MODULE 6: IMPLEMENTATION

I. OBJECTIVES AND TASKS OF THE IMPLEMENTATION PHASE

391. While many projects invest significant resources in planning land acquisition and resettlement, it is as important to resource and budget the implementation phase adequately, even though project permits and finance have typically already been secured.

392. Key tasks in the implementation phase include the following:

- **Task 1**: Define compensation entitlements for each affected household and obtain sign-off.
  - Process compensation entitlements for each affected entity (households, businesses, communities) based on the data gathered in the asset survey.
  - Negotiate and formalize compensation agreements with each affected household and obtain sign-off.

- **Task 2**: Deliver entitlements:
  - **Physical Displacement**: Prepare resettlement sites and replacement housing, including procurement, construction, supervision, and commissioning; Organize moves to resettlement housing; Organize demolition of structures in original settlement areas, with provision for salvaging of materials by affected persons; Hand over resettlement sites and structures.
  - **Economic Displacement**: Deliver compensation entitlements, including both in-cash and in-kind compensation.

- **Task 3**: Organize and implement livelihood restoration activities (see Module 5, "Livelihood Restoration and Improvement");

- **Task 4**: Organize and implement monitoring and evaluation (see Module 7, "Monitoring and Evaluation").

II. CHALLENGES AND SUCCESS FACTORS OF THE IMPLEMENTATION PHASE

393. Poor implementation may result in increased stress on impacted households, grievances, delays in accessing land and constructing the project, increased costs, and tension and conflict, which can lead to litigation and reputational harm, among others.

394. Success factors in the implementation phase include the following:

- **Adequate resourcing** of the resettlement implementation team in terms of staff and equipment.

- **Good, solution-orientated, continuous interaction with the project design and construction team** to ensure alignment of schedules between resettlement and compensation, on the one hand, and project construction, on the other.

- **Realistic scheduling** to allow sufficient time for resettlement to avoid delays to the project and stress on impacted households.

- **Easy access to baseline data, particularly asset data**, so that valuation and compensation information is readily available, grievances can be processed swiftly, and sign-off and compensation procedures can be registered and implemented easily and quickly.
• Thorough internal (across project teams) and external communication of the resettlement and compensation process with both internal and external stakeholders.
• Adequate contracting and technical supervision processes for construction of the resettlement housing, with appropriate quality control.
• Proactive and thorough planning of the handover of resettlement infrastructure to local government.
• Provision of transitional support, particularly to vulnerable people.
• Proactive and thorough planning of the start-up of livelihood-restoration activities to avoid income and food shortages after resettlement.

395. RAP implementation requires the mobilization of experienced managers and staff to ensure that the objectives are met and the standard of living of the impacted households is restored or improved. Resettlement is a complex process, even for a small number of households, and requires adaptive management, including contingencies, so that resources are available to resolve unforeseen problems.

III. TASK 1: DEFINING COMPENSATION AND RESETTLEMENT ENTITLEMENTS AND OBTAINING SIGN-OFF

396. Key steps in defining compensation and resettlement entitlements are as follows:
• Obtain overall agreement from the affected community on compensation rates and resettlement entitlements during the RAP negotiations. This will typically involve the following:
  o Presentations of resettlement entitlements to the resettlement committee, which may require several discussion sessions; visits to resettlement sites; visits to model or demonstration housing or similar housing built elsewhere; provision of details on allowances and cash compensation calculation and rates (for example, a GLAC); and so forth
  o Discussions in focus groups to refine details of entitlements, particularly in terms of house design and resettlement site community infrastructure (for example, water, electricity, sanitation, and community facilities)
• Establish an asset database (refer to module 4, “Baseline Data Collection”) to produce clear and understandable asset summaries for each household, with photographs, outlining the breakdown of assets recorded in the surveys, including land (arable, non-arable, pasture, and residential), crop area/count, type and maturity, house size and materials, and data on other assets with photos and maps where appropriate. An example of such a summary is provided in appendix E, “Example of an Asset Sheet.”
• Give the owners of the assets an opportunity to verify asset data, with an appropriate review time (for example, two weeks). The format of asset summaries should be explained to each individual, household, or enterprise affected to facilitate the verification process. At this stage, households, individuals, and enterprises affected can be given the opportunity to call on an independent expert to verify their asset information.
• Provide access to the GM in case any discrepancies are noted between the proposed asset summary and the affected landowners’ claims. Verify asset surveys (including field verifications if needed) and address grievances accordingly.
• Obtain sign-off of the verified asset summary (obtain a thumbprint if the household member cannot write), with a witness signing as well (for example: local chief or elder, representative of local authority, or independent third party as appropriate).

• Prepare a template compensation agreement that both meets national legal requirements and is written in a simple, easily understandable manner. Avoid complicated legal language and lengthy clauses or disclaimers of limited practical significance. In countries with more than one official language, use the recognized language for the area (or possibly use bilingual agreements if necessary). An example of a compensation agreement is provided in appendix F, “Example of a Compensation Agreement.”

• Explain the details of the compensation agreement to the relevant resettlement or community committee and amend if warranted.

• Apply the entitlement matrix, including in-kind and in-cash compensation entitlements and rates, to the assets of each household, community, or enterprise to determine the overall package of resettlement benefits, cash compensation, and livelihood-restoration benefits the household, business, or community will receive.

• Generate household level compensation agreements. Where displacement is significant, the compensation database should be designed to generate these compensation agreements in an automated manner.

• Provide individual compensation agreements to affected households, communities, and enterprises for review. Allow a reasonable review time (for example two weeks). At this stage again, households, individuals, and enterprises affected can be given the opportunity to call an independent expert to verify the valuation and overall compensation entitlements.

• Explain compensation agreements to each affected household. Presentations should consider the following:
  o Where options are given (between different sites, between different types of houses, and so forth), guide both spouses and any other decision makers in the family through these options so that they make a fully informed decision.
  o Use visual illustrations of resettlement housing where several housing options are available, and wherever possible provide model houses and apartments for affected persons to make a fully informed decision. Ensure that both spouses access relevant information.
  o Explain to both spouses any additional allowances, such as for transport, moving, or disturbance, together with any conditions attached.

• Obtain household sign-off on these entitlements after a reasonable review period of a minimum of two weeks. Ensure that spouse agreement is at least expressed if not formalized by a signature.

• Digitally scan signed asset summaries and signed agreements and record them in the resettlement database.

• Make sure that the process is inclusive and understandable to people with lower levels of literacy (for example, provide detailed verbal explanations in the local language, or illustrations, at each relevant step).

• Provide specific measures (such as dedicated individual visits at home and detailed explanations in the local language) for vulnerable people such as the elderly or disabled.
• Ensure that women are equally involved with men in the asset survey, verification, and sign-off processes and fully participate in planning and decision making around the compensation and resettlement issues. Unless explicitly not permitted under national legislation, ensure that signatures on compensation agreements are received from both spouses and ensure the female spouse receives all explanations relevant to her decision and signature. Address the specific case of polygamous households if relevant.

