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September 2023

Updated

Resettlement Framework





	Resettlement Framework			
	Solid Waste Emergency & Efficiency Project			
	Doc. No.: SWEEP/RF/01	Rev.: 06	Revision Record	

REPORT ISSUE & REVISION RECORD



REVISION RECORD					
Description	Issue	Revision	Date	Changes made	Approved By
Resettlement Framework	01	00	03/11/20	--	-
Resettlement Framework	01	01	15/06/22	--	Syed Nadeem Arif, Project Manager
Resettlement Framework	01	02	26/06/22	Changes made as per discussion with PIU	Syed Nadeem Arif, Project Manager
Resettlement Framework	01	03	14/09/22	World Bank Comments Addressed	Syed Nadeem Arif, Project Manager
Resettlement Framework	01	04	08/10/22	Further changes made as per discussion with PIU	Syed Nadeem Arif, Project Manager
Resettlement Framework	01	05	14/11/2022	Further comments issued by PIU addressed	Syed Nadeem Arif, Project Manager
Resettlement Framework	01	06	14/03/2023	Further comments issued by WB addressed	Syed Nadeem Arif, Project Manager
Resettlement Framework	01	07	05/07/2023	Further comments issued by WB addressed	Syed Nadeem Arif, Project Manager

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ABBREVIATIONS & ACRONYMS

AD	Assistant Director
AP	Affected Person
CLICK	Competitive and Livable City of Karachi
DD	Deputy Director
DMS	Detailed Measurement Survey
ESC	Environment & Social Cell
ESS	Environmental & Social Standards
FGD	Focus Group Discussion
GBV	Gender Based Violence
GoS	Government of Sindh
GRC	Grievance Redress Cell
GRC	Grievance Redress Committee
GRM	Grievance Redress Mechanism
HH	Household
IA	Implementing Agency
IMA	Independent Monitoring Agency
IP	Indigenous People
IR	Involuntary Resettlement
LAA	Land Acquisition Act
LGD	Local Government Department
LRP	Livelihood Restoration Plan
M&E	Monitoring and evaluation
MD	Managing Director
MP	Mitigation Plan
MRF	Material Recovery Facility
NGO	Non-Governmental Organization
P&DD	Planning & Development Department
PAHs	Project Affected Households
PD	Project Director
PDOs	Project Development Objectives
PIU	Project Implementation Unit
RF	Resettlement Framework
ROW	Right-of-Way
RP	Resettlement Plan
SEA	Sexual Exploitation & Abuse
SEPA	Sindh Environmental Protection Agency
SH	Sexual Harassment
SIA	Social Impact Assessment
SSWMB	Sindh Solid Waste Management Board
SWEEP	Sindh Waste Emergency and Efficiency Project
TOR	Terms of References
ULGs	Urban Local Governments
VAC	Violence Against Children
VLA	Valuation of Loss Assets
WB	World Bank
WHO	World Health Organization
WTP	Waste Treatment Plant

Executive Summary

Project Description

The Solid Waste Emergency and Efficiency Project (SWEEP) aims to mitigate the impacts of flooding and COVID-19 emergencies and to improve solid waste management services in Karachi. The project was planned with 3 components:

Component 1: Immediate Emergency Response Interventions (US\$11 million), was intended to support the cleaning of stormwater drains by removing waste obstructing the flow of water and construction of a temporary storage cell for waste and sediments cleared from drains at the Jam Chakro dumpsite. The World Bank and the Government of Sindh agreed in April 2021 that the allocation under Component 1 will not be used to finance any drain cleaning works retroactively or prospectively, or any studies related to the drains. Therefore, these works are not covered under the Updated Resettlement Framework.

Component 2: Development of Solid Waste Management Backbone Infrastructure (US\$84.0 million), will support:

- a. Provision of urgent collection equipment for under-served districts and improvement of designated waste collection points called *kachra kundis*, including: (i) provision of critical equipment to improve occupational safety and collection efficiency, such as personal protective equipment for workers, collection trucks, bins, and containers; and (ii) improvement of up to eighty existing *kachra kundis*.
- b. Construction of a new sanitary disposal cell at Jam Chakro dumpsite
- c. Construction and/or upgrading of transfer stations
- d. Development of long-term waste solutions for Karachi

Component 3: Project Management and Implementation Support (US\$10 million), will support for implementing agencies to manage, implement, and supervise Project activities and investments and training and skill development in the areas of monitoring and evaluation, communication, audits, social and environmental management, engineering, operations and maintenance, and Project management.

Principles and Objectives for Resettlement Preparation and Implementation



The RF sets out policy and operational guidelines pertaining to resettlement policy, principles, objectives, and implementation procedures applicable to any subprojects that may entail involuntary resettlement including impact on livelihood. During implementation, as the subprojects and/or project components are designed and specific information becomes available, Resettlement Plans (RPs) will be prepared for specific investment packages, in accordance with the provisions of the RF.

