mu</i> in CGD, shall be paid by the local government during land acquisition and deposited in the special account of endowment insurance payment subsidy of the expropriated farmers designated by the human resources and social security department.	
Permanent Loss of Land Use	Not members of the villages (outsiders) who are currently farming the land areas under lease arrangement	(i) Compensation for lost crops and lost structures based on replacement value will be paid directly to the affected persons and will be assisted to arrange other lands for lease.	In line with PRC regulations.
Temporary land occupation	Owners of land, crops, trees and other ground attachments	(i) The compensation for temporary land occupation will include young crops cost, loss of output during occupation and will be paid directly to the affected persons/entities based on replacement value. (ii) The compensation will be determined according to the AAOV and length of occupation time. The average time limit of the temporary land acquisition is set at maximum of two years, except for energy, transportation, water conservancy and other infrastructure construction projects with a long construction period, not exceeding 4 years. (iii) The land will be restored by the contractors and the cost will be included in the subproject total budget. If the contractor cannot restore or the restored land	In line with PRC regulations.

Type of Impact	Affected Person	Compensation Policies and Entitlements	Additional Notes
		cannot meet the standards, the contractor will be required to pay the land restoration fee to the government and the Planning and Natural Resources Bureau will be responsible to restore the land.	
Structure demolition	Owner of Rural Houses	(i) For rural houses to be demolished, compensation will be set at replacement value, based on evaluation of material costs for a replacement structure in each subproject area by a qualified appraiser. The compensation for various attachments, infrastructure facilities, transition subsidy and moving allowance will be set in accordance with the related laws and regulations. (ii) For each relocated household, two resettlement options provided: property swap and cash compensation. If affected households prefer property swap, the ACGD will provide a replacement housing, which will be connected with roads, water and gas supply and electricity. If affected households prefer to get cash compensation, the compensation fee and an award for relocation will be paid to them. (iii) The resettlement principles are: (i) compensation shall be paid to affected households before relocation; (ii) living conditions of affected households shall be improved after relocation; and (iii) the opinions and options of affected households are fully respected and considered. (iv) If the land is leased, the compensation for land will be paid to the owner of the land, and the compensation for structures will be paid to the owner of the houses.	In line with PRC regulations.

Type of Impact	Affected Person	Compensation Policies and Entitlements	Additional Notes
	Owner of Urban Houses	(i) For demolished urban houses, compensation will be set at the market value based on appraisal. The compensation for various attachments, infrastructure facilities, transition subsidy and moving allowance will be set in accordance with the related laws and regulations. (ii) The relocated urban households will be provided with two rehabilitation options. One is to provide replacement apartment housing with better quality and similar sizes. The other option is to provide cash compensation at replacement value so affected persons can purchase available units on the market. (iii) For renters of houses, they will be informed of house demolition in advance. If requested, the local government will assist them to find another place to rent new houses before house demolition.	In line with PRC regulations.
	Owners or users of non-residential structures	(i) For owners of non-residential structures, such as enterprises, institutions, and shops, compensation will be set at the replacement value, based on an analysis of material costs in the subproject area, plus land value if located in urban planning areas. (ii) For those enterprises that remain in their current locations with relatively minor impacts, they will make their own arrangements to build any replacement buildings based on cash compensation received. For those enterprises that need to be relocated, at their request, the local government will provide non-residential properties or cash compensation for them to choose. In addition, if the business of affected enterprises meets the policy of an industrial park, supportive policies will be provided to them to settle in the industrial park. Affected employees will be compensated in accordance with the provisions stated in the PRC's Labor Law (<i>RenDa</i> [2018] No.28).^d (iii) In terms of compensation for equipment relocation, the moving allowance, and lost wages and income during the temporary interruption will be determined in accordance with actual costs. Equipment that is not movable will be compensated at replacement value.	In line with PRC regulations.

Type of Impact	Affected Person	Compensation Policies and Entitlements	Additional Notes
		(iv) For small shop owners (registered and unregistered) that are affected, cash compensation will be provided based on replacement value of damaged assets, plus moving and transition allowances. Local government will assist them in finding good commercial areas to enable businesses to reestablish their business. (v) Affected employees/workers will be assisted by finding continued or new employment, either by the enterprises or by local government. The Local Labor and Social Security Bureau will provide job information to them.	
	Owners of unlicensed houses (built without certification/permit)	(i) Compensation for non-land assets at replacement value if the affected persons meet the program's cut-off date. (ii) Eligible for resettlement assistance similar to those who have licensed houses (iii) if the affected persons belong to the vulnerable groups and in need of housing, they will be assisted in securing affordable housing or low-rent housing*.	If an earlier cut-off date has been established by the Government, the Government's cut-off date will be followed provided that the following conditions are met: • Copy of Halt Notice for Land Acquisition and House Demolition/ pre-notice for Land Acquisition and House Demolition published, • Documents confirming dissemination of information (billboards, minutes of public meetings, letters to households, newspapers, websites, broadcast, etc.), and • Confirmation from households that they were informed about the cut-off-date verbally and in writing As good practice, for households who are not eligible for compensation for houses at replacement value, the history or reason why the structure has no certification/license; and their socio-economic conditions and vulnerability will be assessed by the local government and concerned bureaus to determine the necessary assistance that can be provided to them to ensure that they will be able to restore or will not be worse-off because of the program. *According to the <i>Regulations to Solve the Housing Difficulties for the Low Income HHs issued by State Council (GuoFa [2007] No. 24)</i>^e affordable housing and low-rent housing should be provided to the households who have housing difficulties.

