MODULE 3

STAKEHOLDER ENGAGEMENT

I. Overview

The purpose of an early, ongoing, and robust SE process is to build strong, constructive, responsive, and equitable relationships to enable all groups of displaced persons, host communities, and other stakeholders that have a role in the resettlement program to meaningfully participate in planning, implementation, and monitoring of resettlement activities. SE related to land acquisition and economic and physical displacement should be initiated at the scoping stage and continue for the life of the project. Effective SE also facilitates the identification of avoidance, minimization, risk mitigation, and compensation measures that are appropriate and sustainable.

For the purposes of this module, SE is an umbrella term that encompasses stakeholder identification and mapping, disclosure of information, consultation, and grievance management, as well as reporting to stakeholders.

The affected community(ies) subject to physical and/or economic displacement must be at the center of consultation concerning land acquisition. This can be difficult to achieve, especially in cultures where local people, women, or marginalized members of the community are not accustomed to being asked their opinion and where top-down decisions are the norm.

There are important differences in the focus and approach between SE undertaken to address overall project implementation and SE specifically undertaken to address land acquisition and the displacement of communities and households. With land-acquisition impacts, the disclosure of eligibility and entitlements, as well as other mitigation measures including compensation and livelihood-restoration packages, should take place sufficiently early in the project's planning process to allow potentially displaced people sufficient time to consider their options.

The project SEP is usually prepared as part of the project's ESIA as a living document that evolves with the phases of the project. It generally lacks the specificity required for land-acquisition, compensation, and resettlement activities. As a result, the SEP will need to be updated to ensure that it addresses specific engagement activities required in the course of the detailed data collection, resettlement and livelihood-restoration planning, implementation, and monitoring and evaluation phases.

At the scoping phase, a brief road map for SE should be prepared to guide interaction during the scoping review (refer to Module 1. III.E. Engaging with Stakeholders). During the planning phase, the road map will be developed into a more comprehensive and detailed SEP based on the preliminary identification of stakeholders and key issues.

The SEP should be updated periodically. Good stakeholder engagement practice includes annual review of the SEP to define specifics on meetings, update stakeholders, and ensure that resettlement action plans, including results of the GM, are communicated to stakeholders on schedule. Supplementary communication documents, such as guides, newsletters, or notices, can be used to inform communities, households, and individuals on changes or updates to the resettlement process. Regular community meetings are an effective means of passing on information and updates, especially in communities with low levels of literacy. Supplementary information may focus on surveys, the cutoff date, valuation and entitlements, the design of resettlement sites and housing, livelihood restoration, and so forth. Gender-related issues and risks can sometimes be difficult to raise or discuss early on. The SEP may therefore also need to be updated to include these aspects as they become known.

IFC's good practice handbooks on SE should be referred to for more detail on various aspects and approaches to engagement with individuals, groups, and communities affected by project impacts.[15]

II. Principles and Objectives of Stakeholder Engagement

II.A. Key Principles of Stakeholder Engagement

SE during the land-acquisition process should include the following principles:

- Ensure that the SE, public consultation, and disclosure process complies with national legislation, regulations, and the IFC PSs.
- Ensure that the SE process commences at scoping and is tailored to the stage of land acquisition and to communities and households affected by displacement.
- Work with affected households and communities to explore ways to avoid and minimize, where possible, physical and economic displacement of households.
- Ensure that the SE process is culturally appropriate and inclusive of all stakeholders, including disadvantaged and vulnerable groups affected by land acquisition, and that it is free of interference, manipulation, discrimination, intimidation, and coercion.

[15] See, for example, IFC. 2014. *A Strategic Approach to Early Stakeholder Engagement. A Good Practice Handbook for Junior Companies in the Extractive Industries*. Washington, DC: IFC. http://www.commdev.org; IFC. 2007. *Stakeholder Engagement: A Good Practice Handbook for Companies Doing Business in Emerging Markets*. Washington, DC: IFC. www.ifc.org/stakeholderengagement.

II.B. Key Objectives of Stakeholder Engagement

The key objectives of SE with respect to land acquisition are the following:

- Build relationships based on trust and transparency with communities affected by land acquisition and displacement.
- Build the capacity of affected communities to understand and participate in the resettlement process, including understanding their rights and entitlements.
- Enable communities affected by land acquisition to engage in a two-way dialogue and provide meaningful input, that is, to meaningfully participate in and influence the design and implementation of the RAP and LRP in a manner consistent with the principles of informed consultation and participation.[16]
- Create an inclusive environment in which views, issues, and suggestions can be expressed by all members of the affected community, including women, elderly, youth, and potentially vulnerable, disadvantaged, or marginalized groups.
- Establish an accessible and responsive GM.
- Facilitate efficient land acquisition through mutually agreed solutions, negotiations, and agreements, without delays and disruptions.

III. Stakeholder Identification, Analysis, and Mapping

III.A. Stakeholder Identification

Stakeholders are typically classified as either directly or indirectly affected. For the purpose of resettlement, directly affected stakeholders are those who are physically or economically displaced (or both) as a result of land acquisition, impacts to access to natural resources, or from other construction or operation-related impacts. Indirectly affected stakeholders are those who, while they may reside near or around the project footprint and may have a vested interest in the

[16] PS1, paragraph 31 clarifies: "For projects with potentially significant adverse impacts on Affected Communities, the client will conduct an informed consultation and participation (ICP) process that will build upon the steps outlined above in Consultation and will result in the Affected Communities' informed participation. ICP involves a more in-depth exchange of views and information, and an organized and iterative consultation, leading to the client's incorporating into their decision-making process the views of the Affected Communities on matters that affect them directly, such as the proposed mitigation measures, the sharing of development benefits and opportunities, and implementation issues. The consultation process should (i) capture both men's and women's views, if necessary through separate forums or engagements, and (ii) reflect men's and women's different concerns and priorities about impacts, mitigation mechanisms, and benefits, where appropriate. The client will document the process, in particular the measures taken to avoid or minimize risks to and adverse impacts on the Affected Communities, and will inform those affected about how their concerns have been considered."

project, are neither physically nor economically displaced (for example, members of communities neighboring the project). Other stakeholders who may be involved with the land-acquisition process are local leaders, government officials, project staff, NGOs, and CBOs.

Early in the process (at the scoping or early planning stage), identify stakeholders who may be affected by project land acquisition, either directly or indirectly, using the following steps:

- Determine the extent of the project footprint in terms of land acquisition as well as restrictions on land use.
- Brainstorm, in consultation with key local resource persons (e.g., project staff, government officials, community leaders, and interest group representatives), a preliminary list of stakeholders potentially affected by the project footprint, including categories of organizations, interest groups, households, and individuals.
- Ensure inclusion of stakeholders who are often overlooked or who may not traditionally be identified as persons with any decision-making authority in communities, including women (especially women with low income) and vulnerable groups.
- Consider the use of independent third parties to assist in identifying stakeholders in contexts where the identification, diversity, or independence of stakeholders may be compromised, such as in areas affected by conflict, ethnic tensions, or other barriers to civic participation.
- Consider the use of independent third parties trusted by affected persons to assist in clarifying and explaining potential impacts.

Experience has demonstrated that opposition to projects often comes from those who are indirectly affected, who are not being physically or economically displaced but who are also not receiving any benefits and feel left out of the process. It is important to identify and engage these stakeholders.

III.B. Stakeholder Analysis and Mapping

Assess each identified key stakeholder, or stakeholder group, based on an analysis of likely project and land-acquisition impacts, their vulnerability, and their ability to influence the land-acquisition process positively or negatively. Different types of stakeholders may be impacted negatively or positively by land acquisition and they will also have different types of influence over the land-acquisition process. An example is given in table 3.1.

Table 3.1. Some Categories of Stakeholders for Mapping

STAKEHOLDER	LAND-ACQUISITION IMPACTS						VULNER-ABILITY			INFLUENCE OVER LAND-ACQUISITION PROCESS					
	POSITIVE			NEGATIVE						POSITIVE			NEGATIVE		
	H	M	L	H	M	L	H	M	L	H	M	L	H	M	L
Crop farmers				X			X						X		
Livestock farmers						X		X						X	
Local businesses			X						X		X				
Village chiefs		X							X	X					
Women				X			X								X
Informal settlers					X		X							X	
Host communities						X			X						X

Note: H = high; M = medium; L = low. The ability of stakeholders to influence the land-acquisition process positively or negatively may change over time, and thus stakeholder mapping and analysis should be repeated periodically, especially at key milestones in the land-acquisition and resettlement implementation process. Mapping and analysis should be used as a basis to strategize and plan how to address those stakeholders who may have a negative influence and how to support those who provide a positive influence.

IV. Engagement Methods and Tools

IV.A. Committees

Well-formed and well-organized committees, associations, or representative groups are useful to the SE process. The need for, and adequacy of, appropriate resettlement organizational structures should be considered in the scoping stage (see Module 1. III.E. Engaging with Stakeholders) and implemented when planning and associated field activities commence, including surveys described in Module 4. Baseline Data Collection. There are different models of organizational structures and representation, and the engagement strategy must be tailored to the needs of the project, government institutional arrangements for land acquisition, and the needs of affected communities.

A variety of organizational models can be used:

- *Community-level resettlement committees or associations* for each affected community, including host community committees where they are affected
- *District- or commune-level resettlement committees or associations* in situations where impacts are more benign or dispersed (such as linear projects) and in urban or peri-urban settings[17]
- *An umbrella resettlement committee or association, with subgroups at the community level* in situations where impacts are significant and/or if there is potential for cumulative effects across several communities (examples, are presented in box 3.1 and box 3.2). Subcommittees of the umbrella committee could be formed to address issues relevant to specific groups within the affected community.

The following points should be considered in establishing resettlement committees:

- *Select representatives.* Members are generally chosen by the affected communities but may be elected by the interest group they represent. Committees or associations must be inclusive of representatives of vulnerable or marginalized groups. Consider holding capacity-building sessions with affected communities/groups prior to the selection of representatives in order to facilitate agreement on the characteristics of such representation (numbers, knowledge, skills, gender, age groups, etc.). Table 3.2 provides some guided questions that can help affected community stakeholders select an inclusive resettlement committee. Committee members should represent a cross-section of the affected community, including women, youth, businesspersons, fisherpeople or hunters, the disabled, and indigenous groups, where applicable.

[17] Linear projects are those such as roads, railways, pipelines, and transmission lines, which typically affect a large number of plots, some in a fairly benign manner.

Box 3.1. Establishing Resettlement Committees in Ghana

Ahafo South is a large gold mine in the Brong Ahafo Province of Ghana, owned and run by Newmont Ghana Gold Limited (NGGL). Its first gold was produced in 2006.

NGGL had to manage significant physical and economic displacement: over the successive phases of the mine development, a total of about 8,100 households were affected, of which 685 were physically displaced and resettled accordingly. The resettlement program was potentially controversial and likely to attract stakeholder scrutiny in the country and internationally. It is common practice in resettlement to establish committees at the level of each affected community, but these committees rarely have a say over broader issues relevant to all affected communities, such as the overall entitlement policy or compensation rates. In this case, such community-level committees might not have been sufficient during the planning process. NGGL followed advice from government authorities and established an overall consultation committee as a body to be consulted on the entire compensation and resettlement strategy. The scope of the committee was to participate in the following:

- The development of eligibility and entitlement rules, based on proposals submitted by RAP consultants
- The development of the valuation methodology
- The selection of resettlement sites, their layout and infrastructure planning, and house design
- Grievance review and mediation between the company and aggrieved persons where necessary

The consultation committee included representatives from each of the affected communities, traditional chiefs, local government representatives—including both local councils and representatives from key ministries—as well as two local NGOs. The number of committee members (about 50) made it necessary to have a strong chair. A prominent and well-regarded individual originally from one of the affected communities, who had recently retired from a senior government position, was identified and assumed this role.

The gender ratio within the committee was about three males to one female. Ideally it should have been equal. The committee also split into thematic subcommittees where and when needed. The overall consultation committee met weekly during active resettlement planning, then monthly, and eventually quarterly. This committee was assessed as a key factor in the success of the resettlement-planning exercise.

Where different communities are affected, and impacts are significant, broad committees of this sort are useful, or even necessary, to promote consistency of application and overall community buy-in to key resettlement-planning decisions. Where only one community is affected, a smaller resettlement committee will be sufficient, but representation of key social layers and categories of affected persons (e.g., owners and tenants, vulnerable groups, informal users, transient users such as herders or fisherpersons, businesspersons) and attention to adequate gender representation are required.

Box 3.2. Establishing Resettlement Committees in Guinea

In a rural resettlement project related to a bauxite extraction project in Guinea (Guinea Alumina Corporation), two committees were established as the main consultation avenues for the resettlement-planning and implementation process:

- A resettlement committee with representatives of the affected community (three villages and a number of smaller hamlets), chaired by the local "sector chief" and 13 members, including three women, three youths, and three elders
- A host community committee with representatives of the host community (a small village where the main resettlement site is located)

The resettlement committee met once a month at least, with the project preparing clear and simple agendas, and the minutes of meetings were subsequently signed by all members. Examples of issues addressed in these meetings included the following:

- Resettlement site selection (a lengthy negotiation process that took about nine months, during which several sites were considered, visited, and assessed, with an eventual agreement on one resettlement site)
- Details of entitlements, particularly regarding compensation rates for trees, moving allowances, land-redevelopment allowances, and livelihood-restoration activities
- Location of individual plots within the resettlement site
- Size and design of resettlement houses
- Location, size, and design of community facilities (mosque, school, health post, and water system)

In addition to the resettlement committee meetings, community meetings were organized on average once per quarter to disclose to the broader community in a transparent manner all key decisions arrived at in meetings of the resettlement committee.

The host community committee focused on benefits for the host community, including access to community infrastructure designed to benefit both the resettlement and host communities. The host committee was actively involved during the moving activities by giving support to the preparation of food for resettled persons.

Members of both committees received a sitting allowance equal to one day of a minimum Guinean salary at every meeting, and basic support for transport and food was provided by the project to the meeting venue.