Social Context and Baseline Conditions

Karachi is the largest and most populous city in Pakistan and seventh largest megacity in the world. According to the 2017 census the population of Karachi was around 16 million, growing at a rate of about 2.49 percent per year. Karachi's population is a diverse mix of various ethnic groups. Karachi stands at number three among all districts of the country in terms of having the least poverty. The metropolis has a poverty ratio of 4.5 percent on the Multidimensional Poverty Index (MPI). The incidence of poverty varies among the administrative subdivisions within the metropolis. There is a large number of slums in Karachi, and it is estimated that 50 percent of Karachi's population lives in informal settlements of various types.

Process for Preparing and Approving Resettlement Plans

Preparation of Resettlement Plans (RP) for specific subprojects with resettlement impacts will require a detailed social impact assessment which will be initiated at early stage as part

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of planning and design of all subprojects. The social impacts assessment will include initial impact assessment, screening of subprojects and census of APs eligible for income restoration measures, and valuation of lost assets. The results of the involuntary resettlement and Social impact assessment will be presented in aggregate form in the subproject Livelihood Restoration Plan (LRP), and impacts inventory linked to respective APs will be annexed to the RP document. The census and inventory of lost assets as well as socio-economic base line of APs will be consolidated and computerized in a database form for each RP.

Estimated Economic Displacement Impacts

Considering the nature of the project, the social risks associated with the project are assessed as *High*. No private land acquisition is planned or anticipated. Under Component 2, the construction of the new landfill Cell at Jam Chakro may pose a risk of livelihood impacts on squatters settled at the Jam Chakro dumpsite, a community of around 723 households (HHs). There may be additional risks of resettlement or livelihood impacts in case squatters are settled on and/or encroachers have extended onto the land for the new landfill at Dhabeji, or treatment infrastructure for non-municipal waste streams.

Eligibility Criteria for Defining Various Categories of Displaced Persons

APs losing structures (residential or commercial), assets, or income, are entitled for compensation and rehabilitation subsidies, including a relocation subsidy, and a business loss allowance. Those informal land users without traditional/recognizable rights and encroachers losing land, will not be entitled to land compensation but will be provided compensation for their assets including structures, businesses and resettlement and rehabilitation assistance as per the entitlement matrix prepared for this RF.

Legal and Policy Framework

This RF is designed per the regulatory framework of Pakistan and the World Bank's Environment and Social Framework (ESF) and ESSs, specifically ESS5. The primary objective of ESS5 is to ensure that APs are assisted to improve, or as a very minimum, restore their former living standards, income earning capacity, and production levels. However, the country's regulation, particularly the Land Acquisition Act (LAA) 1894, does not fully recognize resettlement and rehabilitation of the APs. To bridge such gaps, resettlement principles were developed for the Project and reflected in this RF, particularly the entitlement matrix prepared for this project and discussed later in the document.



Methods of Valuing Affected Assets

Houses and other structures will be valued at replacement cost based on construction type and size of the affected structure and prevalent labor cost in the area. No deductions will be made for depreciation, salvageable materials or transaction costs and taxes. Rates will be evaluated by a valuation committee including representatives of the Project, APs, and relevant line departments to determine replacement cost.

Rehabilitation or replacement of affected structures and utilities (e.g., schools, mosques, electricity poles, etc.) to pre-Project level will be ensured.

Organizational Procedures for Delivery of Compensation and Resettlement Assistance

The Sindh Solid Waste Management Board (SSWMB) will implement SWEEP through an independent Project Implementation Unit (PIU). The PIU is headed by a Project Director (PD) and has technical staff for carrying out core functions of the project. All resettlement planning and implementation tasks will be handled by the PIU, which will have staff to manage resettlement, Social Safeguard, gender, community engagement, environment, and health and safety.

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Implementation Process for Resettlement Implementation and Civil Works

Civil works shall commence, and contractors mobilized only after all APs confirm that full compensation has been received, that they shall not be affected or displaced due to the scheduled works, and the project has taken over the site.

Grievance Redress Mechanism

A Grievance Redress Mechanism (GRM) will be set up under the PIU to address grievances arising from project activities, including any resettlement issues. The purpose of the GRM is to receive, review and resolve grievances from APs and other stakeholders and facilitate the fair implementation of this RF and subproject RPs. Grievances related to gender-based violence (GBV) will be handled as a separate category within the GRM system.

Arrangement of Resettlement Funding

Allocation and provision of financial resources is the responsibility of the SSWMB for effective management of project resettlement requirements, including clearance of public land specified for civil works/construction from encumbrances, establishment of relocation/resettlement sites, payment of compensation for acquired assets, relocation and resettlement costs, and implementation of income restoration measures.