Type of Impact	Affected Person	Compensation Policies and Entitlements	Additional Notes
			Households affected by house demolition can apply for affordable housing and low-rent housing.
Loss of ground attachments (Green crops, economic trees and other ancillary facilities (wells, drying grounds, etc.) caused by permanent or temporary land occupation)	Property/ asset owner (whether having legal title to land or not)	(i) Collective and individual assets will be compensated at replacement cost or reconstructed in accordance with the “original function, the original scale and standards,” and the costs will be included in the project cost and paid by contractor directly to the property/asset owner.	In line with PRC regulations.
Damage to public infrastructure (electricity, water lines, irrigation, drainage, roads)	Owner or in charge departments	(i) All the common facilities affected by the program shall be rehabilitated and rebuilt according to the actual conditions affected by the program, the original standard, scale and function, and the new requirements. The compensation funds shall be planned according to the rehabilitation plan, and provided to the relevant public departments in charge of special facilities to organize the implementation. The compensation payable where public facilities are affected will be determined in accordance with the relevant regulations and estimates quota, with reference to the unit costs for similar subproject areas.	In line with PRC regulations.
Impact on ethnic groups, women and vulnerable households	Women-headed households and vulnerable households that are impacted by any of the above categories	(i) Various assistance will be provided based on the situation of each household. For example, urgent cash assistance if the households have serious illness in addition to the subsidy paid under rural cooperative medical care system; cash or in-kind assistance for the women-headed households provided by the women’s federation; priority given by the village committee to be included in the endowment insurance system for the land loss farmers affected by land acquisition. (ii) Priority to obtain relevant training and access to job opportunities in the area including project-related employment opportunities. (iii) Provision of affordable housing and low-rent housing.	In line with PRC regulations. Those being ethnic minority, and women-headed-households requires greater in-depth assessment during detailed measurement survey to determine their vulnerability factor and if some are already part of the Five-Guarantee household or MSL. Those who are not considered as vulnerable groups as per definition but may become at risk of being vulnerable or experience hardship due to impacts of land acquisition/house demolition; i.e., may need special support during the transition period (e.g. during relocation such as labor, transport) will also be identified and will be provided with necessary assistance.

Type of Impact	Affected Person	Compensation Policies and Entitlements	Additional Notes
		(iv) Depending on the history and circumstances of each household, other assistance may be provided.	

AAOV = annual average output value, ACGD = Administration of Chongqing Gaoxin District, CGD = Chongqing Gaoxin District, CNY = Chinese yuan, PIU = program implementation unit, PRC = People's Republic of China.

^a The Standing Committee of the National People's Congress of the PRC. 2019. [Land Administration Law of the PRC](#). Beijing (in Chinese).

^b Chongqing Municipal Government. 2021. [The Notice of the People's Government of Chongqing Municipality on the Announcement of Matters Relating to Compensation and Resettlement Standards for Land Acquisition](#). Chongqing (in Chinese).

^c Administration of Chongqing Gaoxin District. 2021. [The Notice of the ACGD on the Issuance of the Implementation Measures for Compensation and Resettlement of Permanent Land Acquisition of Collective Land in CGD](#). Chongqing (in Chinese).

^d The Standing Committee of the National People's Congress of the PRC. 2018. [Labor Law of the PRC](#). Beijing (in Chinese).

^e The General Office of State Council of the PRC. 2007. [The Regulations to Solve the Housing Difficulties for the Low-Income Household of the PRC](#). Beijing (in Chinese).

Source: Asian Development Bank.

Outline of a Resettlement Plan

OUTLINE OF A RESETTLEMENT PLAN

1. A resettlement plan is required for all subprojects with involuntary resettlement impacts. Its level of detail and comprehensiveness is commensurate with the significance of potential involuntary resettlement impacts and risks. The substantive aspects of the outline will guide the preparation of the resettlement plans, although not necessarily in the order shown.

A. Executive Summary

2. This section provides a concise statement of subproject scope, key survey findings, entitlements and recommended actions.

B. Subproject Description

3. This section provides a general description of the subproject, discusses subproject components that result in land acquisition, restricted access to land, and/or involuntary resettlement, and identifies the subproject area. It also describes the alternatives considered to avoid or minimize resettlement. Includes a table with quantified data and provides a rationale for the final decision.

C. Scope of Land Acquisition and Resettlement

4. This section:

- (i) discusses the subproject's potential impacts, and includes maps of the areas or zone of impact of subproject components or activities;
- (ii) describes the scope of land acquisition (provide maps) and explains why it is necessary for the main investment subproject;
- (iii) summarizes the key effects in terms of assets acquired and displaced persons; and
- (iv) provides details of any common property resources that will be acquired.

D. Socioeconomic Information and Profile

5. This section outlines the results of the social impact assessment, the census survey, and other studies, with information and/or data disaggregated by gender, vulnerability, and other social groupings, including:

- (i) definition, identification, and enumeration of the people and communities to be affected;
- (ii) description of the likely impacts of land and asset acquisition on the people and communities affected taking social, cultural, and economic parameters into account;
- (iii) discussion of the subproject's impacts on the poor, indigenous and/or ethnic minorities, and other vulnerable groups; and
- (iv) identification of gender and resettlement impacts, and the socioeconomic situation, impacts, needs, and priorities of women.

E. Information Disclosure, Consultation, and Participation

6. This section:

- (i) identifies subproject stakeholders, especially primary stakeholders;
- (ii) describes the consultation and participation mechanisms to be used during the different stages of the subproject cycle;

- (iii) describes the activities undertaken to disseminate subproject and resettlement information during subproject design and preparation for engaging stakeholders;
- (iv) summarizes the results of consultations with affected persons (including host communities), and discusses how concerns raised and recommendations made were addressed in the resettlement plan;
- (v) confirms disclosure of the draft resettlement plan to affected persons and includes arrangements to disclose any subsequent plans; and
- (vi) describes the planned information disclosure measures (including the type of information to be disseminated and the method of dissemination) and the process for consultation with affected persons during subproject implementation.

F. Grievance Redress Mechanisms

7. This section describes mechanisms to receive and facilitate the resolution of affected persons' concerns and grievances. It explains how the procedures are accessible to affected persons and gender sensitive.

G. Legal Framework

8. This section:

- (i) describes national and local laws and regulations that apply to the subproject and identifies gaps between local laws and Asian Development Bank's (ADB) policy requirements; and discuss how any gaps will be addressed.
- (ii) describes the legal and policy commitments from the executing agency for all types of displaced persons;
- (iii) outlines the principles and methodologies used for determining valuations and compensation rates at replacement cost for assets, incomes, and livelihoods; and sets out the compensation and assistance eligibility criteria and how and when compensation and assistance will be provided.
- (iv) describes the land acquisition process and prepare a schedule for meeting key procedural requirements.

H. Entitlements, Assistance and Benefits

9. This section:

- (i) defines displaced persons' entitlements and eligibility, and describes all resettlement assistance measures (includes an entitlement matrix);
- (ii) specifies all assistance to vulnerable groups, including women, and other special groups; and.
- (iii) outlines opportunities for affected persons to derive appropriate development benefits from the subproject.

I. Relocation of Housing and Settlements

10. This section:

- (i) describes options for relocating housing and other structures, including replacement housing, replacement cash compensation, and/or self-selection (ensure that gender concerns and support to vulnerable groups are identified);
- (ii) describes alternative relocation sites considered; community consultations conducted; and justification for selected sites, including details about location, environmental assessment of sites, and development needs;
- (iii) provides timetables for site preparation and transfer;

- (iv) describes the legal arrangements to regularize tenure and transfer titles to resettled persons;
- (v) outlines measures to assist displaced persons with their transfer and establishment at new sites;
- (vi) describes plans to provide civic infrastructure; and
- (vii) explains how integration with host populations will be carried out.