Table 3.2. Key Questions to Guide Affected Communities in the Selection of an Inclusive Resettlement Committee

ISSUES	KEY QUESTIONS
Identification of affected persons and groups requiring representation	Who will be affected by land acquisition (individuals and groups)? Why is it important that they are represented? How will the selected representatives ensure that the concerns of each affected group and individual will be heard and addressed, even if they have a different opinion?
Knowledge, skills, and personal qualities of representatives	What local, indigenous, or technical knowledge would be useful for representatives to have (such as knowledge of local land tenure systems, agriculture, or resource use)? What skill sets should representatives have, such as reading, writing, public speaking? (Note that requiring reading could present a bar to women's participation in some communities.) What personal qualities would a good representative have? Do the proposed committee members enjoy the confidence of those they represent?
Resettlement committee structure	How many people should serve on the resettlement committee? What should be the balance of representatives (men, women, youth, others)? Should there be any subcommittees?
Selection of resettlement committee members	Who should select committee members? How should they be selected? Can community leaders who are not directly affected by land acquisition serve on the resettlement committee? Does everyone get a vote for the representative of their group? When do they have to decide whom to select? How do you ensure representativeness of women, the vulnerable, and minority groups?

- Inclusion of local government officials and traditional community leaders with a good knowledge of local and customary land tenure systems is important to ensure clarity while addressing local land-rights issues. While all such groups should be represented, experience has shown that a manageable size of membership should not exceed 12 to 15 persons, 20 being the maximum. It is important to regularly verify the validity of representation of the different interest groups by their representatives. Representatives may lose the support and confidence of their groups, especially if they are not adequately and accurately representing the group's views or if they are promoting their own views and agendas.
- *Use accepted practice.* In some cultural contexts, there may be a long practice of similar representative bodies, whether traditional (such as elders councils) or not (rural and urban *soviets* and similar councils or committees). Procedures for selecting, convening, and operating these types of organizational structures are usually well known and well accepted locally and can be used for resettlement committees even if their membership and scope are different.
- *Agree beforehand on scope and mandate of the committee.* Ensure that affected persons understand the role of the committee, the type of obligation in terms of time and effort, and the future member's obligations in terms of representing and providing feedback to the community members. Be up front about "sitting allowances or stipends" to minimize the appearance of member's being "bought" by the project.
- *Build capacity of committee members as needed.* If appropriate, explore the need for additional capacity building such as training, presentations, workshops, and literacy education to build awareness of roles and

responsibilities and to clarify land-acquisition documents, plans, and relocation strategies. Where the affected communities have low awareness of associated legal issues, consider training and awareness building for committee members on legal issues such as expropriation law, land law, processes for compensation, redress, and so forth. The project should provide them with relevant good practice examples, facilitate visits to other similar resettlement projects, and interact directly with community representatives there, where possible.

- *Include marginalized or vulnerable groups, possibly in separate discussions, where appropriate.* In some contexts, it may be more effective to engage separately with representatives of ethnic minorities, indigenous groups, women, youth, and so forth. The project should deploy staff from the same marginalized or vulnerable group(s) to lead the process with such groups. The establishment of a diverse resettlement committee is nevertheless an opportunity to promote more meaningful and equitable participation and engagement between dominant and vulnerable groups, and between men and women. All efforts should be made so that women and vulnerable groups are included in the committee and are given an opportunity to actively participate in discussions and decision-making. This may require some early work to build capacity among these marginalized groups and to help existing community leaders understand the benefits of this approach.

  Lack of adequate representation by women on resettlement committees can have lasting negative impacts on women from the resettlement process. Where custom does not allow women to attend meetings with men or speak up in front of men, it may be necessary to create two resettlement committees of equal importance in decision-making.

- *Establish effective frequency and duration of resettlement committee meetings.*
  - It is important to meet with committees regularly (in general fortnightly or monthly during the peak of resettlement planning, and possibly quarterly later).
  - The timing and locations of committee meetings should consider accessibility and safety for women and vulnerable groups.
  - Projects should focus meetings on key issues to be addressed and resolved and should not overwhelm committee members with information. Have more frequent, shorter meetings or workshops to address a manageable number of agenda items or topics.
  - Projects should not make excessive demands on the time of community representatives. Rural communities often spend much of their time in day-to-day subsistence activities (e.g., tending crops and livestock or fetching water and firewood) and do not have time for lengthy participative

processes. Consider what measures could be taken to enable effective participation by community representatives, such as providing women with child and elder care assistance.

- *Document all meetings and decisions.* It is important to document and maintain a record of all meetings, attendance, decisions taken, and follow-up actions, and these should be made public through the project office, local community center, and other appropriate sites (see Module 3. VII. Stakeholder Engagement Records). In cases where there are low literacy levels in the community, consider making available recordings (voice or video) of key meetings and decisions as a means of empowering and enabling affected persons in the process of obtaining and retaining relevant information.
- *Pay reasonable daily stipends.* It is good practice to pay reasonable compensation to community representatives attending committee meetings. This must be meant to cover transportation (if transport is not provided by the project) as well as a reasonable compensation for time inputs and other expenses, such as refreshments. Any sitting allowances for local officials and traditional and community leaders should align with procedures and rates that may have been established by local authorities and should also be in accordance with project compliance procedures. The project legal department can determine a practicable and transparent legal arrangement for payments to comply with antibribery legislation and Extractive Industry Transparency Initiative (EITI)[18] provisions (for extractive projects adhering to EITI). It is critical to communicate the allowance rates and purposes to the community prior to establishing the committees, and to check the adequacy of the principle of paying compensation to committee members (which could be counter-productive in some relatively rare cases).

IV.B. Community Meetings

General community meetings provide a necessary level of transparency and provide a means to inform the entire community of decisions reached with the committee and verify agreement. Due to their size and number of participants, general community meetings are usually ineffective for resolving complex issues, such as the selection of a resettlement site or details of house design. They are also not conducive to marginalized or vulnerable groups expressing their views.

[18] The EITI is an integral part of open and accountable extractive sector management, which is increasingly becoming a global norm. All EITI implementing countries are required to publish oil, gas, and mining contracts granted and amended from January 1, 2021.

As a result, as highlighted in box 3.1 and box 3.2, it is best to have both committee meetings and general community meetings: complex issues are discussed and resolved in committee meetings, while the overall approval of the community on decisions reached with the committee on these issues is sought in general community meetings.

IV.C. Focus Groups

Focus groups are a powerful technique and have the following benefits:

- Convening of separate meetings for groups (e.g., women, businesspersons, hunters, and indigenous people), thereby eliminating challenges that such groups may experience in expressing themselves in broader meetings, and capturing each group's concerns, opinions, or expectations
- Discussing specific issues in detail (e.g., the layout and design of a resettlement house or the location of the latrine within the resettlement plot) to reach a practical solution that has the agreement of all that will be subject to the resettlement process
- Facilitating a discussion among the participants themselves, thereby allowing them to identify their own solutions and reach consensus
- Building a common understanding, as it is often observed that many people enjoy discussing topics in a well-facilitated focus group, sharing their views, hearing others' views, and building mutually agreed solutions

Topics for focus group discussions include the following:

- Baseline surveys
  - Land uses, including customary and informal land tenure arrangements, and land market values
  - Use of natural resources (NTFPs, hunting, grazing, fishing)
  - Maps of location of natural resource use sites for persons whose livelihoods are natural-resource-based
  - Migration (both in and out)
  - Specific sex-disaggregated livelihood activities, such as hunting, fishing, smoking and preservation of fish catches or other produce processing, extraction of sand or salt, brick making, and so forth
  - Cultural sites (ceremonies held, significance, custody arrangements) and potential relocation principles where relocation of cultural artifacts is possible
  - Agricultural calendars for men, women, and youth and interaction with calendars for other activities
  - Community safety
  - Coping strategies in case of hardship
  - Women's and vulnerable groups' specific project-related concerns
- Discussion of entitlements
  - Compensation rates
  - Development of resettlement sites and relevant development principles once a site has been selected
  - Resettlement housing
  - Replacement agricultural land (location, soils and land capability, agricultural potential, conditions of development and allocation, relationships with host communities)
  - Preference for method of compensation (land-for-land, cash, other)
  - Equitable distribution of entitlements
  - Compensation for business loss
  - Development of livelihood-restoration programs
- Host communities
  - Acceptance of the resettlement site and principles
  - Implications concerning local infrastructure
  - Implications concerning local power balance and relationships
  - Community safety

IV.D. Guide to Land Acquisition and Compensation for Disclosure

Experience has shown that a concise, clear, and simple guide is useful for local affected communities and households (see box 3.3). RAPs and technical summaries may contain information that is not particularly relevant to individual communities and households being displaced, especially in the case of linear projects where information is provided concerning many different and separate affected communities. A GLAC can be used for any project,[19] including small ones, to simply explain the key elements of the land-acquisition and compensation process in a few pages.[20]

The GLAC should be developed prior to asset surveys and negotiations with land-right holders as a brief guide providing pertinent land-acquisition information for directly affected households and communities. In the case of communities with high illiteracy rates, the guide should contain as many illustrative sketches and examples as possible and be explained in meetings and during household interviews. Consider providing copies of the guide to literate members of the community, such as teachers and nurses, who can help make the information more readily and widely available. Or, to ensure informed decision-making, consider engaging a trusted third party such as a university professor or religious leader to explain the key points.

The guide should be a short and concise outline of the step-by-step process of land acquisition and compensation and should be written specifically for directly affected communities, households, and individuals in straightforward language (usually produced in both the local and the dominant language) and provide practical information covering the following:

- Key principles to be followed in the land-acquisition process
- A summary of the land-acquisition and compensation process (schedule of future stakeholder engagement meetings, asset surveys, valuation of assets, negotiations, compensation offers, time to consider offers, legal procedures to follow if negotiations fail, finalization and signing of compensation agreements, payment and compensation of assets—in cash or in-kind—and timing of land take)

[19] While the preparation of a GLAC is not a requirement under PS5, it is an effective tool to support the resettlement plan and communication efforts by the clients.

[20] Examples include Newmont Ghana Gold. 2005. *Guide to Land Acquisition and Compensation for Exploration Activities: Ahafo Gold Project (Ghana)*. https://s24.q4cdn.com/382246808/files/doc_downloads/operations_projects/africa/documents/Guide_to_LACE_Activities_Ahafo_South_Project_0.pdf; Lydian International. 2015. *Amulsar Project, Armenia: Guide for Landowners and Land Users: Land Acquisition and Compensation*. https://www.lydianarmenia.am/images/geoteam_hoghatereri_ughecuyc_2015_eng.pdf; and BP in Azerbaijan. 2015. *Guide to Land Acquisition and Compensation-Azerbaijan*, South Caucasus Pipeline-Expansion Project. https://www.bp.com/Caspian.

Box 3.3. Guide to Land Acquisition and Compensation for the Baku-Tbilisi-Ceyhan Project

The RAP for the Baku-Tbilisi-Ceyhan (BTC) pipeline project consisted of three bulky volumes for the three countries (Azerbaijan, Georgia, and Turkey) traversed by the pipeline, containing extensive, very detailed information, including legal reviews and results of social baseline surveys. Translation of the RAP into local languages would have taken much time, caused costly delays, and would not have been particularly useful at the local affected community level. IFC, however, wanted to ensure that affected persons received relevant land-acquisition information in advance of agreeing to compensation packages.

The proposed solution was for the BTC Pipeline Company to prepare and disclose a practical, concise GLAC for each country in the local languages so that affected landowners and users had the basic information they needed to make an informed decision before any land acquisition took place.

The GLAC consisted of a 15-page document written in nontechnical language targeted at the level of affected households. It contained practical information, such as compensation formulas and rates, a description of successive steps in the assets survey and compensation process, the various documents that affected households need to gather or to sign, what to do in the case of a disagreement, and useful contact information.

The GLAC proved to be extremely useful for local households since it presented the information in a much clearer and simpler form than lengthy, detailed, and complex resettlement plans and did much to clarify compensation issues and avoid misunderstandings.

Many projects, large and small, particularly in the mining and the oil and gas sectors, have since prepared brief GLACs as part of their local disclosure process to affected communities. The BTC project demonstrated that, from the community's perspective, these easy-to-understand guides may prove to be more useful to affected persons than complex RAPs and technical summaries.

Detailed RAPs and technical summaries are nevertheless essential to record such issues as regulatory and policy requirements, relevant baseline data, an analysis of compensation requirements, total extent and cost of compensation, and organizational structures and budgets to implement and monitor land acquisition.

Source: IFC. 2006. *Lessons of Experience: The Baku-Tbilisi-Ceyhan (BTC) Pipeline Project*. Washington, DC: IFC. www.ifc.org/LOE-BTCPipeline.

- Types of land-acquisition or land-use restrictions (permanent versus temporary, purchase versus rent or lease, easement, etc.)
- Compensation framework, including methods for determining full replacement costs, rates, and calculations for specific compensation items (land, built structures, crops, pastures, trees, etc.)
- Livelihood restoration (eligibility, types of assistance and options, process to negotiate an assistance agreement, time to consider, finalization and signing of an agreement, process and schedule to implement)
- Ongoing SE, disclosure of information and participation of affected households and communities during the planning, negotiation and compensation, implementation, monitoring and evaluation process
- A list of documents and agreements required (land-right title if available, lease agreements, tribal authority verification of land rights, powers of attorney for absentees, identification documents, etc.)
- Methods and schedules to be used for compensation payments
- Whom to contact and where in case of queries and issues
- GM (process to raise grievances, appeals against property valuations, available avenues, time for receipt and processing, etc.)
- Recourse to independent mediation (independent ombudsman, courts)

IV.E. Models and Demonstration Resettlement Houses

Reading maps, plans, and drawings is not easy, and information or consultation based solely on such materials may exclude people with lower educational levels. In contrast, the presentation of 3D models to show the proposed layout of a resettlement village, or individual houses and other buildings, is a useful and powerful visual tool that facilitates discussion with local affected communities about the advantages and disadvantages of the proposed layouts and structures. Similarly, another option to consider is the construction of a full-scale demonstration replacement house, which provides affected communities with an example of their new housing and affords them an opportunity to consider and make adjustments to the final design.