Consultation with Key Stakeholders

The SSWMB will follow a comprehensive consultation, participation, and information disclosure strategy to engage with stakeholders, directly or indirectly involved in the project – including APs, marginalized/vulnerable beneficiary groups, government officials, and civil society, for subprojects identified to have involuntary resettlement impact – during the entire project cycle.

In 2020, limited stakeholder consultations were carried out with community living within the disposal site at Jam Chakro due to the COVID-19 pandemic. Further consultations have been undertaken during the environmental and social impact assessment, including the community living inside the Jam Chakro disposal site, workers of commercial units, staff of a school on site, and shopkeepers.

Monitoring, Evaluation and Reporting

Resettlement tasks will be monitored internally and externally (by independent or third-party monitors). Internal monitoring will include day to day tracking of progress about resettlement planning and implementation activities, including compensation payments, rehabilitation and income restoration measures implemented. The PIU-SWEEP will be responsible for internal monitoring and sharing RP implementation progress, and periodic monitoring, reports with the SSWMB and the World Bank.

Entitlement Matrix

The Eligibility & Compensation Entitlement Matrix prepared for the project is presented ahead in chapter 6.

1. PROJECT DESCRIPTION

Description of the Proposed Project Components

1. The city of Karachi generates more than 10,000 metric tons of municipal solid waste every day. Around 80 percent of this waste is collected and transported to two dumpsites, Jam Chakro and Gond Pass. Most of the waste collected in various districts of the city is taken to the Jam Chakro Landfill site whereas the remaining waste is being openly dumped in Gond Pass Landfill. The average daily waste quantity being received at Jam Chakro Landfill is 5,500 to 6,000 tons per day on average.

2. Uncollected municipal waste has decreased the operating capacity of much of the urban infrastructure and contributes to persistent flooding. The environmental and human health implications are severe, feeding into the prevalence of water-borne diseases. Several studies have underscored the importance of adequate Solid Waste Management (SWM) to improve livability and competitiveness of Karachi as a first world mega city.

3. The Government of Sindh is receiving support from the World Bank towards prioritized interventions in SWM. The support includes (i) technical assistance activities focused on upstream policy and regulatory work, institutional capacity strengthening of the Sindh Solid Waste Management Board (SSWMB), development of sector strategies and public awareness, as well as (ii) incremental upgrades to the infrastructure involved in the collection, transfer, final disposal, and treatment of solid waste in Karachi.

4. The Solid Waste Emergency and Efficiency Project (SWEEP), with SSWMB as the implementing agency (IA), focuses on SWM services throughout Karachi. SSWMB has established a Project Implementation Unit (PIU) under a government-appointed Project Director, with technical resources for engineering, environmental and social management, procurement, financial management, and other key functions. The project will be implemented as per the World Bank's Environmental and Social Standards (ESS).

5. SWEEP aims to mitigate the impacts of flooding and COVID-19 emergencies, and to improve solid waste management services in Karachi. The Project was designed with three components, which are described below:



Component 1: Immediate Emergency Response Interventions (US\$ 11 million)

6. Interventions under the emergency component aimed to mitigate high flooding risk for the 2020 monsoon through financing labor intensive emergency works for cleaning of solid waste from stormwater drains in Karachi. The World Bank and the Government of Sindh agreed in April 2021 that the allocation under Component 1 will not be used to retroactively, or prospectively finance any drain cleaning works or any studies related to the drains. Therefore, these works are not covered under the Resettlement Framework.

Component 2: Development of SWM Backbone Infrastructure (US\$ 84 million)

7. SWEEP will finance core investments in infrastructure, along the SWM value chain, to provide end-to-end solutions to the management of solid waste in the short to medium term. The proposed project will build on institutional strengthening and technical assistance activities provided under CLICK to support the development of environmentally, socially, and financially sustainable alternatives for Karachi, bringing in public and private sector stakeholders. The modernization of the SWM system will be achieved through a series of incremental improvements, as described below:

Subcomponent 2.1: Urgent Collection Equipment for Under-served Districts and Improvement of Kachra Kundis (US\$ 10 million)

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8. *Provision of Equipment:* The proposed project will support the provision of critical equipment to improve occupational safety and collection efficiency. Equipment will include, inter alia: (a) PPE and light equipment for workers; (b) collection trucks; and (c) bins and containers to improve collection efficiency and properly service the network of kachra kundis.¹ The equipment procurement will be complemented by a focus on: (a) assuring an operational model is in place to manage and maintain the equipment; and (b) assuring mechanisms are in place to fund the operation and servicing of the equipment. Equipment will also be acquired by the SSWMB to improve associated operations (such as transfer sites). Contracts for procurement of equipment will include a stock of spare parts, training of mechanics at each depot, and an adequate maintenance and service period.