J. Income Restoration and Rehabilitation

11. This section:

- (i) identifies livelihood risks and prepare disaggregated tables based on demographic data and livelihood sources;
- (ii) describes income restoration programs, including multiple options for restoring all types of livelihoods (examples include subproject benefit sharing, revenue sharing arrangements, joint stock for equity contributions such as land, discuss sustainability and safety nets);
- (iii) outlines measures to provide social safety net through social insurance and/or project special funds;
- (iv) describes special measures to support vulnerable groups;
- (v) explains gender considerations; and
- (vi) describes training programs.

K. Resettlement Budget and Financing Plan

12. This section:

- (i) provides an itemized budget for all resettlement activities, including for the resettlement unit, staff training, monitoring and evaluation, and preparation of resettlement plans during loan implementation;
- (ii) describes the flow of funds (the annual resettlement budget should show the budget-scheduled expenditure for key items);
- (iii) includes a justification for all assumptions made in calculating compensation rates and other cost estimates (taking into account both physical and cost contingencies), plus replacement costs; and
- (iv) includes information about the source of funding for the resettlement plan budget.

L. Institutional Arrangements

13. This section:

- (i) describes institutional arrangement responsibilities and mechanisms for carrying out the measures of the resettlement plan;
- (ii) includes institutional capacity building program, including technical assistance, if required;
- (iii) describes role of non-government organizations (NGO), if involved, and organizations of affected persons in resettlement planning and management; and
- (iv) describes how women's groups will be involved in resettlement planning and management.

M. Implementation Schedule

14. This section includes a detailed, time bound, implementation schedule for all key resettlement and rehabilitation activities. The implementation schedule should cover all aspects of resettlement activities synchronized with the subproject schedule of civil works construction, and provide land acquisition process and timeline.

N. Monitoring and Reporting

15. This section describes the mechanisms and benchmarks appropriate to the subproject for monitoring and evaluating the implementation of the resettlement plan. It specifies arrangements for participation of affected persons in the monitoring process. This section will also describe reporting procedures

DUE DILIGENCE FOR SUBPROJECTS WITH PRIOR OR ONGOING INVOLUNTARY RESETTLEMENT IMPACTS AND SOCIAL COMPLIANCE AUDIT FOR EXISTING FACILITIES

1. **Due diligence report.** In case of subprojects with ongoing or past land acquisition or involuntary resettlement, the Program Implementation Unit (PIU), together with the PNRB and Land Use Affairs Center will conduct due diligence to determine if there are any outstanding or legacy and prepare due diligence report (DDR). Administration of Chongqing Gaoxin District Program Management Office (APMO) will review the DDRs submitted by PIU. The first three DDRs will be submitted to Asian Development Bank (ADB) for prior review and clearance. Such DDR should be submitted to the ADB for review and cleared prior to award of civil works contract for the subproject. The ADB review will continue if it is found that quality is low and/or APMO has capacity issues in implementing resettlement safeguard requirement. Template for DDR is attached as **Annex 3-1**.
2. Once DDR is reviewed and acceptable to the APMO, APMO will issue the Confirmation Letter that the DDR is satisfactory. The main conclusions of DDR will be included in the semiannual monitoring reports that will be submitted to ADB.
3. **Social compliance audit.** For any existing facilities in terms of provisions set in ADB SPS, social compliance audit (SCA) will be prepared. The reports will be similar to DDR in **Annex 3-1**. The PIU, together with the PNRB and Land Use Affairs Center, will prepare the SCA report and submitted to APMO for review. The first three SCAs will be submitted to ADB for prior review and clearance. Such SCA should be submitted to the ADB for review prior to award of civil works contract for the subproject. The ADB review will continue if it is found that quality is low and/or APMO has capacity issues in implementing resettlement safeguard requirement. Template for SCA is in **Annex 3-1**.
4. Once SCA is reviewed and acceptable to the APMO, APMO will issue the Confirmation Letter that the SCA is satisfactory. The main conclusions of SCA will be included in the semi-annual monitoring reports that will be submitted to ADB.

Annex 3-1: Suggested Outline for DDR /Social Compliance Audit

CONFIRMATION LETTER

For

SUBPROJECT

Administration of Chongqing Gaoxin District Program Management Office (APMO) has reviewed the resettlement due diligence report (DDR) submitted by XX and due diligence carried out for this subproject indicated that the land acquisition and house demolition were not done in anticipation of this Asian Development Bank (ADB) project. This DDR confirms that there are no outstanding involuntary resettlement impacts or impacts on any specific ethnic minority communities that could trigger ADB's Social Safeguard Policy requirements for indigenous peoples.

This DDR is based on the feasibility study report/preliminary/final design and site works during the subproject preparation. If due to unforeseen circumstances, the subproject involves additional adverse impacts during project implementation, the APMO will ensure that the subproject will comply with the applicable laws and regulations of PRC and ADB's Safeguard Policy Statement in addressing them.

Attachment 1:	Involuntary Resettlement categorization Checklist
Attachment 2:	Copy of Land Certification
Attachment 3:	Other documents could support the DDR results, such as copy of land acquisition/house demolition announcement and resettlement plan announcement, land acquisition/house demolition compensation agreements, receipt of compensation payments, etc.

Prepared by :

Administration of Chongqing Gaoxin District Program Management Office

I. INTRODUCTION

II. DUE DILIGENCE FINDINGS

1. **Scope of Land Acquisition and Resettlement Impacts.** *Please enumerate in matrix format all the subproject components requiring land acquisition, the amount of land required for each component. Provide information on whether acquisition of the land or right of way required any physical or economic displacement or affected any buildings or structures and required the payment of compensation. Please attach copies of pictures of the subproject site, maps of the subproject site showing the project and the locations of communities.*

2. **Applicable Laws and Regulations.** *Describe the national, provincial, prefectural laws, regulations, and policies related to land acquisition.*