397. It is useful to prepare a Guide to Land Acquisition and Compensation/Resettlement in advance of the preceding exercise so that households can understand what rates they will be paid and what resettlement benefits they will receive.

398. On smaller projects, or where displacement impacts are benign (in the case of some linear projects, for example), some of the steps can be combined. For instance, the asset summary and compensation agreement can be combined in a single document and a single step.

399. This exercise is very resource intensive, as it requires considerable interaction between the project and affected persons, both at community and individual levels. It is therefore important that it should be adequately resourced.

400. Having a thorough operational household and asset database is also a key success factor of this task. Projects should consider developing or acquiring dedicated IT systems that can process asset and social surveys, generate asset summaries and compensation agreements automatically, and archive all relevant legal information (such as signed agreements, signed receipts of payments, and the like). These systems also typically enable logging and monitoring of grievances, and in the most sophisticated versions are supported by useful mapping utilities. Several companies offer such systems, which will facilitate implementation of the land-acquisition process in a timely and transparent manner. However, they typically require some adaptation to the specificities of the project (particularly the entitlement matrix). If such systems are implemented, staff should be trained, and security of access should be carefully managed. For projects that displace less than 100 households, using commercial software is usually sufficient.

401. Being gender sensitive at this stage is not only about the formality of obtaining spouse agreement. Some difficult situations may arise that need to be considered in a gender-sensitive manner, as in the example in box 6.1.

**Box 6.1. A Gender Issue at Implementation Phase**

In a mining project in West Africa, it was found at sign-off stage that the male owner of a structure identified one year before at the census stage had passed away. The household as surveyed had also included his wife of a second marriage and a number of minor children from his marriages with both the first and second wives. The adult elder son of the first wife, who did not live there, then produced to the resettlement team an inheritance certificate according to which he was the sole inheritor of his father’s assets. As he did not live in the village any longer, he claimed cash compensation to be able to strengthen his business in the capital city. However, this would have left the second wife and her children homeless. A mediation was attempted with the help of the local authorities and the resettlement committee, to little effect. The project eventually provided cash compensation to the son as his inheritance certificate was legally sound. However, in addition, with the agreement of the resettlement committee and the local authority, the project provided a resettlement house of the simplest model to the second wife, so that she and her children would not become homeless, as well as the associated moving allowance.
IV. Task 2A (Physical Displacement): Preparing Resettlement Sites and Building Replacement Housing

402. Site development and house design are very context specific, and therefore focus is placed on providing guidance on principles rather than on the details of design. Emphasis is placed on the following aspects of the process:

- Models for organizing site development and housing construction
- Participatory design of dwellings
- Procurement process\(^{17}\)
- Detailed design process and bidding documents
- Supervision and commissioning

A. Models for Organizing Site Development and Housing Construction

403. Different models for resettlement site development and housing construction can be used:

- Self-relocation and self-build, whereby affected households receive cash compensation and either identify and purchase a replacement property or build a replacement house themselves
- Project-organized relocation with self-build of houses, whereby the project develops one or several resettlement sites, with affected households building houses themselves on these sites
- Project-organized relocation and project-organized construction of houses

404. Table 6.1 describes the advantages and disadvantages of each of these models.

405. In the latter two models, more or less priority can be given to local procurement and community participation of affected and host communities, depending on local skills and overall construction schedule. To maximize opportunities associated with construction for local communities and businesses, the following should be considered:

- What are the local skills available, and are there existing local businesses that can support the construction process?
- Are there risks arising from local procurement with respect to health and safety, construction quality, and delivery schedule?
- What training and support can be offered to local businesses to enable them to meet project requirements and building standards?

406. Construction schedules should be reasonable to avoid construction defects (for example, leaking roofs, defective plumbing, and cracked walls), which tend to multiply when construction is rushed. In many areas, seasonal and climatic constraints have to be considered (cold winters or a rainy season).

Table 6.1. Comparison of Site Development and House Construction Models

<table>
<thead>
<tr>
<th>Model</th>
<th>Description</th>
<th>Advantages</th>
<th>Disadvantages</th>
<th>Key conditions for success</th>
</tr>
</thead>
<tbody>
<tr>
<td>Self-relocation and</td>
<td>Payment of cash to the affected households to construct or purchase their own</td>
<td>Smallest organizational burden on the project</td>
<td>Some households can make unwise investment decisions and end up in substandard accommodation or even no accommodation at all.</td>
<td>Provide technical assistance at household level for site selection, house planning and design, construction permit, and works supervision and commissioning.</td>
</tr>
<tr>
<td>self-build</td>
<td>replacement dwelling at a location of their choice</td>
<td>Usually cheaper for project</td>
<td>In remote areas, supply of construction materials can be problematic and may result in shortages or inflation.</td>
<td>Make sure that there is sufficient construction capacity and skills locally.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Can be quick depending on context</td>
<td>Quality control and construction standard compliance are more difficult to manage and ensure.</td>
<td>Pay compensation in installments as construction progresses.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Can be beneficial to small local contractors</td>
<td>May have detrimental gender impacts (women and children becoming homeless if the male head of household misuses the cash compensation).</td>
<td>Consider using certified material retailers selling building materials at agreed prices to minimize shortage and inflation risks.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Results in fewer housing-related grievances</td>
<td>Vulnerable people may find it difficult to reconstruct their houses themselves.</td>
<td>Consider introducing contractor certification to ensure quality.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Housing can be tailored to each household’s needs</td>
<td>There are potential building permit issues.</td>
<td>Look into gender implications and risks (what safeguards are needed for women and children).</td>
</tr>
<tr>
<td></td>
<td>Not applicable to apartment blocks</td>
<td></td>
<td></td>
<td>Ensure that vulnerable people are adequately assisted to build their houses, or that the project will build for them.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Ensure that affected persons are helped to secure building permits.</td>
</tr>
<tr>
<td>Model</td>
<td>Description</td>
<td>Advantages</td>
<td>Disadvantages</td>
<td>Key conditions for success</td>
</tr>
<tr>
<td>--------------------------------------------</td>
<td>------------------------------------------------------------------------------</td>
<td>----------------------------------------------------------------------------</td>
<td>--------------------------------------------------------------------------------</td>
<td>------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Project-organized relocation with self-build</td>
<td>Provision of a plot in a planned project developed resettlement site where the household self-builds its own house or employs a contractor to build the house</td>
<td>Same as above</td>
<td>Can provide a solution where residential plots are difficult for affected persons to identify and acquire</td>
<td>Same as above</td>
</tr>
<tr>
<td>Project-organized relocation and project-organized construction</td>
<td>Development of a resettlement site where houses are constructed, with or without the participation of the impacted households</td>
<td>Usually results in better quality and more sustainable housing</td>
<td>Complex to plan and organize</td>
<td>Devise sound procurement strategy to minimize cost and enhance local contractor participation and skills.</td>
</tr>
</tbody>
</table>
B. Participatory Design of Dwellings

407. It can be challenging to get feedback on proposed house design options, as affected persons may find it difficult to read and understand design documents such as maps and plans. Notions of volume and area can sometimes be distorted, and using numbers is not a great help in communities with limited proficiency. Using models and, even better, real-size model houses is a great help and must be considered for any project involving significant physical relocation.

