

INVOLUNTARY RESETTLEMENT: PRINCIPLES AND PRACTICE FOR IMPACT ASSESSORS

SECTION 1 – BASIC INFORMATION

- (a) Course title:
INVOLUNTARY RESETTLEMENT: PRINCIPLES AND PRACTICE FOR IMPACT ASSESSORS
- (b) Level: foundation, intermediate or advanced: FOUNDATION
- (c) Prerequisites for participants (all proposals for courses at the intermediate and advanced courses must list necessary prerequisites) N.A.
- (d) Language of delivery. ENGLISH
- (e) Duration (1 or 2 days). 1 day
- (f) Minimum and maximum number of participants. MINIMUM: 8; MAXIMUM 20
- (g) Name and contact details of each trainer. GORDON APPLEBY
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SECTION 2 – COURSE DESCRIPTION

- (a) Summary of the purpose(s), content, and anticipated learning outcomes of the course (maximum 300 words). Please include within the text the level of the course and its prerequisites. An edited version of this text will be used in the preliminary program for IAIA08.

Large infrastructure projects almost always require land . for a dam and its reservoir, for roads or railroads, ports or airports, or for urban upgrading. These projects have not only environmental but also major social impacts. Indeed, the social impacts of land acquisition are so significant that all major donors have adopted a policy on involuntary resettlement. This day-long course introduces participants to the international standards for involuntary resettlement, both in terms of policy expectations and practical considerations.

The first half of the day-long course will deal with Resettlement Action Plan (RAP) design . the principles, their application in different sectors, the presentation of materials, and donor review procedures.

The first session will present the evolution of involuntary resettlement policy in the donor community, as well as among client countries, in order to explicate the *raison d'être* of the fundamental principles of the policy and their application in distinct sectors (e.g., areal land acquisition for reservoirs, airports and other land extensive projects, linear acquisition for roads, railroads and pipelines, and urban land acquisition). The course will then take up the organization of a Resettlement Action Plan (RAP) and the presentation of materials, as required by World Bank Operational Policy (OP) 4.12, Annex A. And, the final morning session will discuss how donors review RAPS . what principles are key, what information is required, and what issues are commonly raised in donor reviews. This session will emphasize procedures for social due diligence of resettlement in Environmental Impact Assessment reports.

The second half of the workshop will deal with RAP supervision. The workshop will first present cases of resettlement monitoring (e.g., BP Tangguh). The concern here will be on: documenting compensation and rehabilitation measures for affected people; institutional capacity to implement the program; and monitoring and feed-back systems for effective administrative measures. The field examples will be followed by a working group exercise on assessing resettlement progress and monitoring.

It is expected that the two half-day sessions, RAP design in the morning and RAP supervision in the afternoon, will provide practitioners a detailed overview of what is expected and how to do it.

(b) Detailed description of the course structure and content

The workshop program will combine a variety of training techniques -- lecture, with extensive question and answer periods at the end of each presentation, video, and working group exercises. The basic training aim is not merely to impart information, but to do so in an interactive manner so that the participants not only understand the basic points but also appreciate the nuances of how each resettlement principle may apply in a specific case. To that end, the course is structured in the following manner:

TIME	TOPIC	TRAINER
8:45 . 9:00	Participant Introductions and Expectations Trainer Introductions	S. Price G. Appleby
9 :00 . 9:45 9:45 . 10:00	Evolution of Involuntary Resettlement Policy <ul style="list-style-type: none"> • Why the policy was first adopted • Why all major donors now follow the policy • What triggers the policy • Basic principles of the policy • How the policy applies in different sectors • Tricky issues in the policy Participant Questions and Answers	G. Appleby with S. Price
10:00 . 10: 15	Coffee Break With Video: Involuntary Resettlement	
10:15 . 11:00 11:00 . 11:15	The Resettlement Action Plan <ul style="list-style-type: none"> • Project Description • Minimizing Impact • Eligibility Criteria • Public Participation • Asset Valuation and Compensation • Grievance Procedures • Relocation • Host and Resettler Collaboration • Economic Rehabilitation • Environmental Management • Project Management (Calendar, Budget) • Monitoring and Evaluation Participant Questions and Answers	S. Price With G. Appleby
11:15 . 11:50 11:50 . 12:00 12:00 . 12:30 12:30 - 12:45	Social Due Diligence . How to verify resettlement estimates Participant Questions and Answers Donor Review of RAPS Participant Questions and Answers	G. Appleby S. Price
12:45 . 1:30	Lunch	
1:30 . 2:15 2:15 . 2:30	Resettlement Supervision . Case Examples Participant Questions and Answers	S. Price
2:30 . 3:30	Working Exercise: Assessing the Adequacy of Resettlement Progress <ul style="list-style-type: none"> • Introduction to exercise • Developing actionable recommendations • Group work 	G. Appleby and S. Price