3. **History of Land Acquisition and Resettlement.**

- *Please discuss how the land was transferred from previous owners/users to the subproject.*
- *Information on whether prior land acquisition required any physical displacement from housing or economic displacement from land. Please provide information on amount of compensation paid and how the compensation rate was negotiated with the village collective or land user households.*
- *Please provide information on the year land was acquired and by whom, type of land acquired (whether state owned or collectively owned). If collectively owned, indicate land classification - is it agricultural land, commercial land, residential, cultivated dry land, irrigated land, or wasteland, etc.*
- *Please indicate number of villages and farmers from whom the land was acquired, the amount of compensation paid for the land and whether the compensation has been paid; whether affected village collective is satisfied with the compensation, whether compensation amount is equivalent to replacement value.*
- *Please provide information on options for relocation, arrangement during transition, progress of relocation of affected households;*
- *Please attach copies of documents in English related to land ownership to show that the Project has legal tenure over the land.*
- *Please describe the detailed consultation procedures for land including who are participants, where and when the consultation took place, what issues were discussed? Please attach the documents, photos.*
- *Information on any outstanding issues, complaints or grievances related to land acquisition and the actions proposed to address these issues/grievances.*

III. CONCLUSION

4. {Please discuss whether (i) subprojects entailed any land acquisition, restricted access to land, relocation of housing or loss of livelihoods, crops, trees, etc.; (ii) all land acquisition and compensation complied with national laws; (iii) all mitigating measures implemented complied with ADB and national requirements; (iv) there is any outstanding non-compliance issue.}

IV. CORRECTIVE ACTION PLAN

5. If the findings of the resettlement due diligence of subprojects identified any gaps in the entitlements of affected people as per national law and ADB's requirements, what are the

corrective actions required to ensure compliance with the SPS. *Please provide information on corrective actions, budget and timing of implementation.*

OUTLINE OF THE SEMIANNUAL MONITORING REPORT

Reporting Period: _____ to _____

I. Background

II. Progress of Involuntary Resettlement Safeguard Actions

(Please provide a summary of the Involuntary Resettlement actions carried out during the monitoring period)

Gap	Proposed Action	Indicator/Targets	Responsibility	Timeframe
Involuntary Resettlement				
Institutional arrangement and staffing	Each PIU assigns one resettlement focal point for planning and implementation of land use and resettlement activities. Each PIU assigns the LAR work to a design institute or appropriate third party like contractor which will accordingly assign a dedicated person to manage LAR, including screening, safeguard document preparation, consultation and GRM documentation, and related issues, with support and guidance of APMO and the resettlement specialist (consultant).	Designation of at least one qualified staff with experience in land acquisition and resettlement at each PIU. Assignment by each PIU of LAR management to the design institute or appropriate third party. Assignment by the design institute/third party of a dedicated person in charge of LAR management. Engagement by APMO of one qualified resettlement specialist (consultant) with at least 7 years relevant experience to provide implementation support and build capacity in APMO and PIU	APMO and PIU	Within 3 months of loan effectiveness and maintained throughout the program cycle
Capacity building related to resettlement management	Develop training schedule for the APMO, PIU and related agencies and persons, and conduct regular resettlement safeguard trainings including refresher trainings as needed for staff of APMO, PIU and relevant agencies, particularly those directly engage in LAR implementation and reporting.	Training workshops on resettlement, reflected in the semiannual monitoring reports.	APMO, PIU and resettlement specialist	At least one training course per year. It should be increased subject to observation of the resettlement specialist and request from APMO or PIU.
Screening and categorization	The PIU's dedicated staff/consultant will carry out land use and resettlement screening for all candidate subprojects under the program to classify the	All candidate subprojects are screened and classified regarding land use and resettlement impacts, including past LAR impacts. Results of screening and	APMO, PIU and resettlement specialist	Maintain throughout the program implementation period. The screening checklists and categorization forms will be

Gap	Proposed Action	Indicator/Targets	Responsibility	Timeframe
	subproject category. See Annex 1 for the detailed requirements of screening. Where necessary, the PIU's staff/consultant goes to the APMO and/or resettlement specialist for support.	categorization included in regular monitoring reports. Involuntary resettlement categorization checklists for the first three category B subprojects which require preparation of resettlement plans and first three category C subprojects which require preparation of DDRs will be submitted to ADB for prior review and clearance. ADB review will continue if it is found that quality is low and/or APMO has capacity issues in implementing resettlement safeguard requirements. No category A subprojects and those with significant and/ or sensitive involuntary resettlement legacy issues will be approved for implementation		included in the semi-annual monitoring reports to be submitted to ADB.
Resettlement plan for subprojects with potential land acquisition	For subprojects with potential LAR impacts, The PIU with support from the dedicated staff/consultant shall prepare a resettlement plan in accordance with PRC regulations, ADB Safeguard Policy Statement (2009), and the provisions of the PSSA, and submitted for clearance to APMO. The level of detail and comprehensiveness of the resettlement plan will be commensurate with the significance of involuntary resettlement impacts. See Annex 2 of the IRSSA for the outline of resettlement plan. APMO's clearance of the resettlement plan will be a prerequisite for awarding of civil works contract for the subproject. Where necessary, the PIU's staff/consultant goes to the APMO and/or resettlement specialist for support.	Resettlement plans will be prepared for all subprojects that are categorized as B for involuntary resettlement. Each PIU is the primary owner of resettlement plan and preparation. Where necessary, the APMO and resettlement specialist assist as requested. APMO will submit the first three resettlement plans to ADB for prior review and clearance. ADB review will continue this review of resettlement plans if it is found that quality is low and/or APMO has capacity issues in implementing resettlement safeguard requirements.	APMO, PIU and resettlement specialist	Prior to award of civil works contract for individual subprojects

Gap	Proposed Action	Indicator/Targets	Responsibility	Timeframe
Resettlement due diligence for ongoing or past land acquisition	For subprojects where land acquisition and resettlement is ongoing or has been completed before subproject preparation or affecting state-owned land, the PIU's with support from dedicated staff/consultant will conduct resettlement due diligence and prepare a resettlement DDR and submit to APMO for clearance. Where necessary, the PIU's staff/consultant goes to the APMO and/or resettlement specialist for support. The level of detail and comprehensiveness of DDR will be commensurate with the significance of legacy issues. See Annex 3 of the IRSSA for the outline of DDR. APMO's clearance of the DDR will be a prerequisite for awarding of civil works contract for the subproject.	Further land acquisition/clearance for new sites to be used for the RBL is stopped or should now be carried out in line with ADB SPS requirements. DDRs will be prepared. APMO will submit the first three DDRs to ADB for prior review and clearance. ADB review will continue if it is found that quality is low and/or APMO has capacity issues in implementing resettlement safeguard requirement.	APMO, PIU and resettlement specialist	Prior to award of civil works contract for individual subprojects
Social compliance audit (SCA) for existing facilities, to be upgraded	For subproject with existing facilities, the PIU's dedicated staff/consultant will conduct SCA and submit it to APMO for clearance. The level of SCA detail will be commensurate with the significance of legacy issues. See annex 3 of the IRSSA for the outline of SCA. APMO's clearance of the SCA will be a prerequisite for awarding of civil works contract for the subproject.	SCAs will be prepared. The first three SCA reports will be submitted to ADB for review and clearance. ADB review will continue if it is found that quality is low and/or APMO has capacity issues in implementing resettlement safeguard requirement.	APMO, PIU and resettlement specialist	Prior to award of civil works contract for individual subprojects
Identification of the poor and vulnerable groups during the screening process and resettlement planning.	Assessment of impacts including consultations with poor and vulnerable groups among the affected persons identified at the screening stage, as part of the resettlement plans DDR and SCA preparation.	Results of screening and assessment, including poor and vulnerable groups identified, will be included in the involuntary resettlement categorization checklist, resettlement plan, DDR, and SCA	APMO, PIU and resettlement specialist	Prior to preparation of resettlement safeguard documents and throughout program implementation period.