408. As it is difficult to discuss technical aspects such as the location or size of kitchens with a whole community, the use of focus groups is recommended if such groups represents a cross-section of the affected community and discussions address the needs of different groups in the community, including vulnerable and marginalized groups such as women, the youth, the elderly, and physically impaired people.

409. Beyond the house size and general layout, some specific aspects will need special attention and discussion with affected persons, particularly the following:

- **Ventilation and temperature cooling:** Resettlement often involves a shift from traditional building materials (for example earth walls and thatch roofs) to modern ones (concrete walls and metallic roofs), and in warm climates this shift could result in much warmer houses that cause discomfort to residents if no proper attention is paid to thermal insulation (ceilings) and ventilation (this usually requires specialist advice).

- **Heating:** In cold climates, this can become a very significant expense if structures and systems are not properly designed and if the thermal performance of the building is poor. Also, where displaced people’s houses were previously heated from a municipal centralized system (common in former Soviet states), shifting to individual heaters may be problematic, for economic and technical reasons (cost increase and lack of technical experience with individual heating systems).

- **Bedroom layouts:** The arrangement of bedrooms in the house must accommodate the respective needs of men, women, and children. Changing the way people organize their sleeping space may have strong cultural and gender implications.

- **Domestic shrines:** In some cultures, the house design will need to accommodate a dedicated space for one of these.

- **Kitchens:** Their design often has a strong economic, practical, and cultural significance for women:
  - Outside or inside kitchens, the selection of cooking fuel, the position women adopt to cook, the specific requirements of the preparation of certain dishes (for example, pounding), and access to water in relation to cooking are all important design factors must be discussed with women.
  - Sometimes, particularly where women tend to cook outside of the main building, it may be better to leave it to the residents to design and build their kitchens. If this is the case, it must be accommodated in the compensation amounts as well as in the moving schedule.

- **Bathrooms and toilets:**
  - This again often has more significance for women and should be mainly discussed with them.
Privacy and visibility are important cultural and gender factors that should be understood when proposing the design and location of toilets, particularly where these are proposed to be located outside of the main house (for example, dry latrines).

Accessibility and affordability of a private water source or connection is a key factor of bathroom and toilet design. Where a private water connection will not be accessible and affordable in the long term, proposing a bathroom with running water and flush toilets makes little sense.

Effluent disposal is an important factor of design and location. Is it technically possible and permissible to dispose of effluent in situ (for example, septic tank and drain), and what are the related plot size and soil characteristics, or should a reticulated sewerage system be considered, which may have cost implications at construction and operations stages? If the latter, what is the final disposal option and is it acceptable from an environmental perspective?

Accessibility of elderly and disabled people to bathrooms and toilets must be discussed with communities, households, and the affected individuals.

Where dry latrines are considered for toilets, they should not be used as shower areas, as this negatively impacts their life span. A separate showering area should be built, with proper drainage to avoid sanitary hazards.

There has been abundant work on hygiene and sanitation techniques in many countries, and this experience should be used. Poor bathroom and toilet design can generate many complaints and much discomfort for residents of resettlement housing.

**Outside space:** Verandahs, yards, and balconies can be important to social and family life in many cultural contexts. Sometimes an outside prayer space or a dedicated location for a family shrine should also be accommodated. Shade is an important factor of design of outside space, and the planting of shade trees should be planned well in advance.

**Fences:** Whether each land plot should be fenced or not should be discussed with the affected community and individual households ahead of the move. It may be more convenient to compensate such features as fences in cash so that affected persons can build them themselves, using traditional materials. If this is the case, compensation should be accommodated both in the cash moving allowance and in the moving schedule.

**Storage space:** A rural way of life often requires significant storage space (for grain, fruit or potato, forage, animals, agricultural equipment, and so forth). Size and location of this storage space (granaries, sheds) must be discussed with the affected community and individual households in focus groups and household interviews so that mutually acceptable solutions are found and agreed.

**Parking space:** This may be important in urban and suburban settings and may be paramount to certain livelihoods (for example, cab, minivan, and truck drivers).

**Commercial space:** This may be needed, particularly where the establishment of small enterprises is envisioned by the livelihood-restoration strategy.

C. Procurement of Construction and Implications for Local Procurement and Hiring

410. The development of a greenfield resettlement site usually involves significant earthmoving and other works and will typically have to be allocated to sizable contractors with the ability to mobilize heavy equipment and associated staff. This will require both unskilled and skilled work and can provide opportunities for local employment, including the recruitment of PAPs themselves.
411. Building of individual houses provides interesting opportunities for local subcontracting, capacity building, and local employment. Two main procurement options can be considered:

- One turnkey contractor for all housing, with potential subcontracting of smaller lots to local enterprises (either smaller batches of houses or specific pieces of work, for example, foundations, roofs, electricity, plumbing, and so forth)
- Several smaller contractors being allocated batches of houses on a turnkey basis and working concurrently at the resettlement site, potentially with support from the client (see box 6.2).

412. Community infrastructure (schools and clinics, water and electricity supply) can be contracted separately (often preferable for scheduling reasons) or as part of one of the main contracts.

413. Where apartment blocks are to be built, this usually requires a sizable turnkey contractor, with certain components of the work potentially subcontracted (for example, plumbing, electricity, or roofing). This is more demanding from an occupational health and safety perspective than building individual houses, which also advocates for the use of experienced contractors.

D. Detailed Design Process and Bidding Documents

414. Once key design principles (such as size of dwellings, number of rooms, level of finish, heating systems, cooking systems, location of bathrooms and toilets, and so forth) have been decided in a participatory manner, detailed bidding documents must be developed. The following factors should be considered in this process:

- Bidding documents should be developed by national consultants with experience in local building standards (for example, fire and electrical safety, heating, seismic requirements, and so forth) and in building materials and techniques available locally. Local construction standards can be complex and differ significantly from those applying in the country of origin of the project sponsor; local specialists are needed. Otherwise, securing building permits may be a long process.
- Consistent with good industry practice, the PSs should apply to resettlement construction work and should be included as part of applicable standards in the bidding documents, particularly IFC PS2 and PS4.
- Similarly, environmental issues at construction sites (for example, run-off water and erosion management, postearthmoving reinstatement, and construction waste management) should be addressed to conform with the PSs. Guarantee periods required of building contractors should be in line with national standards and no less than two years.
- Selection of the successful bidder should give adequate weight to contractor experience and reference, and to quality assurance systems.
Box 6.2. Newmont Ghana Resettlement House Construction

**Ahafo South mine, Ghana**

Newmont Ghana Gold Limited implemented a “local-local” contractor policy for the construction of the resettlement houses for its Amoma expansion project at the Ahafo South Mine in Ghana. Thirteen local contractors were assisted by Newmont’s Local Business Support Unit to prepare tenders for the construction process. Once the tenders were submitted, Newmont negotiated a fixed-price contract for the resettlement house construction with the local contractors. Each contractor was allocated one house each to construct. Those contractors that were deemed to have a lower capacity were allocated resettlement houses to construct which were not on the critical path of the mine construction schedule, so that any delays would not slow down the project. Newmont established a block making yard and engaged a local contractor to make all the blocks for the resettlement houses using local labor. Newmont engaged construction managers to oversee the local contractors’ work and to ensure standards were maintained. Newmont bulk purchased all building materials in order to keep costs down and then allocated these to the local contractors. Those contractors that completed their houses to the required standard were then allocated additional houses, rewarding the best-performing companies. Newmont constructed a market area on the resettlement construction site which allowed local women to earn an income from preparing and selling food to the workers. The contractors were required to use labor from Newmont’s local labor pool. Each mine area village was allocated an employment quota and ballots were held for each round of employment opportunities to ensure a fair process. Using this model, Newmont has maximized the local labor involvement in the resettlement construction process while meeting international standards.

