

**AIB Loan Project**

**Henan Flood Emergency Rehabilitation and  
Recovery Project —Zhengzhou Component**

**Dengfeng Ying River Flood Damage  
Reconstruction Subproject  
Abbreviated Resettlement Action Plan  
(Revised)**

**Dengfeng City Water Resources Bureau (DCWRB)**

**July 13, 2022**

## Letter of Commitment

The Henan Provincial Government has applied for a loan with the Asian Infrastructure Investment Bank (AIIB) to implement the Dengfeng Ying River Flood Damage Reconstruction Subproject (hereinafter, the "Subproject") under the Zhengzhou Subproject of the Henan Post-disaster Restoration Project. The Dengfeng PMO and DCWRB have prepared this RAP with the assistance of the consultant. This RAP represents a key requirement of AIIB, and will become a basis for land acquisition and resettlement activities under the Subproject. In order to complete resettlement more effectively, this RAP includes some extra measures and arrangements for implementation and monitoring.

The Dengfeng PMO and DCWRB hereby acknowledge that this RAP complies with the applicable laws of the People's Republic of China and local regulations, as well as AIIB's Environmental and Social Policy Statement, especially AIIB's requirements for involuntary resettlement.

The Dengfeng PMO and DCWRB hereby confirm the contents of this RAP, and warrant that budgetary funds hereunder will be included in the general budget of the Subproject and made available on time. This RAP is based on the latest feasibility study report. DCWRB has discussed the draft RAP with the agencies concerned and obtained their consensus; DCWRB will be generally responsible for the implementation of the Subproject and the coordination of resettlement. The government authorities concerned of Dengfeng City will be responsible for the implementation of the Subproject and relevant resettlement tasks based on their respective duties.

Agency	Signature	Date
Dengfeng PMO		2022.6.1
DCWRB		2022.6.1

## Foreword

### I. Purpose of preparing this RAP

1 The RAP is prepared in accordance with the applicable laws of the People's Republic of China and local regulations, and a series of provisions in ESS2 Involuntary Resettlement of AIIB's ESF, and the Environmental and Social Management Plan Framework (ESMPF) for the AIIB Urgently Financed Henan Post-disaster Restoration Project approved in October 2021 for the purpose of "developing an action plan for resettlement and restoration for the people affected by the project, so that they benefit from the project, their living standard is improved or at least restored after the completion of the project".

### II. Definitions of terms

#### Involuntary resettlement

2 Project-related land acquisition or restrictions on land use may cause physical displacement (relocation, loss of residential land or loss of shelter), economic displacement (loss of land, assets or access to assets, including those that lead to loss of income sources or other means of livelihood), or both. The term "involuntary resettlement" refers to these impacts. Resettlement is considered involuntary when affected persons or communities do not have the right to refuse land acquisition or restrictions on land use that result in displacement.

#### Land acquisition

3 Land acquisition refers to all methods of obtaining land for project purposes, which may include outright purchase, expropriation of property and acquisition of access rights, such as easements or rights of way. Land acquisition may also include: (a) acquisition of unoccupied or unutilized land whether or not the landholder relies upon such land for income or livelihood purposes; (b) repossession of public land that is used or occupied by individuals or households; and (c) project impacts that result in land being submerged or otherwise rendered unusable or inaccessible. "Land" includes anything growing on or permanently affixed to land, such as crops, buildings and other improvements, and appurtenant water bodies.

#### Livelihood

4 Livelihood refers to the full range of means that individuals, families, and communities utilize to make a living, such as wage-based income, agriculture, fishing, foraging, other natural resource-based livelihoods, petty trade, and bartering.

#### Replacement cost

5 Replacement cost is defined as a method of valuation yielding compensation sufficient to replace assets, plus necessary transaction costs associated with asset replacement. Where functioning markets exist, replacement cost is the market value as established through independent and competent real estate valuation, plus transaction costs. Where functioning markets do not exist, replacement cost may be determined through alternative means, such as calculation of output value for land or productive assets, or the undepreciated value of replacement material and labor for construction of structures or other fixed assets, plus transaction costs. In all instances where physical displacement results in loss of shelter, replacement cost must at least be sufficient to enable purchase or construction of housing that meets acceptable minimum community standards of quality and safety. The valuation method for determining replacement cost should be documented and included in relevant resettlement planning documents. Transaction costs include administrative charges, registration or title fees,

reasonable moving expenses, and any similar costs imposed on affected persons. To ensure compensation at replacement cost, planned compensation rates may require updating in project areas where inflation is high or the period of time between calculation of compensation rates and delivery of compensation is extensive.

- 5 Cut-off date: In the Subproject, the cut-off date refers to the date on which the LA and HD announcement is posted. After this date, the displaced persons should not build, expand or rebuild any house, not change the use of housing and land, not lease land, not lease, buy or sell housing, and any population influx after this date is not eligible for resettlement.

# Executive Summary

## 1. Subproject introduction

According to the Feasibility Study Report of the Dengfeng Ying River Flood Damage Reconstruction Subproject (hereinafter, the “Subproject”) under the Zhengzhou Subproject prepared by Ningxia Water Resources and Hydropower Surveying, Design and Research Institute approved by the Dengfeng City Development and Reform Commission approved with Document DFSGS [2022] No.1 in January 2022, the Subproject consists mainly of river dredging, embankment restoration, bank slope protection and bridge restoration, including embankment restoration for 17.8 km, bank slope protection for 29.388km, river dredging for 37.588km and restoration of 3 destroyed bridges.

Resettlement will begin in August 2022 and end in December 2023, the resettlement budget is 10,303,558 yuan.

## 2. Affected area

The Subproject’s resettlement impacts arise from LA and temporary land occupation mainly, affecting 35 households with 145 persons in 7 villages in 4 townships (Shidao Xiang, Dajindian Town, Donghua Town and Gaocheng Town) of Dengfeng City. The main resettlement impacts are as follows:

1) 47.57 mu of rural collective land will be acquired, affecting 35 households with 145 persons in Shidao Xiang and Dajindian Town.

2) 193.33 mu of state-owned land will be occupied permanently, including 150.94 mu of riverside unused land and 42.36 mu of river flat.

3) 60 mu of land will be occupied temporarily, including 20.92 mu of abandoned factory land in Donghua and Dajindian Towns, and 30.08 mu of state-owned river flat, not involving resettlement.

4) The Subproject does not involve HD.

## 3. Policies, laws and entitlements

The resettlement policies of the Subproject have been developed in accordance with the applicable regulations of the PRC and Henan Province, and AIIB’s ESF and ESS2 “Involuntary Resettlement”, and a comprehensive legal framework is established in Chapter 4.

LA compensation will be based on the Notice of the Henan Provincial Government on Adjusting Location-based Composite Land Prices of Henan Province (HPG [2016] No.48). See the relevant provisions of the Notice of the Henan Provincial Government on Issues concerning Location-based Composite Land Prices for Farmland (HPG [2020] No.16) for details.

The resettlement subsidy and land compensation are disbursed by the municipal government to the affected townships, and then paid to the affected villages or households, and the compensation for young crops is paid to the AHs.

The compensation rate for temporarily occupied collective land in Dengfeng City is 1,500 yuan/mu per annum. Compensation for temporarily occupied land will be paid directly to the AHs based on the actual period of occupation.

Young crops and ground attachments will be compensated for based on the Notice of the Zhengzhou Municipal Government on Adjusting Compensation Rates for Young Crops and Ground Attachments on Collective Land Acquired for State Construction (ZMG [2020] No.25).

## 4. Organizational setup

The Dengfeng PMO and the Dengfeng City Water Resources Bureau are the executing agencies of the Subproject, and the affected townships are responsible for the preparation,

management and coordination of the Subproject, the Dengfeng City Natural Resources Bureau for LA compensation and resettlement, and the Dengfeng PMO for coordinating relevant matters together with the planning, natural resources, urban administration, housing administration, public security, disciplinary inspection, and supervision authorities.

## **5. Public participation and information disclosure**

All APs (with 45.6% being women) have been informed of the construction scope of the Subproject and the key points of this RAP by various means and involved in the Subproject, such as meeting, interview, FGD, public participation meeting and community consultation, and their opinions have been well incorporated into this RAP. The draft RAP has been announced and publicized to the affected communities and people in the project area on the bulletin boards and offices of township/sub-district offices, communities and village committees. During the survey, 6 FGDs were held in 7 villages in 4 townships, involving 73 persons, including 21 women, 8 vulnerable persons, and 44 village committee and villager representatives. 37 key informant interviews were conducted, including 11 government officials, 7 in Gaocheng Town, 7 in Donghua Town, 5 in Dajindian Town and 8 in Shidao Xiang. Due to COVID-19, the task force conducted a sampling survey on 15 households with 58 persons affected by LA in all the 7 affected villages, with a sampling rate of 42.8%.

## **6. Grievance redress**

An appeal procedure will be established to settle disputes over compensation and resettlement. The aim is to respond to grievances of the APs timely and transparently. Grievances about the Subproject may be from LA, ground attachment compensation, etc. Correspondingly, the Dengfeng PMO, Dengfeng City Water Resources Bureau, Natural Resources Bureau, and the affected township governments and village committees will coordinate and handle grievances and appeals arising from resettlement. The grievance redress mechanism includes five stages from village committees to competent authorities. The APs may file appeals about any aspect of resettlement, including compensation rates. All agencies will accept grievances and appeals from the APs for free, and costs so reasonably incurred will be disbursed from contingencies. The AIIB's Project-affected People's Mechanism (PPM) also was established by AIIB to provide an opportunity for an independent and impartial review of submissions from Project-affected people. For more information, visit: <https://www.aiib.org/en/policies-strategies/operational-policies/policy-on-the-project-affected-mechanism.html>.

## **7. Resettlement budget**

All costs incurred during LA and resettlement will be included in the general budget of the Subproject. Based on prices in December 2021, the resettlement budget of the Subproject is 10,303,558 yuan, including basic resettlement costs of 4,522,790 yuan (43.90% of the budget), management fees of 226,140 yuan (2.19% of the budget), resettlement planning and monitoring costs 1,200,000 yuan (11.65% of the budget), training costs of 45,228 yuan (0.44% of the budget), LA taxes of 3,857,121 yuan (37.43% of the budget), and contingencies of 452,279 yuan (4.39% of the budget).

## **8. Monitoring and evaluation (M&E)**

In order to ensure the successful implementation of this RP, resettlement implementation will be subject to internal and external monitoring. Internal monitoring will be conducted by the Dengfeng PMO, and other authorities concerned (e.g., development and reform commissions, housing construction bureau, agricultural and rural affairs bureau, tourism bureau, labor and social security bureau), and an internal monitoring report will be submitted to AIIB semiannually. In the first year of project implementation (critical periods such as resettlement compensation, relocation

and resettlement), the internal monitoring will be made quarterly. After that, based on the evaluation results of the AIIB on the implementation of ES-related measures, the internal monitoring can be changed to semiannually in the second year. Provide an internal monitoring report to AIIB semiannually. The Zhengzhou PMO will appoint an independent agency to conduct external M&E, independent agency submit M&E reports the Zhengzhou PMO and AIIB semiannually, and M&E costs will be included in the budget of the capacity building component.

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## ABBREVIATIONS

AIIB	-	Asian Infrastructure Investment Bank
AH	-	Affected Household
AP	-	Affected Person
DCNRPB	-	Dengfeng City Natural Resources and Planning Bureau
DCWRB	-	Dengfeng City Water Resources Bureau
ESF	-	Environmental and Social Framework
ESS	-	Environmental and Social Standard
ESMPF	-	Environmental and Social Management Plan Framework
GRM	-	Grievance Redress Mechanism
HD	-	House Demolition
LA	-	Land Acquisition
LEF	-	Land-expropriated Farmer
M&E	-	Monitoring and Evaluation
MLS	-	Minimum Living Security
PMO	-	Project Management Office
PPM	-	Project-affected People's Mechanism
PRC	-	People's Republic of China
RAP	-	Resettlement Action Plan
RIB	-	Resettlement Information Booklet

## Units

Currency unit	=	Yuan (CNY)
1.00 yuan	=	\$0.15
1 hectare	=	15 mu

# 1 Overview of the Subproject

## 1.1 Background and Description

### 1.1.1 Background

On July 19, 2021, the Mount Song area experienced an extraordinary rainstorm, with the precipitation breaking the single-day record in observation history of 385mm. This rainstorm was intensive and lasting, and triggered a torrential flood quickly, which not only destroyed the banks, but also overflowed and destroyed some structures.

Due to this rainstorm, banks of 17.8km of the Ying River and 6 bridges were destroyed, the river's flood control system was seriously damaged, and its flood discharge capacity was further reduced. As the most important flood control and discharge river of Dengfeng City, the Ying River is the most important factor of the whole city's personal and property safety. Shidao Xiang, Dajindian Town, Donghua Town and Gaocheng Town along the Ying River were affected heavily, with a damaged cultivated area of 33,000 mu. Nearly 30% of the built-up area of Gaocheng Town was inundated, and nearly 45 enterprises were affected. Some existing dikes along the Ying River are damaged, and the submerged bridges connecting both banks still have safety risks, affecting the livelihood and production restoration of nearby residents seriously.

In order to thoroughly implement President Xi Jinping's important instructions on flood control and disaster relief, Premier Li Keqiang's speech during his visit to Henan, and the decisions and arrangements of the Henan Provincial Government on post-disaster reconstruction, the Henan Flood Emergency Rehabilitation and Recovery Project —Zhengzhou Component (hereinafter, the "Project") was proposed. The Project will be of great significance for improving the emergency management capacity of the disaster-hit cities in Henan Province, protect the personal and property safety of the public, and maintain economic and social stability. In order to restore the Ying River, and protect the personal and property safety of riverside and downstream residents, the Dengfeng City Government has decided to restore the 37km damaged segment of the Ying River from Shidao Xiang to Gaocheng Town, and improve its flood control standard.

In January 2022, the Dengfeng City Development and Reform Commission approved the Feasibility Study Report of the Dengfeng Ying River Flood Damage Reconstruction Subproject (hereinafter, the "Subproject") under the Subproject prepared by Ningxia Water Resources and Hydropower surveying, Design and Research Institute with Document DFSGS [2022] No.1. The Subproject has a construction period of 6 months, from December of Year 1 to May of Year 2, mostly in the non-flood season.

### 1.1.2 Components

The Ying River originates from Shidao Xiang, and has a stretch of 40km in Dengfeng City, a source level of about 408m, a city boundary level of about 225m, and a riverbed gradient of 4.6‰. There are many towns, villages, factories and mines on both sides. The river has revetments on both sides, and over 50 bridges of varying sizes. Due to the July 20 rainstorm, the water level of this segment rose sharply, and some revetments and bridges were destroyed. There is a need for a safety inspection and renovation.

According to the Feasibility Study Report of the Subproject, the Subproject consists mainly of river dredging, embankment restoration, bank slope protection and bridge restoration, including embankment restoration for 17.8 km, bank slope protection for 29.388km, river dredging for 37.588km and restoration of 3 destroyed bridges.

1) Embankment restoration: The destroyed embankments are about 17.8km long, and will be restored by backfilling with cobbles and loam soil. After restoration, the branch gully and tributary mouths will be retained, and protected locally for a length of not more than 50m in principle.

2) Bank slope protection: The bank slope protection length is 29.388km. Bank slopes will be protected with masonry mainly, including masonry revetments and retaining walls, and M10 masonry will be used for the foundation to reduce water scouring damages.

3) River dredging: The river dredging length is 37.588km. A longitudinal slope ratio of 1/176~1/500 and an overall slope ratio of 1/223 will be reached, river bottom widths will be 29m~135m, and bank slope gradient will be not less than 1:2.5 after river dredging.

4) Bridge restoration: The 3 seriously damaged submerged bridges will be restored using C25 reinforced concrete to not less than the original standard, and their both ends will be connected to existing roads.

See Figure 1-1.



Figure 1-1 Location Map of the Subproject

### 1.1.3 Impacts

According to the Feasibility Study Report approved in January 2022 and the DMS, the Subproject's resettlement impacts arise from LA and temporary land occupation mainly, affecting 35 households with 145 persons in 7 villages in 4 townships (Shidao Xiang, Dajindian Town, Donghua Town and Gaocheng Town) of Dengfeng City. The main resettlement impacts are as follows<sup>1</sup>:

1) 47.57 mu of rural collective land will be acquired, affecting 35 households with 145 persons in Shidao Xiang and Dajindian Town.

2) 193.33 mu of state-owned land will be occupied permanently, including 150.94 mu of riverside unused land and 42.36 mu of river flat.

<sup>1</sup>It has been confirmed with the Dengfeng PMO / PIU and FSR agency that the Subproject's resettlement impacts are based on the third survey conducted by DCNRPB; the new land approval is being applied for, and is expected to be available by the end of September 2022. The resettlement impacts presented here will not vary greatly. In addition, the corresponding budget will be included in the budget of the detailed design.

3) 60 mu of land will be occupied temporarily, including 20.92 mu of abandoned factory land in Donghua and Dajindian Towns, and 30.08 mu of state-owned river flat, not involving resettlement.

4) The Subproject does not involve HD.  
See Table 1-1.



Table 1-1 Summary of Resettlement Impacts

Project		The Subproject								
Township		Shidao Xiang		Dajindian Town			Donghua Town	Gaocheng Town	Total	
Village		Shucun	Wanglou	Duanxi	Jinxi	Nanzhai	Dongjindian	Jiangzhuang		
Village groups		2	1	1	2	1	1	1	9	
Permanent LA (mu)	Total	10.59	3.56	14.76	14.98	0.85	2.15	0.68	47.57	
	Where: cultivated land	8.87	3.56	7.45	14.98	0.85	2.15	0.68	38.54	
	Uncultivated land	1.72	/	7.31	/	/	/	/	9.03	
Occupation of state-owned land (mu)	Total	21.25		97.15			14.41	60.49	193.3	
	Where: riverside unused land	17.20		67.26			8.68	57.80	150.96	
	River flat	4.05		29.89			5.73	2.69	42.37	
Temporary land occupation (mu)	Total	11.48		15.45			20.92	12.15	60	
	Where: abandoned factory land	/		/			20.92	/	20.92	
	State-owned river flat	11.48		15.45			/	12.15	39.08	
Directly affected population	Affected by LA	AHs	7	3	9	10	2	3	1	35
		APs	29	14	34	42	10	11	5	145

Table 1-2 Resettlement Impacts by Component

Component	Scope of construction	Land occupation											Temporary land occupation						Remarks
		State-owned land				Collective land			HD				State-owned land			Collective land			
		Area (mu)	AHs	APs	Time of approval	Area (mu)	AHs	APs	Area (mu)	AHs	APs	Time of approval	Area (mu)	AHs	APs	Area (mu)	AHs	APs	
River dredging	The river dredging length is 37.588km. A longitudinal slope ratio of 1/176~1/500 and an overall slope ratio of 1/223	/	/	/	/	/	/	/	/	/	/	/	60	/	/	/	/	/	The permanently occupied state-

	will be reached, river bottom widths will be 29m~135m, and bank slope gradient will be not less than 1:2.5 after river dredging.																		owned is 150.96 mu of riverside unused land and 42.37 mu of tidal flat.
Embankment restoration	The destroyed embankments are about 17.8km long, and will be restored by backfilling with cobbles and loam soil. After restoration, the branch gully and tributary mouths will be retained, and protected locally for a length of not more than 50m in principle.	64.4	/	/	/	15.8	14	48	/	/	/	/		/	/	/	/	/	
Bank slope protection	The bank slope protection length is 29.388km. Bank slopes will be protected with masonry mainly, including masonry revetments and retaining walls, and M10 masonry will be used for the foundation to reduce water scouring damages.	128.9	/	/	/	31.7	21	97	/	/	/	/		/	/	/	/	/	
Bridge restoration	The 3 seriously damaged submerged bridges will be restored using C25 reinforced concrete to not less than the original standard, and their both ends will be connected to existing roads.	/	/	/	/	/	/	/	/	/	/	/	/	/	/	/	/	/	Involving no additional land occupation
<b>Total</b>		<b>193.3</b>	<b>/</b>	<b>/</b>	<b>/</b>	<b>47.57</b>	<b>35</b>	<b>145</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>60</b>	<b>/</b>	<b>/</b>	<b>/</b>	<b>/</b>	<b>/</b>	<b>/</b>

Note: The temporarily occupied land is used for the construction camp and temporary stockyard mainly, and is mainly abandoned factory land and river flat mainly. Dredging spoil will be transferred to the spoil ground in the west part of Dengfeng City for land filling, not involving resettlement.