Gap	Proposed Action	Indicator/Targets	Responsibility	Timeframe
Documentation of the consultation and information disclosure activities	Consultations, information disclosure, and grievances received will be documented properly. See Annex 5 of the IRSSA for the guidance note on consultation and information disclosure.	Documentation is reflected in the resettlement safeguard documents and monitoring reports.	APMO, PIU	Prior to preparation of resettlement safeguard document and throughout the program implementation period.
Grievance redress mechanism	Arrangements for the grievance redress mechanism will be developed, established, and implemented at the program and subproject levels. See Annex 6 of the IRSSA for the guidance note on GRM.	A well-established and functional GRM should be in place at APMO and PIU, with clear roles and responsibilities in dealing with the government agencies handling resettlement	APMO, PIU	By program approval and throughout program implementation period
Disclosure of resettlement safeguard documents during program and subproject preparation and implementation	Disclose resettlement safeguard documents including resettlement plans, DDR, SCA report, and resettlement monitoring reports with affected persons and other stakeholders in the local language. The semiannual resettlement monitoring reports will be disclosed on ADB and APMO website.	All resettlement plans, DDRs, and SCAs disclosed on APMO and PIU websites. Key information of resettlement plans, DDRs, and SCAs provided to affected people and other stakeholders in a form and language understandable to them. Disclosure activities reported in the semiannual resettlement monitoring reports that will be disclosed on ADB and APMO websites.	APMO, PIU	Throughout the subproject lifecycle
Monitoring and evaluation	APMO to establish a safeguard monitoring system to allow proper coordination and facilitation with concerned agencies. Submission of resettlement monitoring report to ADB semiannually during the program implementation period.	Safeguard monitoring tracking system established. Resettlement monitoring reports submitted to ADB semiannually. A resettlement agency or specialist (consultant), acceptable to both ADB and APMO, will be engaged by APMO within 2 months after RBL program approval to monitor and verify resettlement safeguard document implementation. In addition to internal monitoring, ADB staff consultant to carry out third party verification of resettlement	APMO, PIU	Semiannually throughout the program implementation period. Within 2 months after RBL program approval and maintained through the program implementation period.

Gap	Proposed Action	Indicator/Targets	Responsibility	Timeframe
		performance semi-annually for 1.5 years of program implementation ^a		

ADB = Asian Development Bank, APMO = Administration of Chongqing Gaoxin District Program Management Office, DDR = due diligence report, GRM = grievance redress mechanism, IRSSA = Involuntary Resettlement Safeguard System Assessment, LAR = land acquisition and resettlement, PIU = program implementation unit, PSSA = Program Safeguard System Assessment, RBL = results-based lending, SCA = social compliance audit, SPS = safeguard policy statement.

^a ADB will mobilize a staff consultant to carry out third party verification of resettlement performance semi-annually for 1.5 years during program implementation, commencing after submission of APMO's first semiannual environmental and social monitoring report (Q3 2025-Q1 2027).

Source: ADB.

Resettlement activities carried out during the monitoring period.

(Please provide a summary of the resettlement activities carried out during the monitoring period. The tables provided below are samples and will need to be appropriately detailed during the implementation of the RBL program)

III. Preparation of Resettlement safeguard documents

	No. of resettlement plan prepared	DDR prepared	SCA prepared
Total No. of Documents required for the program			
Total No. of Documents Prepared as of this monitoring period			
Total No. of Documents Prepared in this monitoring period			

IV. Status of Implementation

Subproject	Location	No. of Affected Households			Land Acquisition Progress	House Demolition Progress	TLO Progress	Is Implementation On Track Y/N*	Remarks
		LA	HD	TO	(In percentage) e.g. 100%	(In percentage)	(In percentage)		
1						80%			
2									
3									
4									
5									

*Yes - If LA/HD/TLO is on schedule based on agencies time-frame. No – delay in payment, resettlement site development not yet completed so AHs cannot relocate.

(The description of the status of implementation to cover the following (please choose the applicable relevant provisions for the RBL program)

- Disbursement of entitlements to affected persons and enterprises/businesses: compensation, relocation, housing, cultivated farmland, and employment.
- Provision of relocation options, progress of distribution of cash compensation/housing plots and relocation houses; the compensation for construction of houses should at least be replacement cost; the affected persons must receive their compensation prior to dispossession and other entitlements and allowances as stipulated in agreements.
- Development of economic productivity: re-allocation of cultivated land, land restoration, job opportunities available to affected persons, number of affected persons employed or unemployed as a result of the subproject.
- Standard of living: Throughout the implementation process, the trends in standards of living will be observed and the potential problems in the way of restoration of standards of living will be identified and reported. The Monitor will carry out a survey of baseline AHs before and after the completion of resettlement implementation to document the standards of living and the conditions of the affected persons for 2 years.

- Restoration of public infrastructure: all necessary infrastructure should be restored at least up to a standard equal to the standard at the original location; the compensation for all infrastructure should be sufficient to reconstruct it to the same quality
- Resettlement sites. Land for resettlement sites should be acquired in a timely manner and public infrastructure provided prior to commencement of house construction. Long transition period should be avoided through good planning and scheduling of resettlement activities and house demolition.
- Effectiveness of resettlement planning. Adequacy of assets measurement, entitlements, sufficiency of budget, and timeliness of mitigation measures.
- Level of satisfaction of affected persons: level of satisfaction of affected persons with various aspects of the resettlement program; the effectiveness of the grievance redress mechanism will be reviewed and the speed and results of grievance redress measures will be monitored.
- Social adaptability of vulnerable groups: impacts on children, ethnic minorities and other vulnerable groups, public participation, affected persons' attitudes and reaction to post resettlement situation, implementation of preferential policies, income restoration measures, and improvements in women's status in villages.
- Other impacts. The site visits and consultations will verify if there are unintended impacts on employment and incomes.