**E. Supervision, Commissioning, and Guarantee**

415. Construction of resettlement housing must be properly supervised by experienced, onsite building supervisors. This is particularly the case where small local contractors are used; they may require significant support and supervision. Resettlement committees should be given the opportunity to visit the construction site at regular intervals.

416. Commissioning is the verification at the end of construction that completed work complies with standards and specifications in the bidding documents. Experience in developing countries indicates that the following should be given particular attention during work supervision and commissioning:

- Quality of foundations, materials, and concrete
- Electrical safety
- Quality of carpentry, roofing materials, and the installation of those materials
- Quality of plumbing and fittings
- Quality of heating systems (where applicable) and their compliance with standards (particularly but not only ventilation)

**F. Summary**

417. Table 6.2 shows key factors to consider when preparing resettlement sites and building resettlement dwellings.
| Procurement and construction | Make sure that buildings meet applicable national standards and use experienced national consultants to achieve this.  
Develop the procurement strategy during preparation of the RAP.  
Consider unbundling the works into smaller lots to maximize local procurement.  
Consider associating small local contractors as subcontractors to a larger turnkey contractor to build capacity.  
Provide assistance to smaller contractors in the form of technical supervision, assistance in procuring building materials, and administrative support.  
Maximize local employment, including PAPs.  
Seek compliance with IFC’s labor, occupational health and safety, environmental, and community safety requirements (PS2 and PS4). |
| --- | --- |
| Supervision | Ensure close technical supervision by construction specialists with regular presence at worksite.  
Check quality of materials and concrete.  
Check compliance to standards.  
Check quality of foundations.  
Check electrical safety and all other relevant technical aspects.  
Make sure that resettlement committees visit the site(s) at regular intervals.  
Involve relocated households in the monitoring the construction process so that they have a role in ensuring the quality of building and are willing to take over their new houses and accept responsibility for maintenance. |
| Commissioning and guarantee | Establish an inspection and commissioning procedure with lists to review all aspects of the work.  
Make sure that any gaps identified during the commissioning inspection are addressed and fixed before affected persons move into their new dwelling.  
Put in place a procedure to log and review with PAPs and the contractor(s) all grievances pertaining to technical defects occurring during the guarantee period.  
Ensure that technical defects for which the contractor is found liable are fixed before the end of the guarantee period. |
V. TASK 2B (PHYSICAL DISPLACEMENT): ORGANIZING MOVES

418. The move will typically involve handing over the keys to houses or apartments and the associated administrative and legal procedures, plus organizing the moving process. Steps and factors to consider are presented in table 6.3.

Table 6.3. Factors in Organizing Moves

<table>
<thead>
<tr>
<th>Handover of resettlement housing</th>
<th>Involve relocated households in monitoring the construction process so that there is no surprise at the time of handover and move.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Provide an opportunity for affected households to conduct an inspection once the house has been constructed and compile a list of any final adjustments and improvements that need to be made prior to the handover.</td>
</tr>
<tr>
<td></td>
<td>Once these issues have been addressed, obtain sign-off of a final inspection form confirming agreement that the house meets the agreed standards.</td>
</tr>
<tr>
<td></td>
<td>Ensure that this form is signed off by a witness such as government, community, and project representatives.</td>
</tr>
<tr>
<td></td>
<td>Hand over keys and any relevant technical documentation as well as a tentative allocation certificate established to allow further application for a title (the final ownership title will typically not be available at the time of move—see section IX., “Other Important Elements of the Implementation Stage” of this module).</td>
</tr>
<tr>
<td>Move</td>
<td>Plan the timing of physical moves to ensure minimal disruption to the communities in terms of seasonal farming cycles, school year, disruption to businesses, and access to employment</td>
</tr>
<tr>
<td></td>
<td>Plan the move over a relatively short period to maintain social cohesion.</td>
</tr>
<tr>
<td></td>
<td>Provide resettling families with advance notice of relocation dates so that they can prepare their belongings.</td>
</tr>
<tr>
<td></td>
<td>Engage the affected community through their committees on plot allocation within the resettlement site (by lottery or otherwise) to allow relatives and friends to group together and resettle in the same part of the site.</td>
</tr>
<tr>
<td></td>
<td>Subject to consultation outcomes, consider giving preference to businesses to relocate in the main market streets and time their move with the majority of the community so that they can maintain their customer base.</td>
</tr>
<tr>
<td></td>
<td>Provide resettlers with a disturbance or settling-in allowance to assist them to buy the basics for their new house, help reduce stress, establish subscriptions to utilities, update identification documents, and build goodwill.</td>
</tr>
<tr>
<td></td>
<td>Engage project-affected persons and the host community in choosing the date(s) of moving. Moves are typically organized in several successive waves so that assistance can be provided as moves take place.</td>
</tr>
<tr>
<td></td>
<td>Do not move households until the supporting community infrastructure, including roads, drainage, water, education, health, and so forth, are substantially in place.</td>
</tr>
</tbody>
</table>
Provide assistance to enable resettlers to move to the new site. Provide vehicles to transport household belongings and salvaged assets to the new house and a team to assist with loading and unloading, who should be locally employed people, preferably PAPs.

Provide additional assistance to vulnerable people in the process of salvaging their materials from old houses, reregistering their new address with authorities, and obtaining new identity documents, establishing subscriptions with utility companies, and so forth.

Consider having medical services on hand during the moving process to support any resettlers who have chronic illnesses or otherwise require medical attention.

Involve local people who have local knowledge and good relationships with the PAPs in the transportation process and in the relocation teams, as they will be more sensitive to local attachments to the place and enable people to move at their own pace.

Engage with any households that may be reluctant to move and alleviate their concerns, using third-party mediation where appropriate.

Ensure that there is a process to celebrate, formally open the resettlement site, and welcome the resettlers to the area. This will help to establish connections between the host community and resettlers and may take various forms depending on the cultural context.