IV.F. Site Visits to Other Projects Involving Resettlement

Where feasible, site visits by affected community members or their representatives to other projects that have involved resettlement (if they are nearby or relatively accessible) can provide a good example of the issues involved in physical and economic displacement and an assessment of the measures (positive and negative) that were used to implement relocation. When conducting site visits, ensure that community participants are legitimate representatives of the communities and will provide feedback once they return, and that these site-visit participants have the opportunity to have free conversations with relocatees at the resettlement site.

IV.G. Question and Answer Information Sheets

Q&A information sheets can help allay community concerns and avoid the same questions being raised repeatedly at meetings.

- Prepare Q&A information sheets that specifically address key questions raised in the ongoing SE process, such as project timeline, entitlements, and compensation rates.
- Translate them into the local language (or languages).
- Distribute them widely throughout the affected community (public places such as the local administration offices, library, community center, project information center, and others).
- Where appropriate, use social media as well as radio and television to disseminate this information.
- Make them available to vulnerable groups, especially persons with disabilities, through alternative methods, including verbally and visually.

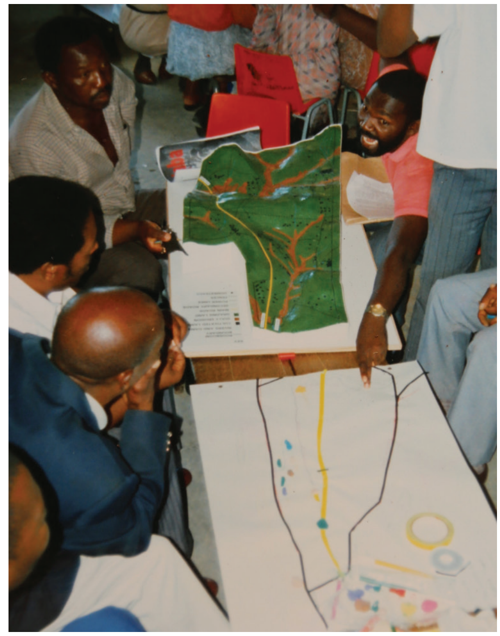
IV.H. Participatory Appraisal Techniques

Participatory appraisal (PA) techniques provide practical methods of engaging with local communities and enable sharing and analysis of local knowledge. This facilitates local community participation in finding ways to avoid or minimize displacement as a result of project land acquisition, identifying key social and livelihood issues, and considering and selecting options for resettlement and livelihood restoration.

PA techniques have several benefits:

- They are excellent for building good rapport with communities.
- They are often more effective as a general information-gathering exercise with traditional, rural, or semiliterate communities than standard interview and questionnaire survey techniques.

- They are useful in helping local communities identify and present key information and issues and in facilitating a joint analysis of issues and informed decision-making.
- They are also helpful in empowering local communities to take ownership of key findings and the agreed land-acquisition, resettlement, and livelihood restoration plans.
- They can ensure the inclusion of women and vulnerable groups.



However, PA techniques must be used with much caution, since inexperienced application can lead to incomplete and inaccurate information, misinformed decisions, and unforeseen consequences.

Table 3.3 lists PA techniques that can be useful in discussing and eliciting information pertinent to land acquisition.[21]

[21] For more details on PA techniques, refer to IFC. 2014. *A Strategic Approach to Early Stakeholder Engagement: A Good Practice Handbook for Junior Companies in the Extractive Industries*. Washington, DC: IFC, 78. https://commdev.org/wp-content/uploads/2015/06/A-Strategic-Approach-to-Early-Stakeholder-Engagement.pdf.

Table 3.3. Participatory Appraisal Techniques

PA TECHNIQUE	APPLICABILITY	HOW TO USE
Semistructured interviews and focus group discussions	These are qualitative research methods using open-ended discussions with only some predetermined questions and others flowing from the interview; they are useful in eliciting and scoping a range of issues associated with land acquisition and provide an opportunity for meaningful engagement.	Conduct interviews with individuals, key resource persons, households, or interest and focus groups. Prepare a list of key open-ended questions beforehand to initiate and stimulate discussion around the topic(s) to be explored.
Venn diagram	The diagram illustrates key institutions, groups, and individuals in a community and their links and relationships. It is important for understanding local decision-making processes regarding land acquisition.	Use a flip chart to illustrate links and relationships among key institutions, groups, and individuals concerning key land-use aspects within the area occupied by the affected community and to explain their significance and importance.
Participatory mapping and transects	Mapping with different interest groups is useful in identifying the use of natural resources (water, different land qualities, fishing grounds, and soil and vegetation types), as well as presenting land use and land-use rights such as women's use of land; seasonal migration patterns and land use; location of settlements and social groups, including vulnerable households; location of extended families; and other key links within villages, historical and cultural features, sacred sites, and social networks. It can also help stakeholders to understand land conflicts between neighboring communities or different groups (e.g., herders versus farmers). Comprehensive mapping is time consuming but transects can provide an overview at limited cost.	Meet with knowledgeable resource persons and community representatives (both men and women) to identify one or more routes to walk across the area affected by land acquisition and/or the general community territory. Select routes that provide a good view of affected infrastructure, land-use types, and livelihood activities. In the course of the walk, discuss and note key land-acquisition issues, likely impacts, and potential mitigation measures.

(*Table continued on next page*)

Table 3.3. *(Continued)*

PA TECHNIQUE	APPLICABILITY	HOW TO USE
Historical profile	This is particularly useful in some contexts to understand customary land tenure arrangements and aspects related to cultural sites. It may also help the team and the community understand any past issues affecting land acquisition and the current situation in a community.	Meet with knowledgeable resource persons (e.g., community elders and leaders, local government authorities) to compile a historical profile of the affected community. Use a flip chart to allow participants to sketch an outline of past events, links and relationships, and potential historical issues. Use semistructured interviews or focus group discussions.
Time trends	Timelines provide information on changes over time relevant to land acquisition (such as demographic and land-use changes).	Meet with knowledgeable resource persons (e.g., community elders and leaders, local government authorities, representatives of women's groups and vulnerable groups) to identify changes and trends over time (e.g., population and number of households, land-use patterns, settlements, newcomers versus migrants, crop yields, numbers of livestock, etc.). Use a flip chart to allow participants to list changes and rank their importance related to the proposed land-acquisition process. Use semistructured interviews or focus group discussions.
Seasonal calendars	Calendars can illustrate complex seasonal activities in a simple diagram. This facilitates understanding of livelihood activities and optimum times to undertake relocation (e.g., after crop harvests and before the planting season), and it can highlight women's use of time and resources.	Meet with community resource persons and representatives of interest groups affected by seasonal changes (e.g., annual agricultural cycle, forestry, livestock production, fishing). Use semistructured interviews or focus group discussions to identify different seasonal activities. Illustrate on a flip chart which months a particular activity takes place over one calendar year. Discuss and note the implications of these activities for men and women as the activities relate to the land-acquisition process.

(*Table continued on next page*)

Table 3.3. *(Continued)*

PA TECHNIQUE	APPLICABILITY	HOW TO USE
Livelihood analysis diagrams	These facilitate an understanding of livelihood activities, gender roles, behaviors, decisions, and coping strategies of households and communities.	Undertake semistructured interviews with resource persons and a random sample of individual households. Hold focus group discussions with community and livelihood interest group representatives. Use specific and open-ended questions prepared beforehand to guide a discussion to understand livelihood activities and strategies adopted by men and women in the affected community and households.
Preference ranking and scoring	Ranking facilitates a rapid determination of key land-acquisition issues, preferences, and priorities in resettlement planning and implementation.	Undertake focus group discussions with community leaders and interest group representatives to identify a list of potential key land-acquisition issues and list them on a flip chart. Allow each participant to individually rank the issues he or she considers the most important. Score each issue to identify the group's collective ranking of the key issues. Undertake the same process to identify and rank potential mitigation measures, preferences, and priorities related to the land-acquisition and compensation process. Using this technique with separate demographic groups (e.g., adult women, men, adolescent girls, boys) can help identify different needs and concerns based on gender, age, socioeconomic status, and so forth.
Joint group analysis and decision-making	This facilitates participation of community members in resettlement planning and implementation decision-making and builds ownership of outcomes.	Undertake joint discussions between different teams and groups (e.g., project team, government representatives, community leaders, interest groups, and the RAP team). Use preference ranking and scoring to build a consensus on decisions concerning land acquisition and appropriate mitigation and compensation measures.

IV.I. Creative Engagement

Recently there has been a trend to reach community members with more creative approaches, including theater and videos. Some projects have worked with theater groups to act out scenarios from the future land-acquisition process. Street theater can be a lighthearted but informative approach and helps to elicit constructive discussion concerning key issues. Other projects have created videos to indicate what a future resettlement site could look like as well as providing information on the project itself, and have brought these showings to the communities.

V. Key Stakeholder Engagement Activities in the Land Acquisition and Resettlement Process

Consultation concerning resettlement will commence at the scoping stage and continue throughout the land-acquisition and compensation process until a completion audit has been done satisfactorily. Engagement must take place with the affected community, each individual household, specific subgroups within the affected community (such as fisherpeople or businesspersons), host communities, government officials, civil society, and other stakeholders, including women and vulnerable or marginalized groups. If there is a large number of households to be resettled, individual consultation with affected households concerning asset assessments, valuation, and compensation measures is likely to be the most time-consuming aspect of the overall SE process.

The selection of project staff, consultants, NGOs, or local community members to undertake stakeholder engagement activities must be given careful attention to ensure that they have the appropriate knowledge, experience, interpersonal and communication skills, and attitude to successfully liaise with a cross-section of affected stakeholders (refer to Module 6. XIII. The Implementation Team). Key consideration should be given to the characteristics of community liaison officers (CLOs), such as gender and ethnicity. If they are from the local area, assess whether they will be able to liaise with all affected communities and report back accurately without undue influence or whether they are likely to promote their own viewpoints and agendas. Some CLOs can be gatekeepers or not fully represent the concerns and views of communities with whom they interact.

Table 3.4 summarizes the sequence of key SE activities, appropriate methods of engagement and information disclosure reports or documents, and steps and milestones of the land-acquisition, resettlement, and livelihood-restoration planning and implementation process. The scale of SE activities must be appropriate to the scale of the project, land-acquisition requirements, and impacts on affected communities.

Table 3.4. Sequence of Stakeholder Engagement Activities during the Resettlement Process

STAGE OR STEP	ACTIVITIES AND TASKS	KEY STAKEHOLDERS TO ENGAGE	APPROPRIATE ENGAGEMENT METHODS	KEY INFORMATION TO DISCLOSE	KEY DOCUMENTS AND REPORTS
Scoping and risk assessment	Initial consultation with government authorities Preliminary stakeholder identification (affected communities and their leaders, relevant government agencies, local authorities, NGOs/CBOs, women's organizations, organizations servicing the needs of vulnerable groups, local interest groups) First disclosure of potential project footprint, to be managed with utmost caution to mitigate speculation risks Impact and risk assessment Preparation of SE road map for further stages	Project proponents and design team Local government and traditional authorities Community leaders and resource persons Cross-section of households Local NGOs and CBOs Local interest groups, including those representing women and vulnerable or marginalized groups (e.g., youth, agriculture, business, fisherpeople)	Interviews with resource persons Workshops PA techniques	Project purpose and key components; project sponsor information Project Nontechnical Summary (if available) Purpose of scoping (at commencement) and further stages of resettlement planning Project footprint (if available and appropriate) and potential impacts (with all due precautions) SE purpose and proposed arrangements Feedback at end of scoping	*For project use:* SE road map for resettlement planning Scoping report, including refinement of footprint Resettlement Policy Framework

(*Table continued on next page*)

Table 3.4. *(Continued)*

STAGE OR STEP	ACTIVITIES AND TASKS	KEY STAKEHOLDERS TO ENGAGE	APPROPRIATE ENGAGEMENT METHODS	KEY INFORMATION TO DISCLOSE	KEY DOCUMENTS AND REPORTS
Initiation of the resettlement-planning process[a]	Kickstarting the resettlement-planning process Establishment of a diverse resettlement committee Establishment of grievance management committee (especially for long linear projects) Disclosure of project footprint Explanation of community role in avoiding and minimizing speculation Identification of third party trusted by community (if relevant) to help communicate RAP process	Community resettlement committee Affected community and households Central government (and regional, if relevant) Local government and traditional authorities Local NGOs and CBOs Groups representing women Groups representing vulnerable or marginalized people	Public meetings Committee meetings Media announcements Announcement on social media Face-to-face information announcements by community liaison team Announcements by local authorities Notice boards	Same as above Key elements of the planning process, including timing, cutoff, surveys, valuation, and entitlement Associated consultation process, including information on representative committees GM Project contact information Contact information relevant to further information and GM	*For community use:* GLAC, including project contact information and details on GM Leaflets Resettlement newsletter Mobile phone text messages Project footprint (if declaration of cutoff is to follow shortly)

[a] Refer to Module 2, figure 2.1.