3:30 . 4:00	Group presentation(s) of Recommendations	Participants
4:00 . 4:30	Independent Panel of Experts <ul style="list-style-type: none"> • When are they recommended • What expertise is required • Developing a TOR for the IPE 	G. Appleby
4:30 . 5:00	Participant Questions Workshop Evaluation	Participants

(c) Description of the materials participants will receive during the course.

A CD with the following materials will be distributed to participants:

- World Bank Operational Policy 4.12, and Annex A
- Asian Development Bank, Resettlement Policy
- International Finance Corporation Performance Standards
- Inter-American Development Bank Safeguard Policies

Templates for:
Field questionnaires

Sample Summary Resettlement Plans

(d) Provisions for pre-conference and post-conference communication with participants.

Dr. Appleby and Ms. Price will register for and attend the IAIA conference the week of May 4, 2008. We will also provide the participants our contact information should they have any questions later on.

SECTION 3 – QUALIFICATIONS OF THE TRAINER(S)

Dr., Appleby was the senior social scientist, World Bank Institute, 1992-1999, responsible for conducting resettlement training programs in India, China, Uganda, Brazil, Turkey, Senegal, Lebanon, and Tunisia, among other countries. He has also conducted resettlement training courses for the Inter-American Development Bank, the Asian Development Bank, and the Millennium Challenge Corporation.

Ms. Price was the senior social scientist in the Asian Development Bank, Manila (1996-2003), located in the Environmental and Social Safeguards Division with responsibility for compliance assessment for involuntary resettlement in all ADB projects. She also managed a range of involuntary resettlement training and capacity building initiatives in the Asia Pacific Region.

Dr. Appleby and Ms. Price have collaborated on regional workshops for training government officials in involuntary resettlement in both the Philippines and Vanuatu.

ATTACHMENT A:
SHORT CURRICULUM VITAE
GORDON APPLEBY

Dr. Gordon Appleby is a social anthropologist (Ph.D., Stanford, 1978) with extensive professional experience in river basin organizations, involuntary resettlement, rural development, social development, environmental protection, post-conflict reconstruction, and monitoring and evaluation. For eight years, Dr. Appleby was the lead social scientist trainer in the World Bank Institute, responsible for worldwide training programs in involuntary resettlement, post-conflict reconstruction, and social development. More recently (200-2001), he managed the Asian Development Bank Capacity Building for Social Development project for India, which developed and ran training workshops for highway engineers (National Highway Authority of India), financiers, and other professionals. Currently, Dr. Appleby consults with both the Millennium Challenge Corporation and the World Bank Africa Safeguards Unit to ensure borrower compliance with social safeguard measures, such as involuntary resettlement, cultural heritage, and indigenous peoples.