### VI. TASK 2C (PHYSICAL DISPLACEMENT): SALVAGE AND DEMOLITION

420. Key steps and factors to consider are presented in table 6.4.

#### Table 6.4. Factors in Salvage and Demolition

| Salvage | In consultation with the affected community, develop a salvaging policy. The policy should articulate whether it is permissible and over what duration, taking into account relevant legislation and regulations. In expropriation, the State mandate that materials of expropriated properties become the property of the State. Communicate the salvaging policy clearly to resettling households. Where feasible, permit resettlers to salvage materials from their houses before demolition and provide transportation for these materials to the resettlement site. Ensure that reasonable safety and environmental provisions are in place during salvaging. Where salvage is permitted, provide support to vulnerable households. |
Demolition
If there is a risk of squatting by newcomers in vacated houses, consider demolishing structures quickly, possibly as each resettled household is moved. When there will be a long time between the start and end of relocation, consider delaying demolition to avoid having the remaining households living in the middle of a demolition site. Access to houses may need to be restricted by boarding up doors and windows. Where houses are demolished, remove all debris to make the site safe. Ensure that demolition and disposal of demolition waste take place in conformity with reasonable occupational health and safety and environmental standards, particularly where hazardous materials may be found (for example, asbestos-containing materials).

VII. TASK 2D (PHYSICAL DISPLACEMENT): HANDOVER OF RESETTLEMENT SITES AND/OR APARTMENT BUILDINGS

421. It is a common problem in resettlement that the long-term management and maintenance of infrastructure such as water supplies and sanitation, access roads, and education and health facilities is not adequately planned and managed. This usually involves government and/or municipal agencies that need to be engaged well ahead of the move, during the planning process and early implementation phase (see table 6.5). For convenience and consistency, the discussion of handover issues has been placed in this Implementation module. However, it is important to note that many of these elements are actually relevant to both the planning and implementation phases.

Table 6.5. Factors in the Handover of Resettlement Sites and Apartment Blocks

<table>
<thead>
<tr>
<th>In the planning and implementation stages</th>
<th>Involve agencies (state and municipal) that will be expected to manage the infrastructure and services in the planning and design process, possibly through a handover committee.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Comply with the requirements of government agencies with regard to design and operations.</td>
</tr>
<tr>
<td></td>
<td>Seek from these agencies clear and formalized commitments to provide full resources for education and health facilities (for example, staff, maintenance of facilities, recurrent costs, inputs such as school books and supplies, medicine and fuel, and so forth).</td>
</tr>
<tr>
<td></td>
<td>Establish a handover committee comprising community representatives (resettler and host communities), government, and project representatives as of the planning stage.</td>
</tr>
<tr>
<td></td>
<td>Involve the handover committee in selecting the resettlement site, agreeing on the physical infrastructure, and defining management and maintenance requirements.</td>
</tr>
<tr>
<td></td>
<td>Verify that budgets have been put in place at the adequate level of government (central, regional, or local as needed).</td>
</tr>
<tr>
<td></td>
<td>Where communities depended on free access to communal resources such as wells, springs, or rivers for water; local woody vegetation for firewood; and</td>
</tr>
</tbody>
</table>


| In the implementation stage | Develop formal memorandums of understanding for the handover of each major element of infrastructure between the project and the responsible government or municipal agency, approved and witnessed by all members of the handover committee.  
Establish a management committee at the resettlement sites to take care of waste management, water supply, and associated cost recovery.  
Communicate clearly on fees, ongoing maintenance activities, organizational systems and processes, and any constraints.  
Consider initial subsidization of user fees, with a clear exit strategy. |

422. In apartment blocks, collective space needs collective management of tasks (for example, cleaning and lighting, security). Where the height of the buildings requires lifts, this makes collective management even more complex. Box 6.3 provides an example of establishing a collective management organization in such complex apartment buildings.

**Box 6.3. Establishing Condominiums for Building Management**

**Zvartnots International Airport project, Armenia**

As part of the expansion and reconstruction of Zvartnots International Airport at Yerevan, the capital of Armenia, all residential properties within the Airport perimeter were to be removed to conform with the terms of the Concession and international airport safety practices. This required the demolition of four Soviet-era buildings, with a total of about 170 households (510 people) needing to be displaced as a result. More than half of the households were rent-free occupants of 10–20sqm rooms in two government owned hostels. For many years these families endured living in rundown buildings which were in a state of significant disrepair with no heating facilities, sharing common toilets and kitchen facilities. A smaller group of households, who had titles, were resident 2 soviet-era apartment buildings. After extensive consultations which spanned over 3 years, the project sponsor (Armenia International Airports (AIA)) decided to finance from its own funds, the design and construction of 6 apartment blocks to resettle all affected households in the Malatya Sebastya district of Yerevan. AIA allocated $17.5 million of its internally generated funds to undertake the relocation project, which was equivalent to approximately 10% of the total project construction cost ($166.75 million). In accordance with the Resettlement Action Plan agreed with the project lenders (European Bank for Reconstruction and Development, Asian Development Bank and Deutsche Investitions- und Entwicklungsgesellschaft (DEG)), 96 nontitled households were given, free of charge, 1–2 bedroom apartments with a minimum size of 40sqm for a family with 1–3 members; 50 sqm for a family with 4 or more members; and 64 sqm for those who have occupied two rooms of more than 20sqm. In addition, 67 titled households were given, free of charge,
apartments of 67 sqm, 80 sqm, 100 sqm, which were bigger than the apartments that families were occupying. The resettlement of all households came with titles of ownership under the names of all family members thereby not only improving their living conditions but also giving, to those who had previously been non-titled occupiers, legal tenure to the condominium property.

The actual move took place in two waves (December 2014 and December 2015). AIA also agreed with the project lenders to provide support to the resettled community during and after the move and help them to take over responsibility for the management and maintenance of the new buildings, including lift maintenance, cleaning of collective spaces and so on. This was particularly challenging as the household-incurred costs of the old buildings had been minimal. To support the householders’ adjustment to the new facilities AIA therefore also agreed to provide a 15-month grace period from the date of the move, during which time it would continue to manage maintenance and related payments. The resettled households were expected to assume full responsibility by the end of the grace period. A team of consultants, funded by DEG Business Support Services (BSS), provided technical and legal support for about two and a half years, helping the resettled community establish two condominiums in accordance with Armenian law, preparing their by-laws and operational procedures (budgeting, general assemblies, documentation, fee collection, record keeping, accountability and transparency mechanisms, and so forth). Contracts were established with specialists for lift maintenance and part-time employees were hired for general management, cleaning and record-keeping, and some improvements were made (such as a playground for children). Meanwhile, some of the associated infrastructure (access roads) built by the project sponsor was transferred to the responsibility of the Municipality for maintenance. By the end of the program, the vast majority of households were paying the required community fee. Importantly, retail spaces established on the ground floor were transferred to Condominium ownership and were rented out which allowed a regular stream of income. In addition, one of the Condominiums also signed an agreement with a cell phone company for them to establish an antenna on one of the roofs, also generating regular rental income.
VIII. TASK 2E (ECONOMIC DISPLACEMENT): DELIVERING COMPENSATION ENTITLEMENTS