(*Table continued on next page*)

Table 3.4. *(Continued)*

STAGE OR STEP	ACTIVITIES AND TASKS	KEY STAKEHOLDERS TO ENGAGE	APPROPRIATE ENGAGEMENT METHODS	KEY INFORMATION TO DISCLOSE	KEY DOCUMENTS AND REPORTS
Cutoff date	Announcement of intent to conduct Rapid Asset Survey prior to establishment of cutoff date Establishment and announcement of cutoff date for eligibility for compensation (assets constructed and crops planted after the cutoff date will not be compensated) Explanation of the legal process backing the declaration of cutoff (such as a Declaration of Public Interest or similar)	Community resettlement committee Affected community and households Central government (and regional, if relevant) Local government and traditional authorities Local NGOs and CBOs Potential newcomers and/or settlers	Community general meeting Committee meetings Media announcements Information announcements by community liaison team and RAP steering committee Local government announcements Notice boards	Cutoff date restrictions GM	*For community use:* GLAC Leaflets Resettlement newsletter

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Table 3.4. *(Continued)*

STAGE OR STEP	ACTIVITIES AND TASKS	KEY STAKEHOLDERS TO ENGAGE	APPROPRIATE ENGAGEMENT METHODS	KEY INFORMATION TO DISCLOSE	KEY DOCUMENTS AND REPORTS
Asset surveys	Survey and quantification of all household and community assets Explanation of legal process if relevant Explanation of GM	Community resettlement committee Local government officials (and possibly central and regional levels, if necessary) Traditional authorities Community leaders Each affected household	Kickoff of community general meeting to explain survey process to all involved Committee meetings Site visits by asset survey teams to the home and land of each affected household to list all assets Site visits by asset survey teams and meetings to list affected public and community assets, infrastructure and resources	Disclosure of final project footprint, including delineation in the field with community representatives Proposed assets survey process (at commencement) Individual asset summary for each household Detailed information on sign-off of asset summary and its implications Public/community asset summary for government officials and local leaders GM	*For community use:* GLAC Leaflets Resettlement newsletter Individual household asset summary Consolidated summary of assets for all households Public/community assets summary *For project use:* Asset Impacts chapter of the RAP

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Table 3.4. *(Continued)*

STAGE OR STEP	ACTIVITIES AND TASKS	KEY STAKEHOLDERS TO ENGAGE	APPROPRIATE ENGAGEMENT METHODS	KEY INFORMATION TO DISCLOSE	KEY DOCUMENTS AND REPORTS
Socioeconomic data collection	Obtaining quantitative and qualitative information on livelihoods Obtaining quantitative and qualitative information on affected community infrastructure, services, natural resources, socioeconomic circumstances, and so forth Obtaining information on risks of GBV Obtaining information on potential compensation preferences (in-kind, in cash, preferred resettlement locations, etc.) Obtaining information on livelihood-restoration preferences	Community resettlement committee Local government departments and agencies Traditional authorities Community leaders and resource persons Affected households NGOs and CBOs Potential host communities Academic organizations Groups representing women Groups representing vulnerable or marginalized people	Committee meetings Interviews with resource persons Qualitative research (PA techniques, focus groups) Household surveys Other quantitative surveys (questionnaires)	Update of above information Purpose of research and surveys (at commencement) Feedback of key findings	*For project use:* Baseline data chapter of the RAP

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Table 3.4. *(Continued)*

STAGE OR STEP	ACTIVITIES AND TASKS	KEY STAKEHOLDERS TO ENGAGE	APPROPRIATE ENGAGEMENT METHODS	KEY INFORMATION TO DISCLOSE	KEY DOCUMENTS AND REPORTS
Resettlement and livelihood-restoration planning	Planning to mitigate and compensate impacts of physical and/or economic displacement Identification of replacement land Identification and selection of potential resettlement sites Design of resettlement houses Identification of a range of livelihood-restoration options	Community resettlement committee Affected community Project planners, designers, and engineers Government agencies and NGOs involved in activities relevant to compensation and resettlement and livelihood restoration and improvement Traditional authorities Community leaders Host communities, if relevant Groups representing women Groups representing vulnerable or marginalized people	Planning workshops Focus group meetings Committee meetings Public meetings Face-to-face meetings with government agencies and NGOs Site visits with community resettlement committee to potential land replacement and resettlement sites and to see model homes Site visits with community resettlement committees to relevant projects	Proposed planning process (at commencement) Proposed entitlements Proposed compensation rates Proposed compensation process List of documents project-affected persons will have to submit to initiate compensation process Proposed resettlement sites and their location and characteristics Proposed site and house design Proposed livelihood-restoration packages Explanations about grievance process Draft RAP for feedback	*For community use:* GLAC Schedule of compensation rates *For project use:* RAP and/or LRP

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Table 3.4. *(Continued)*

STAGE OR STEP	ACTIVITIES AND TASKS	KEY STAKEHOLDERS TO ENGAGE	APPROPRIATE ENGAGEMENT METHODS	KEY INFORMATION TO DISCLOSE	KEY DOCUMENTS AND REPORTS
Livelihood restoration and improvement	Negotiations to agree on livelihood-restoration and -improvement measures at community and household levels	Community resettlement committee Each affected household (husband, wife, and all members contributing to household livelihood activities) Groups representing women Groups representing vulnerable or marginalized people Local livelihood groups (e.g., agriculture, forestry, fisheries, business) Government agencies and donors involved in activities relevant to livelihood restoration and improvement NGOs and microfinance institutions involved in activities relevant to livelihood restoration and improvement	Meetings with community resettlement committee Individual meetings with each affected household by the livelihood-restoration team Meetings and workshops with livelihood interest groups	Details on proposed livelihood-restoration and -improvement packages Ideas on new livelihood opportunities Draft written summary of all agreed livelihood-restoration measures for confirmation by each household (will typically be part of the overall compensation agreement mentioned above)	*For community use:* Signed agreements for each affected household

(*Table continued on next page*)

Table 3.4. *(Continued)*

STAGE OR STEP	ACTIVITIES AND TASKS	KEY STAKEHOLDERS TO ENGAGE	APPROPRIATE ENGAGEMENT METHODS	KEY INFORMATION TO DISCLOSE	KEY DOCUMENTS AND REPORTS
Compensation negotiation and agreements	Negotiations to agree on compensation entitlements for loss of household and community assets	Community resettlement committee Each affected household (husband, wife, and/ or other key family members) Local government and traditional authorities and community leaders responsible for public/ community assets Third party experts to support communication of compensation rates and process	Individual meetings by compensation negotiation teams	Asset summary Draft compensation agreement that includes livelihood-restoration measures	*For community use:* Signed agreements for each household Signed agreements by government authorities/ community leaders

(*Table continued on next page*)

Table 3.4. *(Continued)*

STAGE OR STEP	ACTIVITIES AND TASKS	KEY STAKEHOLDERS TO ENGAGE	APPROPRIATE ENGAGEMENT METHODS	KEY INFORMATION TO DISCLOSE	KEY DOCUMENTS AND REPORTS
Implementation of relocation and livelihood-restoration measures	Consultation with affected households to plan and implement staging and timing of movement to new houses/ settlements, and staging of harvesting existing crops, preparing new land, and commencing new livelihood activities	Community resettlement committee Each affected household (husband, wife, and other members) Groups representing women Groups representing vulnerable or marginalized people Transportation contractors to relocate households and their assets Livelihood-restoration implementation agencies (e.g., NGOs, CBOs, government departments, rural development organizations) Host communities	Meetings with community resettlement committee Individual meetings with each affected household by the resettlement and livelihood-restoration teams	Timing and staging of physical relocation to new settlement site/houses Details of relocation transportation arrangements, other assistance, and allowances Date by which existing crops must be harvested Details of transitional support to be provided while livelihoods are restored Timing and staging of implementation of replacement livelihoods (e.g., assistance with preparation and planting of new cropland, establishment of new entrepreneurial and business premises, etc.)	*For community use:* Leaflets Resettlement newsletter Mobile phone text messages

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Table 3.4. *(Continued)*

STAGE OR STEP	ACTIVITIES AND TASKS	KEY STAKEHOLDERS TO ENGAGE	APPROPRIATE ENGAGEMENT METHODS	KEY INFORMATION TO DISCLOSE	KEY DOCUMENTS AND REPORTS
Monitoring	Internal project and external independent monitoring of the land-acquisition and resettlement process	Community resettlement committee Sample of affected households Groups representing women Groups representing vulnerable or marginalized people Host communities if relevant Local government officials and traditional and community leaders Resource individuals (key informants)	Participatory monitoring techniques Perception research Quantitative surveys and qualitative research, with focus on livelihoods and consistent with the baseline surveys to allow for comparisons	Feedback of key findings to project management and RAP implementation teams Feedback to government, if applicable Feedback to community resettlement committee Feedback to entire affected community Any corrective actions	*For community and project use:* Publicly disclosed monitoring reports *For project use:* Corrective Action Plan Internal monitoring reports

(*Table continued on next page*)

Table 3.4. *(Continued)*

STAGE OR STEP	ACTIVITIES AND TASKS	KEY STAKEHOLDERS TO ENGAGE	APPROPRIATE ENGAGEMENT METHODS	KEY INFORMATION TO DISCLOSE	KEY DOCUMENTS AND REPORTS
Completion audit	Independent audit to assess completion of RAP or LRP commitments, including assessment of status of livelihoods	Random sample of affected households Groups representing women Groups representing vulnerable or marginalized people Local government officials and traditional and community leaders Resource persons	Quantitative surveys and qualitative research Focus group discussions Interviews with resource persons	Feedback of key findings to project management and RAP implementation teams Feedback to government, if applicable Feedback to community resettlement committee Feedback to whole affected community Any corrective actions	*For community and project use:* Publicly disclosed Completion Audit Report

VI. Engaging with Specific Stakeholder Groups

The previous sections provided general guidance on stakeholder engagement with communities. The following sections provide guidance on engagement with specific groups that may require special consideration or a unique approach.

VI.A. Government

It is necessary to engage effectively with the government in land acquisition and resettlement, even where the process is handled through a private-sector project. Government authorities should initially be engaged in the scoping stage, especially in the case of government-led resettlement (refer to Module 1. III.C. Understanding the Role of the Government). Those typically involved are mayors and district heads at the local level and appropriate regional heads and national departmental heads, and those with a say in expropriation, land tenure, and the oversight and permitting of the project. There are two main aspects of engagement with government authorities: (i) the project establishing a relationship of trust with the range of government officials (national, regional, local, etc.) and disclosing information and soliciting feedback, and (ii) supporting the government in undertaking resettlement-related activities (e.g., convening public consultation forums, establishing cutoff dates).

VI.A.i. National legal and regulatory requirements

Government requirements for SE and disclosure concerning land acquisition should be ascertained at an early stage. These requirements may be provided in the overall project SEP but will typically have to be understood in more detail for the purpose of land acquisition. Local laws may require specific SE and disclosure activities with regard to the following stages of the land-acquisition and resettlement process:

- The ESIA
- Spatial planning or zoning amendments for specific types of land use possibly needed for the project
- Delineation of the footprint and declaration of public interest of this footprint (if applicable)
- Asset surveys
- Expropriation

In addition to these mandatory government procedures, government typically provides input in the following decisions:

- Compensation and valuation policy and rates
- Requirements for grievance resolution
- Selection of resettlement sites and titling
- Community infrastructure at resettlement site (access, education, sanitation, water, power, health, and public transport) and staffing of schools and health centers
- Transfer of responsibility from project sponsor to communities or local authorities for resettlement sites

Finally, it is important to discuss SE with the government, particularly the following:

- *Approvals:* as needed from national, regional, and local authorities to undertake SE and disclose information
- *Types of SE:* location and format of public hearings, disclosure periods, and means of disclosure of information
- *Scheduling of SE activities:* such as specific steps for initial stakeholder identification, notices required to advertise meetings, disclosure of information, studies and surveys, planning, and so forth
- *Timing of formal public hearings:* especially those related to land acquisition, in addition to the regulatory requirements for disclosure of the project ESIA and spatial planning and zoning updates that the project may entail
- *Documents to disclose:* such as footprint maps, amended spatial planning documents, cutoff date, ESIA, RAP and/or LRP, GLAC, monitoring reports, and so forth
- *Establishment of cutoff dates:* as this typically involves government officials

VI.A.ii. Key steps in engaging the government

- Identify government stakeholders, including individuals and relevant government departments and agencies at the national, regional, and local levels. Ascertain their functions, relevance to project land acquisition, and levels of influence and support. Tailor SE activities accordingly.
- Engage with government leaders and representatives early and agree on a process of ongoing interaction (who, how often, where, when, and how). Regular scheduled meetings of a steering committee are a practical way to achieve this.
- Work with government representatives to ascertain whether additional resources and capacity building of government officials are required to

address SE, land acquisition, and resettlement. There could be a need for CLOs, resettlement-planning education and training workshops, gender training, and guidance notes.

- Agree on the respective roles of the government and the project team in public consultation, including shared responsibilities with government agencies, how the project will participate, and how the shared responsibilities will be managed. Make sure government officials are comfortable with the proposed strategies and activities so there are no subsequent objections. Clarify which activities government representatives want to participate in and which will be left to the project to organize.
- Consider establishing a joint steering committee with representation by government and the project (and possibly affected community representatives) to provide overall guidance on SE and implementation of the land-acquisition process and/or of a joint working group to facilitate implementation of SE and the RAP (see table 3.5 and box 3.4). Typically, the steering committee involves regional or district-level government officials as well as project and community representatives and focuses on strategic decisions, while working groups include community members, members of the resettlement committees and other interest groups, and department-level government officials and focuses on technical decisions and day-to-day activities.

Table 3.5. Typical Composition and Scope of a Steering Committee and Working Group

	STEERING COMMITTEE, STRATEGIC LEVEL	WORKING GROUP, TECHNICAL LEVEL
Composition	Regional or district administrator Community leaders (e.g., mayor, traditional chief or head) Project manager Project community liaison manager Head of resettlement-planning and implementation team	Community liaison team Key community interest group representatives Representatives of the community resettlement committee Resettlement implementation team Gender team Key project personnel (e.g., project implementation managers, planners, designers, engineers) Key government department officials (e.g., local government, land affairs, housing, agriculture, education, health, transportation)
Scope	Provide strategic guidance on resettlement planning. Facilitate access to and permitting of resettlement sites. Facilitate engagement in case of conflict with communities. Provide guidance on compliance with national law. Discuss gaps in legislation against international standards and how they can be bridged. Validate the entitlement strategy. Facilitate staffing of community infrastructure such as schools and health centers. Facilitate cooperation and coordination of relevant government departments (public roads, education, health, etc.).	Discuss and agree on methodologies for the different surveys, particularly asset surveys (and participate in their implementation in the field as appropriate). Participate in the selection of resettlement sites and design of housing and provide inputs into technical studies. Discuss and agree on valuation methods and calculation of compensation rates. Discuss and agree on details of entitlements for all categories of losses. Provide technical advice to ensure the resettlement process includes gender considerations throughout. Provide technical standards for development of resettlement sites and housing.