9. *Improvement of Kachra Kundis:* The project will finance the upgrading of approximately 30-80 kachra kundis to improve waste collection services. The location of interventions will be finalized based on need and consultations with nearby residents, particularly in underserved and flood-prone areas. The designs of kachra kundis will be customized to each location to maximize operability by relevant operational staff and contractors.

Subcomponent 2.2: Construction of new sanitary disposal cell at Jam Chakro Dumpsite (US\$ 20 million)



10. This subcomponent will support, *inter alia*, the construction of a new sanitary landfill cell within the Jam Chakro dumpsite, improved safety measures for the dumpsite, rehabilitation of areas that have reached capacity, and improved living conditions and livelihoods for the community of waste pickers residing within the dumpsite. Specifically, the subcomponent will finance the following:

- (a) *Design and construction of a new landfill cell* on underutilized available land within the perimeter of the Jam Chakro dumpsite. The new landfill cell will provide Karachi with modern disposal capacity for the next three to four years, based on current incoming volumes.
- (b) *Measures to improve safety and environmental performance of the dumpsite*, including, inter alia: (i) construction of a perimeter fence/wall to limit intrusion and restrict waste deposits within site limits; (ii) stabilization of areas at risk of collapse by unstable slopes; (iii) retrofitting access gate, weighbridge and offices for better control of incoming flows; (iv) construction of test wells to monitor potential groundwater contamination; and (v) fire extinction activities to stop constant burning and re-ignition through covering or cooling.
- (c) *Progressive closure and rehabilitation of areas that have reached capacity*, through standard methods to progressively reduce impacts associated with the operation of Jam Chakro.
- (d) *Community Support Plan for waste pickers living at Jam Chakro.* There is a settlement within the dumpsite and mostly earning livelihood from scavenging activities. In the immediate instance, the project will aim to improve occupational safety as well as livelihoods restoration, starting with safe and efficient sorting conditions, such as those that will be provided at the Material Recovery Facility (MRF). In the medium to long-term, investments such as water supply, sewerage, and street pavement to improve living standards for the community will be developed and implemented.

Subcomponent 2.3: Construction/ Upgrading of Transfer Stations (US\$ 20 million)

11. The proposed project will finance the construction or upgrading of up to six modern garbage transfer stations (GTS). The SSWMB currently operates several basic transfer sites. The current network of transfer sites is insufficient, entailing large accumulations of waste

¹ *Kachra kundis* are designated waste collection points consisting of basic concrete slabs with minimal confinement, where waste accumulates awaiting collection

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across the city. The development of adequate transfer capacity is essential to improve the efficiency of the overall system including costs, environmental and social impacts, and general quality of service. The project will also support the development and implementation of an appropriate operating model for the operation and maintenance of these sites, likely with private sector participation. The following sites have been proposed, where environment and social impact assessment (ESIA) and engineering design and supervision studies will be conducted. The location of these sites is shown on a map at Annexure 1.

1. GTS Dinga Morr – Gulberg Zone – District Central
2. GTS Mewa Shah – SITE Zone – District West
3. GTS Gutter Baghicha – SITE Zone – District West
4. GTS Imtiaz – Korangi Zone – District Korangi
5. GTS Sharafi Goth – Landhi Zone – District Malir
6. GTS Sohrab Goth – Gulshan Zone – District East



Subcomponent 2.4: Development of Long-Term Waste Solutions for Karachi (US\$ 34 million)

12. The project will support the development of long-term waste solutions for Karachi, which address the limited capacity remaining at existing disposal sites. The project may consider multiple operating models making use of project financing, private capital, or public private partnerships. A top priority will be the construction of a new sanitary landfill site for Karachi. GoS has designated a 3,000-acre site in Dhabeji, about 60 kilometers east of Karachi, for the development of an integrated waste treatment facility. The project will finance the planning, design, and construction of a modern facility, with adjacent activities to sort, process, and extract value from the waste.

13. In addition to constructing the landfill, the project will provide support including planning, feasibility studies, engineering designs, development of business and operating models, and advisory services for the preparation of a larger ecosystem of waste treatment solutions. These solutions will aim to maximize waste volumes to be reused or recycled, generate energy from specific waste streams, while preparing the remaining fraction for final disposal at the landfill. The development of this ecosystem will require a combination of private and public investments. The project may support the design and construction of solutions to improve treatment of non-municipal waste streams such as medical waste and/or construction and demolition (C&D) waste by supporting, inter alia: (a) Assessment of existing systems for collection, transport and disposal of medical and C&D waste streams; (b) Identification of gaps to be addressed through investments in technologies and management modalities; (c) Development of service improvement plans needed to build end-to-end solutions for each stream, and policy recommendations on regulation and tariffs for generators; and (d) Identification of priority investments, including technical specifications for transport, treatment and disposal solutions, optimal locations for facilities, contractual arrangements, etc. Operating models for such investments will also include private sector participation for provision of services and operations & maintenance of assets.