423. Key steps and factors to consider are presented in table 6.6.

Table 6.6. Delivering Cash Compensation—Key Factors

| Payment | 
|-----------------|--------------------------------------------------|
| | Ascertain identity of entitled individuals, using biometric identification if possible or reliable official identity documents (passports, identify cards, electoral cards, birth certificates). Where identity cannot be ascertained, require presence of several witnesses, including administrative officers and/or community elders, and obtain their sign-off. |
| | Pay cash compensation by check or bank transfer wherever possible. Encourage affected persons to open bank accounts. Where the bank system is not perceived as reliable by affected persons, seek to educate them to the benefits of banking. Consider using Micro-Finance Institutions where these may be beneficial to affected persons in the long term. |
| | Seek the cooperation of a reliable bank in the payment process. Consider banks with local presence and a good track record. Once one or several banks have been selected, work with them to streamline the payment process and sensitize employees to the specific needs of affected persons. Require the bank to open a specific window for affected persons at the periods payments are made. Monitor the payment process at the bank to check that no incidents are taking place. |
| | Introduce training to cash and budget management where significant amounts are paid in cash to people that may be unfamiliar with the management of such amounts. This can be done by banks or microfinance institutions, as well as consumer associations or similar civil society organizations. |
| | Consider paying cash compensation in installments where this is acceptable to affected persons and makes sense from a cash utilization perspective |

IX. OTHER IMPORTANT ELEMENTS OF THE IMPLEMENTATION STAGE

A. Security of Tenure

424. PS5 and other similar international standards require that resettlers be provided with adequate security of tenure. Activities required at the planning stage to achieve this objective are described in module 2.VII.B., “Security of Tenure”.

425. A resettlement site offers security of tenure if it protects, to the greatest extent possible, the resettled persons from forced evictions. Obtaining a full title can be a lengthy and cumbersome process in many jurisdictions. This process will typically be handled by a government land agency with which the project may have limited leverage. However, it remains the responsibility of the project that no burden occurs to affected persons as a result of resettlement, and the project should therefore facilitate the process and bear its cost (box 6.4).

426. Security of tenure can be obtained through a variety of means, depending on the local land legislation and the context (for example, rural land with customary ownership being predominant): 
• A perpetual ownership title is the ideal outcome, but it is not always achievable for legal or practical reasons.

• A long-term, renewable lease (for example, 30 to 99 years), of which there are many legal forms depending on jurisdictions, may be the only practicable outcome, for example, in the many developing or emerging economies or countries where land is vested in the state.

• In some jurisdictions, temporary occupation permits granted by the land administration agency or municipality can constitute an interim stage in the process toward obtaining full and perpetual ownership. Attention should be paid to the duration of such permits and what happens after they expire.

• Also, the site and its residential and/or agricultural occupation should be officially sanctioned by spatial planning documents (such as municipal general plans, town plans, and regional plans).

• A variation is a situation in which the company purchases resettlement land and then hands it back to resettlers under various forms (free occupation, lease).

**Box 6.4. Security of Tenure: Factors to Consider**

<table>
<thead>
<tr>
<th>Make sure that resettlers hold a valid occupancy document for their new home prior to the move.</th>
<th>Start the process of obtaining full ownership titles or long-term leases as soon as possible (where possible, before the move or immediately thereafter)</th>
</tr>
</thead>
</table>

**Do the following pertaining to the gender and vulnerability aspects of tenure security:**

• Consider establishing titles in the name of both spouses wherever legally possible.

• Review specific cases such as polygamous households.

• Provide extensive facilitation to vulnerable households.

• Provide assistance to affected persons in registering their resettlement property (for example, negotiate a one-stop process with the relevant authority, with logistical facilitation by project).

• Cover all costs of providing titles to resettled people, including indirect costs such as transport and time lost. (This can be done via the lump-sum distribution or moving allowance mentioned in section V, “Task 2B (Physical Displacement): Organizing Moves” of this module).

**B. Expropriation: Practical Issues and How to Address Them**

427. Triggering expropriation on a private-sector project will usually result in a government agency taking over land acquisition according to processes and procedures set in local expropriation legislation. In such cases, PS5 mandates the following (paragraph 30):

Where land acquisition and resettlement are the responsibility of the government, the client will collaborate with the responsible government agency, to the extent permitted by the agency, to achieve outcomes that are consistent with this Performance Standard. In addition, where government capacity is limited, the client will play an active role during resettlement planning, implementation, and monitoring.
428. Most expropriation laws involve a two-stage process, which would be triggered after a first attempt by the project to reach a negotiated settlement and has failed:

- The first is an administrative stage, in which a commission of representatives of different administrations (for example, land, urban planning and housing, agriculture, and so forth) seeks to reach a negotiated agreement based on set rates usually maintained by a given governmental agency. The rates may be based on the “cadastral value” of land, usually taking account of depreciation of structures and therefore not meeting the full replacement-cost requirement. Cadastral values may not always be up-to-date or reflective of the current market.

- The second is a judiciary stage, in which the expropriation claim is processed by a judge, who would usually mandate an independent expert valuation of the property, summon a hearing of the expropriated party, and rule on (i) the validity of the expropriation for public needs and (ii) the compensation (sometimes in two separate proceedings). This first instance ruling can usually be appealed, with successive appeals potentially triggering a lengthy process. In recognition of this long process, many jurisdictions allow the expropriating agency to take possession of the property at the end of the administrative stage once the expropriated party has rejected the initial compensation offer, subject to the corresponding amount being deposited by the expropriating agency in an escrow account held by the treasury.

429. Such processes raise a number of practical issues in terms of compliance with IFC’s PS5. Details of such issues and potential actions to address them are presented in table 6.7.

**Table 6.7. Expropriation Issues and How to Address Them**

<table>
<thead>
<tr>
<th>Issues</th>
<th>How issues can be addressed</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Administrative stage</strong></td>
<td></td>
</tr>
<tr>
<td>Legal advice to affected persons</td>
<td>Does the expropriated party have access to legal advice?</td>
</tr>
<tr>
<td></td>
<td>Is there a risk of excessive pressure on the expropriated party to accept the proposed compensation offer?</td>
</tr>
<tr>
<td></td>
<td>Consider facilitating access to legal advice and supporting the cost, subject to this being agreeable to the government expropriating agency.</td>
</tr>
<tr>
<td>Compensation rates</td>
<td>Are rates adequate? Do they meet the PS5 full replacement cost criterion?</td>
</tr>
<tr>
<td></td>
<td>If expropriation rates are not adequate, can the project come back to its initial full replacement cost offer and settle the case on an amicable basis even after expropriation has been triggered?</td>
</tr>
<tr>
<td><strong>Issues</strong></td>
<td><strong>How issues can be addressed</strong></td>
</tr>
<tr>
<td>-------------------------------</td>
<td>-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Inventory of assets</td>
<td>Are all structures and features of the property taken into consideration, even those that may be informally erected?</td>
</tr>
<tr>
<td>Taking possession of land</td>
<td>Can the expropriating agency take possession of the land without paying compensation if the expropriated party rejects the compensation offer made in the administrative stage?</td>
</tr>
<tr>
<td>Project timeline</td>
<td>Is the time required for the expropriating agency to process the expropriation cases compatible with the project schedule?</td>
</tr>
<tr>
<td><strong>Judicial stage</strong></td>
<td></td>
</tr>
<tr>
<td>Legal advice to affected persons</td>
<td>Does the expropriated party have easy access to legal advice? Is there a risk of disproportionate pressure on the expropriated party to accept the proposed compensation offer?</td>
</tr>
<tr>
<td>Cost of independent expert valuation mandated by court</td>
<td>Who supports the cost of the independent valuation?</td>
</tr>
<tr>
<td>Other cost</td>
<td>Who pays other costs, such as legal advice and transport?</td>
</tr>
<tr>
<td>Compensation offer</td>
<td>Does the final compensation offer meet full replacement cost according to PS5?</td>
</tr>
</tbody>
</table>
Issues | How issues can be addressed
---|---
Appeals | Is there a possibility for the expropriated party to appeal the first instance expropriation ruling? How can this impact the project schedule? | Can the project lawfully enter land even if the expropriation ruling is appealed? How can this be done without violating the expropriated party's right to fair and prior compensation?