(*Table continued on next page*)

Table 3.5. (*Continued*)

	STEERING COMMITTEE, STRATEGIC LEVEL	WORKING GROUP, TECHNICAL LEVEL
Scope (*continued*)	Address recurrent grievances and sensitive cases. Address security issues that may be raised by the resettlement process. Streamline titling of replacement land. Ensure that different government departments are aligned around the resettlement-planning and implementation process. Validate the RAP and/or LRP.	Discuss and formulate the handover process of resettlement sites. Discuss and agree on livelihood-restoration activities. Discuss and agree on details of implementation arrangements and participate in implementation as appropriate. Discuss and agree on capacity-building measures needed for government agencies and community representatives.

Box 3.4. Government Steering Committee and Working Group

A project in Central Asia had to relocate two villages when its mandatory buffer zone was extended. While the private operator of the project was responsible for the implementation of the resettlement, the government was closely involved, as it would ultimately pay for the resettlement cost as part of the cost-recovery agreement for the project.

A steering committee and a technical working group were established in the early phases of resettlement planning to manage government-project interaction. The steering committee consisted of senior government officials at the vice minister or similar level, representatives of the regional and district administration, and project representatives. The steering committee provided guidance to the implementation team and working group and reviewed specific issues, such as the following:

- Location of resettlement sites and resettlement principles
- Public consultation and disclosure principles
- Entitlement strategy, particularly where proposed full replacement-cost compensation exceeded normal local compensation rates
- Timeline and budget of the resettlement and fund-channeling mechanisms

The working group, chaired by the district head, consisted of district officers and project officers who reviewed issues such as the following:

- Design of resettlement sites and apartments or houses
- Public consultation and disclosure
- Recurrent grievances
- Contracting arrangements and timelines

VI.A.iii. Building strong engagement with government authorities

Encourage government authorities to adopt an inclusive and participative approach to SE. In cases where participation by affected communities is limited, engage early with government officials at a senior level to build awareness of the importance of comprehensive SE:

- Hold discussions with government officials in a safe environment where views can be exchanged in confidence, openly, and honestly.
- Do not place officials at risk of possible reprisals for views expressed.
- Discuss the risks of not undertaking a thorough engagement process with all affected stakeholders and provide examples of poor engagement that have led to difficulties in project land acquisition and resettlement.
- Focus on practical and nonthreatening approaches to address issues and consider including workshops with government officials and community leaders.
- Consider holding a joint open day with government officials at a center within the affected community to explain the overall land-acquisition process.

> Holding some initial joint discussions with government officials and affected community leaders, with input by a skilled independent facilitator, can help to break the ice and build support for a comprehensive engagement process with all stakeholders.

VI.B. Community Representatives

SE usually requires interaction with representatives of the affected communities, including community leaders, traditional authorities, elected politicians, and CBOs, often initially at the scoping stage. Engagement with such representatives should not replace direct interaction with the affected communities and with each affected household and individual. It is necessary that these representatives are kept informed throughout the land-acquisition and resettlement process—from the early stages. It is important to keep the following in mind:

- In spite of seemingly strong common roots and shared values, rural communities in emerging economies are often divided and may lack adequate leadership and organizational structures needed to achieve inclusive consensus and decisions.
- Urban and suburban communities may be even more divided, with no traditional social cohesion.

- Local government officials and elected representatives, such as members of parliament or counsellors, may have different priorities from those of affected communities.
- CBOs may also have their own interests and represent only some of the affected stakeholders.
- Representation and decision-making power within communities may not reflect the diversity of the people in the communities. Women and vulnerable groups may be especially underrepresented.

Table 3.6 lists some key issues of representation and leadership of affected communities to consider and address in the land-acquisition process.

Table 3.6. Representation and Leadership of Affected Communities

WHEN DEALING WITH	VERIFY
Community and traditional leaders and local government representatives	• The legitimacy and constituency of community and traditional leaders and representatives early on and their consultation with constituents using a participative and inclusive process (namely, that all vulnerable and marginalized groups are included in consultation—such as women, youth, ethnic minorities, and informal land users) • That they genuinely represent the views of the overall affected community and various subgroups and not solely their own particular interests • That they understand the importance and benefits of gender equality • That government officials, community leaders, and representatives fully and accurately convey information and the results of consultation to their constituents If these cannot be verified, build awareness and the capacity of community and traditional leaders to engage effectively with affected constituents: for example, training in participative processes, provision of support documents such as the GLAC, and use of participatory techniques. (Refer to section IV. Engagement Methods and Tools of this module.)
Civil society (CBOs, NGOs, and advocacy groups)	• That organizations' claims of representing the affected community are correct and that they have established local constituents and legitimacy • That groups do not advocate solely their own interests and do genuinely consider the interests of those they represent • That they convey results of consultation to their constituents and genuinely consult with them • That they are able to convey sensitive information in ethical and accurate ways

An assessment of the legitimacy of individuals and groups who claim to represent affected communities can be difficult and tricky to navigate if there are complex local authority structures and differential power relationships, particularly where there is discrimination and vulnerable groups are marginalized. Some community members may not accept these representatives, or representatives may lose the support of those they claim to represent over time. In this regard, ensure that the views of a comprehensive cross-section of the community are obtained and seek the advice of those who know the community very well and may be able to provide a more independent viewpoint, such as teachers, nurses, and agricultural extension officers.

Consultation with traditional authorities is critical in project areas where land is communally held and authorities preside over traditional ceremonial roles and the allocation of land in their areas of jurisdiction. Often, they have local influence, provide permission for engagement with community members, and are able to influence a project's social license to operate. Building trust and maintaining good relationships will form an important part of the stakeholder engagement process.

It is advisable to have regular meetings and focus group discussions with traditional authorities. Before undertaking these meetings, ensure that the consultation team is well informed about traditional practices when meeting with traditional authorities. When dealing with traditional authorities, the following should be verified:

- Land tenure and land allocation arrangements
- Traditional boundaries and areas of jurisdiction
- Different affected communities and groups in the project area
- Sacred sites and customary practices that need to be observed and respected
- Methods for consultation, including venues, notices, and procedures to be followed (such as invitation letters and posters)

VI.C. Affected Communities and Households

The typical sequence of engagement with affected communities is as follows (see also table 3.4 for more details):

- *Scoping:* It is often at the scoping stage that the issue of potential land acquisition is disclosed to the community for the first time, and this disclosure must be prepared for and managed with the utmost caution to avoid misunderstandings, rumors, and speculation.
- *Initial planning:* At the inception of the planning stage, there will typically be another round of information and consultation with community leaders and representatives. It is often at this stage that the precise footprint is disclosed for the first time, which should not happen too early before the cutoff date is declared in order to minimize the potential for speculation.

- *Planning:* It is important to consult with the community in its entirety during the planning stage on issues such as compensation rates, selection of resettlement sites, design of housing, livelihood restoration, and so forth, culminating in an agreement with the community (usually represented by its resettlement committee) on entitlements. This is usually the stage where the RAP or LRP is finalized to reflect this engagement process and the overall agreement at the community level, which does not necessarily imply that every household agrees to their specific compensation package. It may be necessary at this stage to meet with individual households to discuss resettlement house design or livelihood-restoration measures.
- *Baseline surveys:* This process starts with community and committee meetings to explain the process and can include the range of tools described in section IV. Engagement Methods and Tools of this module. The surveys, however, are typically conducted at a household level.
- *Negotiation and implementation:* Negotiations are held with each directly affected household, commencing with planning, and are sanctioned by the final agreement of the household to its individual compensation package, addressing both physical relocation and livelihood restoration where applicable.
- *Monitoring:* This process of engagement with affected communities should commence early on during planning but is particularly important during the implementation phase when unforeseen issues and grievances are most likely to arise and must be identified in order to implement any necessary corrective actions (see Module 7. Monitoring).
- *Completion audit:* The process of interaction with the affected community by an independent auditor after the implementation phase is particularly important to identify whether there are any outstanding issues that still need to be addressed and to be able to confirm if the land-acquisition process has been completed satisfactorily.

The following are key factors for successful engagement with affected communities:

- Listen to advice and suggestions from community and local government representatives. Ask how they want to be consulted, including who, how often, where, and by what methods they would like to receive information and provide feedback.
- Ask and work with community leaders and representatives to determine how information concerning land acquisition will be passed on to the affected and host communities.
- Usually, unless the political or social context does not allow public meetings (see section IV.B. Community Meetings of this module) that are open to all parties, with adequate notice given beforehand such meetings are a useful means of initially informing the community. More specific consultation will

pass through the resettlement committee (see section IV.A. Committees of this module). Focus groups should be considered to enable affected persons, particularly the marginalized or vulnerable, to be able to attend and express their views (see section IV.C. Focus Groups of this module). Periodic public meetings should be held for transparency.

- Where there are constraints on holding general public meetings (e.g., for security, social, or political reasons), work with community leaders to ascertain alternative methods to disclose land-acquisition information and discuss issues with affected households. Smaller individual meetings or workshops with different interest groups (men, women, vulnerable people, religious minorities, informal settlers, etc.) can be helpful in this case. In some situations, women may not be permitted to attend public meetings outside their own home, and even smaller meetings may need to be considered.
- Consider what information needs to be disclosed in conjunction with community leaders and representatives, such as notice of baseline and asset surveys, cutoff date, compensation assessments, and relocation implementation (refer to section VIII. Communication and Information Disclosure of this module).
- Give attention to building the capacity of everybody in affected households to do the following:
    - Fully understand land-acquisition impacts
    - Participate meaningfully in the relocation planning process
    - Understand and be able to negotiate compensation and mitigation measures for their lost assets
- Capacity-building measures can include the following:
    - Conducting training workshops to explain the land-acquisition and compensation process, particularly the legal aspects. This could include a presentation of films as well as play acting to illustrate roles and responsibilities. These can be especially effective in engaging and informing communities with low literacy levels.
    - Making simple guides available, such as a GLAC (refer to section IV.D. Guide to Land Acquisition and Compensation for Disclosure of this module)
    - Arranging visits by community representatives and households to similar completed land-acquisition and resettlement projects, where feasible
    - Commissioning NGOs (where these organizations have the required technical abilities) and/or independent legal advisers and valuers to provide neutral advice to communities and individual households and to facilitate mutually agreed compensation measures with the project

- Ensure that communication channels with affected households and community social networks are maintained after relocation. A disruption of communication channels and networks (often involving women's groups and other vulnerable or marginalized groups) can lead to social isolation and consequent loss of support for the project and resettlement process.

VI.D. Vulnerable Groups

PS1 requires that the SEP include differentiated measures to allow consultation with, and effective participation by, disadvantaged and vulnerable groups and individuals (PS1, paragraph 27). Such vulnerable groups can include, but are not limited to, women; the elderly; youth; physically and mentally disabled and chronically ill persons; extremely poor households; informal settlers or squatters; marginalized minority groups; and refugees, among others. Indigenous peoples that depend on natural resources are often especially vulnerable to the impacts of land acquisition and changes in land-use systems. Such vulnerable groups may be more likely to be adversely affected by project impacts and may be more limited in their ability to take advantage of a project's benefits. Inclusive SE is required regardless of characteristics of people (age, gender, gender identity and sexual orientation, religion, race, ethnicity, tribe, caste, indigenous status and/or dependence on unique natural resources, political affiliation, socioeconomic, civic and health status, etc.).

Vulnerable groups are often subject to discrimination and may be reluctant to self-identify or express their views and concerns openly. In some countries some vulnerable groups or individuals are considered illegal (e.g., the lesbian, gay, bisexual, transgender, and intersex communities; squatters or informal settlers; artisanal miners; fisherpeople; etc.), or there may be inadequate or nonexistent national laws and regulations for their protection (e.g., internally displaced communities and refugees). Such an individual or group is more likely to be excluded from, or unable to participate fully in, the mainstream consultation process and therefore may require specific measures and/or assistance to participate in consultation.

The following are key aspects of engagement with vulnerable groups:

- Meet with government officials, community leaders, civil society organizations (CSOs), women's groups, indigenous people's representatives, and other resource persons to identify and map vulnerable groups, households, and individuals.
- Identify any local "champions" who provide support to vulnerable groups and are willing to facilitate engagement with project-affected groups.
- Hold separate meetings or focus group discussions with vulnerable group leaders, representatives, and resource persons.

- Make special arrangements (meeting place, time, safety, translators, facilitation, childcare, elder care, etc.) where necessary to enable vulnerable groups to participate meaningfully.
- Ensure that people with disabilities are provided with support, if required, to express their views on an equal basis with others and ensure that their views are not overridden by the decisions of others, such as family members and other relatives. Such measures could include working to overcome obstacles such as illiteracy and restricted freedom of movement.
- Ensure that vulnerable groups and individuals are not put at risk of reprisal.
- Do not put people at risk in discussion groups by probing their concerns when it is clear that they are reluctant to provide a full explanation openly. Freedom of expression is often a highly politicized issue and there can be contextual risks at local, regional, or national levels. Rather, seek to gain insight into the concerns of vulnerable groups through separate, confidential, individual interviews with resource persons.

VI.E. Host Communities

Early engagement with potential host communities is important in cases where there is no alternative but to seek resettlement sites for project-affected households among other, usually neighboring, communities. Consultations with host communities should come early in the resettlement-planning process. It should never be assumed that displaced households will be readily accommodated in host communities without proper consultation.

Preliminary engagement with host communities should be undertaken with caution in the scoping and baseline survey stages so as not to raise expectations or unfounded concerns about the possible settlement of newcomers. Detailed engagement with host communities should be undertaken only once it has been established that the host community is likely to be willing to accept newcomers and that the resettlement site is generally suitable and acceptable to the displaced community.

The following are key aspects of engagement with host communities:

- Engage with host community leaders and representatives early and ask how they want to be consulted.
- Consider the establishment of a host community committee (refer to section IV.A. Committees of this module), representative of relevant interest groups in the host community, to advise on issues concerning the relocation of newcomers.
- Share information transparently and regularly with the host community (including how many resettlers will relocate and when) throughout the land-acquisition planning and implementation process. Discuss acquisition of land for the resettlement site with them, including any compensation issues.