## 1.2 Social and Economic Benefits

**1) Flood control benefits:** Local flood losses mainly include: a) direct social and economic losses, such as loss of household assets (houses, means of production and means of living), casualties, loss of fixed assets (including factory buildings, machinery, etc.), current assets and raw materials, reduction of output value, and damage of water resource facilities (including canals, sluices and other hydraulic structures); b) indirect social and economic losses, mainly referring to losses arising from business, transport, electricity and communication interruption; and c) unforeseeable losses, such as environmental deterioration, flood discharge, social relief, production restoration, traffic facility repair, etc. It is estimated that the Subproject will reduce flood losses of 20 million yuan, and its flood control benefits will grow by 2.5% per annum.

**2) Ecological benefits:** The shoreline change arising from the Subproject will affect the structure and functions of the ecosystem, and the value of ecological services.

**3) Tourism benefits:** Dengfeng is a famous tourism city. The Subproject will improve its waterfront environment and landscape, attract more visitors, and bring more tourism income. It is estimated that after the completion of the Subproject, there will be about 50,000 more visitors per annum, generating additional tourism income of about 10 million yuan based on per capita consumption of 200 yuan.

**4) Social benefits:** After the completion of the Subproject, risks will be eliminated, the local people's lives and properties protected, and water supply secured, thereby promoting local economic and social development, and creating a favorable living environment for the local people.

## 1.3 Identification of Associated Projects

According to the ESMPF for the Project, an "associated facility" means an activity not included in the project description in the project management agreement, but is inherently connected to the project, and identified after consultation between AIIB and the Dengfeng PMO. The key principles for identification are: (a) being directly and substantially related to the project; (b) being implemented or planned along with the project; and (c) being feasibly necessary for the project, and would not be constructed or expanded without the project.

The Subproject is located in Shidao Xiang, Dajindian Town, Donghua Town and Gaocheng Town, Dengfeng City, and consists mainly of river dredging, embankment restoration, bank slope protection and bridge restoration. The objective of the Subproject is to repair damaged banks, bridges and other structures, restore the river and ensure its safety, and protect the personal and property safety of riverside and downstream residents. The Subproject does not involve any of the above 3 principles. The Subproject is not subject to any other project, will function immediately after completion, and will not affect the surrounding environment and the public adversely.

## 1.4 Resettlement Budget and Implementation Period

The gross investment in the Subproject is 217.845 million yuan, and the resettlement budget is 10,303,558 yuan, including basic resettlement costs, management fees, resettlement planning and monitoring costs, LA taxes, contingencies, etc., accounting for 4.73% of the gross investment, including basic resettlement costs of 4,522,790 yuan (43.90% of the budget, including LA compensation of 2,586,880 yuan (25.11% of the budget), ground attachment compensation of 1,878,100 yuan (18.23% of the budget), and young crop compensation of 57,810 yuan (0.56% of the budget)), management fees of 226,140 yuan (2.19% of the budget), resettlement planning and monitoring costs 1,200,000 yuan (11.65% of the budget), training costs of 45,228 yuan (0.44% of the budget), LA taxes of 3,857,121 yuan (37.43% of the budget), and contingencies of 452,279

yuan (4.39% of the budget).

The planned construction period is 6 months, from December of Year 1 to May of Year 2, mostly in the non-flood season.

## 2 Impacts of the Subproject

### 2.1 Measures to Avoid or Minimize Resettlement

#### 2.1.1 Principles for Project Design and Site Selection

Resettlement impacts have been minimized at the design stage on the following principles:

- Avoiding or minimizing occupation of existing and planned residential areas;
- Avoiding or minimizing occupation of high-quality farmland;
- Gaining access to the proposed construction sites through existing state and local roads; and
- Minimizing construction impacts on nearby residents.

#### 2.1.2 Measures to Reduce LA

1) Pay attention to option comparison. The river segment involved in the Subproject is long and has complex geological conditions. Multiple options should be compared to choose the one with minimal permanent land occupation and use while complying with the technical standard.

2) Further optimize the cross-section design to minimize land occupation.

3) For high-slope parts, minimize earthwork and land occupation while ensuring slope stability.

4) Optimize the alignment design of horizontal and vertical sections that relates directly to the amount of earthwork while meeting the flood control and other functional requirements, so that optimal technical and economic rationality is reached, and LA and HD are minimized.

5) The temporarily occupied land in each township should be state-owned river flat, state-owned unused land, abandoned factory land, etc. where possible, and the occupation of farmland be avoided.

See Table 2-1.

Table 2-1 Measures to Reduce Resettlement Impacts at the Preparation Stage

Component	Option 1	Option 2	Preferred option	Resettlement impact avoided
River dredging	Occupying 15 mu of farmland temporarily, affecting 5 households with 18 persons	Occupying about 12.15 mu of river flat in Jiangzhuang Village, Gaocheng Town, not involving resettlement	Option 2	Avoiding the occupation of 15 mu of farmland in Jiangzhuang Village, affecting 5 less households with 18 persons
Embankment restoration and bank slope protection	Occupying 119 mu of collective farmland	Acquiring 47.57 mu of farmland by optimizing the horizontal and vertical section design	Option 2	Reducing LA area by 71.43 mu, affecting 23 less households with 75 persons

### 2.2 Range of Resettlement Impact Survey

According to the subproject design in the Feasibility Study Report approved in January 2022, 35 households with 145 persons in 7 villages in 4 townships (Shidao Xiang, Dajindian Town, Donghua Town and Gaocheng Town) of Dengfeng City will be affected by the Subproject. See Tables 2-2 and 2-3.

Table 2-2 Summary of the Subproject Area

Component	Division		Type of impact
	Township	Village	
River dredging	/	/	/

Embankment restoration	Shidao Xiang, Dajindian Town, Donghua Town, Gaocheng Town	Jinxi, Dongjindian, Nanzhai, Wanglou, Duanxi, Shucun, Jiangzhuang	LA, state-owned land occupation
Bank slope protection	Shidao Xiang, Dajindian Town, Donghua Town, Gaocheng Town	Jinxi, Dongjindian, Nanzhai, Wanglou, Duanxi, Shucun, Jiangzhuang	LA, state-owned land occupation
Bridge restoration	/	/	/
Construction camp, temporary stockyard	Shidao Xiang, Dajindian Town, Donghua Town, Gaocheng Town	/	Temporary land occupation

### 2.3 Survey Methods and process

During February 13-20, 2022, the task force conducted a socioeconomic survey and a DMS in the subproject area based on the Feasibility Study Report, covering population, LA impacts, household conditions, expected resettlement modes, etc. During the survey, 6 FGDs were held, and extensive consultation conducted. The task force also interviewed DCWRB, the Dengfeng City Natural Resources and Planning Bureau (DCNRPB) (including the forestry bureau), the LA and HD management office, rural revitalization bureau, women's federation, ethnic and religious affairs bureau, township governments, village committees and resident representatives, etc., and collected relevant information to learn LA and resettlement policies and practices.

During the survey, the task force collected comments on resettlement from village committees and villagers, and conducted extensive consultation. The key findings of the survey are as follows:

- Almost all villagers (not less than 86.7%) know that the Subproject is about to break ground and support it.
- The Subproject involves permanent LA and temporary land occupation mainly, and also affects some infrastructure and ground attachments. High compensation rates are expected.
- Almost all APs think that they are affected slightly by LA, because their main income source is outside employment.
- Compensation should be paid timely and transparently to the AHs directly without being withheld by the village collective with minimum intermediate links.

### 2.4 Permanent LA and Impact Analysis

#### 2.4.1 Permanent LA

According to the subproject design in the Feasibility Study Report approved in January 2022, 47.57 mu of collective land will be acquired permanently for the Subproject, affecting 35 households with 145 persons in 7 villages in 4 townships (Shidao Xiang, Dajindian Town, Donghua Town and Gaocheng Town) of Dengfeng City, including 38.54 mu of cultivated land (81.02%) (all being ordinary farmland, excluding basic farmland), 4.51 mu of garden land (9.5%) and 4.52 mu of other farmland (9.5%). See Table 2-3.

Table 2-3 Summary of LA Impacts

Division		LA area (mu)				Affected population	
Township	Village	Cultivated land	Garden land	Other farmland	Total	AHs	APs
Shidao Xiang	Shucun	8.87	0.15	1.57	10.59	7	29
	Wanglou	3.56	/	/	3.56	3	14
Dajindian Town	Duanxi	7.45	4.36	2.95	14.76	9	34
	Jinxi	14.98	/	/	14.98	10	42
	Nanzhai	0.85	/	/	0.85	2	10
Donghua Town	Dongjindian	2.15	/	/	2.15	3	11

Gaocheng Town	Jiangzhuang	0.68	/	/	0.68	1	5
<b>Total</b>		<b>38.54</b>	<b>4.51</b>	<b>4.52</b>	<b>47.57</b>	<b>35</b>	<b>145</b>
<b>Percent (%)</b>		<b>81%</b>	<b>9.5%</b>	<b>9.5%</b>	<b>/</b>	<b>/</b>	<b>/</b>

#### 2.4.2 Impact Analysis

A comparative analysis of cultivated land before and after LA of the affected village groups has been made according to the socioeconomic survey. After LA, except Jiangzhuang Village (0.46 mu per capita), Dongjindian Village (0.58 mu per capita) and Nanzhai Village (0.48 mu per capita), the other affected villages will have per capita cultivated areas of over 1 mu.

All the 7 villages affected by LA have land loss rates of less than 1.76%. It can be seen that the affected villages are affected slightly in general.

Annual per capita income loss ranges from 539.28 yuan (Duanxi Village, Dajindian Town) to 109.82 yuan (Nanzhai Village, Dajindian Town). Among the 7 affected villages, Duanxi Village, Dajindian Town has the highest per capita income loss rate of 3.17%, followed by Jinxi Village, Dajindian Town (3.00%), while the per capita income loss rates of the other villages are below 2.88%.

See Table 2-4.

It can be seen from the impact analysis that since the Subproject is linear in shape, and mostly involves expansion or reconstruction, LA will affect each AH slightly. All AHs have land loss rates of 1.76% or less.

The main crops in the subproject area are wheat, corn, potato and rape, the main income sources of the AHs are outside employment and extensive farming, and almost none of them relies completely on farming. Therefore, LA has little impact on the AHs' income.

### 2.5 Impacts of Permanent Occupation of State-owned Land

193.3 mu of state-owned land will be occupied permanently for the Subproject, including 150.94 mu of riverside unused land and 42.36 mu of river flat, or 14.41 mu in Donghua Town, 60.49 mu in Gaocheng Town, 97.15 mu in Dajindian Town and 21.25 mu in Shidao Xiang.

Table 2-4 Summary of Occupied State-owned Land (unit: mu)

<b>Township</b>	<b>Riverside unused land</b>	<b>River flat</b>	<b>Total</b>
Donghua Town	8.68	5.73	14.41
Gaocheng Town	57.80	2.69	60.49
Dajindian Town	67.26	29.89	97.15
Shidao Xiang	17.20	4.05	21.25
Total	150.94	42.36	193.3

Table 2-5 LA Impact Analysis

No.	Township	Village	Before LA				Affected by LA			Per capita cultivated area after LA (mu)	LA impacts			Income loss				
			HHs	Population	Cultivated area (mu)	Per capita cultivated area (mu)	AHs	APs	Cultivated area (mu)		Percent of HHs (%)	Percent of population (%)	Land loss rate (%)	Per capita annual disposable income (yuan)	Annual loss <sup>1</sup> (yuan)	Average loss per HH (yuan)	Per capita loss (yuan)	Percent to per capita income <sup>2</sup> (%)
1	Gaocheng Town	Jiangzhuang	349	1799	821	0.456	1	5	0.68	0.456	0.29	0.28	0.08	15000	766.36	766.36	153.27	1.02%
2	Donghua Town	Dongjindian	1190	5890	3400	0.577	3	11	2.15	0.577	0.25	0.19	0.06	16000	3250.80	1083.60	295.53	1.85%
3	Dajindian Town	Nanzhai	267	1120	536	0.479	2	10	0.85	0.478	0.75	0.89	0.16	14000	1098.20	549.10	109.82	0.78%
4		Duanxi	342	1682	1843	1.096	9	34	14.76	1.087	2.63	2.02	0.8	17000	16634.52	1848.28	489.25	2.88%
5		Jinxi	580	2900	850	0.293	10	42	14.98	0.288	1.72	1.45	1.76	18000	22649.76	2264.98	539.28	3.00%
6	Shidao	Shucun	381	1690	1856	1.098	7	29	10.59	1.092	1.84	1.72	0.57	13000	11934.93	1704.99	411.55	3.17%
7	Xiang	Wanglou	630	2538	2607	1.027	3	14	3.56	1.026	0.48	0.55	0.14	13500	4599.52	1533.17	328.54	2.43%

<sup>1</sup> Annual loss = AAOV \* LA area (mu)

<sup>2</sup> Percent to per capita income = per capita loss / per capita disposable income



## 2.6 Impacts of Temporary Land Occupation

60 mu of land will be occupied temporarily for the Subproject, including 31.60 mu for the construction camp and 28.40 mu for the temporary stockyard, or 20.92 mu in Donghua Town, 12.15 mu in Gaocheng Town, 15.45 mu in Dajindian Town and 11.48 mu in Shidao Xiang. The period of temporary land occupation is the same as the construction period. The temporarily occupied land will be restored to the original condition after the completion of construction. During construction, abandoned factory land or state-owned river flat has been selected for the construction camp and temporary stockyard according to the subproject design, affecting no one and not involving compensation.

Table 2-6 Summary of Temporarily Occupied Land

No.	Facility	Occupied land area (mu)	Remarks
1	Construction camp	31.60	The construction period is 6 months.
2	Temporary stockyard	28.40	
	Total	60	

Table 2-7 Classification of Temporarily Occupied Land (unit: mu)

Township	Temporarily occupied land area	Land type
Donghua Town	20.92	Abandoned factory land
Gaocheng Town	12.15	State-owned river flat
Dajindian Town	15.45	State-owned river flat
Shidao Xiang	11.48	State-owned river flat
Total	60	/

## 2.7 HD Impacts

The Subproject does not involve the demolition of residential houses or nonresidential buildings.

## 2.8 Affected Population

### 2.8.1 Summary

The Subproject will affect 35 households with 145 persons in total, all being rural residents, all affected by LA.

### 2.8.2 Affected Vulnerable Groups

According to AIB's Environmental and Social Framework (ESF)<sup>1</sup>, and relevant domestic practices, vulnerable groups include the disabled, five-guarantee households<sup>2</sup>, women-headed households, MLS households<sup>3</sup>, and ethnic minorities.

The affected population does not include any vulnerable group.

### 2.8.3 Affected Women

74 women will be affected by the Subproject, accounting for 51% of the affected population. According to the survey, the affected women enjoy the same rights as men, including land contracting, education receiving, family planning and election. Most of the female laborers

<sup>1</sup> AIB's ESF

<sup>2</sup> For elderly, weak, widowed and disabled members who are unable to work and have no means of living, or whose households lack labor, a rural production cooperative would provide production and living assistance, including daily supplies, education for the young and burial for the elderly. The local support standard for five-guarantee households is not less than 6,240 yuan/year.

<sup>3</sup> The local rural MLS standard is 260 yuan/month.

interviewed think that they have the same autonomy in production and management as men, and can choose to get employed or do business freely. Women do farm work mainly, while men mostly deal with nonagricultural operations. Women do more housework and household sideline operations (e.g., stockbreeding), and often choose to work locally. The average working time of women is almost the same as that of men. By sector, women are advantaged in catering, social services, apparel making, etc., but disadvantaged in construction and transport. Boys and girls have equal opportunities in education, and parents are always willing to support their children's education.

According to the survey, women have the same concerns as those of men: a) Compensation should be strictly based on the applicable state laws and regulations, and paid timely; and b) LA compensation should be paid directly to the AHs.

Women have the following needs that are different from those of men: a) Women expect both monetary compensation and land reallocation; b) Women expect skills training in crop cultivation, stockbreeding, handicrafts, etc.; and b) Women also expect to participate in village-level management, and expect that compensation should be received with the signature of couples.

## 2.9 Affected Ground Attachments and Infrastructure

The Subproject will affect 4 types of attachments, including timber trees, fruit trees, tombs and pumped wells. See Table 2-8.

Table 2-8 Summary of Affected Ground Attachments<sup>1</sup>

No.	Item	Unit	Total
1	Scattered tree		9670
1.1	Timber tree		9476
1)	Ø<5cm	/	845
2)	5cm≤ Ø <10cm	/	1967
3)	10cm≤ Ø <15cm	/	736
4)	15cm≤ Ø <20cm	/	1289
5)	20cm≤ Ø <25cm	/	2473
6)	25cm≤ Ø <30cm	/	1859
7)	30 cm ≤ Ø	/	307
1.2	Fruit tree		194
1)	Fruit-bearing	/	25
2)	Not fruit-bearing	/	169
3	Tomb		24
1)	Single coffin	/	9
2)	Double coffin	/	15
4	Small water resource facility		3
1)	Pumped well	/	3

<sup>1</sup> Note: The data is from the fieldwork and village official statistics.

## 3 Socioeconomic Profile

### 3.1 Socioeconomic Profile of the Subproject Area

#### 3.1.1 Dengfeng City

Dengfeng City is located on the south piedmont of Mount Song in central-western Henan, 28km away from the urban area of Zhengzhou Municipality, with a land area of 1,217 km<sup>2</sup> and a population of 730,000, governing 9 towns, 3 Xiangs, 3 sub-districts, 299 villages and 44 communities. It is located between the national central city of Zhengzhou and the provincial sub-central city of Luoyang, being an important node of the Zhengzhou-Bianliang-Luoyang Yellow River Cultural Tourism Belt, and is run through by one national highway, 3 provincial highways and 4 expressways. Mount Song in the city is among the five famous mountains of China, and one of the first geological parks of the world. The Mount Song scenic zone is a state-level scenic zone, and has one Class 5A scenic spot (Shaolin Temple), 4 Class 4A scenic spots (Songyang Academy, Zhongyue Temple, Star Observatory and Daxiongshan Xianren Valley), and two Class 3A scenic spots (Fanjia Gate and Zhaixing Tower). The city boasts an excellent ecological environment, a forest coverage rate of 43.5%, a national forest park and two provincial forest parks. Baisha Lake in the city has a water surface area of 22 km<sup>2</sup>, being the largest freshwater lake of Zhengzhou Municipality.