430. Expropriation may result in protracted judicial processes in a number of jurisdictions. It is therefore in the project’s best interest to reach amicable negotiated settlements in as many cases as possible. Where expropriation is unavoidable, addressing the issues it raises per the guidance in table 6.7 will usually result in smoother processes and limit the potential for undesirable evictions (see the following section, “Evictions”).

C. Evictions

431. Avoiding any forced eviction\(^{18}\) is the one of the key objectives of PS5. However, lawful eviction may sometimes become necessary if a reluctant landowner consistently refuses to vacate the land in spite of sound and fair compensation offers meeting the requirements of PS5.

432. The factors present in box 6.5 must be implemented in case lawful evictions become necessary.

**Box 6.5: Lawful Evictions: Factors and Process Steps to Consider**

Seek to reach a reasonable agreement. Hold several engagement meetings with those involved before eviction is considered, with no pressure or coercion exerted. Achieve a full understanding of the point of view and grievances of those affected. Make no unreasonable deviation from normal compensation entitlements (which would raise a risk of unfairness).

- Provide mediation services and legal remedies (use of a mutually agreeable NGO with experience in land acquisition or an independent lawyer, at no cost to those affected).
- Provide full information on legal avenues available to those affected, best conveyed by an independent party (such as the NGO or lawyer).

All engagement and attempts at reaching a reasonable agreement prior to eviction should be properly documented. The final decision to proceed with eviction should be properly documented in conformity with procedures set in local law (for example, use of a bailiff or similar officer). Once the impossibility to reach an agreement has been recorded and before the eviction is carried out, do the following:

- Plan the date of eviction in conformity with local law and in close consultation with relevant government agencies, including security forces.

\(^{18}\) The term forced eviction is defined by the UN Office of the High Commissioner for Human Rights as the "permanent or temporary removal against their will of individuals, families and/or communities from the homes and/or land which they occupy, without the provision of, and access to, appropriate forms of legal or other protection."
• Provide reasonable and repeated notice of the date and process of eviction to all affected persons prior to the scheduled date of eviction.

During the eviction, ensure the following:
• Evictions are led by government and state security forces—under no circumstances should a private company (including private security) take the lead in carrying out an eviction.
• There is no use of disproportionate force, and prior engagement with police force involved to avoid such
• Especially where groups of people are involved, government officials or their representatives must be present during an eviction and all persons carrying out the eviction are to be properly identified
• Evictions are not to take place in bad weather or at night.
• Specific care must be taken of vulnerable people, particularly disabled or sick individuals, pregnant or lactating women, young children, and the elderly, with provision of medical assistance if necessary.

After the eviction:
• Reasonable temporary accommodation solution must be made available to those evicted.
• Those who are evicted must be monitored and their circumstances documented.

D. Transition Support

433. Support for resettled households does not end when they move into their new houses. Box 6.6 describes factors to consider when planning and implementing transition support and duration.

Box 6.6: Transition Support: Factors to Consider

**Rural resettlement**
Will people be able to harvest their crops? What is the disruption to their normal agricultural cycles? If there is a disruption, transition support must be calculated to offset the loss.

What is the general food security situation in the area? If there is food shortage at the time of the displacement, transition support may have to be delivered in food rather than in cash.

Are there specific transition issues for vulnerable people that may require additional support (for example, medical) and/or food or cash support?

**Urban resettlement**
If transportation services to work areas are not immediately available upon the move, cover the additional cost in the transition support.

Cover any other interim costs that arise from the move and establishment process.

Are there specific transition issues for vulnerable people that may require additional support and/or food or cash support?
434. Frequent follow-up visits to the community and each relocated household should continue for at least six months after the move to help resolve issues and ensure that the community and government agencies take responsibility for the management and maintenance of the social infrastructure. The follow-up process needs to be undertaken together with government health and social welfare providers so that they can provide the support required to the families.

E. Land Acquisition by Contractors

435. Contractors responsible for project construction may be involved in some land acquisition, such as for temporary construction camps, laydown and storage areas, access roads, quarries or borrow pits, and so forth. It is key that contractors are kept under strict control by the project to avoid any deviation from project land-acquisition policies. Project land-acquisition and compensation policies must also accommodate the temporary character of such land occupation through specific rates, processes, agreements, and land reinstatement and handback policies.

436. Contractor compliance must be monitored to avoid any violations of such policies. It is generally better for the project to keep direct control of all land acquisition, including any land required for contractor's needs. Contractors are not necessarily well equipped to manage the demands of land acquisition, associated social issues, and grievance management and often lack the staff and experience to address these in a compliant manner. Where contractual arrangements dictate that land acquisition required for a contractor's temporary land must be paid for by the contractor, the project sponsor can still take responsibility for managing the process and back charge the cost to the contractor at the time of project commissioning.

X. THE IMPLEMENTATION TEAM

437. Successful implementation of resettlement activities requires teams with a broad array of skills. Implementation arrangements must provide for sufficient material resources (computers, office and survey equipment and materials, vehicles, office accommodation, and so on), an adequate organizational structure with clear lines of reporting, and budgetary and financial autonomy of resettlement implementation units. Flexibility in decision making and implementation are priorities.

438. The size of the resettlement implementation team will depend on the scale of the land acquisition and resettlement and the complexity of the project context. For small projects with limited complexity, a team consisting of a manager, community liaison staff deployed in key communities, and supporting consultants could suffice. For more complex projects, resettlement should be considered as a project within the project, and the best option will usually be to establish a dedicated unit within the project implementing organization, under a resettlement project manager with a direct line of reporting to a senior manager in the organization (for example, general manager; deputy general manager; health, safety, environment, and communities manager; or external affairs manager). The resettlement unit should be based close to affected areas and easily accessible to affected persons. Figure 6.1 presents an example of the organizational structure of a resettlement implementing unit, in which the following positions are required:

- **The resettlement manager** should have excellent project and people management skills, a thorough understanding of social and livelihood issues underlying the resettlement process, and the ability to communicate with both authority and empathy with affected persons. One important aspect of his or her tasks will be to seek internal alignment and to create internal awareness of resettlement related risks and benefits of "doing the right thing."