- Assess likely impacts of resettling newcomers within the host community with host community members and identify suitable measures to mitigate negative impacts and enhance positive impacts.
- Work with host community representatives to identify where newcomers could be accommodated in their area and plan resettlement sites accordingly.
- Work with host community representatives and planning specialists to assess and determine to what extent infrastructure, facilities, and services (such as health and education) might need to be created, improved, or expanded to accommodate resettlers and if any other mitigation measures will need to be planned and implemented.
- Ask how newcomers will be accepted (especially if they belong to different cultural, ethnic, religious, tribal, or political groups) and work with host community representatives to identify and implement measures to facilitate integration.
- Facilitate coordination and interaction between host communities and resettlers to determine how and when newcomers will be incorporated into local social and organizational structures.

To help the host community accept, adapt to, and integrate newcomers, the project should consider enhancing mitigation measures (such as the provision of infrastructure and facilities to serve resettlers) so that they will also benefit the wider local population. Implementation of a community development project that would benefit both displaced households and the host community is good practice that will help build and maintain a sustainable social license to operate. Box 3.5 provides an example of mitigation measures implemented to facilitate the integration of newcomers with a host community.

Box 3.5. Example of Planned Mitigation Measures to Integrate Newcomers with a Host Community

A small village had to be relocated to enable the development of a gold mine in West Africa. The nearby main village was willing to make land available to resettle households from the smaller village, but the host community and the mine developers were concerned about the potential for a large influx of migrants seeking work on the mine, as an uncontrolled influx of migrants had taken place at a nearby mine.

In order to avoid similar potential uncontrolled settlement and poor integration of newcomers, the leaders and representatives of both villages and the mine met to select the resettlement site for the new village and also to select a separate suitable site for settlement of the expected influx of migrants. The mine constructed new houses and facilities for the resettlers. Residential plots were surveyed and demarcated, and roads and water supply points constructed at the selected site to accommodate in-migrants. A provision was also made for other facilities, such as a marketplace and health and educational facilities to be built at a central location and crossroads to serve the host community, the resettlers, and the in-migrants.

This process of consultation and participatory planning contributed significantly to the subsequent successful planned settlement and integration of the two different groups of newcomers and the host community.

VI.F. Civil Society

Local CBOs, NGOs, and other CSOs such as religious organizations and universities often can play a positive role in protecting the interests of affected households and communities, highlighting potential issues and challenges that need to be addressed, and monitoring resettlement planning and implementation.

A constructive engagement with CSOs can contribute positively to a successful outcome of the resettlement process. Proactive steps should be taken to avoid conflict with these organizations, since conflict can lead to disruption of the resettlement process, project delays, a loss of trust and social license to operate, and the need for additional resources, staff, and inputs (including by senior project management) to address and resolve perceived issues. However, the potential for disagreement and conflict has often resulted in both the private sector and the government being reluctant to engage with civil society, which in turn could result in misunderstandings and poor interaction with the project.

Regardless of the cause of any opposition to the project, experience has shown that it is better to engage with civil society and advocacy groups, attempt to build constructive relationships, and focus on working together to resolve challenges.

The following are key aspects of engagement with civil society:

- Proactively engage with civil society leaders and representatives early (refer to Module 1. III.E. Engaging with Stakeholders).
- Assess each CSO in terms of its actual representation of, and legitimacy in, the affected community and its agenda, approach, and ability to influence the outcome of the land-acquisition process and prioritize ongoing engagement accordingly.
- Ask how they want to be consulted and provide feedback (e.g., via meetings with project representatives or written memos) and agree on methods and approach.
- Share information concerning the project, its impacts, and land acquisition, transparently and regularly (e.g., hold quarterly meetings and provide progress and monitoring reports).
- Ensure that concerned CSOs have access to updated project information and are informed of public consultation meetings and other SE activities.
- Listen to the views of CSOs, discuss issues and challenges openly, and carefully consider their suggestions in the land-acquisition planning and implementation process.
- Ensure that any agreements or commitments made with CSOs are recorded in an MoU, followed up, and consistently applied.
- Consider involving CSOs, with whom a trust relationship has been established, in aspects of resettlement baseline and asset surveys, planning, implementation, monitoring where feasible, and communicating project risks, benefits, and entitlements.
- Consider involving CSOs in community capacity building (legal aspects of land acquisition) and in grievance management (potential grievance review and mediation role).
- Consider involving CSOs, with whom a trust relationship has been established, to explore gender issues and gender risks, especially GBV, in resettlement baseline and asset surveys, planning, implementation, and monitoring where feasible.
- Issue regular updates on implementation of the SEP and RAP, including the current status of the GM: for example, the number of grievances received, those resolved or outstanding, key issues and types of grievances, and average time for resolution.

If the project demonstrates good-faith efforts to engage CSOs and advocacy groups, in the event that they nevertheless remain opposed to the project, they will have fewer reasons to criticize the project and less ability to negatively influence affected communities and potentially cause misunderstandings and conflict.

VI.G. Internal Project Engagement

VI.G.i. Organization

It is essential that the RAP team has access to senior project management and also clear and efficient communication channels to other project teams. It can be very effective to create a joint coordination team within the project for interaction among the different units, including the RAP team; project management; and planning, design, engineering, construction, environmental, social, and communication teams. It is typical for there to be tension between the project construction team and the RAP team. Early engagement to explain the RAP policies and constraints can relieve tension and help with coordinating resettlement implementation activities.

The key objectives of the joint coordination team should include the following:

- Informing and building awareness among project management and teams about key land-acquisition issues, time frames, challenges, and complexities
- Building consensus on strategies and approaches to achieve successful SE, land acquisition, and resettlement
- Achieving timely and consistent decisions concerning land acquisition supported by overall project management
- Ensuring efficient coordination among various project implementation teams (especially between the team implementing the development project and the team implementing the RAP)
- Avoiding mixed messages to affected communities, which could result in speculation, unfounded rumors, and potential disruption and project delays

VI.G.ii. Internal engagement activities

The following are key activities of internal project engagement:

- Engage with senior project management early, especially once the Resettlement Policy Framework and the Scoping Report and Work Plan (refer to Module 1. III.L. Work Plan for Land Acquisition and Resettlement Planning) have been drafted, to discuss and obtain agreement on the strategic approach to land acquisition, resources required, organizational structure (such as a joint coordination team), responsibilities, timing, coordination, and communication channels.
- Establish the joint coordination team with the project team manager as chair and the RAP team manager as vice-chair, to ensure that authority is given to decisions taken.
- Schedule regular meetings of the joint coordination team to address land-acquisition issues as they arise (weekly or fortnightly, especially during

planning, asset surveys, compensation negotiations, and RAP implementation, when key issues will need to be decided in a timely manner). The meetings should be short and focused on achieving agreement and decisions on specific issues and coordination among teams.

- Compile a record and register of decisions and commitments to communities to ensure that they are fully addressed (e.g., early commitments made by exploration teams must be followed through as appropriate to land-acquisition planning and implementation).
- Ensure that key lessons learned by the project and RAP teams are captured in monitoring and evaluation reports so that experience and the institutional memory of the land-acquisition process are not lost over time. This will enable any specific issues or grievances raised by the affected community at a later date to be addressed based on accurate historical land-acquisition information and decisions made. This is important because project implementation and operational teams are often substantially different.

VI.G.iii. Engagement with employees

Engagement with employees to inform them about land-acquisition and resettlement plans and SEPs is important, especially if they are from the local community. It is certain that local employees will be asked by other community members about what they know concerning the project, land acquisition, and compensation measures. It is better that they be kept informed and have the correct information to prevent the spread of unfounded rumors and potential misunderstandings. This can be achieved by holding brief awareness-building meetings, making the GLAC available to employees, and regularly providing key information, such as the cutoff date for compensation, notice of community meetings, or major land-acquisition events, and so forth. Local employees with reliable information and a positive attitude can be ambassadors for the project and contribute significantly to building trust relationships.

Care must be taken that there are no leaks of confidential data (such as individual compensation records) or information and plans that have yet to be agreed on and finalized. It is critical that affected persons' personal data be safeguarded. The release of preliminary draft project footprint plans can lead to speculative land acquisition, building construction, and increased crop cultivation.

VI.G.iv. Engagement with contractors

It is important for the project to engage and coordinate with contractors. Communities identify contractors with the project. Contractors should be fully aware of the project's land-acquisition policy, objectives, and SEP, RAP, and LRP requirements. The project should establish appropriate contractor control measures (e.g., as part of contractor management plans). For more information see IFC's "Good Practice Note: Managing Contractors' Environmental and Social Performance."[22]

This is all the more important where contractors are involved in land acquisition themselves, for example, in regard to temporary construction camps, access roads, quarries or borrow pits, and so forth (see Module 6. XII.E. Land Acquisition by Contractors). Contractors must be instructed to comply strictly with project SE and compensation policies and be monitored to avoid any violations of such policies.

It is important to liaise and coordinate with contractors and construction managers about implementation of housing designs selected by households, construction schedules, and so forth. Contractors are often constrained by budgets and time schedules and may give only minimal attention to coordination with the RAP team and SE with affected land-right holders. This can result in conflicts and project delays: for example, if contractors start to enter and clear land before compensation has been finalized and/or they make promises to affected communities that are not fulfilled.

VI.H. Other Stakeholders

Various stakeholders who are affected by project land acquisition or restrictions to land or natural resources may not be permanent residents in the project area. Such stakeholders may include the following:

- Nomadic herders and pastoralists
- Seasonal fisherpeople, hunters, and gatherers of food and herbal and medicinal plants
- Canoeists and river rafters
- Visitors and worshippers to sacred sites, ancestral graves and shrines, and cultural heritage sites
- Transactional sex workers

Since members of these groups are often seasonal or temporary visitors, they present a challenge to SE.

Such groups should be identified at the scoping stage during the initial stakeholder mapping, and it should be ascertained when they are likely to visit the area and use local resources and who may be able to represent them and their interests (e.g., resource persons, tourist agencies, associations, clubs). The SEP should further be tailored to ensure that these groups are engaged when they

[22] IFC. 2017. *Good Practice Note: Managing Contractors' Environmental and Social Performance*. Washington, DC: IFC. www.ifc.org/ESContractorManagement.

visit the project-affected area. If these stakeholders (e.g., seasonal herders and fisherpeople) normally live in distant areas, consider whether it is feasible to visit them in locations away from the project site or contact them through associations or interest groups. Some of these groups can be influential and vocal, and therefore it is in the interest of the project to ensure that they are not excluded from the SE process.

VII. Stakeholder Engagement Records

The establishment of an appropriate, practical, and simple system to record all SE activities is extremely important and should commence at the scoping stage. SE activities to be documented may include presentations, minutes of meetings, decisions and follow-up actions, workshops, focus group discussions, interaction with households and key individuals, and so forth. At the outset, a simple log should be established to track who was engaged, topics and issues discussed, agreements and commitments, responsibility for follow-up actions, and a timeline (see table 3.7).

More sophisticated methods of maintaining records will usually be needed once interaction with stakeholders becomes more intensive and extensive: for example, consultations about household asset surveys, resettlement-planning consultations, individual compensation agreements, and livelihood-restoration measures. These methods could include centralized engagement and commitment registers, grievance logs, a database, and information management systems (possibly with a link to a project geographic information system [GIS]). There are off-the-shelf software solutions available for such purposes, sometimes with full integration with the compensation management systems:

- The engagement register should include a summary of stakeholder comments, concerns, and grievances and agreed follow-up actions and responses.
- Records of community or interest group meetings should also be available in the local language, include an attendance sheet, and be signed off by a recognized community representative(s) and a member of the project stakeholder engagement team.
- The commitments register should maintain a record of all commitments made to stakeholders and enable tracking of follow-up actions and fulfillment of commitments.

It is also important to record acceptance and support of the RAP by local, regional, and national government authorities; local community leaders (including local traditional or tribal leaders, as appropriate); and/or resettlement committees. This may be in the form of a sign-off by the head of the government authority (e.g., district administrator) and local community leaders and resettlement

Table 3.7. Sample Stakeholder Engagement Log

DATE/ PLACE	STAFF	ATTENDEES	MEETING SUMMARY	FOLLOW-UP
July 1, 2020 San Juan village	E. Rodriguez H. Asuncion	20 villagers, village leaders	Concern was expressed about the proposed access road and vehicle speed when approaching the new resettlement site.	Engineers, RAP, and community relations teams will return next week to discuss options for the access road and to slow down vehicles.
July 30, 2020 El Rincón	B. Blasques	Mayor of El Rincón	More information was requested about how construction jobs on the resettlement site will be allocated.	Job announcements will be posted in mayor's office (as well as village community center).
August 15, 2020 La Serena Village	E. Rodriguez H. Asuncion	20 women from the villages of La Serena and San Juan	The women expressed concern that the river where they wash clothing is so muddy, they can't wash clothes. They believe it's rainfall runoff from the resettlement construction site.	The RAP community relations team and construction engineers will visit the resettlement site and river with the women and assess the situation.
August 25, 2020 Project office	E. Rodriguez H. Asuncion	Six village leaders (San Juan, La Capilla, El Rincón, La Serena, Escondido, Los Altos)	Scheduled meeting with village leaders to present the results of the community GM and to discuss resettlement construction schedule.	Provide meeting notes to the village leaders.

committee representatives. The proposed RAP and its provisions should also be presented at a public event attended by affected land-right holders to confirm that there is recognition of its overall acceptance and not just by local leaders.

Regular feedback to communities (e.g., monthly, quarterly, or biannually, as appropriate) should be provided to summarize progress with the RAP implementation process, management of grievances, and so forth, commensurate with the level of interaction taking place. For affected communities with low literacy skills, public or interest group meetings should be held to convey feedback and enable questions and answers. A common pitfall in RAP implementation occurs when requests, verbal commitments, or expressions of concern are not followed up by the project. Keeping good records and ensuring follow-up can prevent this. Progress reports and feedback are particularly important for internal project management and external stakeholders. Refer to section VIII. Communication and Information Disclosure of this module for more details on the information disclosure process.

Record keeping and documentation of consultation activities and acceptance of the RAP will facilitate the management of the overall land-acquisition SE process. It will also serve to protect the project from unfounded claims: for example, that particular groups were not engaged, consultation was inadequate, or affected households were not fully informed about the RAP and agreed mitigation and compensation measures.