At the end of 2020, the city's resident population was 726,463, a year-on-year increase of 9,096, including an urban population of 423,092, accounting for 58.24%, born population 7,952, with a birth rate of 11.02‰, and dead population 4,548, with a death rate of 6.3‰, and a natural population growth rate of 4.72‰. In 2020, the per capita disposable income of urban residents was 34,750 yuan, a year-on-year increase of 7.6%; the per capita nonproductive expenditure of urban residents was 2,013 yuan, a year-on-year increase of 1%; the per capita disposable income of rural residents was 20,217 yuan, a year-on-year increase of 8.7%; the per capita nonproductive expenditure of rural residents was 14,507 yuan, a year-on-year increase of 7.0%.

In 2020, the city's GDP was 48.1 billion yuan, a year-on-year increase of 16%, in which the added value of primary industries was 16.2 billion yuan, down 3.9%, that of secondary industries 2.02 billion yuan, up 0.2%, and that of tertiary industries 20.17 billion yuan, up 4.5%. 6,017 urban residents were newly employed, including 1,167 reemployed urban residents, and 11,815 rural laborers were newly employed.

#### 3.1.2 Affected Townships

##### 1) Gaocheng Town

Gaocheng Town is located between Mount Song and Mount Qi, and run through by the Ying River, with a land area of 91.5 km<sup>2</sup> and a population of 63,480, governing 30 villages. The town has 55 poor households with 203 persons and 54 low-income households with 195 persons. In 2020, per capita income was 15,000 yuan.

Gaocheng Town has been one of the top 1,000 towns of China in terms of overall strength for 3 consecutive years since 2017. The town boasts rich minerals, including 4 metallic ones, 15 nonmetallic ones and 3 other ones, especially coal and bauxite. There are 5 industry parks in the town, including a health industry park in the east, a culture and tourism industry park, and a new material industry park in the center, a green potato industry park in the west, and a walnut industry park throughout the town.

##### 2) Donghua Town

Donghua Town is located 12km south of the urban area of Dengfeng City, with a land area of 82.71 km<sup>2</sup>, a registered population of 60,890, a resident population of 63,266, a floating population

of 3,893, and per capita annual income of 16,000 yuan, governing 23 villages and 229 groups.

The town has favorable conditions for agricultural production, including a cultivated area of 41,445 mu, a woodland area of 32,000 mu and fertile soil. The main commercial crops are potato and rape. Dengfeng Circular Economy Industry Park is located in the town, and has electricity, building material, calcium carbide, iron alloy, refractory material, processing and high-temperature element enterprises. There are over 80 enterprises in the town, including 27 ones of above designated size. The town enjoys convenient traffic and complete infrastructure.

### 3) Dajindian Town

Dajindian Town is located in southwestern Dengfeng City, 13km away from the urban area, with a land area of 115 km<sup>2</sup>, a cultivated area of 35,753 mu and a population of 65,941, governing 34 villages and 251 groups.

The town has been developing rapidly in recent years. In 2018, the town's GDP was 4.227 billion yuan, 65 times that of 1978, public budgetary revenue 43 million yuan, 40 times that of 1978, and per capita net income of farmers 19,626 yuan, 100 times that of 1978. In 2020, the town's gross industrial output value was 212 million yuan, fixed asset investment 171 million yuan, and tax revenue 11.78 million yuan.

### 4) Shidao Xiang

Shidao Xiang is located in southwestern Dengfeng City, 25km away from the urban area, and on the south piedmont of the Shaoshi Mountain, with a land area of 102 km<sup>2</sup>, a cultivated area of 38,583 mu and a population of 43,900, governing 25 villages and 177 groups. The town enjoys convenient traffic, and has rich mineral resources, including coal, bauxite, quartz, barite, potassium feldspar, pyrophyllite, marble and other minerals. There are over 20 enterprises resource-based enterprises in the town. The town abounds with corn, wheat, tobacco leaf, soybean, peanut, apple, grape, watermelon, millet, etc.

#### 3.1.3 Affected Villages

The socioeconomic profile of the 7 affected villages is as shown in Table 3-1.

Table 3-1 Socioeconomic Profile of the Affected Villages (2021)

No.	Township	Village	HHs	Population	Where: men	Laborers	Average population per household	Cultivated area (mu)	Per capita cultivated area (mu)	Per capita annual disposable income of farmers (yuan)	Per capita annual net income of farmers (yuan)
1	Gaocheng Town	Jiangzhuang	349	1799	852	937	5.2	821	0.46	15000	8000
2	Donghua Town	Dongjindian	1190	5890	2699	3109	4.9	3400	0.58	16000	8400
3	Dajindian Town	Nanzhai	267	1120	610	711	4.2	536	0.48	14000	7600
4		Duanxi	342	1682	781	875	4.9	1843	1.1	17000	8500
5		Jinxi	580	2900	1484	1624	5	850	0.3	18000	9000
6	Shidao Xiang	Shucun	381	1690	826	967	4.4	1856	1.1	13000	6500
7		Wanglou	630	2538	1359	1179	4.0	2607	1.0	13500	6700

## 3.2 Affected Population

Due to COVID-19, the task force conducted a sampling survey on 15 households with 58 persons affected by LA in all the 7 affected villages, with a sampling rate of 42.8%. See Table 3-2.

Table 3-2 Distribution of the Sample

No.	Township	Village	AHs	Sample		Sampling rate (%)
				Households	Population	

1	Shidao Xiang	Shucun	7	3	13	42.9%
		Wanglou	3	1	5	33.3%
2	Dajindian Town	Duanxi	9	3	7	33.3%
		Jinxi	10	4	17	40.0%
		Nanzhai	2	1	4	50.0%
3	Donghua Town	Dongjindian	3	2	9	66.7%
4	Gaocheng Town	Jiangzhuang	1	1	3	100.0%
Total			35	15	58	

### 3.2.1 Ethnic and Gender Analysis

The 15 sample households have 58 persons in total, averaging 3.87 persons per household, all being Han people, including 41 laborers, and 28 women, accounting for 48.3%. Women deal with farming, housework and services mainly.

### 3.2.2 Age Structure

Among the 58 respondents, 11 are aged below 16 years, accounting for 19%; 38 aged 17-60 years, accounting for 65.5%; and 9 aged 60 years or above, accounting for 15.5%.

### 3.2.3 Educational Level

Among the 58 respondents, 15 have received primary school or below education, accounting for 25.9%; 26 have received junior high school education, accounting for 44.8%; 11 have received senior high / secondary technical school education, accounting for 19%; and 6 have received junior college or above education, accounting for 10.3%.

### 3.2.4 Land Resources

The 15 sample households affected by LA have a total cultivated area of 38.86 mu, and an average cultivated area of 0.67 mu per capita or 2.6 mu per household. The main crops are wheat, corn and rape.

### 3.2.5 Household Assets

Among the 15 sample households, an average household has 1.61 TV sets, 1.31 refrigerators / air-conditioners, 0.78 hi-fi, 3.31 telephones / mobile phones, 1.26 bicycles / motorcycles, and 0.83 tractor / water pump, indicating a medium living standard.

### 3.2.6 Household Income and Expenditure

#### 1) Household income

The per capita annual income of the sample households is 15,661.13 yuan, including agricultural income of 2,502.88 yuan, accounting for 15.98%; stockbreeding income of 1,906.95 yuan, accounting for 12.18%; wage income of 1,772.75 yuan, accounting for 11.32%; outside employment income of 8,685.15 yuan, accounting for 55.46%; government subsidies of 170.17 yuan, accounting for 1.07%; other nonagricultural income of 452.91 yuan, accounting for 2.9%; and property income of 170.32 yuan, accounting for 1.09%.

#### 2) Household expenditure

The per capita annual expenditure of the sample households is 8,832.29 yuan, including productive expenses of 4,999.01 yuan, accounting for 56.6%, nonproductive expenses of 3,697.28 yuan, accounting for 41.86%, and other expenses of 136 yuan, accounting for 1.54%.

See Table 3-3.

Table 3-3 Household Income and Expenditure

Item		Average per household (yuan)	Per capita (yuan)	Percent (%)
Annual household income	Agricultural income	9686.148	2502.88	15.98
	Stockbreeding income	7379.909	1906.95	12.18
	Wage income	6860.56	1772.75	11.32

	Outside employment income	33611.52	8685.15	55.46
	Government subsidy	658.56	170.17	1.07
	Other nonagricultural income	1752.75	452.91	2.9
	Property income	659.14	170.32	1.09
	Subtotal	60608.587	15661.13	100
Annual household expenditure	Productive expenses	19346.16	4999.01	56.6
	Nonproductive expenses	14308.48	3697.28	41.86
	Other	526.3172	136.00	1.54
	Subtotal	34180.96	8832.29	100.00
Net income <sup>①</sup>		41262.43	10662.12	/

### 3.3 Sampling Survey on Women

In order to learn local women's basic information, the task force conducted a sampling survey on women by means of personal interview, questionnaire survey, FGD, etc. No woman-headed household caused by widowing, divorce, abandonment, etc. has been identified among the AHs.

#### 3.3.1 Income

Occupations of women restrict their income, because farming and housework are not regarded as income-generating activities, and only money earned by men working outside is regarded as income. The survey shows that the contribution of men to household income (69.37%) is much higher than that of women (30.63%). Therefore, the recessiveness of women's income prevents the improvement of their family economic status. See Table 3-4.

Table 3-4 Household Income by Gender

Item	Contribution to household income
Male (%)	69.37
Female (%)	30.63
Total	100

#### 3.3.2 Educational Level

The survey shows that local women's overall educational level is much lower than that of men. For example, the percentage of men having received senior high school / secondary technical school education (20.30%) is higher than that of women (17.44%), the percentage of men having received junior college or above education (5.37%) is higher than that of women (4.49%), while the percentage of women having received primary school or below education (31.82%) is significantly higher than that of men (21.35%). See Table 3-5.

Table 3-5 Educational Levels by Gender

Educational level	Female (%)	Male (%)
Primary school or below	31.82	21.35
Junior high school	45.37	53.86
Senior high school / secondary technical school	17.44	20.30
Junior college or above	5.37	4.49
Total	100	100

#### 3.3.3 Occupation

Women deal with farming and housework mainly, and the percentage of women working outside is low. 40.15% of women do housework, 43.54% deal with farming, 16.31% work outside with husbands or relatives, and few women work in nearby counties and towns (e.g., restaurants,

<sup>①</sup> Net income = annual household income – productive expenses

hotels, plants). In contrast, 7.32% of men do housework, 28.72% deal with farming, and 63.96% work outside. See Table 3-6.

Table 3-6 Occupations by Gender

Occupation	Female (%)	Male (%)
Housework	40.15	7.32
farming	43.54	28.72
Outside employment	16.31	63.96
Total	100	100
Note: Women deal with housework and farming mainly, and these two occupations may overlap.		

### 3.3.4 Expected Resettlement Mode

Monetary compensation is the resettlement mode preferred by and available to every AH. After receiving monetary compensation, the AHs may choose agricultural or nonagricultural resettlement (including working outside or doing business after training). Most women prefer monetary compensation (100%), social security (88.57%) and nonagricultural resettlement (60%), and only 34.29% choose agricultural resettlement, which is closely associated with their occupations and family role. In addition, eligible APs may cover endowment insurance voluntarily. See Table 3-7.

Table 3-7 Expected Resettlement Modes of Women

Township	Village	AHs	APs	Where: women		Expected resettlement mode			
				HHs	Population	Monetary compensation	Non-agricultural resettlement	Agricultural resettlement	Social security
Shidao Xiang	Shucun	7	29	7	16	7	3	2	7
	Wanglou	3	14	3	7	3	2	0	3
Dajindian Town	Duanxi	9	34	9	18	9	5	2	7
	Jinxi	10	42	10	20	10	7	4	8
	Nanzhai	2	10	2	4	2	1	1	2
Donghua Town	Dongjindian	3	11	3	6	3	2	2	3
Gaocheng Town	Jiangzhuang	1	5	1	3	1	1	1	1
Percent (%)						100.00	60.00	34.29	88.57

## 3.4 Summary

The task force has found that: 1) Since the Subproject is linear in shape, the AHs will be affected slightly in general; 2) In the affected village groups, the percentage of agricultural income to gross income is low, and outside employment is the main income, so LA will have little impact on income; 3) Most APs think that the Subproject is beneficial, and support LA and the Subproject as long as compensation is reasonable, fair and timely.

## 4 Legal Framework and Policies

In order to promote the resettlement work of the Subproject, and protect the lawful rights of the affected persons and entities, the resettlement policies of the Subproject have been developed in accordance with the applicable regulations of the PRC and Henan Province, and AIIB's ESF and ESS2 "Involuntary Resettlement".

The resettlement work of the Subproject will be conducted in strict conformity with these policies, and any change should be approved by AIIB in advance.

### 4.1 Objectives of Resettlement

According to AIIB's ESF and ESS2 "Involuntary Resettlement", the resettlement objectives of the Subproject are:

- (a) To avoid involuntary resettlement where feasible;
- (b) To minimize involuntary resettlement, exploring all viable alternative project designs;
- (c) Where involuntary resettlement is unavoidable, to assist displaced persons in their efforts to improve their livelihoods and standards of living or at least to restore them, in real terms, to pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher;
- (d) To learn and address gender-related risks and impacts of involuntary resettlement;
- (e) To improve living conditions of poor or vulnerable persons who are physically displaced, through provision of adequate housing, access to services and facilities, and security of tenure; and
- (f) To conceive and execute resettlement activities as sustainable development programs, providing sufficient investment resources to enable displaced persons to benefit directly from the project, as the nature of the project may warrant.

### 4.2 Key Principles

Some resettlement and restoration principles have been developed according to the above objectives:

#### 1) Livelihood restoration

The APs' livelihoods should be restored at least in the following ways:

- a) Where feasible, where livelihoods of displaced persons are land-based or where land is collectively owned, a land-based resettlement strategy should be applied; or monetary compensation is offered at the replacement cost of land, including transition cost, provided basic livelihoods are not affected by land loss;
- b) The APs' lost assets should be replaced with assets of equivalent or higher value;
- c) Assets that cannot be restored should be fully compensated for;
- d) Capacity building should be implemented to increase the access of the APs to livelihood resources; equal assistance should be provided to all APs to improve or restore livelihoods in a manner suited to their respective needs, such as skills training, access to credit, and job opportunities; existing agricultural activities should be improved, including transaction costs and compensation. Opportunities to provide extra income and services through benefit sharing should be reviewed based on the nature and objectives of the project.

#### 2) Resettlement assistance

Necessary assistance should be provided to the APs losing houses and land due to the project, including (if applicable):

- a) If resettlement occurs, the APs should at least have the same title to the land and other assets of the resettlement site; sufficient houses, and similar employment and production opportunities should be available at the resettlement site so that the APs are integrated into their community economically and socially, and the project benefits should be extended to their community to rationalize the resettlement process;
- b) Transitional support and development assistance should be provided, such as housing and development facilities, credit support, training or job opportunities;
- c) Necessary infrastructure and community services should be provided;
- d) Special assistance should be provided for livelihoods of women-headed and vulnerable households.

#### 3) Improvement of living standard

The living standard of the poor, and other vulnerable groups losing houses and land due to the project (including women, children and the disabled) should be improved at least to the minimum



standard stipulated by the state, including the social security system for rural areas, by providing lawful and affordable land and resources to them; in urban areas, appropriate income sources, and lawful and affordable housing should be provided to them.

#### 4) Compensation and entitlements

Before any resettlement impact or economic change occurs under the project, compensation should be paid and other resettlement entitlements offered. Where the state laws and property right system do not recognize women’s right to hold or exchange properties, the gender issue should be considered when compensation is fixed and paid, and other entitlements are provided so that women receive a tenure where possible, including provisions for livelihood problems at the implementation stage.

### 4.3 Policy Framework

See Table 4-1 for the resettlement policy framework of the Subproject .

Table 4-1 Resettlement Policy Framework

Level	Policy	Effective date
State	Land Administration Law of the PRC (Amended)	2020-1-1
	Regulations on the Implementation of the Land Administration Law of the PRC (Decree No.743 of the State Council)	2021-9-1
	Decision of the State Council on Deepening the Reform and Rigidly Enforcing Land Administration (SC [2004] No.28)	2004-10-21
	Guidelines on Improving Compensation and Resettlement Systems for Land Acquisition (MLR [2010] No.238)	2004-11-3
	Guidelines on Improving Compensation and Resettlement Systems for Land Acquisition (MLR [2010] No.238)	2006-8-31
	Measures on Public Announcement of Land Acquisition (Decree No.10 of the Ministry of Land and Resources)	2002-1-1
	Regulations on House Expropriation on State-owned Land and Compensation (Decree No.590 of the State Council)	2011-1-21
	Notice of the Ministry of Natural Resources, Ministry of Agriculture and Rural Affairs, and National Forestry and Grassland Administration on Strictly Controlling Uses of Farmland (MNR [2021] No.166)	2021-11-27
	Notice of the Ministry of Natural Resources on Regulating the Management of Temporary Land Use (MNR [2021] No.2)	2021-11-4
	Henan Province	Regulations on House Expropriation on State-owned Land and Compensation (HPG [2012] No.39)
Notice of the Henan Provincial Government on Adjusting Location-based Composite Land Prices of Henan Province (HPG [2016] No.48)		2016-9-1
Notice of the Henan Provincial Government on Issues concerning Location-based Composite Land Prices for Farmland (HPG [2020] No.16)		2020-5-6
Opinions of the Henan Provincial Departments of Human Resources and Social Security, Finance, and Natural Resources on Subsidizing Land-expropriated Farmers for Basic Endowment Insurance (HHRSSD [2019] No.1)		2019-7-1
Notice of the Henan Provincial Departments of Human Resources and Social Security on Disclosing the Minimum Standard of Social Security Costs for Land-expropriated Farmers of 2021 (HHRSSDO [2021] No.49)		2021-7-1
Zhengzhou Municipality	Opinions of the Zhengzhou Municipal Government on House Expropriation on State-owned Land and the Withdrawal of the Right to Use State-owned Land (ZMG [2018] No.28)	2018-4-26
	Opinions of the Zhengzhou Municipal Government on Compensation for House Expropriation on State-owned Land (ZMG [2014] No.191)	2014-10-19
	Interim Measures for House Expropriation on State-owned Land and Compensation of Zhengzhou Municipality (ZMG [2011] No.31)	2011-5-12
	Notice of the Zhengzhou Municipal Government on Adjusting Compensation Rates for Young Crops and Ground Attachments on Collective Land Acquired for State Construction (ZMG [2020] No.25)	2020-3-1
AIIB	AIIB’s ESF and ESS2 “Involuntary Resettlement”	2019-2

#### 4.4 Main Differences between AIIB Policy and PRC Laws

AIIB's involuntary resettlement policy is highly similar with the PRC LA and HD policies in the following aspects:

- 1) Resettlement impacts should be minimized during project planning and design;
- 2) The living standard of the affected population should be restored and improved as soon as possible;
- 3) The resettlement policies should be open and transparent;
- 4) Public participation and consultation should be stressed during resettlement;
- 5) The compensation rates should be fixed and implemented according to law.