In the last five years, Dr. Appleby has developed Resettlement Plans for APIX in Senegal (Dakar-Diamniadiou Toll Road and the Blaise Diagne Airport), Zambia (Zambia Electric Supply Company), Ghana (Bui Dam for the Volta River Authority), and Tanzania (municipal urban up-grading). He has worked closely with the Lagos Metropolitan Transport Authority (LAMATA) in the development of their environmental and social program to upgrade urban roads in that metropolis. He has provided social due diligence services for several private-sector companies, including Dynatec (Ambotovy nickel mine, Madagascar), BHP (Bakhuis bauxite mine, Suriname), Rio Tinto (Ft. Dauphin ilomite mine, Madagascar, for the World Bank). At the same time, Dr. Appleby also continues to provide long-term social due diligence services to both the World Bank (Africa Region) and the MCC (El Salvador, Honduras, Lesotho, Mali, Sri Lanka)

Dr. Appleby is intimately familiar with the requirements of the project cycle. He has been involved in the design of projects (e.g., Small Farm Credit Programs, Farming Systems Research and Development, Natural Resources Management Project [Indonesia]). He has been responsible for their implementation and management (e.g., Gambia River Basin Development Organization, Capacity Building for Social Development). And he has conducted numerous monitoring and evaluation exercises for project and agency management (e.g., Projet Nord Shaba [Zaire]; Capacity Building for Environmental NGOs [Caribbean]). In the course of this work, Dr. Appleby has worked with USAID (1978-84), the World Bank (1992-2000; 2002-03), the Asian Development Bank (2000-01), and various UN agencies including UNDP and the FAO.

Dr. Appleby has written numerous articles on involuntary resettlement, involuntary resettlement training, regional economic development, peasant marketplace systems, and project evaluation.

ATTACHMENT B:
SHORT CURRICULUM VITAE
SUSANNA PRICE

Susanna Price is social development specialist with extensive experience in involuntary resettlement policy development and planning in the Asia Pacific Region. She is currently a Visiting Fellow with the Department of Anthropology, Research School of Pacific and Asian Studies, Australian National University, in Canberra. She is an independent panel member for ongoing involuntary resettlement monitoring for the BP Tangguh LNG project in Papua, Indonesia. She has an MA in Social Anthropology (ANU 1978) and an MA in Development Economics with Distinction (UEA 1988). Following post-graduate research in Indonesia she joined AusAID reaching the position of Senior Officer in the Appraisal and Evaluation Branch.

She joined Asian Development Bank (ADB) in Manila in 1996 as the first Social Development Specialist for Involuntary Resettlement and managed a multi-year program of capacity building for policy implementation. In 2003 she won the Praxis Award of the Washington Association of Professional Anthropologists for her work at ADB as Senior Social Development Specialist on enhancement of policy, legal and institutional frameworks for involuntary resettlement in Bangladesh, Indonesia, Nepal, Pakistan, Philippines, the People's Republic of China and Viet Nam. This study also won the 9th Annual Canadian Award for International Co-operation, a CIDA award (2000).

She established the involuntary resettlement component of ADB's Social Safeguard Compliance procedures in 2002 for loan preparation and management, in the Environment and Social Safeguard Division. She conducted numerous compliance-related project visits in the Asia Pacific Region, reviewing resettlement planning and supervision procedures. She produced ADB's official *Handbook on Resettlement: a Guide to Good Practice (1998)*, and also co-authored the *Handbook for Poverty and Social Analysis in Loan Design: a Working Document (2001)* that emphasizes the management of impoverishment risks in resettlement. She has conducted a wide range of training courses in involuntary resettlement policy development, planning and implementation in the Asia Pacific Region for ADB staff, researchers, NGOs, and developing country government officials (see for example an ADB publication entitled *Resettlement Policy and Practice in Southeast Asia and the Pacific: Proceedings of Workshops held in Manila and Port Vila 1998*, Manila 1999). She received 3 awards under ADB's President's Performance Recognition Awards Scheme (1999, 2000 and 2002) both individually and as a team member for her contribution to resettlement policy implementation in the context of ADB's operations.

Recent Publications on Involuntary Resettlement

Susanna Price, 2007 "Compensation, Restoration and Development Opportunities: National Standards on Involuntary Resettlement" in Cernea, Michael M. and H. M. Mathur (eds.) *The Resettlement Dilemma: Can Compensation Prevent Impoverishment?* New Delhi: Oxford UP 2007.

Susanna Price and Bettina Gransow (eds), *Turning Risks into Opportunities: Social Assessment Manual for Investment Projects in China* (forthcoming). English language edition. This includes involuntary resettlement policy, principles and practice in China.