217
• **Engagement and grievance management officers** should have excellent interpersonal and communication skills, empathy for local communities, and knowledge of local languages and the local context. The team should have both women and men and ensure that women and vulnerable people are equally consulted.

• **The survey, census, and data team** will collect, record, and analyze all baseline and compensation data. It will have a role in verifying assets and conduct resurveys where grievances are lodged. It is important that the project has a database to securely manage data, preferably with GIS functionality. For larger projects, a dedicated data management system may be necessary to record data in an organized manner and generate the large number of assets summaries, grievance reports, compensation agreements, and so forth.

• **The M&E team** will have to liaise with the survey, census and data team (or potentially be integrated with it), as M&E will for a large part be based on numerical indicators generated by the resettlement database.

• **The resettlement design and construction team** should consist of in-house staff and consultants with skills in architecture, planning, engineering, and construction supervision and management.

• **The livelihood restoration and vulnerable people team** should consist of specialists in agriculture, forestry, animal husbandry, business development, and microcredit, as needed, and as social workers with experience in identifying and assisting vulnerable people.

• **Specialist resettlement consultants** should be used to review and assess the RAP and the capacity and experience of the resettlement team and provide specialist support and training as required.

• **Support services** include administrative, financial, legal, procurement, logistics, and transport support.

439. For a project involving hundreds of affected persons, depending on the timeframe, a typical implementation team at peak could include 50 or more full-time individuals. Linear projects that involve a multitude of land transactions over a large area can be particularly demanding in terms of number of staff (albeit over a shorter period of time). Finally, there is no point in having a sufficient number of staff if they are unable to move, and an adequate fleet and quality of vehicles is a critical factor of staff efficiency. Bureaucratic tasks should be streamlined, and financial operational arrangements should be flexible while safeguarding integrity.

440. Resettlement implementation is physically and psychologically demanding on personnel. Remuneration policies must reflect these difficulties. Performance should be taken into consideration, with annual reviews of quantitative and qualitative delivery indicators. Unethical behaviors should be immediately and severely sanctioned.

441. Where resettlement is implemented under the responsibility or with the participation of a government agency, it is essential that at the planning stage administrative procedures be reviewed to ensure timely disbursement and effective decision-making processes. It is not uncommon, for example, that compensation disbursement requires sign-off at different levels of government or that procurement of basic goods or services requires lengthy bidding and contracting procedures. Such potential obstacles must be identified beforehand and handled through adequate project operational procedures and accommodated in the overall scheduling.
442. It is also important to establish a good balance between the use of project staff and consultants to retain the institutional memory of the resettlement process after completion. There will be ongoing issues to resolve, and project staff must have established knowledge and relationships with the community from the commencement of the planning stage to resolve issues going forward.

443. The cost of implementing resettlement must not be underestimated: adequately resourced implementation teams typically cost between 12 to 20 percent of the total cost of the resettlement and compensation program, sometimes more for particularly complex and difficult projects.

XI. TYPICAL UNIT COSTS

444. Unit costs for resettlement are very site specific and vary considerably depending on the nature of existing housing, municipal services, community aspirations, government requirements, and local construction costs. Some typical ranges of unit costs are provided in module 2.VIII.B., “RAP/LRP Budget.”

445. One important factor to achieving a successful resettlement is the provision of a contingency budget of between 10 and 20 percent of the overall cost of resettlement to resolve unforeseen issues that arise during implementation.

XII. TIMEFRAMES FOR COMPLETING RESETTLEMENT

446. Timeframes for completing resettlement vary widely depending on the local context, local experience, and precedents and the national regulatory framework. As a general guide, a typical resettlement process might take between two to five years right from the time scoping is conducted, through planning, SE, asset surveys, compensation, land acquisition, planning and construction of infrastructure, and moving of households and communities to the new settlement site. Livelihood restoration is much more complex and can take from three to ten years to fully achieve.
Figure 6.1. Example of a Resettlement Team for a Complex Project
XIII. MANAGEMENT OF CHANGE

447. Notwithstanding the quality of planning, changes to the initial plans will invariably be required during implementation. They may involve one or several of the following:

- Changes in selected resettlement sites due to technical or permitting issues or land disputes
- Changes to the design of resettlement housing due to technical reasons or because the community members changed their minds during the consultation process
- Updates to compensation rates due to macroeconomic changes
- Updates to asset surveys, potentially including consideration of new categories of eligible people, because a cut-off date has expired (see module 2.IV.D., "Validity of Cut-Off Date and Subsequent Changes")
- Changes to the original planning schedule for the resettlement process

448. It is important to have a process that manages such changes. This will typically entail the following:

- Internal engagement across project teams, awareness, and information guiding individuals to accept the change and become informed, particularly those who are influential and in contact with communities
- Community engagement to validate the change
- External engagement with an array of stakeholders, information, and reporting, including consultations with government and proactive engagement with lenders
- A mechanism to update the RAP or LRP, with associated disclosure, to be discussed with lenders and described per the RAP
### XIV. CONCLUSION: DO’S AND DON’TS

Table 6.8. The Do’s and Don’ts of Resettlement Implementation

<table>
<thead>
<tr>
<th>Do’s</th>
<th>Don’ts</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Keep the focus at all times on affected persons</td>
<td>• Underbudget RAP implementation</td>
</tr>
<tr>
<td>• Be mindful of impacts of any implementation decision on women and the vulnerable</td>
<td>• Understaff RAP implementation</td>
</tr>
<tr>
<td>• Look closely at reconstruction and construction procurement models that best fit the schedule and the skill environment of the project</td>
<td>• Underequip RAP implementation staff (vehicles, IT, field gear)</td>
</tr>
<tr>
<td>• Be mindful of the long-term sustainability of all facilities created in the resettlement program</td>
<td>• Work against an unrealistic time schedule</td>
</tr>
<tr>
<td>• Start planning handover of resettlement sites and houses as of their design and construction</td>
<td>• Work under continuous pressure of construction of the main project</td>
</tr>
<tr>
<td>• Start planning at the commencement of the implementation phase on ways to ensure security of tenure</td>
<td>• Create bureaucratic processes that are incompatible with the resettlement and compensation schedule</td>
</tr>
<tr>
<td>• Maintain the momentum of the planning process in terms of engaging with affected persons and other stakeholders</td>
<td>• Take short cuts; these surely will backfire later</td>
</tr>
<tr>
<td>• Implement all stages and document them in such ways that they hold up in court</td>
<td></td>
</tr>
<tr>
<td>• Liaise with government, not only when problems arise, but on a regular basis</td>
<td></td>
</tr>
<tr>
<td>• Maintain control of any aspects of contractor activities that may impact land or people</td>
<td></td>
</tr>
</tbody>
</table>