However, there are still some differences, mainly including:

##### 1) Compensation for land

Difference: AIIB policies require that compensation should be sufficient to offset any income loss, and restore long-term income-generating potential. Chinese standards are based on AAOV, but may be unrelated to costs of income restoration.

Solution: An early-stage solution is to provide replacement land, which is hardly practical. Monetary compensation is the preference of most people, though they cannot ensure the rational use of such compensation. Therefore, further technical support is needed to monitor the income of seriously affected households, especially those in vulnerable groups, and local governments should provide assistance to those in need.

##### 2) Compensation and resettlement of vulnerable groups

Difference: AIIB policies require that special compensation is granted to all vulnerable groups, especially seriously affected households faced with impoverishment. Chinese provisions do not require social analysis, and compensation is based only on the amount of loss.

Solution: Special funds are available to assist the vulnerable groups, who will be identified during the DMS. All measures have been specified in the RAP.

##### 3) Consultation and disclosure

Difference: AIIB policies require APs are fully informed and consulted as soon as possible. Chinese provisions have improved the transparency of disclosure and compensation. However, APs still play a weak role in project decision-making, and the disclosure period is usually too short.

Solution: Consultation has begun at the early stage (before and during the technical assistance). The Dengfeng PMO agree to disclose the RAP to APs as required by AIIB.

##### 4) Lack of legal title

Difference: AIIB policies require all demolished houses, whether lawful or not, should be compensated for at the same rates. According to Chinese laws, people without local registered residence are entitled to the same compensation as local people. In addition, prevailing Chinese laws stipulate that no compensation should be provided for the acquisition of illegally owned land and houses.

Solution: For an AIIB-financed project, all APs, whether lawful or not, whether having ownership or right of use, will be protected, and provided with compensation or assistance.

##### 5) Resettlement monitoring, evaluation and reporting

Difference: AIIB requires that internal and external resettlement monitoring be conducted. However, there is no such requirement in Chinese laws, except for reservoir projects.

Solution: Internal and external resettlement monitoring systems have been established for all AIIB-financed projects, and this has been included in the RAP. The requirements for internal and external monitoring reporting are specified in the RAP.

#### 4.5 Resettlement Policies of the Subproject

##### 4.5.1 Permanent LA

LA compensation will be based on the Notice of the Henan Provincial Government on Adjusting Location-based Composite Land Prices of Henan Province (HPG [2016] No.48) (see Appendix 2). The compensation rates of Dengfeng City are shown in Table 4-2.

Table 4-2 Local Block Comprehensive Land Prices

Area No.	Land price		Social security cost	Range	
	yuan/mu	0,000 yuan/ha		Township	Village
4101850501	55000	82.500	Based on the standard	Dajindian Town	Jinxi

			disclosed by the Henan Provincial Department of Human Resources and Social Security	Donghua Town	Dongjindian
4101850605	47000	70.500		Dajindian Town	Nanzhai
4101850606	47000	70.500		Shidao Xiang	Wanglou
4101850702	41000	61.500		Dajindian Town	Duanxi
				Shidao Xiang	Shucun
				Gaocheng Town	Jiangzhuang

**Appraisal of compensation rates:** As shown in Table 4-3, the AAOVs of the affected villages are within the range of 1,127-1,512 yuan/mu. Since the second round of land contracting (30 years) began in 1998, the remaining term is 8 years. The lowest compensation rate of 41,000 yuan/mu is at least 27 times the highest AAOV of 1,512 yuan/mu, so the land compensation is higher than the remaining land output value.

Table 4-3 LA Compensation Rates and AAOVs

Township	Village	yuan/mu	yuan/mu (average)
Dajindian Town	Jinxi	55000	1512
Donghua Town	Dongjindian		
Dajindian Town	Nanzhai	47000	1292
Shidao Xiang	Wanglou		
Dajindian Town	Duanxi	41000	1127
Shidao Xiang	Shucun		
Gaocheng Town	Jiangzhuang		

#### 4.5.2 Permanent Occupation of State-owned Land

The state-owned land occupied for the Subproject is riverside unused land and river flat, not involving compensation.

#### 4.5.3 Temporary Land Occupation

According to the Notice of the Henan Provincial Government on Adjusting Location-based Composite Land Prices of Henan Province (HPG [2016] No.48), the compensation rate for temporarily occupied collective land in Dengfeng City is 1,500 yuan/mu per annum. Compensation for temporarily occupied land will be paid directly to the AHs based on the actual period of occupation. See the relevant provisions of the Notice of the Henan Provincial Government on Issues concerning Location-based Composite Land Prices for Farmland (HPG [2020] No.16) for details.

60 mu of land will be occupied temporarily, including 20.92 mu of abandoned factory land in Donghua and Dajindian Towns, and 30.08 mu of state-owned river flat, not involving resettlement.

#### 4.5.4 Young Crops and Ground Attachments

Young crops and ground attachments will be compensated for based on the Notice of the Zhengzhou Municipal Government on Adjusting Compensation Rates for Young Crops and Ground Attachments on Collective Land Acquired for State Construction (ZMG [2020] No.25). See Tables 4-4, 4-5 and 4-6, and **Appendix 4**. Any item not included in the Notice of the Zhengzhou Municipal Government on Adjusting Compensation Rates for Young Crops and Ground Attachments on Collective Land Acquired for State Construction (ZMG [2020] No.25) may be compensated for by reference to any similar item. If there is no similar item, the compensation rate will be fixed by the local price authority or a qualified agency.

Table 4-4 Compensation Rates for Young Crops (unit: yuan/mu)

Item Grade	Food crops	Commercial crops	Garden crops (including vegetables, melons, strawberry)	Remarks
1	1500	1800	4800	1. Food crops mainly include wheat, corn, paddy rice, etc.; 2. Commercial crops mainly include cotton, tobacco, oil crops, etc.; 3. Vegetables include solanaceous and leaf vegetables.
2	1300	1600	4300	
3	1100	1400	4000	

Table 4-5 Compensation Rates for Fruit Trees

Item	Spec.	Rate	Remarks
Fresh fruits	Early stage (age <2 years)	36 yuan each	1. Fresh fruits mainly include apple, peach, plum, apricot, pear, cherry, pomegranate, etc. Dry fruits mainly include walnut, date, persimmon, etc.; 2. Early stage is not fruit-bearing, and big trees are treated as the early stage within 2 years of transplanting.
	Early stage (age ≥2 years)	78 yuan each	
	Early fruit stage (3 years< age ≤5 years)	380 yuan each	
	Full fruit stage (5 years< age ≤40 years)	550 yuan each	
	Late fruit stage (age >40 years)	350 yuan each	
Dry fruits	Early stage (age <2 years)	36 yuan each	1. Including grape trellis; 2. Early stage is not fruit-bearing.
	Early stage (age ≥2 years)	78 yuan each	
	Early fruit stage (3 years< age ≤6 years)	465 yuan each	
	Full fruit stage (6 years< age ≤60 years)	760 yuan each	
	Late fruit stage (age >60 years, date >80 years)	450 yuan each	
Grape	Early stage (age <1 years)	45 yuan each	1. Including grape trellis; 2. Early stage is not fruit-bearing.
	Early fruit stage (1 years< age ≤3 years)	90 yuan each	
	Full fruit stage (3 years< age ≤35 years)	150 yuan each	
	Late fruit stage (age >35 years)	125 yuan each	
Prickly ash	Early stage (age <3 years)	15 yuan each	Early stage is not fruit-bearing.
	Early fruit stage (3 years< age ≤5 years)	60 yuan each	
	Full fruit stage (5 years< age ≤40 years)	100 yuan each	
	Late fruit stage (age >40 years)	50 yuan each	
Fruit tree nursery	Seedlings	6 yuan each	Up to 5,000 trees per mu

Table 4-6 Compensation Rates for Forests

Item	Spec.	Rate	Remarks
Arbor trees	∅ <5cm	30 yuan each	1. Arbor trees include paulownia, poplar, willow, locust, etc.; 2. Evergreen and ornamental trees, pines, cypresses, etc. are compensated for at 3 times the rates for arbor trees, where ornamental trees mainly include Platanus orientalis, white wax, Albizia julibrissin, Sophora japonica, Koelreuteria paniculata, ginkgo, glossy privet, etc. 3. Diameter is measured at a height of 1.3m.
	5cm ≤ ∅ <10cm	60 yuan each	
	10cm ≤ ∅ <15cm	120 yuan each	
	15cm ≤ ∅ <20cm	185 yuan each	
	20cm ≤ ∅ <25cm	260 yuan each	
	25cm ≤ ∅ <30cm	290 yuan each	
Shrubs	∅ ≥30cm	330 yuan each	Up to 330 young cypress trees per mu, and up to 111 other arbor trees per mu
	White wax	36 yuan each	
	Sophorae	45 yuan each	
	Mulberry	120 yuan each	
Arbor nursery	Vitex chinensis	36 yuan each	10-20 twigs per cluster
	Timber	5 yuan each	
	Ornamental	10 yuan each	
Fresh	Evergreen	15 yuan each	≤5,000 trees per mu
	Bulbous	50000 yuan/mu	
			Lily, tulip, gladiolus, etc.

flowers	Other	30000 yuan/mu	Rose, chrysanthemum, African daisy, etc.
	Lawn	8 yuan/m <sup>2</sup>	Festuca arundinace, annual meadow grass, shamrock, etc.

#### 4.5.5 Supporting Measures for Women

In addition to the above resettlement policies, women will also be entitled to some special supporting measures:

- 1) Women will have priority in employment, where not less than 30% of unskilled jobs will be first made available to women.
- 2) Women will receive agricultural and nonagricultural skills training, where not less than 50% of the trainees should be women (not less than 80 men-times).
- 3) Women will receive relevant information during resettlement and may participate in public consultation.
- 4) A special FGD with women will be held to introduce resettlement policies and improve women's awareness.
- 5) Compensation agreements must be signed by couples.

#### 4.5.6 Rates of Other Costs

See Table 4-7.

Table 4-7 Rates of LA Taxes

No.	Item	Rate	Basis
1	Land reclamation costs	Levied by land type and area; for farmland occupied for nonagricultural construction projects, 9-13 yuan/m <sup>2</sup> , including 9 yuan/m <sup>2</sup> for rain-fed fields, 11 yuan/m <sup>2</sup> for non-irrigated land, and 13 yuan/m <sup>2</sup> for irrigated and vegetable land; for basic farmland occupied for nonagricultural construction projects 18-22 yuan/m <sup>2</sup> , including 18 yuan/m <sup>2</sup> for rain-fed fields, 20 yuan/m <sup>2</sup> for non-irrigated land, and 22 yuan/m <sup>2</sup> for irrigated and vegetable land	Notice of the General Office of the Henan Provincial Government on Strengthening Land Control and Administration, and Notice of the Henan Provincial Government on Disclosing Cancelled and Adjusted Charging Items (HPG [2008] No.52)
2	Farmland occupation tax	16000 yuan/mu	Measures of Henan Province for the Implementation of the Interim Regulations on Farmland Occupation Tax of the PRC (Decree [2009] No.124 of the Henan Provincial Government)
3	Compensation for additional construction land	14 yuan/m <sup>2</sup>	Notice of the Ministry of Finance, the Ministry of Land and Resources, and the People's Bank of China on Adjusting the Policy on Fees for Compensated Use of New Construction Land (CZ [2006] No.48)
4	LA management fees	2.8% of LA costs	Notice of the Henan Provincial Development Planning Commission, and Department of Finance on Implementing the Notice of the State Development Planning Commission, and Ministry of Finance on Regulating House Construction Charges and Cancelling Some Charging Items (HPDPC [2001] No.1019)
5	Social security costs	58200 yuan/mu	Notice of the Henan Provincial Departments of Human Resources and Social Security on Disclosing the Minimum Standard of Social Security Costs for Land-expropriated Farmers of 2021 (HPRSSDO [2021] No.49)

## 4.6 Entitlement Matrix

Table 4-8 Entitlement Matrix

Type of impact	Impact	Entitled persons / groups	Population	Compensation policy	Compensation entitlement
Permanent LA	47.57 mu of collective land	7 villages in 4 townships	35 households with 145 persons	<p>1) Land compensation will be fully paid to the APs for their livelihood restoration or improvement.</p> <p>2) Employment services, public welfare jobs, jobs under the Subproject, and small-amount startup loans will be offered.</p> <p>3) Free skills training will be offered to the APs.</p> <p>4) The APs will be entitled to local social endowment insurance.</p> <p>The compensation rates are based on the Notice of the Henan Provincial Government on Adjusting Location-based Composite Land Prices of Henan Province (HPG [2016] No.48).</p>	<p>Full compensation will be paid to the AHs.</p> <p>Diversified resettlement measures will be offered to ensure that the production level and living standard are restored stably.</p> <p>The compensation policies and rates will be defined after stakeholder consultation and disclosure.</p>
Temporary land occupation	20.92 mu of abandoned factory land and 30.08 mu of state-owned river flat	Affecting no household	Affecting no household	The compensation rate for temporarily occupied collective land is 1,500 yuan/mu per annum. Compensation for temporarily occupied land will be paid directly to the AHs based on the actual period of occupation.	Not involving compensation
Ground attachments	Trees, tombs, wells, etc.	/	/	<p>Based on the Notice of the Zhengzhou Municipal Government on Adjusting Compensation Rates for Young Crops and Ground Attachments on Collective Land Acquired for State Construction (ZMG [2020] No.25)</p> <p>1) The compensation for ground attachments will be paid to proprietors directly at replacement cost.</p> <p>2) Proprietors can recover materials from demolished assets / buildings.</p> <p>3) The APs will be notified at least 30 days in advance to remove trees; for seasonal crops and fruit trees, the APs will be notified 3 months in advance.</p>	/
Vulnerable groups	Within subproject area	The disabled, five-guarantee households, women-headed households and MLS households	None	<p>No vulnerable group has been identified in the affected population. If any vulnerable group is identified in the future, in addition to resettlement hereunder, they will also receive certain assistance to improve their production and living conditions, including:</p> <p>1) Two members (at least one woman) of each AH will receive skills training and employment information, and have priority in receiving jobs generated by the Subproject.</p> <p>2) The local government will grant pensions.</p>	/

Type of impact	Impact	Entitled persons / groups	Population	Compensation policy	Compensation entitlement
				3) The IA will establish a special support fund to provide assistance to vulnerable groups in cooperation with the city labor and social security bureau.	
Women	Women affected by LA	7 villages in 4 townships	74	<p>1) Women will have priority in employment, where not less than 30% of unskilled jobs will be first made available to women.</p> <p>2) Women will receive agricultural and nonagricultural skills training, where not less than 50% of the trainees should be women (not less than 40 men-times).</p> <p>3) Women will receive relevant information during resettlement and may participate in public consultation.</p> <p>4) A special FGD with women will be held to introduce resettlement policies and improve women's awareness.</p> <p>5) Compensation agreements must be signed by couples.</p>	/
Grievance redress	Compensation rates, payment, resettlement measures	APs complaining about resettlement	APs complaining about resettlement	Appeals of the APs on LA, HD and resettlement are exempt from fees and management costs.	/

## **5 Resettlement and Income Restoration**

### **5.1 Objectives of Resettlement**

The objective of resettlement of the Subproject is to develop an action plan for restoration and restoration for those affected by the Subproject so that they benefit from the Subproject, and their living standard is improved or at least restored to the pre-project level.

### **5.2 Principles for Resettlement and Restoration**

1) The RAP should be based on the socioeconomic survey and DMS in the project area, as well as the state and local regulations and policies on LA compensation, and AIIB's ESF.

2) The project design should be optimized to protect farmland, and minimize permanent LA, temporary land occupation and involuntary resettlement by taking various measures.

3) The acquired land and resulting losses should be compensated for reasonably. The LA compensation should be fully paid within 3 months from the date of approval of the LA compensation and resettlement program, and no later than the date on which such land is used for construction.

4) All APs should receive full compensation for lost assets before handing over their contracted land, and their living standard, productivity and income level are restored to the pre-LA level or even improved after LA.

5) Anyone who occupied land or builds a house in the project area after the cut-off date will not be entitled to compensation and resettlement.

6) During RAP preparation and implementation, the APs should be encouraged to participate actively, meaningful consultation should be conducted with them, and they should be informed of their entitlements and resettlement option, so that they can participate in resettlement planning, implementation and M&E.

7) The APs without legal title to land should receive resettlement assistance and compensation for non-land assets.

8) Attention should be paid to the APs' grievances, and they should be assisted in solving difficulties during LA compensation timely and reasonably.

9) The draft RAP (including a description of the consultation process) should be disclosed to the APs and other stakeholders timely at an appropriate place, and in a language and manner that they understand before project approval. The final RAP should be disclosed to the APs and other stakeholders.

10) If there is any major change during RAP implementation (including reducing any compensation rate, changing the location or scale of LA and/or HD, adding a component, changing a component to a domestically funded project, etc.) should be reported to AIIB in advance. The RAP may be revised or another RAP prepared if necessary.

11) During project implementation, the IA will conduct internal monitoring on LA compensation and resettlement, and the executing agency should appoint a qualified and experienced third party to conduct external monitoring, and submit monitoring reports to AIIB regularly. Post-evaluation will be conducted after the completion of resettlement.

12) The impacts on the APs' living standard will be evaluated based on the M&E results to see if the RAP is implemented as expected.

### **5.3 Restoration Programs for Permanent LA**

#### **5.3.1 Summary**

Restoration programs have been developed based on the degree of impact, availability of remaining land resources and expectations of the APs through consultation, as detailed below:

##### **5.3.1.1 Monetary compensation and distribution**

Monetary compensation will be granted to the affected villages and households. The LA compensation will be paid to the affected collective economic organization based on the LA area and compensation rates (see Section 4.5), and distributed as resolved at a village congress. The distribution method of the 7 affected villages in past LA activities is as follows:

1) The resettlement subsidy and land compensation are fully paid to the AHs without being withheld by the village committee, and without land reallocation.

2) The compensation for young crops and ground attachments is paid to the AHs.

3) If compensation for temporary land occupation is involved during implementation, compensation will be paid directly to the AHs based on the actually occupied land area and the



actual period of occupation.

#### 5.3.1.2 Agricultural development

Due to local social, economic and natural restraints, most of the affected villages have per capita cultivated areas of less than 1 mu before LA, and all AHs have land loss rates of less than 1.76%. Since the Subproject is linear in shape, and mostly involves existing road expansion or reconstruction, each AH will be affected slightly. Therefore, the AHs will have most of their land, and agricultural development is a means of livelihood restoration.

The following agricultural development measures have been identified for the Subproject – green vegetable cultivation and characteristic stockbreeding, which are expected to increase agricultural income by 20%: 1) Green vegetable cultivation: Green vegetables will be cultivated in steel structure greenhouses, with expected annual income of 5,000-10,000 yuan/mu; 2) Characteristic stockbreeding: Large-scale stockbreeding will be developed, including pigs, cattle, sheep, etc., with expected annual income of 20,000-35,000 yuan per household.

#### 5.3.1.3 Employment

##### 1) Guidance

A special job fair will be organized for LEFs, and assistance in employment, labor protection and law provided to them to promote their nonagricultural employment.