Component 3: Project Management and Implementation Support (US\$ 10 million)

14. This component will support the SSWMB and its PIU to manage and implement activities and investments under SWEEP. The component will support skillsets and resources to manage the PIU's workload and associated expenses related to managing procurements, contract supervision, and oversight of infrastructure investments. In particular, the component will finance consultancies for environment and social assessments and instruments, monitoring implementation of safeguards plans, and resettlement aspects. Other consultants for feasibility studies, engineering design and supervision, and contractors for infrastructure works will be financed under the different components. In addition, this component will finance interventions such as trainings and skill development in the areas of monitoring and evaluation, communication, audits, social and environmental management, engineering,

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operations and maintenance, and project management. The component will cover costs related to skilling and capacity building requirements of SSWMB’s staff and engineers, related to operations and maintenance of infrastructure commissioned under SWEEP, per international standards and design specifications. GoS’ financing under the component will be used for salaries for civil servants posted in the PIU, and compensation for resettlement impacts related to civil works.

Need for Resettlement Framework

15. This RF has been prepared by the SWEEP PIU of the SSWMB and is designed in accordance with the World Bank Policy under the Environmental and Social Framework (ESF) and applicable laws and regulations of Pakistan and the Sindh Province. Subsequently, the pertinent guidelines contained in ESS5 (Land Acquisition, Restrictions on Land Use, and Involuntary Resettlement) serve as the basis for the preparation of this document².

16. The project does not involve any private land acquisition. However, there may be a potential need for resettlement of, and/or livelihood impacts on, squatters and/or encroachers. As the exact location and design of investments under SWEEP was not known by project appraisal, hence a draft Resettlement Framework (RF) was developed and disclosed in November 2020, based on information available at the time of project appraisal, in line with ESS5. The Environment and Social Commitment Plan (ESCP) for SWEEP requires that the draft RF is updated and redisclosed using additional information that becomes available and after further consultations.

17. The updated RF (the current document) has been revised in line with the information available on the subprojects along with their potential resettlement impacts. At the moment, engineering design and environmental and social impact assessment (ESIA) work is underway for the first phase of investment subprojects under SWEEP, which includes the sanitary disposal cell (subcomponent 2.2) and improvement of waste transfer stations (subcomponent 2.3). The detailed planning of other investment subprojects—such as the landfill cell at Dhabeji as well as potential investments in the improved management of medical, industrial or other waste streams—has not commenced till date, which means that the exact location of infrastructure and detailed environmental and social data for these subprojects are not yet available.

18. The RF sets out policy and operational guidelines pertaining to resettlement policy, principles, objectives, and implementation procedures applicable to any subprojects that may entail involuntary resettlement including impact on livelihood. During implementation, as the subprojects and/or project components are designed and specific information becomes available, Resettlement Plans (RPs) will be prepared for specific investment packages, in accordance with the provisions of the RF.

² Where the likely nature or magnitude of the land acquisition or restrictions on land use related to a project with potential to cause physical and/or economic displacement is unknown during project preparation, the Borrower will develop a framework establishing general principles and procedures compatible with this ESS. Once the individual project components are defined and the necessary information becomes available, such a framework will be expanded into one or more specific plans proportionate to potential risks and impacts.

2. PRINCIPLES AND OBJECTIVES OF RESETTLEMENT PREPARATION AND IMPLEMENTATION

The Resettlement Framework (RF)

19. This RF has been prepared by the SWEEP PIU of the SSWMB and is designed in accordance with the World Bank Policy under its Environmental and Social Framework (ESF) and applicable laws and regulations of Pakistan and the Sindh Province. It chalked out the policy and operational guidelines pertaining to resettlement policy, principles, objectives, and implementation procedures. The legal, institutional and implementation framework for the compensation of lost assets, livelihoods, community property, resettlement and rehabilitation of project affected people are outlined in the RF. particularly, the eligibility criteria for APs, entitlements, modes of compensation and rehabilitation, participation and consultation procedures and grievance redress mechanism (GRM) are defined. In accordance with ESS-5, a RP is required for each subproject involving resettlement irrespective of scale and magnitude of impacts. The RP will cover economic and physical impacts that may result from the subproject and establish the detailed compensation and administration budgets, as well as an implementation schedule linking resettlement tasks to the inception of civil works. The RPs will be prepared in accordance with the principles included in this RF.