The SE record will also be important for monitoring and evaluation (internal and external) and for an eventual completion audit of the land-acquisition, resettlement, and livelihood-restoration process.

Table 3.7 provides a basic sample stakeholder engagement log.

VIII. Communication and Information Disclosure

There is increasing recognition of the strategic importance of engagement with stakeholders and the communication and disclosure of information, particularly regarding significant impacts to local communities, including land acquisition and resettlement. Growing access to the internet and the rise of social media have increased the expectations of stakeholders for more in-depth information and an ongoing two-way dialogue.

Displacement of communities and households is an emotional and risky issue and must be addressed sensitively and openly through adequate and timely information. Proactive communication will help build collaborative and constructive trust relationships and avoid the possible rapid spread of rumors and misinformation through social media or otherwise. It will also help to strengthen the project's social license to operate among affected stakeholders.

VIII.A. Information Disclosure

The following need to be addressed in a strategic approach to ongoing regular communication and disclosure of information to all stakeholders throughout all phases of land acquisition, resettlement, and livelihood restoration:

- Ensure that all communication and information disclosure is relevant, appropriate, and widely accessible to all affected stakeholders in a gender-sensitive manner that is culturally appropriate. This can be accomplished through various channels, such as strategically placed community notice boards actively managed with information, updates, timetables, and pictures and the provision of pamphlets, plans, and guides, such as a GLAC, in community centers and/or at a local project information center. A community liaison team can interact with stakeholders through public meetings, workshops, and individual discussions with affected households. CLOs can play a key role in arranging meetings, ensuring invitations are extended to all affected groups, and translating documents and discussions.
- Know your audience and tailor the contents of documents appropriately. Provide relevant information for different audiences based on the level of impacts, interest, and concern. Tailor the presentation of information according to language, literacy, and numeracy levels of the intended audience.
- Disclose information in local languages, taking into consideration ethnic minorities, elders, and women who may not be fluent in the national language.
- Take account of local cultural practices, leadership, and organizational structures and systems of information dissemination and feedback.
- Ensure that women, youth, elderly, disabled, vulnerable, and marginalized groups receive information and can participate equitably in dialogue in a safe space free from coercion and intimidation. This may require interaction with individuals or representatives of interest groups via separate meetings and focus group discussions.
- Embrace digital dialogue and establish a project website as well as information flows on social media to disclose project documents and other information. Even remote rural communities are increasingly gaining access to digital communication, with the result that information can be sent, received, and spread very rapidly. This also enables feedback and an interactive two-way communication process. Short text message systems are also an efficient and cheap way to inform people of meetings and key news

where access to smartphones remains limited. Social media searches and analyses can help to identify other project-affected stakeholders who may require other means of contact and channels of engagement to address their concerns and mitigate potential unforeseen risks.

- Ensure dissemination of information using the most appropriate methods, such as through local government, community leaders and organizational structures, project information centers, the media (e.g., internet and social media, mobile phones, radio, television, newspapers), notice boards, public meetings, smaller focus group meetings, and one-on-one meetings with households and key individuals.
- Seek opportunities to listen to, share information with, discuss issues with, obtain feedback from, and build relationships of trust with affected households, communities, and other stakeholders, including land-acquisition adversaries (e.g., during formal and informal meetings or at encounters at shops, community centers, and local cultural events). Unofficial interaction is often as important as official meetings in obtaining feedback and passing on information. However, take care not to raise unrealistic expectations, make commitments that you are not certain can be fulfilled, or provide inaccurate or incomplete information, since it will likely be shared widely in the affected community. A suggestion box also often proves to be helpful to obtain input and feedback from those not comfortable speaking in public or reaching out to a liaison officer for cultural or other reasons.
- Regularly assess the effectiveness of communication concerning land acquisition: for example, through perception surveys, focus group discussions, complaints and grievances received, and the frequency and quality of media coverage.

VIII.B. Disclosure of Documentation

Various project documents, management plans, guidance notes, and communication notices will need to be disclosed as planning and implementation proceed. Disclosure of the land-acquisition process and displacement eligibility and entitlements information, including compensation and livelihood-restoration packages, should take place sufficiently early in the planning process to allow potentially displaced people sufficient time to consider their options. Meaningful stakeholder engagement is not possible without adequate public disclosure of project-related information in a manner accessible and culturally appropriate to affected persons, including translation into local languages. This may include drafts and final versions of reports and plans. Where necessary, efforts should also be made to build and/or strengthen the capacity of project-affected stakeholders to ensure that they adequately understand information concerning project land-acquisition impacts and the planned mitigation and compensation measures contained in these documents. There are different disclosure requirements by governments and/or international finance institutions. Disclosure may include the following information or documents:

- *Project ESIA:* especially the nontechnical summary containing information concerning risks and impacts of land acquisition and physical and economic displacement
- *Summary scoping report:* key issues, risks and impacts, and outline of work plan for resettlement planning
- *RAP or LRP:* the latter in cases of economic displacement
- *GM* (refer to section IX.E. Key Implementation Steps of this module)
- *GLAC if one is prepared* (refer to section IV.D. Guide to Land Acquisition and Compensation for Disclosure of this module)
- *Communication plans, notices, and leaflets*
- *Information on baseline surveys:* outline purpose, who will undertake it, when and how, including community involvement in PA activities and household questionnaire surveys
- *Information on how the household asset surveys will be undertaken:* purpose and nature of survey, who will be conducting it, how and when
- *Support available for establishing titles and registration:* project assistance should be available to households to formally register land titles, inheritances, and so forth
- *Explanation of cutoff date:* notice of cutoff for eligibility for compensation, including rules applying to newcomers and new infrastructure, crops, and other assets—information to be well documented and disseminated throughout the project area
- *Compensation assessment provided confidentially to each household:* results of assets surveys and notice of discussions with each household to determine compensation measures based on the household asset survey (when and how)
- *Compensation payments and mitigation measures:* for individual households, notice of payments and process to implement other mitigation measures, such as construction of housing, preparation and cultivation of alternate cropland, livelihood-restoration activities, and so forth (when and how)
- *Relocation implementation:* notice of date of relocation, transport assistance, and information on how to adjust to new circumstances, such as change from rural to peri-urban or urban lifestyles
- *Monitoring reports:* regular monitoring assessments (e.g., quarterly or biannually) (Detailed internal project monitoring reports may be confidential,

but they can be summarized for external stakeholders. Independent external monitoring reports are publicly disclosable, including those of compliance reviews described in Module 7. III.A. Compliance Reviews).

- *Completion audit:* independent completion audit reports (see Module 7. III.B. Completion Audit) are publicly disclosable.

IX. What Is the Role and Importance of the Grievance Mechanism?

It is inevitable that complaints and grievances will arise, especially given the emotional nature of displacement issues. It is therefore essential that an initial appropriate GM be designed and implemented by the start of the scoping process. Grievances are likely to peak during asset surveys, further negotiations, finalization of compensation agreements, and resettlement implementation. In addition, the process of land acquisition may expose and exacerbate existing local tensions and conflicts, such as disputes over land ownership and boundaries, family disputes over inheritance claims, and conflicts between villages over natural resource use and community boundaries. The key purpose of the GM is to proactively and effectively resolve any issues or complaints before they escalate. A timely redress of grievances through an effective and transparent GM is essential to the satisfactory implementation of a land-acquisition program and to completion of a project on schedule.

IX.A. Differences in the Grievance Mechanism to Address Overall Project and RAP Implementation Issues

There are some important differences in focus and approaches between grievance management to address concerns about overall project implementation and grievance management undertaken to specifically address the concerns of affected communities and households subject to physical and/or economic displacement. The GM needs to be designed to specifically address grievances resulting from land acquisition, resettlement, and livelihood restoration. It may be necessary to have a dedicated team to address RAP implementation grievances depending on the likely number and complexity of issues that may arise from the land-acquisition process. There may also be a need for separate internal project channels to process and resolve grievances associated with land acquisition. However, all stakeholders, including those not directly affected by land acquisition, should have the same clear channel to submit grievances in order not to create confusion about how to raise an issue. The GM should also be placed in the larger context of the overarching environmental and social management system (ESMS), operational manual, and other procedures.

In practice, the GM needs to accommodate information such as affected plot numbers and/or household numbers per the RAP database, as well as a categorization of grievances that is relevant to land acquisition, for instance, the following:

- Land registration issue
- Disagreement on inventory
- Disagreement on compensation rates
- Disagreement on resettlement package
- Disagreement on plot allocation at resettlement site
- Defect in resettlement house
- Damage to crops during works or surveys
- Allegations of GBV, sexual exploitation, and abuse associated with the land acquisition and compensation process[23]

[23] Such grievances, once received, may need to be channeled to a specialized team or team member trained to address and resolve these specific issues.

IX.B. Key Principles

Key principles of the GM process should include the following:

- *Proportionality:* The process should be scaled to the stage of the project and land-acquisition process. Grievances are likely to be relatively few at the feasibility and planning stages and most frequent during the land-acquisition and construction stages.
- *Cultural appropriateness:* Take into account specific cultural and traditional mechanisms for raising and resolving grievances.
- *Accessibility:* Ensure clear communication and ease of use. Consider literacy and education levels, local languages, gender issues, locations for receiving complaints, and access by vulnerable and marginalized groups.
- *Transparency and accountability:* Ensure that all complaints are taken seriously and treated fairly. In the case of allegations of GBV,[24] sexual exploitation, and abuse, ensure all allegations are treated ethically and in line with a survivor-centered approach. Provide clarity on roles and responsibilities; distribute information widely and regularly; incorporate stakeholder input into the design and implementation of the GM process; commit to a certain timing to respond to grievances; and monitor, measure, and share grievance resolutions, agreements, and commitments.
- *Appropriate protection:* Encourage use of the GM, provide assurance that there will be no retribution for participation, protect the identity of complainants, and communicate the rights of stakeholders to use channels such as external mechanisms, third parties, or the judicial system.

IX.C. Establishing a Grievance Mechanism

The following are key aspects to address when establishing a GM:

- Assign staff to implement and be responsible for the management of the GM. For small projects it may be possible to assign this task to one person, but for larger projects a team may be required. If local government officials, community leaders, or representatives are involved in the implementation of the GM, ensure that their roles and responsibilities are clearly defined. Local community and family conflicts and disputes over land ownership, land-use rights, and the use of natural resources may be best resolved by these officials and local leaders.

[24] For additional guidance on identifying and mitigating GBV in private-sector projects, see IFC. 2020. *Addressing Gender-Based Violence and Harassment: Emerging Good Practice for the Private Sector*. Washington, DC: IFC. www.ifc.org/addressinggbvh.

- Make adequate resources (people, systems and processes, budget, time, leadership, and management) available to implement the GM, especially at times when land grievances concerning acquisition are likely to peak (during asset surveys, compensation negotiations, and physical relocation to resettlement sites).
- Ensure that adequate procedures are in place to receive grievances and that these are well understood by the affected community. Maintain active interaction with the local authority who may also receive land-acquisition grievances that need to be addressed by the project.
- Ensure that the GM is transparent, responsive to gender issues, and protected against political and other types of influence. A robust GM will ensure that all grievances are treated impartially, objectively, and confidentially, especially, where necessary, to protect complainants from possible retaliation or reprisals from other parties.
- Ensure consistency of the GM with the RAP database, particularly in terms of the identification of the grievance, which must relate to and be consistent with the identification of plots or households in the overall RAP database.
- Ensure that decisions taken to resolve grievances are supported by project management. The project manager should chair GM team meetings to agree on corrective actions to address grievances, so that decisions can be readily confirmed and resources allocated to implement the agreed actions. This is particularly important where corrective actions involve third parties beyond the RAP team—for example, government authorities or contractors.
- Ensure that all project staff, contractors, and government officials involved with the land-acquisition process and implementation of the RAP are fully aware of the GM.
- Ensure that the community affected by land acquisition is fully aware of the GM and the channels and process to address grievances.
- Make provision in the GM to address the risk of sexual harassment, exploitation, and GBV, which can be exacerbated in the resettlement process. The presence of workers and contractors involved with construction of the resettlement site infrastructure; an influx of entrepreneurs providing facilities and services to workers (petit commerce, restaurants, bars, transactional sex workers); new neighbors; and other people associated with the relocation of a community can lead to a breakdown of existing social contracts and norms.
- Ensure that the GM staff has training to manage allegations of GBV, sexual harassment, exploitation, and abuse linked to the resettlement process. This may mean the establishment of a separate process to ensure such allegations are addressed with a survivor-centered approach that can guarantee confidentiality in reporting. Such a process should be managed by a team member or members

designated and trained to address these issues, and specialized external assistance may be required to establish and monitor this component of the GM.

- Ensure there is a process in place to provide feedback on results of the GM to internal and external stakeholders.
- Make provision in the GM for a recourse mechanism in the event that a complainant is not satisfied with the RAP implementation team's proposed corrective actions. This should include independent arbitration to attempt to find a solution acceptable to both parties and to avoid recourse to the judicial system. However, the project must not impede access to judicial redress.

The following sections summarize the structure and operation of a GM. (Refer to IFC's "Good Practice Note: Addressing Grievances from Project-Affected Communities"[25] for more details on grievance management techniques.)

IX.D. Grievance Management Committees

It is critical that communities and individuals have easy access to the GM. This can be especially challenging on linear projects such as a road or a pipeline where the distance from an affected community to project offices, community liaison center, or a grievance submission box can be lengthy. Creating grievance management committees (GMCs) comprising local leaders or representatives selected by the communities is one way to improve access. These committees liaise with the project community relations and grievance management staff and can undertake the following: (i) receive and record grievances, (ii) review and refer grievances to the appropriate project GM staff, and (iii) receive, document, and provide feedback on the status of grievances to the person submitting the complaint. As with the resettlement committees, it is crucial that the members be representative of the communities and include trusted leaders and other members of the community—both men and women. Box 3.6 presents an example of establishing GMCs, taking into consideration the project characteristics and its context.

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[25] IFC. 2009. *Good Practice Note: Addressing Grievances from Project-Affected Communities.* Washington, DC: IFC. www.ifc.org/GPN-Grievance.