##### 2) Jobs generated by the Subproject

The Subproject will generate 129 temporary jobs annually during construction (6 months), including 45 skilled jobs and 84 unskilled ones, and 25 permanent jobs at the operation and maintenance stage after completion, including 17 unskilled jobs and 8 skilled ones.

Jobs generated at the construction and operation stages will be first made available to LEFs to promote their employment, such as road maintenance and cleaning.

##### 3) Skills training

80 men-times of free skills training will be offered to the APs.

##### a) Trainees

Laborers affected by LA or HD, having attained 18 years, and with a certain educational level

##### b) Scope of training

Agricultural skills training will cover fine vegetable cultivation, management, packaging, storage and online marketing.

Nonagricultural skills training will cover cooking, sewing, housekeeping, driving, wire and cable making, etc.

In addition, farmers working outside will be trained on urban life, protection of rights and interests, work safety, disaster prevention and relief, state employment policy, etc.

##### c) Organizational arrangements

Training will be offered by the IA, the city labor and social security bureau, and township governments.

#### 5.3.1.4 Social security

According to the Notice of the Henan Provincial Departments of Human Resources and Social Security on Disclosing the Minimum Standard of Social Security Costs for Land-expropriated Farmers of 2021 (HPRSSDO [2021] No.49), registered land-expropriated farmers aged above 16 years, and having the right to contract and manage collective land are entitled to social endowment insurance.

According to the latest standard effective from July 1, 2021, each AP entitled to social endowment insurance will receive a minimum subsidy of 58,200 yuan/mu, and the total amount of insurance premiums is 2.768574 million yuan, accounting for 21.77% of the resettlement budget. The actual number of APs entitled to social endowment insurance will be determined at the implementation stage. This will be subject to M&E.

### 5.3.2 Restoration Programs for Affected Villages

#### 5.3.2.1 Summary

The main types of impacts of the Subproject are permanent LA and temporary land occupation. LA for the Subproject involves 7 villages, with 47.57 mu of land acquired, including 38.54 mu of cultivated land (81.02%), 4.51 mu of garden land (9.5%) and 4.52 mu of other farmland (9.5%).

Since the Subproject is linear in shape, and mostly involves expansion or reconstruction, all the 7 villages affected by LA have land loss rates of less than 1.76%, and per capita income loss rates are within 0.78%~3.17%. Therefore, LA will have little impact on agricultural production and income.

LA has little impact on the agricultural production of the 7 villages, with per capita income losses of below 539.28 yuan. See Table 2-4.

According to the survey, almost all AHs support the Subproject, and prefer monetary compensation, because this mode is easy to operate and flexible. The AHs will invest monetary compensation in commerce, crop cultivation, stockbreeding and skills training mainly.

Restoration programs have been developed based on the degree of impact, availability of remaining land resources and expectations of the APs through consultation.

In sum, all the 7 affected villages will be subject to monetary compensation.

#### 5.3.2.2 Restoration Program for Slightly Affected Groups

All the 7 affected villages are slightly affected, and will be subject to monetary compensation. Compensation will be paid directly and timely to the AHs based on the LA compensation rates and land loss, and in strict conformity with the state and local policies.

1) LA compensation is based on the Notice of the Henan Provincial Government on Adjusting Location-based Composite Land Prices of Henan Province (HPG [2016] No.48). Young crop compensation is based on the Notice of the Zhengzhou Municipal Government on Adjusting Compensation Rates for Young Crops and Ground Attachments on Collective Land Acquired for State Construction (ZMG [2020] No.25).

2) The resettlement subsidy and land compensation are fully paid to the AHs without being withheld by the village committee, and without land reallocation, and the compensation for young crops and ground attachments is paid to the AHs.

3) From 2023, the second round of land contracting will expire successively, and the contract term will be further extended by 30 years. In the subproject area, the ratio of compensation to annual loss is 36.37, which means that the current compensation rate can cover losses in the next 36.37 years. Therefore, the AHs will be affected slightly.

The distribution method of each village will be resolved at a village congress.

#### 5.3.2.3 Restoration Program for Seriously Affected Groups

There is no seriously affected group.

### 5.4 Restoration Program for Infrastructure and Attachments

All special facilities and ground attachments affected by the Subproject will be restored or reconstructed by proprietors after receiving compensation.

Restoration measures for affected traffic infrastructure must be planned and arranged in advance and suited to local conditions, so that such measures are safe, efficient, timely and accurate, and their adverse impact on nearby residents is minimized. Affected special facilities will be demolished according to the construction drawings without affecting project construction and with minimum amount of relocation. Affected pipelines will be rebuilt before demolition (or relocated) without affecting regular lives of residents along such pipelines (including those not to be relocated).

Table 5-1 Income Losses and Restoration Measures

No.	Township	Village	LA impacts			Income loss					Restoration measures				
			AHs	APs	LA area (mu)	Per capita disposable income	Annual loss <sup>9</sup>	Average loss per HH	Per capita loss	Percent to per capita income <sup>10</sup> (%)	Compensation	Compensation / annual loss	Compensation rate / AAOV	Potential restoration measures	Outcome
1	Gaocheng Town	Jiangzhuang	1	5	0.68	15000	766.36	766.36	153.27	1.02	27880	36.37	36.37	1. Monetary compensation 2. Subsidy for endowment insurance 3. Skills training 4. Job opportunities 5. Agricultural development, such as green vegetable cultivation and characteristic stockbreeding	Reaching or exceeding the pre-LA living standard
2	Donghua Town	Dongjindian	3	11	2.15	16000	3250.80	1083.60	295.53	1.85	118250				
3	Dajindian Town	Nanzhai	2	10	0.85	14000	1098.20	549.10	109.82	0.78	39950				
4		Duanxi	9	34	14.76	17000	16634.52	1848.28	489.25	2.88	605160				
5		Jinxi	10	42	14.98	18000	22649.76	2264.98	539.28	3.00	823900				
6		Shucun	7	29	10.59	13000	11934.93	1704.99	411.55	3.17	434190				
7	Shidao Xiang	Wanglou	3	14	3.56	13500	4599.52	1533.17	328.54	2.43	167320				

<sup>9</sup> Annual loss = AAOV x LA area

<sup>10</sup> Percent to per capita income = per capita loss / per capita disposable income

## 5.5 Supporting Measures for Vulnerable Groups

In the Subproject, vulnerable groups include the disabled, five-guarantee households, women-headed households and MLS households. No vulnerable group has been identified in the affected population. If any vulnerable group is identified in the future, in addition to resettlement hereunder, they will also receive certain assistance to improve their production and living conditions, including:

- 1) Two members (at least one woman) of each AH will receive skills training and employment information, and have priority in receiving jobs generated by the Subproject.
- 2) The local government will grant pensions.
- 3) The IA will establish a special support fund to provide assistance to vulnerable groups in cooperation with the city labor and social security bureau.

## 5.6 Resettlement Training

Training needs depend on which resettlement mode is chosen. In order to ensure that the APs change the traditional employment concept, build up a proper sense of occupation and master necessary labor skills, the IA will give training to them together with the city labor and social security bureau, and township governments.

It is learned that most of the affected laborers are willing to attend skills training on vehicle operation and repair, construction, cooking, trading, greenhouse cultivation, poultry breeding, etc. Therefore, a special skills training program for LEFs affected by LA for the Subproject has been developed.

At the implementation stage, the township governments will offer different training courses to the APs based on local industrial and service development, and labor demand. The Dengfeng PMO will assess farmers' needs for employment skills and offer all training courses for free. Such training will mitigate negative impacts of LA on farmers and enhance their capacity to restore livelihoods. At least two members (one male and one female if possible) of each AH will be trained.

The city labor and social security bureau will be responsible for the skills training and reemployment of the LEFs, develop a training program and set up training courses scientifically. Training will be subject to semiannual reporting, and the training program will be adjusted timely based on employment needs. All APs may attend such training for free. A training program for the APs has been prepared. See Table 5-2.

Table 5-2 Local Employment Training Programs

City	Township	Time	Trainees	Men-times trained per annum	Scope	Agency responsible
Dengfeng	4 affected townships	2022.11	APs	30	Cooking, service and housekeeping skills	Township labor and social security offices
		2023.3	APs	25	Industrial skills	
		2023.12	APs	25	Greenhouse vegetable cultivation	
		Other irregular training				Township governments

The training program will be disclosed in the affected villages, and implemented by the township labor and social security offices, and DCWRB. Training costs will be disbursed from the training budget.

## 5.7 Protection of Women's Rights and Interests

At the RAP preparation stage, local women took an active part in the DMS, and were consulted about ideas on income restoration programs. Women support the Subproject, and think the Subproject will facilitate the utilization of resources of the Ying River, avoid water pollution, improve infrastructure and environmental quality, and protect people's health. Through the Subproject, women will receive jobs, and training on crop cultivation, stockbreeding, industrial skills, catering, etc.

Unskilled jobs generated by the Subproject at the construction and operation stages will be first made available to women. In addition, women will receive equal pay for equal work like men do. However, employment of child labor is prohibited.

Women will receive agricultural and nonagricultural skills training, where not less than 50% of the trainees should be women (not less than 40 men-times).

Women will receive relevant information during resettlement and may participate in public consultation.

A special FGD with women will be held to introduce resettlement policies and improve women's awareness.

## 6 Organizational Structure and Implementation Schedule

### 6.1 Resettlement Implementation and Management Agencies

#### 6.1.1 Organizational Setup

In order to ensure the successful implementation of resettlement as expected, an organizational structure must be established at the implementation stage to plan, coordinate and monitor resettlement activities. Since resettlement is a comprehensive task that requires the cooperation of different agencies, the departments concerned will participate in and support resettlement implementation. Since November 2021, the resettlement agencies have been established successively, and their responsibilities defined. See Figure 6-1.

- Zhengzhou PMO
- Dengfeng PMO
- DCWRB (IA)
- DCNRPB
- Gaocheng Town Government
- Donghua Town Government
- Dajindian Town Government
- Shidao Xiang Government
- Village committees
- Affected households / entities
- Design agency
- External M&E agency

Other agencies: development and reform commission, ecology and environment bureau, finance bureau, women's federation, civil affairs bureau, labor and social security bureau, rural revitalization bureau, etc.

#### ➤ **Zhengzhou PMO**

Responsible for subproject implementation, overall management, external communication, supervision and inspection, and coordinating and solving relevant issues. Appointing an external M&E agency to conduct external M&E.

#### ➤ **Dengfeng PMO**

Responsible mainly for organizing the resettlement of the Subproject, formulating policies on resettlement activities of the Subproject, and coordinating relations among the resettlement agencies at all levels

#### ➤ **DCWRB (IA)**

1) Implementing major decisions made by the leading group;  
2) Responsible for overall project management, coordination, supervision and direction;  
3) Contacting the competent state, provincial and municipal authorities, and coordinating with AIIB and the consulting agency;  
4) Implementing legal documents signed with AIIB, and reporting project progress to the leading group and AIIB;

- 5) Appointing a resettlement consulting agency to prepare the RAP;
- 6) Coordinating the design agency with other agencies at the preparation stage;
- 7) Coordinating the progress of project construction and resettlement;
- 8) Reporting and supervising the resettlement fund disbursement plan;
- 9) Coordinating the work of the resettlement agencies;
- 10) Raising resettlement funds;
- 11) Disbursing resettlement funds;
- 12) Implementing resettlement specifically;
- 13) Tracking the disbursement of resettlement funds;
- 14) Handling grievances and appeals from APs;
- 15) Assisting in external monitoring activities;
- 16) Collecting and compiling data required for internal monitoring reporting;
- 17) Managing resettlement files

#### ➤ **DCNRPB**

- 1) Coordinating resettlement policies
- 2) Taking full charge of LA affairs (including endowment insurance for LEFs)
- 3) Participating in the DMS
- 4) Supervising resettlement implementation

- **Township governments**
  - 1) Participating in the DMS
  - 2) Participating in the calculation of compensation for AHs
  - 3) Participating in compensation payment
  - 4) Participating in the handling of grievances and appeals from APs
  - 5) Participating in housing land allocation
  - 6) Participating in skills training for APs
  - 7) Responsible for the implementation of employment measures for APs
- **Design agency**
  - 1) Reducing resettlement impacts by optimizing the project design
  - 2) Determining the range of LA impacts
- **External M&E agency**

The Zhengzhou PMO will appoint a qualified agency as the external M&E agency. During resettlement planning and implementation, the external M&E agency will conduct external M&E on resettlement, and submit M&E reports to the Zhengzhou PMO, DCWRB and AIIB. Its main responsibilities are:

- 1) Observing all aspects of resettlement planning and implementation as an independent M&E agency, monitoring and evaluating the resettlement results and the social adaptability of the APs, and submitting resettlement M&E reports to AIIB through DCWRB; and
- 2) Providing technical advice to DCWRB in data collection and processing.

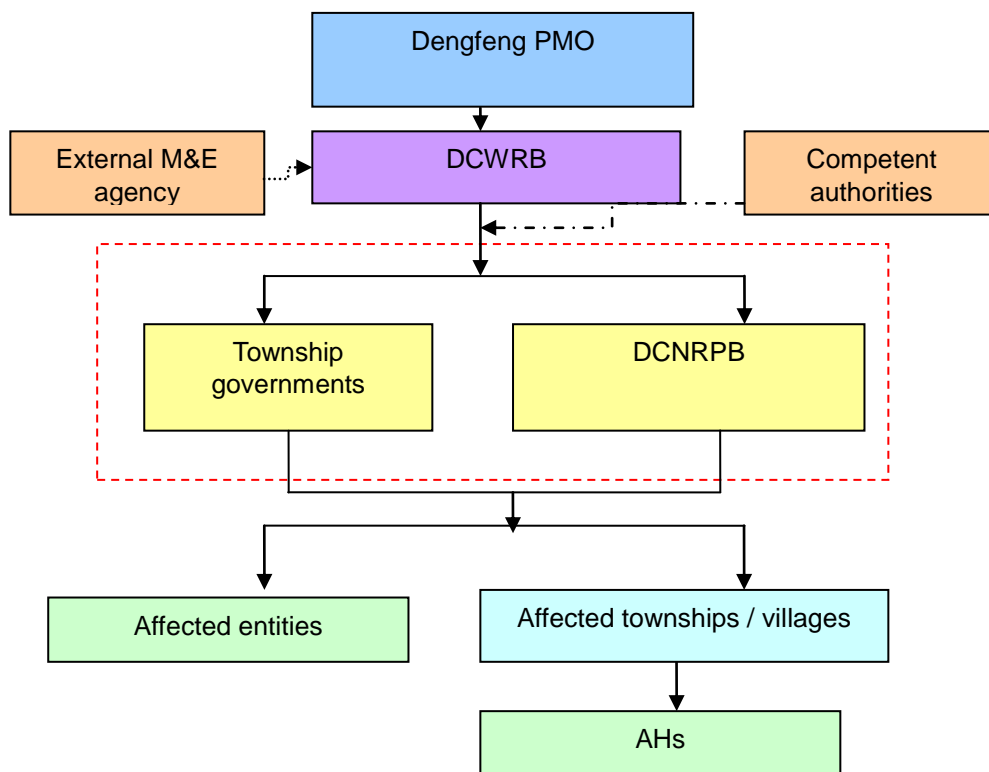


Figure 6-1 Organizational Chart

## 6.2 Staffing and Equipment

### 6.2.1 Staffing

In order to ensure the successful implementation of the resettlement work, all resettlement agencies of the Subproject have been provided with full-time staff, and a smooth channel of communication has been established. Each resettlement agency is composed mainly of 1-6 administrative staff members and specialized technicians, all of whom have certain professional and management skills, and considerable experience in LA, property demolition and resettlement. See Table 6-1.

Table 6-1 Staffing of Resettlement Agencies

Agency	Workforce	Composition
Dengfeng PMO	1	Staff members
DCWRB	2	Staff members
DCNRPB	1	Staff members
Township governments	6	Staff members
Affected villages	7-9	Officials, AP reps.
External M&E agency	Some	Resettlement experts

### 6.2.2 Equipment

All municipal resettlement agencies of the Subproject have been provided with basic office, transport and communication equipment, including desks and chairs, PCs, printers, telephones, facsimile machines and vehicles.

### 6.2.3 Training Program

In order to implement resettlement successfully, the APs and resettlement staff must be trained under a program developed by DCWRB. A staff training and human resources development system will be developed for the resettlement agencies at all levels. Training will be given in such forms as workshop, training course, visit of similar projects and field training, and will cover:

- AIB’s resettlement principles and policies
- Differences between AIB policies and PRC laws
- Resettlement implementation planning and design
- Resettlement implementation progress control
- Resettlement M&E

Table 6-2 Resettlement Training Plan

Time	Venue	Training mode	Trainees	Scope	Budget (0,000 yuan)
Sep. 2022	Dengfeng City	Seminar	Resettlement staff	Operational training on resettlement	1.5
Oct. 2022	Dengfeng City	Learning tour	Backbone resettlement staff	Resettlement learning tour of AIB-financed projects	5
Mar. 2023	Dengfeng City	Workshop	Resettlement staff	Discussion on experience and issues in resettlement	1.5
Jun. 2023	Places of other projects	Learning tour	Backbone resettlement staff	Resettlement learning tour of AIB-financed projects	5

In addition, the following measures will be taken to improve capacity:

- 1) Define the responsibilities and scope of duty all resettlement agencies, and strengthen supervision and management;
- 2) Improve the strength of all resettlement agencies gradually, especially technical strength; all staff must attain a certain level of professional proficiency and management level; improve their technical equipment, such as PC, monitoring equipment and means of transportation, etc.;
- 3) Select staff strictly, and strengthen operations and skills training for management and technical staff of all resettlement agencies to improve their professional proficiency and management level;
- 4) Appoint women officials appropriately, and give play to women’s role in resettlement implementation;
- 5) Establish a database and strengthen information feedback to ensure a smooth information flow, and leave major issues to the Leading Group;
- 6) Strengthen the reporting system and internal monitoring, and solve issues timely; and
- 7) Establish an external M&E mechanism and an early warning system.

## 6.3 Implementation Schedule

According to the implementation schedule of the Subproject, the resettlement schedule of the Subproject will be linked up with the construction schedule; the main part of LA, HD and resettlement will begin in August 2022 and end in December 2023.



The basic principles of scheduling are as follows: 1) The LA, HD and resettlement work shall be completed at least one month before the commencement of construction so that the APs have sufficient time to prepare for production resettlement and income restoration; 2) During resettlement, the APs should have opportunities to participate in the Subproject; the range of LA should be published, the Resettlement Information Booklet (RIB) issued, and public participation should be carried out before the commencement of construction; 3) All kinds of compensation should be paid directly to the affected proprietors within 3 months from the date of approval of the RAP; no organization or individual should use property compensation fees on their behalf, and such compensation should not be discounted for any reason.

The overall resettlement schedule of the Subproject has been drafted according to the progress of preparation and implementation of LA and resettlement. The times listed in the table are subject to adjustment with actual progress. See Table 6-3.