Principles and Objectives

20. ESS-5 recognizes that project-related land acquisition or restrictions on land use can have adverse impacts on communities and persons. Project-related land acquisition or restrictions on land use may cause physical displacement (relocation, loss of residential land or loss of shelter), economic displacement, leading to loss of income sources or other means of livelihood), or both. In line with ESS³, the principles and objectives of this RF are to:

- i. Avoid involuntary resettlement or, when unavoidable, minimize involuntary resettlement by exploring project design alternatives.
- ii. Mitigate unavoidable adverse social and economic impacts from restrictions on land use by a) providing timely compensation for loss of assets at replacement cost, and b) assisting displaced persons in their efforts to improve, or at least restore, their livelihoods and living standards, in real terms, to pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher.
- iii. Establish entitlements of all categories of affected persons (APs), for both physical displacement and livelihood impacts, and, to ensure that these are provided in a transparent, consistent, and equitable manner.
- iv. Focus on gender aspects and the needs of vulnerable segments of communities
- v. Ensure that resettlement activities are planned and implemented with appropriate disclosure of information, meaningful consultation, and the informed participation of those affected.
- vi. Institute and ensure access to grievance redress mechanism throughout the planning and implementation of the resettlement process.

³ For further details on ESS5 refer to the ESF
<http://pubdocs.worldbank.org/en/837721522762050108/Environmental-and-Social-Framework.pdf>

3. SOCIAL CONTEXT AND BASELINE CONDITIONS

Overview

21. Karachi is the capital of the province of Sindh, a dynamic, thriving, and multifaceted megacity spreading over 3,530 square kilometers. Karachi is the largest and most populous city in Pakistan and 7th largest megacity in the world. According to the 2017 census the population of Karachi was around 16 million, growing at a rate of about 2.49 percent per year. Karachi Division has seven districts, and of these, East, West and Malir report substantially higher annual growth rates and high sex ratios indicating that there has been substantial in-migration to these districts. Between 1951 and 2017, Karachi has grown over 13 times, slightly higher than the urban growth in Pakistan.

22. Karachi’s population is a diverse mix of various ethnic groups. Karachi stands at number three among all the districts of the country in terms of having the least poverty. The metropolis has a poverty ratio of 4.5% on the Multidimensional Poverty Index (MPI). The incidence of poverty varies among the 18 towns and the cantonment areas within the metropolis. According to one estimate, there are 600 slums in Karachi and 50 percent of Karachi’s population lives in informal settlements of various types.

23. Karachi is the financial capital of Pakistan and generates a significant part of the total national revenue. At the provincial level, the city’s share of provincial tax receipts is as high as 70%. Karachi’s large-scale industrial sector employed 72.7% of the labor force and produced 74.8% of the total large-scale output of the province. In 2017, Karachi’s literacy rate was 87 percent and in the national ranking Karachi stood at 59 in terms of school infrastructure and availability of facilities. Overall literacy rate in informal settlements or *katchi abadis* was 71 per cent with a significant gender gap of 76 per cent for males and 66 per cent for females. In comparison to the rest of Pakistan, Karachi has a high Human Development Index (HDI) and is number four in the national HDI ranking. The current infant mortality rate under 5 years [per 1000 live births] has improved to 59 and the maternal mortality to 180.

24. As one of Pakistan’s fastest growing metropolises, Karachi is challenged by increasing demand for water and sanitation, solid waste management, and other municipal services, particularly in *katchi abadis* which face severe challenges for service delivery. Solid waste management (SWM) has become a challenge for city authorities, which struggle to deal with escalating waste production. Statistics indicate that Karachi generates approximately 10,000 tons of solid waste daily⁴. Inadequate SWM is causing the spread of infectious diseases and environmental pollution. Sustained exposure to contaminated and stagnant waters results in significant increase in numbers of people affected by water-borne or insect-borne diseases.

Proposed Subproject Sites

25. In view of information currently available from SSWMB, social baseline conditions of the following potential subproject sites are provided below.

Jam Chakro Dumpsite

26. Jam Chakro is located in Bund Murad, Mangho Pir, Gadap Town, and District Karachi West. The total land area at Jam Chakro disposal site is approximately 500 acres. At the

⁴ Lodhi, F. (2022). (rep.). Report on Environmental Compliance by Sindh Solid Waste Management Board (SSWMB) (pp. 1–16). Karachi, Sindh.

dumping site, there are two settlements, Haji Ibrahim Goth and Haji Umar Goth. According to a census survey of HHs carried out in August 2022, there are approximately 723 households at the site. A sizable number of people residing in the settlements are religious minorities and belong to the Hindu community. Most community members are uneducated.

27. The majority of people living at Jam Chakro, including women, are involved in waste picking for purposes of livelihood. A small percentage also work as daily wage labor. Almost all the households fall below the poverty line. Drinking water is not available in adequate quantity as the ground water in the area is brackish. In the project area people mostly use canal water which is brought from the Hub Canal for drinking purpose and a few households purchase water supplied through the tankers which is more costly. There is a small secondary school in the area, established by a welfare trust, which has been functioning for almost 12 years. The communities also have a graveyard situated near the settlement.