V. Consultation and Disclosure

Subproject	Location	No. of Consultations Carried out for monitoring period*	Notes
1			
2			
3			
4			
5			

*If land acquisition/house demolition implementation already completed. Please state. "Not applicable. land acquisition/house demolition completed)

VI. Relocation and Rehabilitation Program

Subproject	Location	Issues Identified	Notes
1			
2			
3			
4			
5			

*If relocation/rehabilitation are already completed. Please state: "Not applicable. Completed"

VII. Assistance to Vulnerable Households

Subproject	Location	Issues Identified	Notes
1			
2			
3			
4			
5			

*State Not applicable if there are no vulnerable HHs. If assistance to vulnerable already completed. Please state: "Not applicable. Completed"

VIII. Grievance Redress Mechanism

Subproject	Location	Issues Identified	Notes
1			
2			
3			
4			
5			

IX. Good Practice Identified (e.g. during relocation or livelihood support provided)

X. Major Issues that Require Close Monitoring and Reporting in the next monitoring period

Appendix

- Involuntary resettlement impact categorization checklist form
- Land use approvals and land use right certificate

GUIDANCE NOTE ON CONSULTATION, PARTICIPATION AND DISCLOSURE

1. Throughout program preparation and implementation, the APMO, PIU, CGD Planning and Natural Resources Bureau, Land Use Affairs Center, subdistrict/township government, village/community will conduct meaningful consultations on land acquisition compensation standards, house demolition compensation standards and resettlement schemes, and the scope of training for the affected persons, disclosure of construction schedules, potential impacts and mitigation measures to be taken, and solicit comments and recommendations from the affected persons during implementation through public meetings, individual interviews, stakeholder consultations and focus groups discussions, etc.. The opinions of the stakeholders and their perceptions will be obtained during these consultations. All activities related to stakeholder engagement and resettlement (if any) will be documented in terms of Annex 5-A. The stakeholder's concerns and how the concerns are addressed will be included in semiannual monitoring reports. If any subproject involves land acquisition and resettlement, any related photos, videos and meeting notes will be kept as record. Except usual methods of face-to-face public consultations, given the current health scenario, virtual methods such as electronic questionnaire survey through online survey platforms (e.g., Wenjuanxing in PRC) and virtual interviews and consultation meetings through social media platforms (e.g. WeChat, Tencent, QQ, Skype, Zoom and Teams) could also be considered as an option.
2. Key information of resettlement plans, DDRs and SCAs will be provided to affected people and other stakeholders in a form of easy access and language understandable. Disclosure activities will be reported in the semi-annual monitoring reports that will be disclosed on ADB and APMO websites.
3. Each subproject under the program will pay adequate attention to ethnicity and gender concerns of the affected persons. Specific measures should be taken to address the needs of the vulnerable households through culturally-appropriate and gender-inclusive consultations, information disclosure, and grievance redress mechanisms. Such measures include separate meetings with women and ethnic groups and the use of ethnic languages as appropriate to ensure their meaningful participation. Special attention will be paid to the needs of the vulnerable ethnic minority households in relocation and livelihood development. Sex and ethnic-disaggregated data will be presented by recording the results of consultations, participation, relocation, and rehabilitation programs and including them in monitoring and evaluation reports.

Annex 5-A: Documentation of Information Disclosure and Consultation

Name of subproject:	
Location:	
Name of Village/Community	

	Date	Location (township/village)	Number of participants	Number of Vulnerable Groups	Number of Female	Number of ethnic minorities	Key issues discussed	Conclusions aligned and/or Proposed actions to be taken	Material distributed	Remark
1										
2										
3										
4										
Additional Notes:										

See Attachments:

Annex 6: Guidance Note on Grievance Redress Mechanism

1. The grievance redress mechanism (GRM) tracking system by the Administration of Chongqing Gaoxin District Program Management Office (APMO) will include the following elements:
 - (i) tracking forms and procedures for gathering information from program personnel and complainant(s);
 - (ii) regular updating of the GRM database by the safeguard staff; and
 - (iii) a simple but effective filing system, so that data can be retrieved for reporting purposes.

2. A GRM Reporting Form (See Annex 6-A) will be provided to the program implementation unit (PIU) and will be filled in by the village committees, Chongqing Gaoxin District Planning and Natural Resources Bureau, Land Use Affairs Center to document and track the grievances/complaints/requests received and resolutions made by their respective offices. The safeguard staff of PIU and APMO will regularly obtain the information and input them in the GRM tracking system of the APMO. Summary of grievances in terms of nature of grievance, resolutions and status will be included in the semi-annual monitoring reports.

3. The resettlement specialist to be engaged by APMO, during the field visits to the project locations, will review the recording of any grievances and concerns raised by the affected households. The concerns and issues raised, assessment of outstanding issues and recommendations proposed by the APMO resettlement specialist will be discussed with the APMO and concerned agencies; and reflected in the semiannual monitoring report.

Reference: Asian Development Bank ACCOUNTABILITY MECHANISM

An aggrieved person(s) may submit a complaint to the Asian Development Bank (ADB)'s Project Team to try to resolve the problem. If good faith efforts are still unsuccessful, they may submit their complaint to ADB's Accountability Mechanism (2012) <http://www.adb.org/Accountability-Mechanism/default.asp>. The first step requires good faith efforts to resolve the problem with the ADB Project Team.

Annex 6-A. Tables for Documentation of Grievance Redress Mechanism**Reporting Period:** _____ to _____

Name of Subproject:	
Location:	
Name of Village/Community	

New Grievances Received this reporting period	See details as per table below
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Grievances Received during the Reporting Period

No.	Date of receiving the grievance	Name of the AP	Gender	Contact information (township/ village/ Telephone number)	Agency which received the grievance	Nature of grievance	Proposed solution	Progress of redress	If the AP is satisfied	Remark

Additional Notes:

PROPOSED SUBPROJECT LIST WITH INITIAL SCREENING OF RESETTLEMENT IMPACTS

No	Category/Name of Subproject	Construction Scale and Component	PIU	Land Area (mu)	Land Use Type	Land Ownership	Year of LAR completed	Trigger Involuntary Resettlement Category A or not	Any Legacy Issues	Remarks
I	Recurrent expenditures									
II.1	Drainage system operations	15 wastewater pump stations in CGD	City Operation Group (COG)	N/A						
		2 WWTPs for industrial wastewater	10 township government and CGDG	N/A						
I.2	River channel operation and maintenance	Demonstration section of Liangtan River	UDAC, COG	N/A						
II.1	Output 1: Institutional capacity for low-carbon and climate-resilient urban development strengthened									
II.1.1	Cross-sectoral and multidisciplinary building of working mechanisms for green and low-carbon urban development		RDB, EEB, Construction Bureau, etc.	N/A						
II.1.2	Green and Low Carbon Talent Development Program		Administration Affairs Center, Departments of ACGD, Subsidiaries	N/A						
II.1.3	Green low-carbon promotion and awareness-raising		EEB, Construction Bureau, Administration Affairs Center, UDAC	N/A						
II.1.4	Specialized training for non-private institutions		Administration Affairs Center, Departments of ACGD, Subsidiaries	N/A						
II.1.5	Enhanced capacity for green low-carbon and climate-resilient policies, planning and industry regulation in high-tech zones		EEB, PNRB, Finance Bureau, Construction Bureau, etc.	N/A						

No	Category/Name of Subproject	Construction Scale and Component	PIU	Land Area (mu)	Land Use Type	Land Ownership	Year of LAR completed	Trigger Involuntary Resettlement Category A or not	Any Legacy Issues	Remarks
II.1.6	Best practice knowledge product building (3)		COG	N/A						
II.1.7	Whole-process project management		Consultant	N/A						
II.1.8	Independent MRV agency		Third Party for MRV	N/A						
Subtotal										
II.2	Output 2: Urban infrastructure and services for a green and low-carbon livable city improved									
II.2.1	Drainage pipe upgrading and rehabilitation									
	CGD University City to Baishiyi area rain and sewage mixed wrong connection remediation project (a): the implementation of the Jiangbei Mountain area and part of the white new area and other places rain and sewage wrong take over the network for the transformation of the new rain and sewage pipe network of about 1.2 km.		UDAC	/	TLO	SOL				
	Flood-prone point remediation on South Second Road: add three new rainwater inlets, renovate the pipe network length of about 1,180 m, increase the rainwater pumping station and 2,650 m ³ of storage tank.		EEB, UDAC	/	TLO	SOL				
	Bafu Jiulongyuan Sewage Pipeline Network Renovation: (1) Bafu Jiulongyuan Connection Section Sewage Pipeline Network Renovation of 1km, (550 m for Three Branch Road, 450 m for Jiulongyuan Avenue); (2) Jiulongyuan Juye Road Sewage Pipeline Network Renovation Length of 3km.		UDAC	/	TLO	SOL				
	Core urban area rain sewage diversion renovation project		EEB, UDAC	/	TLO	SOL				
	Municipal Drainage Pipe Rehabilitation Project in Liangtan River Dry Basin		UDAC	/	TLO	SOL				
	Municipal Drainage Improvement and Construction Project in the Lotusland River Basin		UDAC	/	TLO	SOL				
Subtotal										
II.2.2	Rehabilitation and New Construction of Interceptor Sewer Along the River									

No	Category/Name of Subproject	Construction Scale and Component	PIU	Land Area (mu)	Land Use Type	Land Ownership	Year of LAR completed	Trigger Involuntary Resettlement Category A or not	Any Legacy Issues	Remarks
	Construction and Rehabilitation of Interceptor Pipes in Liangtan River Main Stream Basin		UDAC	/	TLO	SOL				
	Huxi River Interceptor Trunk Sewer Project		UDAC	/	TLO	SOL				
	Construction and Rehabilitation of Interception Trunk Sewer in Lianhuatan River Basin		UDAC	/	TLO	SOL				
Subtotal										
II.2.3	Reclaimed water system construction project									
	Baihan reclaimed water system: 1 new reclaimed water lifting pumping station, with a design scale of 30,000 m ³ /day.		UDAC	/	TLO	SOL				
	Jinfeng reclaimed water system: 1 new reclaimed water lifting pumping station, with a recent design scale of 20,000 m ³ /day, and a new reclaimed water lifting pumping station with a recent design scale of 20,000 m ³ /day.		UDAC	/	TLO	SOL				
	Subtotal			0						
II.2.4	Three-star green building or ultra-low energy building demonstration project									
	Science Valley Phase III Double-Zero Demonstration Building Project: 5596 m ² of double-zero demonstration building, meeting the three-star green building standard + zero-energy building + zero-carbon building requirements		UDAC	8.4	Permanent occupation	SOL	2020	No	No	
	Jinfeng City Center Phase I Project, the fourth section of the cultural center, ultra-low energy consumption building and the implementation of green building three-star requirements, building area of 4,000 m ² .		UDAC	6	Permanent occupation	SOL	2020	No	No	
	"Two libraries and two centers": High-tech Zone Library, Culture Center, Youth Activity Center, Science Center is located in the southeast corner of the Science Hall Conference and Exhibition Building 1 to 4 floors, with a total construction area of 18,000 m ² .		Public Service Bureau, UDAC	N/A		Existing Facilities				Renovation and decoration
	Subtotal			14.4						
II.2.5	Renewable energy centralized cooling and heating project									

No	Category/Name of Subproject	Construction Scale and Component	PIU	Land Area (mu)	Land Use Type	Land Ownership	Year of LAR completed	Trigger Involuntary Resettlement Category A or not	Any Legacy Issues	Remarks
	Construction of reclaimed water source heat pump station (renewable energy) in Hangu Intelligent Manufacturing Phase II		COG, Construction Bureau	N/A		Existing Facilities				Renovation
	Construction of geothermal pump station (renewable energy) in Jinfeng City Center		COG, Construction Bureau	53.76		SOL	2012	No	No	Jinfeng City Center has not yet been constructed, and the RBL only supports geothermal pump retrofits therein.
	Construction of geothermal pump station (renewable energy) in the first Hospital of CGD		COG, Construction Bureau	33.24		SOL	2005	No	No	
Subtotal				87						
II.3	Output 3: Urban ecology and climate resilience using nature-based measures upgraded									
II.3.1	River Ecological Rehabilitation Project in CGD									
	Western (Chongqing) Science City Liangtan River Basin Water Environment Comprehensive Rehabilitation Project (Phase I)		EEB, UDAC	/	TLO	SOL				
	River Rehabilitation project in Shibao Life Science and Technology Area		EEB, UDAC	75	Permanent occupation	80% of the land are SOL and the remaining 20% are collective land	SOL were acquired in 2020	No	No	It involves permanent land acquisition of collective land
	Liangtan River Main Stream Basin Ecological Baseflow Guarantee Project		UDAC	210	Permanent occupation	both SOL and collective land	N/A	No	No	State-owned flood land with scattered collective land, no house demolition involved.