Table 6-3 Resettlement Implementation Schedule

No.	Activity	Time	Progress
1	RP Preparation		
1.1	Establishing resettlement offices	Jan. 2022	Completed
1.2	Appointing the RAP preparation agency	Feb. 2022	Completed
1.3	Conducting the socioeconomic survey	Feb. 2022	Completed
1.4	Preparing the RAP	Mar. 2022	This report
2	Information disclosure and public participation		
2.1	Consulting with agencies concerned and APs	Feb. 2022	Completed
2.2	Disclosing the draft RAP and RIB to APs	Apr. 2022	Completed
2.3	Disclosing the revised RAP and RIB to APs if necessary	May 2022	To be completed
2.4	Disclosing the RAP on AIIB's website	May 2022	To be completed
3	Approving the RAP	Jun. 2022	To be completed
4	Construction land		
4.1	Land pre-examination	Apr. 2022	Completed
4.2	Land approval	Jul. 2022	To be completed
5	Implementation stage		
5.1	Entering into resettlement agreements and paying compensation fees	Aug. 2022 – Apr. 2023	To be completed
5.2	LA	Oct. 2022 – Dec. 2023	To be completed
6	M&E		
6.1	Baseline survey	Sep. 2022	To be completed
6.2	Internal monitoring	Jun. 2022 – Jun. 2023	To be completed
6.3	External M&E	Sep. 2022 – Dec. 2023	To be completed

## 7 Public Participation and Grievance Redress

### 7.1 Public Participation

Great importance is paid to public participation and consultation at the preparation and implementation stages in order to protect the lawful rights and interests of the APs, reduce grievances and disputes, and realize the resettlement objectives properly.

#### 7.1.1 Public Participation at the Preparation Stage

Since the beginning of the implementation stage, the Dengfeng PMO, DCWRB, DCNRPB, ecology and environment bureau, agriculture and rural affairs bureau, rural revitalization bureau, township government, design agency and task force have conducted a series of socioeconomic survey and public consultation activities (with 30% of participants being women) under the direction of technical assistance experts. At the preparation stage, the above agencies conducted extensive consultation on LA and resettlement. See Table 7-1 and **Appendix 7**.

Table 7-1 Information Disclosure and Public Consultation Activities

No.	Time	Activity	Participants	#	Organizer
1	Nov. 2021	Design optimization	DCWRB, DCNRPB, design agency, township governments, village, group and AP reps.	17	Dengfeng PMO
2	Jan. 2022	Preliminary DMS	DCWRB, DCNRPB, design agency, township governments, village, group and AP reps.	18	Dengfeng PMO
3	Feb. 2022	LA policies and compensation rates	DCWRB, task force, DCNRPB, labor and social security bureau, women's federation, rural revitalization bureau, agriculture and rural affairs bureau, civil affairs bureau, township governments, village, group and AP reps.	25	Dengfeng PMO
4	Feb. 2022	Socioeconomic survey and DMS	DCWRB, task force, DCNRPB, labor and social security bureau, women's federation, rural revitalization bureau, agriculture and rural affairs bureau, civil affairs bureau, township governments, village, group and AP reps.	20	Dengfeng PMO
5	Feb. 2022	Resettlement modes	DCWRB, task force, DCNRPB, labor and social security bureau, women's federation, rural revitalization bureau, agriculture and rural affairs bureau, civil affairs bureau, township governments, village, group and AP reps.	15	Dengfeng PMO
6	Feb. 2022	Resettlement policies	DCWRB, task force, DCNRPB, labor and social security bureau, women's federation, rural revitalization bureau, agriculture and rural affairs bureau, civil affairs bureau, township governments, village, group and AP reps.	13	Dengfeng PMO
7	Apr. 2022	Disclosure of resettlement policies and compensation rates, The draft RAP has been announced and publicized to the affected communities and people in the project area on the bulletin boards and offices of	Village and group officials, APs	/	Dengfeng PMO

No.	Time	Activity	Participants	#	Organizer
		township/sub-district offices, communities and village committees.			
8	Jun. 2022	Online disclosure of RAP	AiIB	/	Dengfeng PMO

### 7.1.2 Public Participation at the Implementation Stage

With the progress of project preparation and implementation, the IA will conduct further public participation 错误!未找到引用源。. See Table 7-2.

Table 7-2 Public Participation Plan

Purpose	Mode	Time	Agencies	Participants	Topics
LA announcement	Village bulletin board, village meeting	May 2022	DCWRB, DCNRPB, township governments, village committees	All APs	Disclosure of LA area, compensation rates and resettlement modes, etc.
Announcement of compensation and resettlement options for LA	Village bulletin board, village meeting	Jun. 2022	DCWRB, DCNRPB, township governments, village committees	All APs	Compensation fees and mode of payment
Verification of DMS results	Field survey	Sep. 2022	DCWRB, DCNRPB, agriculture and rural affairs bureau, rural revitalization bureau, township governments, village committees, APs	All APs	1) Checking for omissions and finally confirming DMS results; 2) Detailed list of occupied land and losses of APs; 3) Preparing a basic compensation agreement
Determination of income restoration programs	Village meeting (many times)	Before implementation	DCWRB, DCNRPB, agriculture and rural affairs bureau, rural revitalization bureau, civil affairs bureau, township governments, village committees, APs	All APs	Discussing the final income restoration program and the program for use of compensation fees
Monitoring	Villager participation	Sep. 2022 – Dec. 2023	DCWRB, DCNRPB, external M&E agency, agriculture and rural affairs bureau, rural revitalization bureau, civil affairs bureau, township governments, village committees, APs	All APs	1) Resettlement progress and impacts; 2) Payment of compensation; 3) Information disclosure; 4) Livelihood restoration

## 7.2 Grievance Redress

### 7.2.1 Grievance Redress Procedure

Since public participation is encouraged during the preparation and implementation of this RP, no substantial dispute will arise. However, unforeseeable circumstances may arise during this process. In order to address issues effectively, and ensure the successful implementation of project construction and LA, a transparent and effective grievance redress mechanism has been established.

**1) Local GRM:** During subproject preparation, construction and operation, a subproject-level grievance redress mechanism (GRM) will be established in order to learn the Project's impacts on stakeholders timely, solve issues, and ensure extensive community engagement.

The Dengfeng PMO, DCWRB, DCNRPB, township governments, village committees, and other government agencies concerned established agencies for social actions the Subproject in

November 2021, where DCWRB is responsible for managing the GRM. If DCWRB receives a grievance, it will first check if such grievance relates to the Subproject. If yes, it will redress such grievance through coordination. If no, it will forward such grievance to the competent authority for the griever. All grievances will be recorded, and the whole grievance redress process notified to relevant staff. The basic procedure and timeframe of the GRM are as follows:

- Stage 1 (5 days): If any problem occurs at the construction or operation stage, an AP may file a written or oral grievance to the contractor. The contractor will: 1) stop the relevant activity (e.g., construction with noise impact on nearby residents) immediately); 2) not restore such activity before the grievance is closed; 3) notify DCWRB of the grievance received and the proposed solution; 4) give a definite reply to the AP within two days; and 5) close the grievance within 5 days after receipt where possible.
- Stage 2 (5 days): If the contractor cannot find a solution, or the AP is dissatisfied with the proposed solution, DCWRB will hold a meeting with the main stakeholders (including the contractor and AP) to develop a solution accepted by all, including key steps. The contractor should implement such solution immediately, and close the grievance within 15 days. All measures and results should be recorded.
- Stage 3 (15 days): If DCWRB cannot find a solution, or the AP is dissatisfied with the proposed solution, DCWRB will hold a stakeholder consultation meeting within 7 days (including the griever, contractor, local ecology and environment bureau, human resources and social security bureau, urban administration bureau, etc.) to develop a solution accepted by all, including key steps. The contractor should implement such solution immediately, and close the grievance within 15 days. All measures and results should be recorded. At the end of Stage 3, the IA will notify the outcome to AIIB.
- Stage 4: If the griever is still dissatisfied with the disposition of Stage 3, he/she may apply for arbitration with the competent authority in accordance with the Administrative Procedure Law of the PRC.
- Stage 5: If the griever is still dissatisfied with the arbitration award, he/she may file a suit in a civil court in accordance with the Civil Procedure Law.

**2) AIIB’s Project-affected People’s Mechanism (PPM):** The PPM was established by AIIB to provide an opportunity for an independent and impartial review of submissions from Project-affected people who believe they have been or are likely to be adversely affected by AIIB’s failure to implement its Environmental and Social Policy (ESP) when their concerns cannot be addressed satisfactorily through Project-level grievance redress mechanisms or AIIB Management’s processes. For more information, visit: <https://www.aiib.org/en/policies-strategies/operational-policies/policy-on-the-project-affected-mechanism.html>.

#### 7.2.2 Recording and Feedback of Grievances and Appeals

During the implementation of the RAP, the resettlement agencies should register and manage appeal and handling information, and submit such information to DCWRB monthly, which will inspect the registration of appeal and handling information regularly.

To record grievances and their handlings, the Dengfeng PMO and DCWRB have prepared a registration form, as shown in Table 7-3.

Table 7-3 Grievance Registration Form

Appellant	Time	Location	Feedback of accepting agency	PMO’s advice	External M&E agency’s advice	Progress	AIIB’s opinion
Appeal							
Expected solution							
Proposed solution							
Actual handling							
Person responsible							

(signature)					
Notes: 1. The recorder should record the appeal and request of the appellant factually. 2. The appeal process should not be interfered with or hindered whatsoever. 3. The proposed solution should be notified to the appellant within the specified time.					

### 7.2.3 Contact Information for Grievance Redress

The Dengfeng PMO, DCWRB and DCNRPB will assign dedicated staff members to collect and accept grievances and appeals from the APs. See Table 7-4.

Table 7-4 Contact Information for Grievance Redress

<b>Agency</b>	<b>Contact</b>	<b>Address</b>	<b>Tel</b>
Dengfeng PMO	Jing Dongxu	No.277 Songshan Road	15838232636
DCWRB	Yi Zhiqiang	No.277 Songshan Road	17603882022
Gaocheng Town Government	Gao Hongtao	Gaocheng Town Government	13703995251
Donghua Town Government	Rong Hao	Donghua Town Government	13803891122
Dajindian Town Government	Mr. Kang	Dajindian Town Government	18569903787
Shidao Xiang Government	Wen Yaxu	Shidao Xiang Government	17337132825
Jiangzhuang Village Committee	Feng Guoyun	Jiangzhuang Village	15136260666
Jiangzhuang Village Committee	Xu Jianzhong	Jiangzhuang Village	13592433665
Jiangzhuang Village Committee	Li Haibo	Jiangzhuang Village	13603995906
Dongjindian Village Committee	Li Wei	Dongjindian Village	15537191363
Dongjindian Village Committee	Liu Lianmin	Dongjindian Village	15039067888
Dongjindian Village Committee	Li Jieshi	Dongjindian Village	15138651309
Duanxi Village Committee	Gao Yanlong	Duanxi Village	18037510600
Jinxi Village Committee	Li Shengwei	Jinxi Village	13526415333
Jinxi Village Committee	Cheng Guangqing	Jinxi Village	13014529567
Nanzhai Village Committee	Chen Junbao	Nanzhai Village	18236769088
Shucun Village Committee	Zheng Huaiqian	Shucun Village	13592468189
Shucun Village Committee	Shu Wanshun	Shucun Village	17719888360
Shucun Village Committee	Zhang Zhixia	Shucun Village	18037893528

## 8 Resettlement Budget and Funding Sources

### 8.1 Resettlement Budget

The gross investment in the Subproject is 217.845 million yuan, and the resettlement budget is 10,303,558 yuan, including basic resettlement costs, management fees, resettlement planning and monitoring costs, LA taxes, contingencies, etc., accounting for 4.73% of the gross investment, including basic resettlement costs of 4,522,790 yuan (43.90% of the budget, including LA compensation of 2,586,880 yuan (25.11% of the budget), ground attachment compensation of 1,878,100 yuan (18.23% of the budget), and young crop compensation of 57,810 yuan (0.56% of the budget)), management fees of 226,140 yuan (2.19% of the budget), resettlement planning and monitoring costs 1,200,000 yuan (11.65% of the budget), training costs of 45,228 yuan (0.44% of the budget), LA taxes of 3,857,121 yuan (37.43% of the budget), and contingencies of 452,279 yuan (4.39% of the budget).

All resettlement costs will be included in the general budget of the Subproject. See Table 8-1.

Table 8-1 Resettlement Budget

No.	Item	Unit	Compensation rate (yuan)	Qty.	Compensation (yuan)	Percent (%)
<b>1</b>	<b>Basic resettlement costs</b>				<b>4522790</b>	<b>43.90%</b>
1.1	LA compensation				2586880	25.11%
1.1.1	Cultivated land	mu	41000-55000	38.54	2216650	21.51%
1.1.2	Garden land	mu	41000	4.51	184910	1.79%
1.1.3	Other farmland	mu	41000	4.52	185320	1.80%
1.2	Ground attachments				1878100	18.23%
1.2.1	Timber trees	/		9476	1753600	17.02%
1.2.2	Fruit trees	/		194	26900	0.26%
1.2.3	Single-coffin tombs	/	2880	9	25900	0.25%
1.2.4	Double-coffin tombs	/	3580	15	53700	0.52%
1.2.5	Wells	/	6000	3	18000	0.17%
1.3	Young crops	mu	1500	38.54	57810	0.56%
<b>2</b>	<b>Management fees</b>	<b>Basic costs</b>	<b>5%</b>	<b>4522790</b>	<b>226140</b>	<b>2.19%</b>
<b>3</b>	<b>Resettlement planning and monitoring costs</b>				<b>1200000</b>	<b>11.65%</b>
3.1	Surveying and design costs				300000	2.91%
3.2	M&E costs				900000	8.73%
<b>4</b>	<b>Training costs</b>	<b>Basic costs</b>	<b>1%</b>	<b>4522790</b>	<b>45228</b>	<b>0.44%</b>
<b>5</b>	<b>LA taxes</b>	<b>yuan</b>			<b>3857121</b>	<b>37.43%</b>
5.1	Farmland occupation tax	mu	16000	38.54	616640	5.98%
5.2	Land reclamation costs	m <sup>2</sup>	22	25695	565290	5.49%
5.3	Compensation for additional construction land	m <sup>2</sup>	14	25695	359730	3.49%
5.4	LA management fees	LA costs	2.80%	2586880	72433	0.70%
5.5	Social insurance costs	mu	58200	38.54	2243028	21.77%
<b>Subtotal of Items 1-5</b>					<b>9851279</b>	<b>95.61%</b>
<b>6</b>	<b>contingencies</b>	<b>Basic costs</b>	<b>10%</b>	<b>4522790</b>	<b>452279</b>	<b>4.39%</b>
<b>7</b>	<b>Total</b>				<b>10303558</b>	<b>100.00%</b>

### 8.2 Annual Investment Plan

Before project construction or during project implementation, the investment plan will be implemented in stages in order not to affect the production and livelihoods of the AHs. See Table 8-2.

Table 8-2 Annual Investment Plan

Year	2022	2023	Subtotal
Investment (0,000 yuan)	412.14232	618.21348	1030.3558
Percent (%)	40	60	100

### 8.3 Management and Disbursement of Resettlement Funds

#### 8.3.1 Fund Management

Resettlement funds will be disbursed in strict conformity with the applicable state regulations and the RAP.

The Dengfeng PMO will report construction progress to DCWRB monthly, and apply for fund disbursement with the Dengfeng City Finance Bureau.

Land and attachment compensation will be based on the prevailing policies of Zhengzhou Municipality and Dengfeng City, and AIIB’s ESS2.

DCWRB will appoint a consulting agency to perform internal auditing on the use of resettlement funds.

The township finance and audit offices have the right to monitor and audit the use of special funds.

The external M&E agency will conduct special follow-up monitoring on the payment of compensation fees to the AHs.

#### 8.3.2 Fund Disbursement

The Subproject’s resettlement funds will be disbursed on the following principles: All costs related to LA will be included in the general budget of the Subproject, disbursed by the Dengfeng City Finance Bureau directly to the township finance offices through a special account according to the compensation rates, and then distributed to the affected villages and households. LA and HD compensation will be paid before LA and HD.

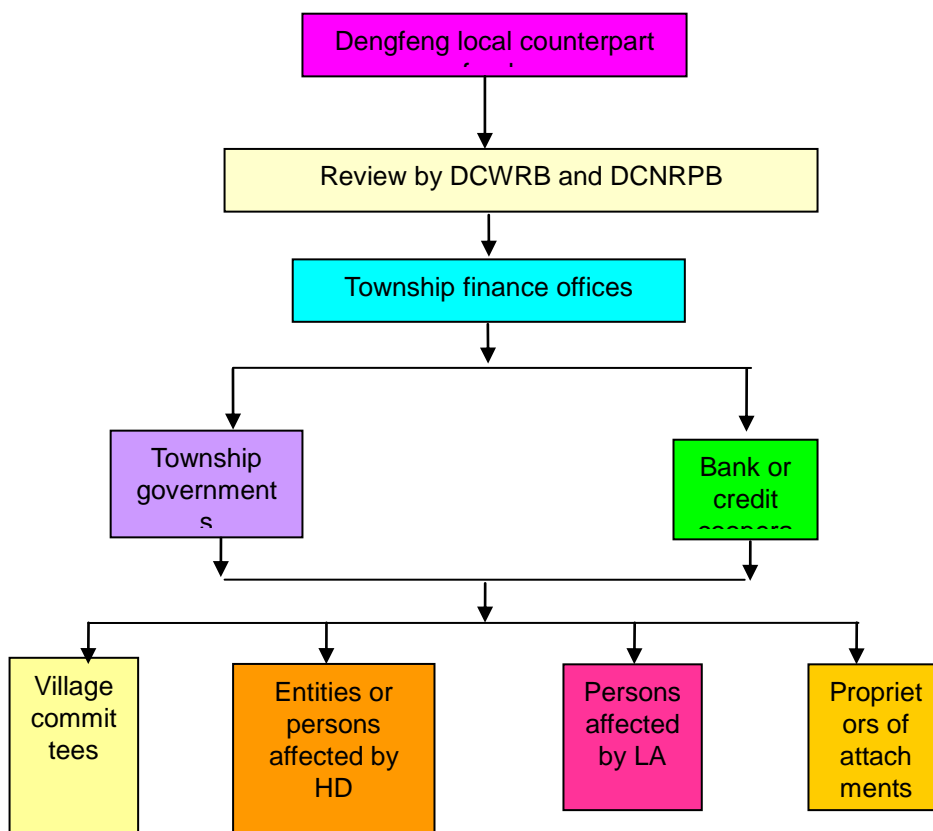


Figure 8-1 Fund Disbursement Flowchart

## 9 M&E

In order to ensure the successful implementation of this RP and resettle the APs properly, periodic M&E on LA and resettlement activities will be conducted in accordance with AIIB's ESF and ESS2, and the ESMPF approved in October 2021. Monitoring is divided into internal monitoring by resettlement agencies and external M&E.