28. The settlements are in poor and shabby conditions, almost all houses are huts made up of rugs or mats, hardly any concrete structure is found. Being inside the dumping site, foul smell, flies, rodents, and leachate makes the environment horrible and unlivable. Risk of fire is always present as they live around the burning trash. Health facilities are absent in the community, where a doctor visits seldom to tend to the people in the area. There is one school in the area, run by an NGO, the *Idara Al-Khair*, who provides education to the children in the area, free of cost.

Kachra kundis in Karachi City

29. The project interventions also include construction and rehabilitation of new and existing *kachra kundis* (communal waste collection points) respectively, where approximately 30-80 *kachra kundis* have been planned under this subproject. The locations of these *kachra kundis* are not finalized yet. Waste picking at these points is done by vulnerable and poor groups, also including women and children. The waste pickers are mobile and move along different collection points to recover recyclable material which they take to commonly owned junk yards for further processing.



Construction/Upgrading of Transfer Facilities

30. The project will finance the construction of six modern transfer stations. Currently, SSWMB operates several solid waste transfer stations, or Garbage Transfer Stations (GTSs), across Karachi. In addition to the disposal site, the construction and/ or upgrading of transfer stations is also planned under SWEEP.

31. Dinga Morr, Mewa Shah, Gutter Baghicha, Imtiaz, Sharafi Goth and Sohrab Goth are the six GTSs planned for upgrading. The land at all these sites is under government ownership and SSWMB is already using these sites for solid waste management operations.



Proposed Waste Treatment Plant at Dhabeji

32. A site with a total area of 3,000 acres has been designated by the GoS in Dhabeji, about 60 km east of Karachi, for the development of waste treatment activities. This land is owned by the GoS and is currently not under any land use. The project will support the design and construction of an integrated facility for treating municipal waste at Dhabeji. Subproject area of impact will depend on design of the facility and is expected to be much smaller than the overall government land holding at this site. If the ESIA for this subproject indicates that there is encumbrance on the land required for the subproject, a detailed assessment will be done as part of the preparation of a corresponding RP.

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Development of solutions to improve treatment of non-municipal waste streams

33. The project will potentially support design and development of solutions to improve treatment of non- municipal waste streams such as medical, industrial, or construction waste. This will involve: a) an assessment of existing systems for collection, transport and disposal of various waste streams; b) identification of key gaps to be addressed through improving processes, investments, and technological solutions; c) development of service improvement plans needed to build fully functional solutions for specific streams; and d) identification of priority investments, including technical specifications for transport and disposal solutions, optimal locations for facilities, and contractual arrangements.. The project will support implementation of the plans through financing priority investments.

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4. PROCESS FOR PREPARING AND APPROVING RPs

34. ESS-5 elucidates that the subprojects or components designed under SWEEP will be subject to land acquisition or restriction on land use may cause physical displacement or economic displacement of people. This framework provides the requirement for screening, assessing and processing of resettlement issues in the early stage i.e., in the planning phase of subprojects and how to mitigate the adverse impacts of resettlement, relocation or the loss of livelihood. The displaced / affected persons and families should be identified at the stage and adequately integrated as part of the subproject.

35. Resettlement shall be based on the following principles:

- identify possibility of land acquisition and resettlement or relocation during screening of subprojects under social impact assessment (SIA) to be part of main ESIA study (involuntary resettlement checklist is attached in Annex II);
- avoid or minimize physical displacement through change in location or design of the subproject sites, where possible.
- if resettlement is unavoidable, prepare a Resettlement Plan (RP) or Simplified Resettlement Plan (SRP) in line with ESS-5 and LAA 1894.
- ensure APs are clearly identified including those with no formal rights.
- undertake meaningful consultation with affected persons (APs).
- restore their livelihood- if, as per ESS-5, the subproject activities involve only economic displacement or significant impact on the livelihood of affected persons, a Livelihood Restoration Plan (LRP) will be developed (the basic requirements of LRP are attached in Annex V).
- pay compensation in time before land is acquired, with authenticated process of disbursement and;
- disclose all relevant information to the APs.



36. No private land acquisition is currently planned or anticipated under the project. This section aims to address potential situations where a need for resettlement of, and/or livelihood impacts on, squatters and/or encroachers, is identified when planning a subproject.

Social Impact Assessment (SIA)

37. Social Impact Assessment Preparation of RP for specific subprojects with resettlement impacts will require a detailed social impact assessment which will be initiated at an early stage as part of planning and design of all subprojects to be implemented. The social impact assessment will include initial social impact assessment, social screening of subprojects, a detailed measurement survey (DMS), census of APs, a socio-economic survey (SES), and valuation of lost assets (VLA). The results of the Social Impact Assessment will be presented in an aggregate form in the RPs, and impacts inventory linked to respective APs will be annexed in the RP document.

Involuntary Resettlement (IR) Screening

38. An IR screening will be undertaken for each proposed subproject once engineering designs are ready to assess the impacts on people. This screening will assess if IR impacts or any restrictions on land use necessitate the preparation of a RP or an SRP or LRP. The instruments will be identified through the IR Screening checklist under SIA.