Box 3.6. Kampala Jinja Expressway Project, Uganda National Road Authority

Kampala Jinja Expressway (KJE), a limited access toll expressway, is the first public-private partnership road project in Uganda. It has a total length of 95 kilometers and will link Kampala with Jinja, traversing both densely populated urban sections (through Kampala center) and peri-urban and rural areas. The objective of the KJE is to enhance the road network as part of the main export/import route from Kenya to Uganda, Rwanda, Burundi, and the Democratic Republic of Congo.

UNRA (Uganda National Road Authority), the project lead, has a harmonized grievance redress mechanism (GRM), which lays down the guiding principles for submitting grievances, scope of the GRM, communication channels, and grievance handling. In line with UNRA's overall GRM, KJE established a tailored GRM for affected persons to be able to register complaints.

The GRM requires that, depending on the population of a given area, grievance management committees (GMCs) should be proactively established at three-kilometer intervals to receive, register, escalate, and resolve grievances. Recognizing the challenges associated with receiving and managing grievances along an extensive linear corridor in an urban setting, the KJE RAP team adopted an innovative approach in the establishing of the GMCs. Several of these were established at less than the three-kilometer intervals to ease accessibility and encourage reporting. The GMC members were trained to receive, sort, record, escalate, and resolve different types of grievances. While they can resolve grievances related to local property ownership, family, and boundary disputes, more complex grievances are escalated for review and resolution.

During the establishment of GMCs, the KJE RAP adhered to the guidance of the harmonized GRM and guided community members on the need for equitable representation. The GMCs included opinion leaders, women, elders, youth, persons with disabilities, as well as the chairpersons of the local councils. The committees were elected by the community members, with an assurance that at least one-half of the committee be comprised of women.

The role of the GMC is to:

- Receive and record all grievances from PAPs.
- Hear/arbitrate PAPs' grievances and provide a rapid solution for those grievances they are able to resolve.
- Bring any serious matters to the attention of UNRA's community liaison officers.
- Escalate grievances that they are not able to resolve or that are outside their jurisdiction.
- Inform the aggrieved parties about the progress of their grievances and the decisions made by the GMC.

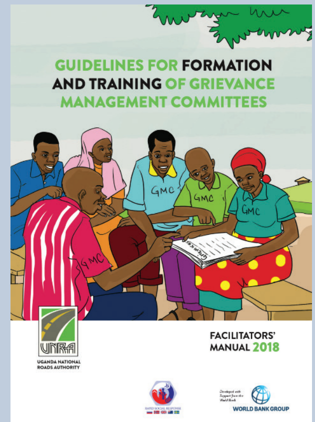
In addition to having either a full-time community client care officer or UNRA community liaison officer, the centers also have phones for PAPs to submit complaints. The complaints are all recorded, tracked, and reported by UNRA's community relations team.

The GMCs have been an essential tool for UNRA's RAP team to provide easy access to grievance submission and resolution for all PAPs (see photos and the figure in this box).

(*Box continued on next page*)

Box 3.6. *(Continued)*

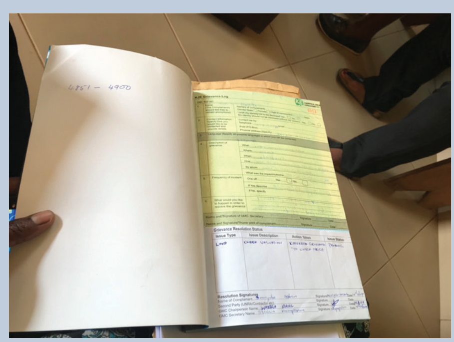
Members of a newly formed GMC log book.



Training modules for establishing grievance committees.

Members of a grievance committee receiving a grievance log book from UNRA.

UNRA team facilitating a mediation meeting for one of the grievances escalated by the GMC.



Example of a grievance committee log book.

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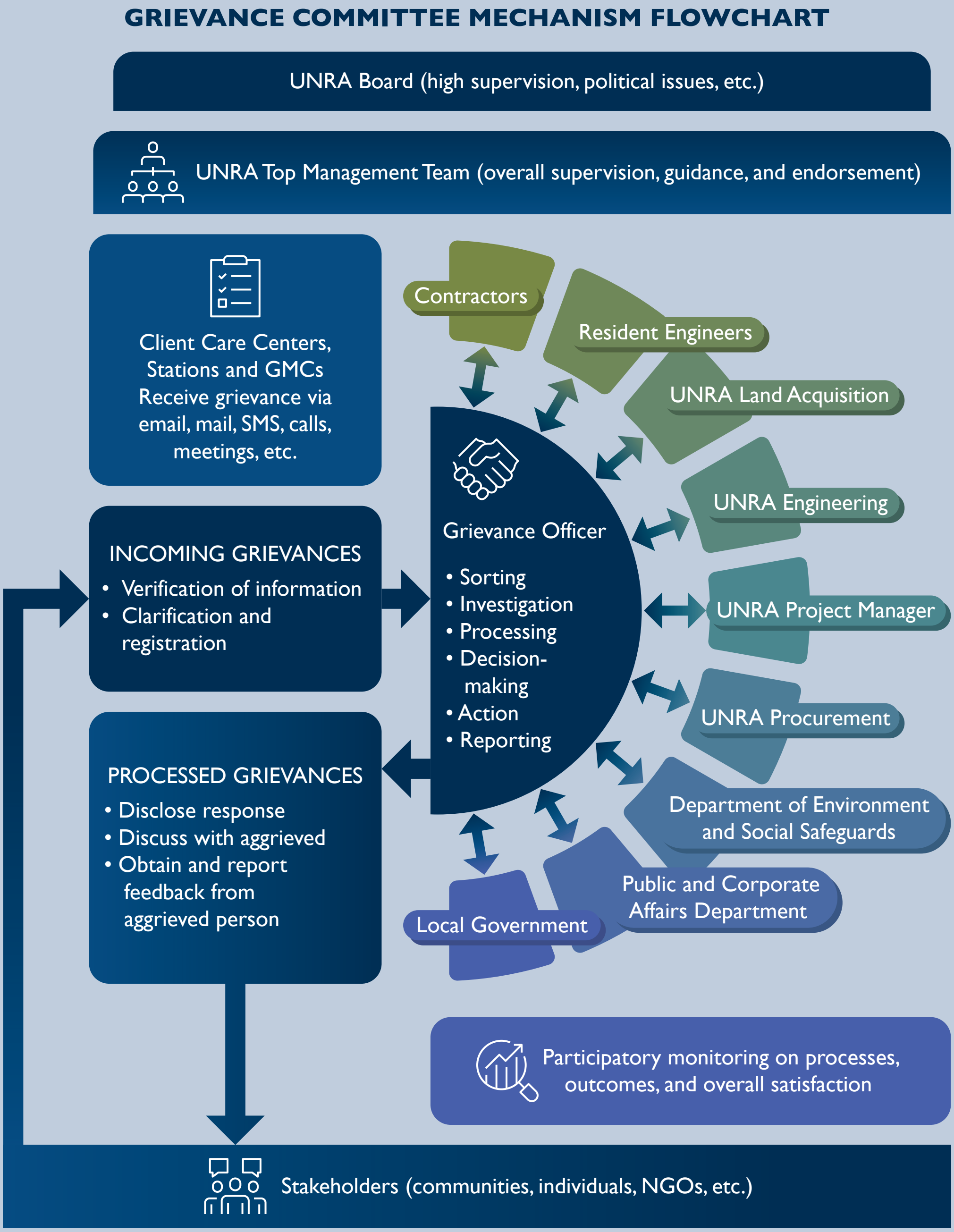
Box 3.6. *(Continued)*



Source: Uganda National Roads Authority, Land Acquisition and Resettlement Framework, October 2020.

IX.E. Key Implementation Steps

Key steps to implement a GM should include the following:[26]

1. *Publicize GM procedures:* Promote awareness through stakeholder meetings, focus group discussions, pamphlets, handouts, radio announcements, cell phone messaging, and so forth.
2. *Receive and track grievances:* Ensure accessibility to all stakeholders affected by land acquisition and log all complaints into a database. (This can range from a simple spreadsheet to complex data management systems.)
3. *Make a preliminary assessment of the grievance:* Categorize complaints and decide how and who will be responsible to address the complaint.
4. *Give an initial response to complainant:* Communicate (written or verbally) how the grievance will be addressed, including a timeline.
5. *Investigate the grievance and develop solution options:* Discuss possible solutions with the complainant.
6. *Implement and follow up on the agreed solution:* Seek sign-off from the complainant and record and file documents.
7. *Follow up with further action if necessary:* Deepen community or independent third-party engagement to strengthen trust and find solutions.
8. *Monitor, evaluate, and report on the GM:* Monitor numbers of grievances received and whether they are resolved or outstanding. Monitor trends and systemic issues and report results. Refer to Module 7. Monitoring for more information on grievance monitoring and how to involve the affected community in monitoring the operation of the GM.

Where land acquisition and resettlement are the responsibility of government, the project may need to engage with the responsible government decision-makers to align on grievance management. This could include workshops and skills training to build awareness and capacity to resolve land disputes and grievances, secondment of project staff and consultants to support the process, among others.

[26] Some of the steps may differ for grievances that relate to sexual exploitation linked to the resettlement process.

IX.F. Independent Recourse Mechanism

Table 3.8 lists options for independent recourse mechanisms. Use of such mechanisms are good practice, especially in large and complex resettlement projects.

Table 3.8. Independent Recourse Mechanisms

RECOURSE MECHANISM	APPLICABILITY	KEY ISSUES TO CONSIDER
Independent third-party moderator or mediator acceptable to both community and project, such as a trusted NGO member or other notable and impartial person	Resolution of complex grievance issues such as conflict over land ownership, valuation, inheritance, and so forth	Independence and impartiality of the moderator (entirely independent of the affected community and project)
Independent consultant or specialist	Small-scale resettlement projects with few households and a limited number of grievances Independent technical assessment of a specific issue, such as recourse to an apiculture specialist concerning project impacts on a household's or community's honey production	Useful in providing independent assessment of grievances concerning technical issues (e.g., technical defects at replacement houses) Provides a means to bridge the gap in technical knowledge between project and complainants
External independent panel (e.g., experts with experience in land acquisition, land valuation, other specialists, and trusted and respected notable persons)	Large-scale projects with complex land-acquisition grievance issues and large numbers of affected households	Core panel should remain the same, even if specialists are brought in to address specific issues. Panels can be expensive and time consuming to organize.

X. Content of a Stakeholder Engagement Plan

As mentioned in Module 1. III.E. Engaging with Stakeholders a SEP is a living document that will need to be updated periodically, particularly to guide engagement efforts to address the process of land acquisition, resettlement, and livelihood restoration. Depending on the scale and complexity of physical and economic displacement, it may be necessary to employ additional staff dedicated to stakeholder engagement to address land-acquisition issues, similar to the management of grievances as discussed in section IX.A. Differences in the Grievance Mechanism to Address Overall Project and RAP Implementation Issues in this module. There may be a need to establish two teams, one focusing on resettlement issues and the other addressing broader issues concerning implementation of the overall project. However, there should be one SEP for public disclosure that clearly states the plan for overall stakeholder engagement. In framing the SEP to address land-acquisition issues, consider the following points:

- Identification of key stakeholders for resettlement planning, livelihood restoration, and implementation
- Appropriate methods of SE
- Representation of affected persons (committees or other), including vulnerable and marginalized groups
- GM
- Disclosure of key information and documentation
- Meeting schedule and calendar
- Implementation arrangements and resources

XI. Do's and Don'ts

Robust SE is essential to enable constructive engagement and to build strong relationships among project proponents, affected households and communities, government authorities, and other concerned parties in the process of planning and implementing the RAP. Table 3.9 summarizes the do's and don'ts in engaging stakeholders.

Table 3.9. The Do's and Don'ts of Stakeholder Engagement

DO'S	DON'TS
Be aware of community expectations, appreciate them, and manage them. Be aware of rumors. Ensure that SE complies with national legislation and regulations and IFC PS requirements. Establish clear SE objectives with measurable indicators. Undertake a comprehensive stakeholder mapping exercise disaggregated according to various key stakeholder characteristics (occupation, gender, age, vulnerability, and so forth). Verify the legitimacy and assess the influence of stakeholder representatives. Understand and respond to the difficulties and risks that women and vulnerable groups may face in providing information. Provide training or capacity building for community representatives, specifically including gender-awareness training. Commence the SE process early and tailor it to the stage of the project and/or land-acquisition process. Ensure that the SEP addresses the provision of adequate resources for specific engagement activities in the land-acquisition process. Disclose project documents in an accessible location, language, and format that are culturally appropriate and in advance of meetings.	Make promises that you cannot keep. Provide false or inaccurate information. Apply a one-size-fits-all approach to SE. Focus only on the most vociferous stakeholders. Neglect engagement with government. Forget to engage regularly with internal project management, planning, designing, engineering, and construction teams. Forget to engage with women and vulnerable groups. Forget to engage with contractors. Forget to engage with seasonal or temporary users of communal resources affected by the project. Avoid interaction with civil society and advocacy groups. Forget to establish and maintain a log to track stakeholder meetings, topics addressed, agreed follow-up actions, and any commitments made. Disclose details of the project footprint until this information is reasonably certain or before being prepared to undertake a census and asset inventory to establish a cutoff date for eligibility for compensation (avoidance of speculation).

(*Table continued on next page*)

Table 3.9. *(Continued)*

DO'S	DON'TS
Ensure that SE is free of interference, manipulation, intimidation, or coercion. Ensure that PAPs are fully informed and actively participate in the discussion and selection of resettlement options, including means to avoid or minimize displacement. Establish an effective GM to address land-acquisition issues and also receive and respond to allegations of sexual exploitation and abuse. Staff the SE team according to the expected workload. Select and appoint CLOs to the SE team who have an interest and aptitude to transition to the community development team at a later stage of the project (in order to retain institutional knowledge and maintain and build on established relationships). Publicly disclose outcomes of the SE process.	Assume that community views are homogenous. Underinvest in SE with affected persons (both time and labor).