### 9.1 Internal Monitoring

Internal monitoring will cover the following:

- 1) Organizational structure: setup, division of labor, staffing and capacity building of resettlement implementation and related agencies;
- 2) Resettlement policies and compensation rates: development and implementation of resettlement policies; actual implementation of compensation rates for different types of impacts (permanent LA, temporary land occupation, relocation of entities and special facilities), with particular focus on compliance with the rates in the RAP and reasons for deviations;
- 3) LA and resettlement progress: overall and annual schedules, resettlement agencies and staffing, LA progress, construction progress of resettlement housing and special facilities, progress of relocation and other resettlement activities (see Table 9-1 for the reporting format);
- 4) Resettlement budget and implementation thereof: level-by-level disbursement of resettlement funds, fund use and management, disbursement of compensation fees to proprietors, holders of land use rights and land users, village-level use and management of compensation fees, supervision and auditing of fund use (see Table 9-2 for the reporting format);
- 5) Employment and resettlement of APs: main modes of resettlement, employment and resettlement of APs in entities, resettlement of vulnerable groups, effectiveness of resettlement;
- 6) Restoration and reconstruction of entities and special facilities (power, water supply, communication, transport, pipeline, etc.);
- 7) Grievance redress, public participation and consultation, information disclosure, and external monitoring: appeal channel, procedure and agencies; key points of appeal and handling thereof, key activities and progress of public participation and consultation, RIB and information disclosure, external M&E agency, activities and effectiveness;
- 8) Handling of relevant issues in the Memorandum of AIIB Mission; and
- 9) Existing issues and solutions.

Table 9-1 Sample Schedule of LA and HD

Agency: \_\_\_\_\_ Reporting date: \_\_\_\_\_ (MM/DD/YY)

Resettlement activity	Unit	Planned	Completed	Completed in total	Total percentage
Permanent LA	mu				
Temporary land occupation	mu				
Land compensation	0,000 yuan				
Ground attachment compensation	0,000 yuan				

Prepared by: \_\_\_\_\_ Signature of person responsible: \_\_\_\_\_ Stamp: \_\_\_\_\_

Table 9-2 Sample Schedule of Fund Utilization

District \_\_\_\_\_ Town (Sub-district) \_\_\_\_\_ Village (Community) Date: \_\_\_\_\_ (MM/DD/YY)

Affected agency	Brief description	Qty. (unit)	Amount needed (yuan)	Amount of compensation available in the reporting period (yuan)	Total amount of compensation available (yuan)	Percentage
Village 1	Collective					
	Households					
Village 2	Collective					
	Households					
Entities						
Infrastructure						

Prepared by: \_\_\_\_\_ Signature of person responsible: \_\_\_\_\_ Stamp: \_\_\_\_\_

#### 9.1.1 Procedure

For internal monitoring, a normative, smooth top-down resettlement information management



system should be established among the Dengfeng PMO, DCWRB and resettlement agencies concerned to track and reflect the progress of resettlement, including the progress, quality and funding of resettlement, and collate and analyze such information.

The following measures have been taken in the Subproject to implement internal monitoring:

- 1) Normative statistical reporting system

The Dengfeng PMO, DCWRB and resettlement agencies will develop uniform report forms to reflect the progress of disbursement of resettlement funds and LA. Such forms will be submitted monthly.

Table 9-3 Sample Monitoring Form

No.	Item	RP	Actual	Completed to date	Completed in total	Total percentage
		#	#	#	#	%
1	Acquisition of collective land	Area (mu)				
		AHs				
		APs				
2	State-owned land	Area (mu)				
3	Temporary land occupation	Area (mu)				
		AHs				
		APs				
4	Ground attachments	Qty.				
		AHs				
		APs				
5	Resettlement funds (yuan)					

- 2) Regular or irregular reporting

Information on issues arising from resettlement will be exchanged in various forms between the resettlement agencies and the external M&E agency.

- 3) Regular meeting

During resettlement implementation, the Dengfeng PMO and DCWRB will hold resettlement coordination meetings regularly to discuss and handle issues arising from project and resettlement implementation, exchange experience and study solutions.

- 4) Inspection

The Dengfeng PMO and DCWRB will conduct routine and non-routine inspection on the resettlement work of the IA and the resettlement agencies, handle resettlement issues on site, and verify the progress of resettlement and the implementation of resettlement policies.

- 5) Exchange of information with the external M&E agency

The Dengfeng PMO and DCWRB will keep routine contact with the external M&E agency, and take findings and opinions of the external M&E agency as a reference for internal monitoring.

#### 9.1.2 Interval and Reporting

Internal monitoring is a continuous process. In the first year of project implementation (critical periods such as resettlement compensation, relocation and resettlement), the internal monitoring will be made quarterly. After that, based on the evaluation results of the AIIB on the implementation of ES-related measures, the internal monitoring can be changed to semiannually in the second year. Provide an internal monitoring report to AIIB semiannually.

Internal monitoring reports will be submitted by the resettlement agencies to DCWRB. DCWRB will compile relevant data and information, and submit an internal monitoring report to AIIB semiannually.

## 9.2 External Monitoring

According to AIIB's ESF and ESS2, Zhengzhou PMO will appoint a qualified, independent agency experienced in projects financed by AIIB and other international financial institutions as the external M&E agency. The external M&E staff should: 1) have participated in similar tasks, have rich experience in socioeconomic survey, and understand AIIB's policy on involuntary resettlement, and the state and local regulations and policies on resettlement; 2) be able to conduct socioeconomic survey independently, have good communication skills, and be tough; and 3) include a certain percentage of females.

The external M&E agency will conduct follow-up M&E of resettlement activities periodically, monitor resettlement progress, quality and funding, and give advice. It will also conduct follow-up monitoring of the APs' production level and living standard, and submit M&E reports to DCWRB and AIIB.

#### 9.2.1 Scope and Procedure

##### 1) Baseline survey

The external M&E agency will conduct a baseline survey of the affected villages and village groups affected by LA to obtain baseline data on the monitored APs' production level and living standard. The production level and living standard survey will be conducted semiannually to track variations. This survey will be conducted using such methods as panel survey (sample size: 20% of the households affected by LA, to be sampled randomly), random interview and field observation to acquire necessary information. A statistical analysis and an evaluation will be made on this basis.

##### 2) Periodic M&E

During the implementation of the RAP, the external M&E agency will conduct periodic follow-up resettlement monitoring semiannually of the following activities by means of field observation, panel survey and random interview:

- Payment and amount of compensation fees;
- Training;
- Support for vulnerable groups;
- Restoration and rebuilding of infrastructure and special facilities;
- Production resettlement and restoration;
- Compensation for lost assets;
- Compensation for lost working hours;
- Timetables of the above activities (applicable at any time);
- Resettlement organization;
- Use of compensation fees for collective land and income of APs;
- Income growth of labor through employment; and
- If APs have benefited from the Subproject

##### 3) Public consultation

The external M&E agency will attend public consultation meetings held during resettlement implementation to evaluate the effectiveness of public participation.

##### 4) Grievance redress

The external M&E agency will visit the affected villages and groups periodically, and inquire the resettlement agencies that accept grievances about how grievances have been handled. It will also meet complainants and propose corrective measures and advice for existing issues so as to make the resettlement process more effective.

#### 9.2.2 Reporting

The external M&E agency will prepare external monitoring reports based on observations and survey data in order to: 1) reflect the progress of resettlement and existing issues to AIIB and the owner objectively; and 2) evaluate the socioeconomic benefits of resettlement, and propose constructive opinions and suggestions to improve the resettlement work.

A routine monitoring report should at least include the following: 1) subjects of monitoring; 2) progress of resettlement; 3) key monitoring findings; 4) key existing issues; and 5) basic opinions and suggestions.

The external M&E agency will submit a monitoring or evaluation report to AIIB and DCWRB semiannually. See Table 9-4.

Table 9-4 Schedule of Resettlement M&E

No.	Resettlement report	Date
1	Baseline socioeconomic survey report	Sep. 2022
2	Monitoring report (No.1)	Oct. 2022
3	Monitoring report (No.2)	Mar. 2023
4	Monitoring report (No.3)	Sep. 2023
5	Completion report	Before Dec. 2023

### 9.3 Post-evaluation

After the completion of the Subproject, DCWRB (or through the external M&E agency) will

apply the theory and methodology of post-resettlement evaluation to evaluate the Subproject's resettlement activities on the basis of M&E to obtain successful experience and lessons in LA as a reference for future work. A post-resettlement evaluation report will be submitted to AIIB.

# Appendixes

## Appendix 1: Feasibility Study Report Approval

### 登封市发展和改革委员会文件

登发改审〔2022〕1号

#### 登封市发展和改革委员会 关于亚投行紧急优惠贷款支持河南郑州等地 特大暴雨洪涝灾害灾后恢复重建项目—郑州 子项目 登封市颍河水毁修复重建工程可行性 研究报告的批复

登封市水利局：

你局《登封市水利局关于呈报登封市颍河水毁修复重建工程可行性研究报告的请示》（登水字〔2021〕196号）收悉。结合专家组论证意见和中建精诚工程咨询有限公司评估结论，经研究，现批复如下：

##### 一、工程建设的必要性

登封市为“7·20”特大暴雨重灾区，辖区所有河道均出现不同程度的损毁。根据国家、省、郑州市及我市关于防汛救灾工作的重要指示精神，恢复颍河河道原貌、确保河道安全，保障河

河湾村至告成镇蒋庄村堤防洪水标准按20年一遇设计，堤防工程级别为4级。

##### 五、项目业主

按照《中国：河南省暴雨洪涝灾害灾后紧急恢复重建项目项目评估备忘录》、河南省人民政府办公厅《关于加快推进灾后重建项目前期工作的通知》（豫政办明电〔2021〕37号）、郑州市人民政府办公厅《关于成立郑州市申请亚投行贷款项目工作专班的通知》（郑政办明电〔2021〕76号）和登封市人民政府《常务会议纪要》（〔2021〕21号）有关要求，本项目作为亚投行紧急优惠贷款支持河南郑州等地特大暴雨洪涝灾害灾后恢复重建项目—郑州子项目，由登封市水利局担任项目业主。

##### 六、总投资及资金来源

项目总投资估算为21784.50万元，资金来源：拟申请亚投行贷款和市级财政资金。

七、按照相关法律、行政法规有关规定，该项目应附前置条件的相关文件为中共郑州市委办公厅 郑州市人民政府办公厅《关于印发〈郑州市水利设施恢复重建工作方案〉的通知》（郑办〔2021〕33号）、登封市自然资源和规划局《关于征求亚投行紧急优惠贷款支持河南郑州等地特大暴雨洪涝灾害灾后恢复重建项目—郑州子项目（登封市颍河水毁修复重建工程规划选址和用地意见的函）的复函》（登自然资函〔2021〕560号）等相关资料。

##### 八、项目招标初步方案

项目法人应按照《中华人民共和国招标投标法实施条例》和《河南省实施〈中华人民共和国招标投标法〉办法》等有关规定，委托

道沿线及下游人民生命财产安全。按照市政府工作安排，原则同意登封市颍河水毁修复重建工程（以下简称该工程）可行性研究报告。项目代码：2112-410185-04-01-906515。

##### 二、工程名称

亚投行紧急优惠贷款支持河南郑州等地特大暴雨洪涝灾害灾后恢复重建项目—郑州子项目 登封市颍河水毁修复重建工程。

##### 三、主要建设规模和内容

该工程为登封市颍河水毁修复重建工程，范围为登封市告成镇蒋庄村（桩号：0-750）至石道乡石道村（桩号：36+838）。工程建设规模及主要建设内容为：颍河水毁修复重建总长37.588千米，修复冲毁河堤17.8千米，岸坡防护29.388千米，清淤疏浚河道37.588千米，修复冲毁的漫水桥3座，河道疏浚、堤防恢复、岸坡防护、桥梁修复等。

##### 四、建设标准

根据《防洪标准》（GB50201-2014）、《水利水电工程等级划分及洪水标准》（SL252-2017）有关规定，确定本次治理工程等级及设计标准。根据河道沿线石道乡、大金店乡、东华镇、告成镇保护人口的不同，确定河道的防洪标准为：石道乡石道村至大金店镇段村（后河入口）段的河道按10年一遇，大金店镇海河湾村（后河入口）至告成镇蒋庄村（白沙水库岸尾）段的河道按20年一遇。

根据《堤防工程设计规范》（GB50286-2013），根据堤防防洪标准确定堤防工程级别，石道乡石道村至大金店镇段村段堤防洪水标准按10年一遇设计，堤防工程级别为5级，大金店镇海

有资质的招标代理机构，采用公开招标方式进行项目的勘察、设计、施工、监理及工程主要设备材料采购招标，招标公告需在国家、省和市指定的媒体上发布，请依法向有关行政监督部门做好招标文件备案和招标情况报告工作。

##### 九、建设工期

项目建设工期6个月。

##### 十、环境保护、节能、安全生产措施

请会同有关部门落实保护生态和环境、节能减排、安全生产等规定。

##### 十一、其它事项

1. 项目单位要切实加强政府投资项目规范化管理工作，注意控制投资规模，下一步要严格按照专家意见进一步优化工程方案，编制初步设计并报我委审批。

2. 如须对该工程批复文件中规定的内容进行调整，请及时以书面形式向我委报告，并按照有关规定办理。

3. 请据此抓紧开展项目前期工作，按照国家、省和市基本建设的有关规定，落实有关建设条件，争取尽快开工建设。

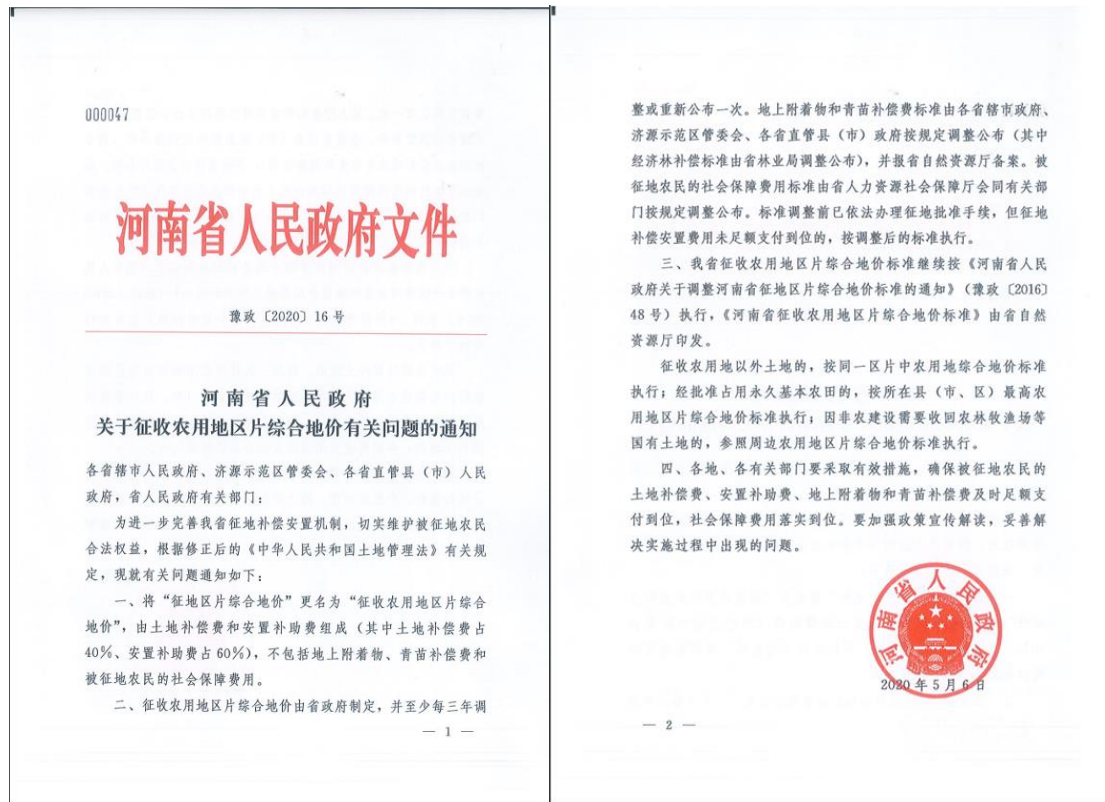
附件：项目招标方案核准意见



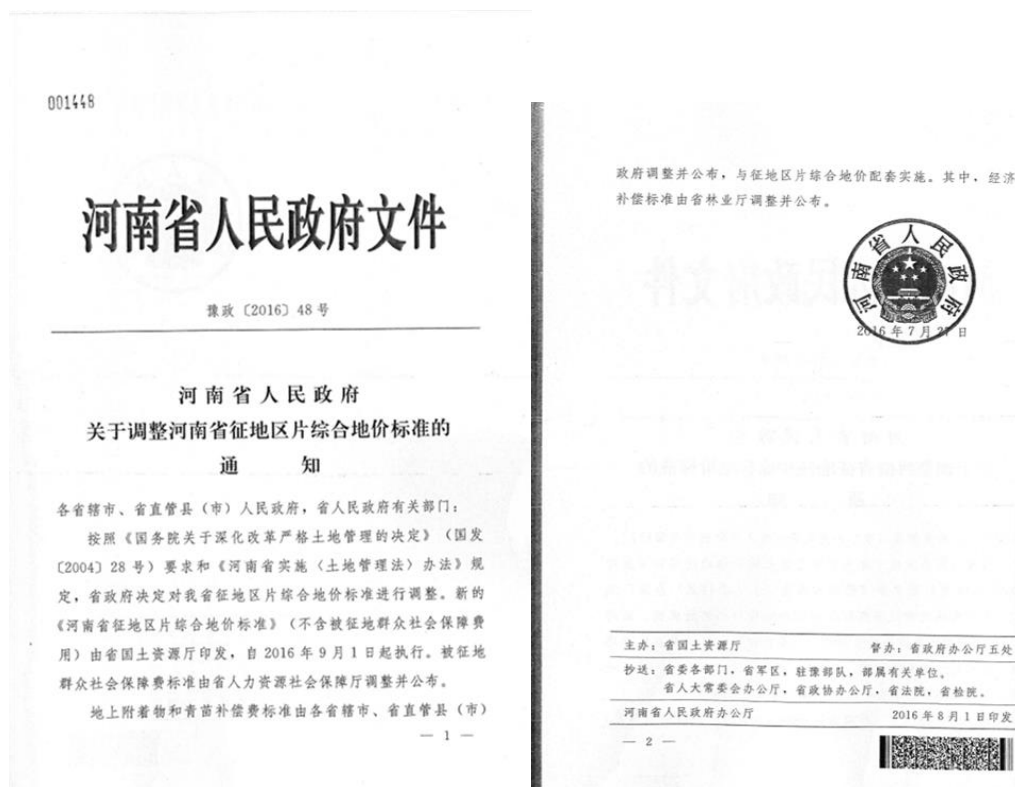
登封市发展和改革委员会行政服务科

2022年1月21日印发

## Appendix 2: Notice of the Henan Provincial Government on Issues concerning Location-based Composite Land Prices for Farmland (HPG [2020] No.16)



## Appendix 3: Notice of the Henan Provincial Government on Adjusting Location-based Composite Land Prices of Henan Province (HPG [2016] No.48)