No	Category/Name of Subproject	Construction Scale and Component	PIU	Land Area (mu)	Land Use Type	Land Ownership	Year of LAR completed	Trigger Involuntary Resettlement Category A or not	Any Legacy Issues	Remarks
	CGD Ecological Water System Phase I - Ecological Restoration Project		EEB, UDAC	220	Permanent occupation	both SOL and collective land	N/A	No	No	State-owned flood land with scattered collective land, no house demolition involved.
	Lianhuatan River Main Stream Basin Ecological Baseflow Guarantee Project		UDAC	200	Permanent occupation	both SOL and collective land	N/A	No	No	State-owned flood land with scattered collective land, no house demolition involved.
	Water Quality Enhancement Project for Upper Water System of Zhongjiagou		EEB, UDAC	49	TLO	Collective land	N/A	No	No	Ecological restoration work only, no change in the nature and ownership of the land
Subtotal				754						0
II.3.2	Comprehensive water body rehabilitation project									
	Ecological restoration project of Tongjiashi River and Lengjiahe Reservoir in CGD: ecological restoration of Tongjiashi River Reservoir, Lengjiahe Reservoir and their connecting rivers. Construction of underwater ecological restoration area of lakes and reservoirs, enhanced purification area of buffer zone, and restoration area of buffer zone.		EEB, UDAC	0	TLO	Collective land	N/A	No	No	Ecological restoration work only, no change in the nature and ownership of the land
	"Black smelly water body" remediation project: carry out black smelly water body investigation, take ecological restoration, pipe network construction and other measures for potential and existing 8 black smelly water bodies		EEB, UDAC	0	TLO	both SOL and collective land	N/A	No	No	Ecological restoration work only, no change in the nature and ownership of the land

No	Category/Name of Subproject	Construction Scale and Component	PIU	Land Area (mu)	Land Use Type	Land Ownership	Year of LAR completed	Trigger Involuntary Resettlement Category A or not	Any Legacy Issues	Remarks
	Upgrading of hydrological infrastructure in CGD (Phase II): upgrading 3 water level monitoring stations, 10 rainfall monitoring stations and 3 new rainfall monitoring stations.		EEB, UDAC	1	Permanent occupation	SOL	Site selection has not been determined	No	No	The area of rainfall monitoring station site is very limited and is implemented only within the SOL
	CGD Liangtan River Basin Safe Water Rehabilitation Project (Phase I): downstream section dredging, bank protection construction with a length of about 1.2 km, dredging about 3 km.		EEB, UDAC	220	Permanent occupation	both SOL and collective land	N/A	No	No	State-owned flood land with scattered collective land, no house demolition involved.
Subtotal				221						0
II.3.3	The Construction of Chongqing University Science and Technology Wisdom Innovation Center Green Ecological Park Demonstration Project	construction of a new university	CGDG	330	Permanent occupation	SOL	2014-2020	No	No	
	Subtotal			560						
II.3.4	Construction and upgrading of parks and green spaces									
	Zhujiachong Waterfront Park, an area of 13.58 hm ² , the construction of garden roads, garden bridges, landscape vegetation, lighting facilities, etc.		UDAC	203.7	Permanent occupation	SOL	2004	No	No	
	Dacheng Lake Park, an area of 34.25 hm ² , the construction of garden paths, landscape vegetation, garden buildings, lighting facilities, etc.		UDAC	513.75	Permanent occupation	SOL	2005	No	No	
	Shihtan Park, with an area of 40.98 hm ² , the construction of garden paths, landscape vegetation, garden buildings, lighting facilities and so on.		UDAC	614.7	Permanent occupation	SOL	2007	No	No	
	Pingshan Lake Park, an area of 27.08 hm ² , the construction of garden paths, landscape vegetation, lighting facilities, etc.		UDAC	406.2	Permanent occupation	SOL	2012	No	No	
	Xiyong Park, with an area of 24.56 hm ² , the construction content of the garden road, landscape vegetation, garden architecture, lighting support facilities, etc.		UDAC	368.4	Permanent occupation	SOL	2012	No	No	

No	Category/Name of Subproject	Construction Scale and Component	PIU	Land Area (mu)	Land Use Type	Land Ownership	Year of LAR completed	Trigger Involuntary Resettlement Category A or not	Any Legacy Issues	Remarks
	Xiyong Riverside Wetland Park, 19.24 hm ² , construction content garden road, landscape vegetation, lighting supporting facilities, etc.		UDAC	288.6	Permanent occupation	SOL	2007	No	No	
	Greening and Landscaping of University Town Duplicate Tunnel (Science City Tunnel) Project: The greening and landscaping area is about 126,000 m ² , including green belts and street trees within the scope of reconstruction of Pingshan Avenue (Xishan Interchange), as well as protective green areas around the interchanges.		UDAC	189	Permanent occupation	SOL	2011	No	No	
	Science Park Gateway Area (Ecological Restoration of Zhaishangping Southern Area): improving the functions of ecological recreation and zero-carbon experience; (i) Constructing biological migration corridors and leisure nodes around the restoration of urban mountains; (ii) Combining the ecological recycling facilities with the interactive experience project, setting up activity facilities (e.g., power windmills, gardens, barefoot lawns, etc.), and designing a zero-carbon tour route and interpretation system.		UDAC	TBD	Permanent occupation	SOL	2021	No	No	land area for landscaping has not been determined yet
	Building Slag Cleaning and Reclamation Project of Zhongliang Mountain: cleaning up building slag of demolished houses with more than 5,500 <i>mu</i> and implementing replanting and re-greening.		EEB, COG	0	N/A	Collective land	N/A	No	No	cleaning the construction waste only, no change in the nature and ownership of the land
Total				2584.35					0	

ACGD = Administration of Chongqing Gaoxin District, CGD = Chongqing Gaoxin District, CGDG = Chongqing Gaoxin Development and Construction Investment Group Co., Ltd., COG = City Operation Group, EEB = Ecology and Environment Bureau, hm² = square hectometers, km = kilometers, LAR = land acquisition and resettlement, m = meters, m² = square meters, m³ = cubic meters, N/A = not applicable, MRV = monitoring, reporting, and verification, *mu* = Chinese unit of measurement for land area (1 *mu* = 666.67 m² = 0.0667 hectare), PNRB = Planning and Natural Resources Bureau, RDB = Reform and Development Bureau, SOL = state-owned land, TBD = to be decided, TLO = temporary land occupation, UDAC = Urban Development Affairs Center, WWTP = wastewater treatment plant.