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### 郑州市登封市征地区片综合地价标准表

表 1-8

区片编号	征地补偿安置标准		社保费用	区片范围描述	
	元/亩	万元/公顷		乡(镇)名称	行政村
4101850101	95000	142.500	按照河南省 人力资源和 社会保障厅 公布标准执 行	嵩阳街道办事处	登封市建成区、嵩山村、迎仙阁、日珍街、望箕路、嵩阳桥、民族路、双溪园、玉溪路、新兴街、文庙街、长春园、七星街、鸡鸣街、守敬路、颍河路、苹果园、嵩溪园
4101850201	79000	118.500		嵩阳街道办事处	北旨村
4101850301	75000	112.500		中岳街道办事处	新店、北高庄、韩村、中岳庙、东十里铺
4101850401	60000	90.000		少林街道办事处	耿庄、西十里、马庄、王庄
4101850402	60000	90.000		少林街道办事处	玄天庙
4101850501	55000	82.500		中岳街道办事处	花楼、康村、东张庄、交河口村
				东华镇	王村、任村、何门、赵沟
				告成镇	贾沟
				卢店镇	卢店镇建成区、卢西、龙头沟、西五司、张家院、卢南、东五司、杨岗、卢东、卢北、崔岗、栗子沟、申家窑、刘家沟
				大金店镇	大金店镇建成区、金东、金西、金中、崔坪、三王庄、龙尾沟、顾家河、袁桥、游方头、朱家坪、文村、海河湾
				大冶镇	朝阳沟、沙沟、冶西、冶东、冶南、火石岭、川口、松华
				东华镇	石桥、郭村、少阳寨、袁村、东金店
告成镇	五度、茶亭沟、范店、森子沟				
少林街道办事处	雷家沟、塔沟、郭店、少林寺				
唐庄乡	唐东、唐西、张村、下迁				
4101850502	55000	82.500		阳城区	袁文、高界头、铝庄、北烟庄、吴家村、南烟庄
4101850601	47000	70.500		告成镇	豹沟、告成
				大冶镇	西施村、东施村、新兴沟、王家庄、大路北、石岭头、炮坊沟
				卢店镇	景店、屈家坊、竹元、瓦窑沟、吴岗
				唐庄乡	玉台、营西

### 郑州市登封市征地区片综合地价标准表

续表 1-8

区片编号	征地补偿安置标准		社保费用	区片范围描述	
	元/亩	万元/公顷		乡(镇)名称	行政村
4101850602	47000	70.500	按照河南省 人力资源和 社会保障厅 公布标准执 行	颍阳镇	颍北、颍东、颍西
4101850603	47000	70.500		君召乡	胥店、君召、南洼
4101850604	47000	70.500		大金店镇	黄村、雷村、太后庙、梅村、书堂沟
				大金店镇	三里庄、南寨
4101850605	47000	70.500		大冶镇	桥板河、后柿杭、前柿杭、雅山、东庄头、五里庙、垌头、温沟、新村、西刘碑、东刘碑、老井
				东华镇	背阴坡、库庄、张寺庄、南店、杨寺庄、马寺庄、傅寺庄
				告成镇	杨沟、八方、王村、韩界头、曲河、北沟、竹园、双庙沟
4101850606	47000	70.500		石道乡	石道、王楼
4101850607	47000	70.500		送表乡	西送表、东送表
4101850608	47000	70.500		白坪乡	西白坪、东白坪
4101850609	47000	70.500		徐庄镇	徐庄
4101850610	47000	70.500		宣化镇	宣化镇建成区、王村
4101850701	41000	61.500		唐庄乡	塔水磨、搬倒井、范家门、花玉、郭庄、井湾、三官庙、冯沟、王河、磨沟、范庄、寺沟、高家沟、垌上、龙头、竹园、南坡、雪沟、西沟、杨庄、向阳
				白坪乡	程窑、二岚沟、梁家庄、煤窑沟、南窑、三元、沙锅窑、石门、寨东、寨西
				大金店镇	安庙、毕家村、陈楼、磴槽、段西、段中、段东、段南、海眼、箭沟、李家沟、桑楼、王上、王堂、庄头
4101850702	41000	61.500		大冶镇	陈家沟、粉坊岗、弋湾、沁水、塔湾、吴庄、周山
			东华镇	安窑、刘庄、骆驼崖、券门、土门口、幽兰、张楼、周庄	
			告成镇	蒋庄、庙庄、石羊关、水峪、田家沟、王家沟、王窑、苇园沟、冶上	

## Appendix 4: Notice of the Zhengzhou Municipal Government on Adjusting Compensation Rates for Young Crops and Ground Attachments on Collective Land Acquired for State Construction (ZMG [2020] No.25)

### 郑州市人民政府文件

郑政文〔2020〕25号

#### 郑州市人民政府 关于调整国家建设征收集体土地青苗费和 地上附着物补偿标准的通知

各县(市、区)人民政府,市人民政府各部门,各有关单位:  
为保障国家建设用地的需求,维护农民的合法权益,根据《中华人民共和国土地管理法》和《河南省实施〈土地管理法〉办法》的有关规定,结合我市物价变动情况,经市政府研究决定,调整郑州市征收集体土地青苗费和地上附着物补偿标准。现将有关问题通知如下:

- 一、青苗费和地上附着物补偿标准见附件。
- 二、对附件中尚未包括的品种可参照相近情况进行补偿,不

能参照的,报当地价格主管部门确定补偿标准或聘请有资质的单位评估后确定。

三、国家和省确定的铁路、公路、机场、航空港口、水利工程、能源工程等重大基础设施项目征收集体土地时,青苗费和地上附着物补偿标准另有规定的,按其规定执行。

四、本通知自2020年3月1日起执行。《郑州市人民政府关于调整国家建设征收集体土地青苗费和地上附着物补偿标准的通知》(郑政文〔2014〕142号)中有关青苗费和地上附着物补偿标准停止执行。本通知发布前,已呈报市人民政府或因诉讼进行征收土地审批的宗地,青苗费和地上附着物补偿标准按照报批的征收土地方案确定的标准落实。

- 附件: 1. 青苗费补偿标准  
2. 建(构)筑物类补偿标准  
3. 果树类补偿标准  
4. 林木类补偿标准  
5. 过渡补助费和搬家补助费补偿标准



抄送:市委各部门,郑州警备区。  
市人大常委会办公厅,市政协办公厅,市法院,市检察院。  
郑州市人民政府办公厅 2020年2月25日印发

## 附件 1

## 青苗费补偿标准

单位：元/亩

名称 等别	粮食作物	经济作物	园艺作物（包括蔬菜、瓜类、草莓）	备注
一	1500	1800	4800	1. 粮食作物主要指小麦、玉米、水稻等作物； 2. 经济作物主要指棉花、烟叶、油料等作物； 3. 蔬菜包括茄果类和叶菜类。
二	1300	1600	4300	
三	1100	1400	4000	

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## 附件 2

## 建（构）筑物类补偿标准

名称	规格	标准	备注
平房	砖木结构	570 元/平方米	砖墙或石墙承重、木屋架、木（预制）檩条、瓦屋顶、房屋净高 3m、水泥地面、内外墙普通抹灰、木质门窗
	砖混结构	710 元/平方米	全砖墙、预制或混凝土板顶、单层房屋净高 2.8m、铝合金门窗
楼房	砖木结构	600 元/平方米	砖墙或石墙承重、木屋架、木（预制）檩条、瓦屋顶、单层房屋净高 3m、水泥地面、内外墙普通抹灰、木质门窗
	砖混结构	750 元/平方米	全砖墙、预制或混凝土板顶、单层房屋净高 2.8m、铝合金门窗
	框架结构	1200 元/平方米	主要承重为钢筋混凝土结构、混凝土或预制顶、单层房屋净高 2.8m、舍门窗、内外墙普通抹灰
	钢结构	800 元/平方米	主要承重为工字钢、H 型钢支撑或做板顶，应符合《钢结构设计标准》GB50017—2017 的相关要求
400 元/平方米		主要承重为工字钢、H 型钢支撑或做板顶	

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名称	规格	标准	备注
井	机井深 50m—100m (水泥管)	170 元/米	1. 山地（丘陵）区机井深 80m，42000 元/眼，深度每增减一米增减 600 元；山地（丘陵）区机井深 40m，18000 元/眼，深度每减一米减 400 元； 2. 每眼机井控制 20 亩； 3. 废、枯井按标准的 50% 补偿。
	机井深 ≤50m (水泥管)	120 元/米	
	井深 10m 砖砌井筒	4800 元/眼	深度每增减一米增减 250 元
	手压井	70 元/米	含压机(井筒无下管的筒井参照此标准)

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## 果树类补偿标准

名称	规格	标准	备注	
鲜果类	产前期 (树龄<2年)	36元/棵	1. 鲜果类主要包括苹果、桃、李、杏、梨、樱桃、石榴等树种。干果类主要包括核桃、枣、柿等树种； 2. 产前期为未结果期，大树移植二年内均按产前期对待。	每亩最多补偿 111 棵
	产前期 (树龄≥2年)	78元/棵		
	初产期 (3年<树龄≤5年)	380元/棵		
	盛果期 (5年<树龄≤40年)	550元/棵		
	衰产期 (树龄>40年)	350元/棵		
干果类	产前期 (树龄<2年)	36元/棵		
	产前期 (树龄≥2年)	78元/棵		
	初产期 (3年<树龄≤6年)	465元/棵		
	盛果期 (6年<树龄≤60年)	760元/棵		
	衰产期 (树龄>60年、枣树>80年)	450元/棵		

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名称	规格	标准	备注	
葡萄	产前期 (树龄<1年)	45元/棵	1. 含葡萄架补偿； 2. 产前期为未结果期。	每亩最多补偿 330 棵
	初产期 (1年<树龄≤3年)	90元/棵		
	盛果期 (3年<树龄≤35年)	150元/棵		
	衰产期 (树龄>35年)	125元/棵		
花椒树	产前期 (树龄<3年)	15元/棵	产前期为未结果期。	每亩最多补偿 330 棵
	初产期 (3年<树龄≤5年)	60元/棵		
	盛果期 (5年<树龄≤40年)	100元/棵		
	衰产期 (树龄>40年)	50元/棵		
果树类苗圃	苗木	6元/棵	每亩最多补偿 5000 株	

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## 林木类补偿标准

名称	规格	标准	备注	
乔木类	胸径<5公分	30元/棵	1. 乔木类系指泡桐、杨树、柳树、刺槐等用材树种； 2. 常青类、松柏类、观赏类等树种按乔木类对应标准的三倍补偿；观赏类树种主要指法桐、白腊、合欢、国槐、栎树、银杏、女贞等； 3. 胸径测量位置为树高 1.3 米处。	柏树幼树每亩最多补偿 330 棵，其他乔木类树种每亩最多补偿 111 棵。
	5公分≤胸径<10公分	60元/棵		
	10公分≤胸径<15公分	120元/棵		
	15公分≤胸径<20公分	185元/棵		
	20公分≤胸径<25公分	260元/棵		
	25公分≤胸径<30公分	290元/棵		
灌木类	胸径≥30公分	330元/棵	每墩出条数达 10—20 根	
	白腊条	36元/墩		
	紫槐	45元/墩		
	桑叉	120元/墩		
	荆条	36元/墩		

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名称	规格	标准	备注
乔木类 苗圃	用材类	5元/棵	每亩株数≤5000株；树种分类见乔木类备注。
	观赏类	10元/棵	
	常青类	15元/棵	
鲜切花	球茎类	50000元/亩	百合、郁金香、剑兰等
	其它鲜切花	30000元/亩	玫瑰、菊花、非洲菊等
	草坪	8元/平方米	高羊茅、早熟禾、三叶草等（生产的草坪）

## Appendix 5: Endowment Insurance Subsidy for LEFs

2022/8/22 27 河南省2021年被征地农民社会保障费用最低标准公布 7月1日起执行\_部门\_河南省人民政府门户网站

2022/8/22-27 河南省2021年被征地农民社会保障费用最低标准公布 7月1日起执行\_部门\_河南省人民政府门户网站

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首页 > 新闻动态 > 部门

### 河南省2021年被征地农民社会保障费用最低标准公布 7月1日起执行

河南省人民政府门户网站 www.henan.gov.cn 时间: 2021-07-05 22:29 来源: 河南政报网 分享:

被征地农民社会保障费用最低标准公布! 近日, 河南省人力资源和社会保障厅印发《关于公布2021年被征地农民社会保障费用最低标准的通告》(以下简称《通告》), 自2021年7月1日起执行。

《通告》指出, 各省(区、市)人力资源社会保障厅(局)要结合本省(区、市)实际, 按照《河南省人力资源和社会保障条例》, 结合本省(区、市)实际, 制定被征地农民社会保障费用最低标准, 并报人力资源社会保障部备案。

《通告》明确, 6月29日已经印发《河南省人力资源和社会保障厅关于公布2020年被征地农民社会保障费用最低标准的通告》(以下简称《2020年通告》)的被征地农民社会保障费用最低标准, 自2021年7月1日起停止执行。自2021年7月1日起, 按照《通告》公布的标准执行。此前, 河南省人力资源和社会保障厅已经印发《关于公布2020年被征地农民社会保障费用最低标准的通告》(以下简称《2020年通告》), 自2020年7月1日起执行。此前, 河南省人力资源和社会保障厅已经印发《关于公布2020年被征地农民社会保障费用最低标准的通告》(以下简称《2020年通告》), 自2020年7月1日起执行。此前, 河南省人力资源和社会保障厅已经印发《关于公布2020年被征地农民社会保障费用最低标准的通告》(以下简称《2020年通告》), 自2020年7月1日起执行。

附件: 2021年被征地农民社会保障费用最低标准

2021年被征地农民社会保障费用最低标准

2022/8/22 27 河南省2021年被征地农民社会保障费用最低标准公布 7月1日起执行\_部门\_河南省人民政府门户网站

地区	标准(元/亩)
郑州市(含巩义)	52000
开封市(含兰考)	42000
洛阳市	45000
平顶山市(含汝州)	44000
新乡市(含卫辉)	46000
焦作市	42000
濮阳市	45000
许昌市	44000
漯河市	44000
三门峡市	42000
南阳市(含邓州)	42000
商丘市(含永城)	42000
信阳市(含息县)	42000
周口市(含扶沟)	42000
驻马店市(含遂平)	42000
济源市	45000

责任编辑: 王洁

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中央及国家机关 | 各省(区、市)党委 | 政协各民主党派 | 省直各有关单位 | 省直各厅局 | 省直各行业协会 | 省直各学会(会) | 省直各商会

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## Appendix 6: Gender Analysis Form

<b>Part A—Gender analysis of rural women in the subproject area</b>			
1. Legal rights of women	According to laws of the PRC, women have equal legal rights with men, though some women are not fully aware of this.		
2. Social status of women	Local women have relatively good social status. All key matters of a family are determined by the couple through discussion. Men are the backbone of families, and attend the important village meetings. However, women can influence men when they make decisions at meetings.		
3. Title to land and properties	Women have the same title as men. Like other parts of China, in the subproject area, when a daughter is married, her land will remain in her mother's family and she can only share the land owned by her husband's family since the household contract responsibility system was implemented in 1982. However, this has been corrected after the second round of land contracting (around 1999). If LA, HD or resettlement is involved, women will have equal rights to compensation.		
4. Right to collective properties	Women have equal rights.		
5. Living and gender role	There is no restriction on gender role. However, women do housework and appropriate farm work mainly in Chinese rural areas, while men mostly do farm work or work outside. Generally, women's working time is 1.2 times that of men, and many young women also work outside.		
6. Contribution to household income	Women's income is from farming and household sideline operations mainly, accounting for about 25% of household income.		
7. Family status	Women have an equal voice in decision-making; when men are away for work, women make decisions themselves in many aspects.		
8. Educational level	Boys and girls enjoy equal opportunities in receiving education, and as long as children study hard, their parents would do their best to support their school education.		
9. Health	Women's health condition is quite good and there is no significant difference in nutrition level compared to men; however, medical expenses are rising and have become a significant burden for some households, and women may suffer more.		
10. Village and government agencies	Women are represented in all village committees. In addition, women have a good informal network in the village and the village group. Women may participate in the election of the village committee, and have the right to elect and be elected. Local governments attach great importance to women's development, especially poverty alleviation.		
Overall evaluation and key risks	Women enjoy a good status in the subproject area, and there is no restriction on gender role. Although women rarely participate in public affairs, they can express their views by various means (e.g., male family members).		
<b>B—Gender analysis of women during resettlement</b>			
<b>Gender issue</b>	<b>Concern/risk</b>	<b>Impact of the Subproject</b>	<b>Mitigation measures</b>
1. Land, properties and right to compensation	Women are deprived of land or properties or have no right to compensation.	Men and women have equal rights to compensation for land acquisition, house demolition and resettlement; the Subproject will not have any significantly adverse impact on women.	(1) Monetary compensation
2. HD and reconstruction	Women do not have the right to participate in decision-making or compensation use.	Women have the title to houses, and house reconstruction is determined by family members together. Therefore, women can participate in housing land selection, house reconstruction, transition arrangements, etc.	(1) Women have the title to reconstructed houses.
3. Production and income restoration after land acquisition	Women are affected even more seriously, and receive less assistance.	All AHs will lose part of land only, so the AHs will lose part of income only. Compensation fees will be used at the AHs' discretion. Only seriously affected households have to change their income sources. In addition to monetary compensation, the AHs will be assisted in restoring income through auxiliary measures (e.g., priority in employment during construction, skills training and subsequent support).	(1) Women will receive compensation fees for land acquisition; (2) At least 50% of trainees of skills training will be women; (3) During construction, women will obtain at least 30% of unskilled jobs.
4. Increase of gender	Women have a heavier burden or	The Subproject will not lead to gender inequalities. For most households, resettlement impacts are not	Monitoring

inequalities	fewer opportunities.	serious.	
5. Social network system	The social network is damaged.	The Subproject will not affect the social network seriously.	No impact
6. Impact on health / increase of social problems	Serious health or social problems due to resettlement (violence, AIDS propagation, etc.)	The Subproject will not affect the villages seriously, but some seriously affected households and vulnerable groups will be faced with difficulties.	Providing assistance together with the civil affairs department

## Appendix 7: Public Participation Minutes

Date	February 16, 2022
Venue	Shucun Village Committee, Shidao Xiang
Organizer	DCWRB, Shidao Xiang Water Resources Station
Participants	Section Chief Jing, Section Chief Wen of Shidao Xiang, task force, village officials and villager representatives
Topic	Willingness of residents along the Ying River to participate in the Project, LA compensation distribution, villagers' expectations
Key points and results	<p>1. Shucun Village is located in the piedmont of the Funiu Mountain, and 3km southeast of the Xiang government. The village committee has 7 staff members. Village roads are mostly cement roads, and all groups are connected by roads. The village has 381 households with 1,690 persons, a land area of 1.86 km<sup>2</sup>, a cultivated area of 1,856 mu, including an irrigated area of 562 mu. The main crops are corn and wheat.</p> <p>2. Villagers' main income sources are outside employment, local cultivation (peach, apple, pear, etc.), and business startup.</p> <p>3. Villagers think that the Subproject will improve the living environment and wastewater management, and protect their personal and property safety.</p> <p>4. Villagers' expectations for the Project: First, some expect compensation for their riverside trees; second, water should be impounded for irrigation; third, a stratified bank should be built to ensure water impoundment and be good-looking.</p> <p>5. Villagers highly support the Subproject, and think that is just expected by the public. They accept LA, but expect that LA compensation be paid directly and fully to them.</p>



## Appendix 8: Fieldwork Photos

	
<p>Interview with DCWRB staff</p>	<p>FGD in Dongjindian Village</p>
	
<p>Gaocheng Town segment of the Ying River</p>	<p>Interview with the deputy head of Donghua Town</p>
	
<p>Bridge destroyed by flood</p>	<p>Field visit to destroyed bridge</p>
	
<p>Visit to Jinxi Village</p>	<p>Jinxi Village segment of the Ying River</p>



Ying River



Coordination meeting