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Mitigation of Impacts

39. The project will endeavor to avoid resettlement by changing the subproject site locations. If unavoidable, a RP or ARP shall be prepared in line with this RF, ESS5 and LAA (1894) and will cover all resettlement related impacts. The RP/ARP shall be implemented and monitored by the project proponent before contractor mobilization or physical works commencement.

RP/SRP Preparation

40. The RP or SRP preparation activities are initiated as part of the preparation of proposed subprojects involving resettlement, relocation or livelihood related impacts. The procedure is to take the land requirements for each subproject and carry out a measurement survey and enumeration. The PIU social safeguard staff or Environment and Social (E&S) Supervisory Consultants will acquire map of the land from the Revenue Department and overlay subproject site requirements with clear demarcation of government / private land, and also carryout demarcation on the ground in the presence of local community representatives in a transparent manner to avoid any confusion. The appraisal will entail the following studies and investigations:

Socioeconomic Survey

41. A socioeconomic survey will be carried out to provide a detailed socioeconomic profile of the population in the subproject areas. The information gathered will include but not be restricted to the following aspects:



- a. household composition;
- b. demography and ethnicity;
- c. health and education;
- d. community assets;
- e. livelihood patterns and income baseline;
- f. land ownership patterns;
- g. affected persons income levels and expenditure patterns;
- h. affected persons views on the subproject and various resettlement and rehabilitation options;
- i. specific impacts on the poor, women and other vulnerable groups.

Census Survey

42. A census of all the affected persons/households to be displaced or resettled will be undertaken based on the categorizations in the entitlement matrix. The Census will determine the exact number of AHs/APs and how they will be affected by the specific impacts of a subproject. The Census will also identify all severely and vulnerable AHs.

Detailed Measurement Survey (DMS) and Valuation of Lost Assets

43. This task will be based on a Detailed Measurement Survey (DMS) and valuation of lost assets (VLA) which identifies the nature and magnitude of loss. The survey will include all losses including encroached land (residential and agricultural), immovable structures, communal, public and cultural/religious facilities, crops, trees and business incomes and wages. The DMS will also include a survey of compensation rates as detailed above and also the incomes of the AHs. The DMS will provide the basis of impact assessment and will be included in the RP or ARP. The DMS may need to be updated once the final and detailed engineering designs are completed.

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44. As a part of the resettlement planning process, an assessment of replacement costs or asset valuation will be carried out through a committee including representatives of SSWMB, APs, and relevant line department. This will be based on preliminary engineering/technical designs of the subproject.

Resettlement Database

45. Once DMS and valuation of assets is completed, the APs census data will be updated by incorporating entitled compensation costs for the acquired assets and applicable relocation, rehabilitation, and income restoration costs applicable against each acquired asset and affected livelihood and payable to the respective APs. The updated census inventory of lost assets and affected livelihoods as well as socio-economic baseline of APs will be consolidated and computerized in a database form for each subproject RP or ARP. This database will be used as baseline for subsequent implementation and monitoring of subproject RPs or ARPs. This database will be kept updated by incorporating information on compensation payment against each paid AP for day-to-day tracking of RP or ARP implementation progress and generating periodic RP or ARP implementation progress and social monitoring reports to facilitate efficient safeguards management and monitoring of RP or ARP implementation progress.

Gender Impacts, Social Inclusion and Mitigation Measures

46. RP will include measures ensuring that the socio-economic needs and priorities of women are identified, addressed, and mitigated. The following gender provisions will be incorporated to safeguard the specific needs and problems of women displaced persons during subproject implementation. The socio-economic data gathered will be gender-segregated. Female staff will be hired to collect data and assist women in resettlement activities. Female household heads will be registered as the recipients of compensation and rehabilitation measures due to their households. Women will be included in the consultation process through meetings held with women and will be encouraged to participate in the RP planning and implementation process.



RP Preparation

47. All RPs will be based on the provision outlined in this RF. The RPs may need to be updated to take into account changes in the final site locations. If needed, the RPs should be updated (i) on finalization of subproject site location and (ii) during the subproject operations (imparting training packages) where changes result in changes to the resettlement impacts.

Information Dissemination Relating to IR and Mitigation Measures

48. The PIU will disseminate all information relevant to the involuntary resettlement impacts that include the orientation on potential social and environment impacts of the project, results of social impact assessment, measures to mitigate the impact, meaningful consultations, eligibility, entitlements, cut-off date, RP disclosure, grievance redressal mechanism, unit costs for compensation, resettlement and rehabilitation assistance, RP implementation procedures, institutional responsibilities of RP implementation, time frames, cost estimates, monitoring, and the resettlement planning process. During RP preparation, resettlement information will be disclosed to all APs in their own language, and their views and opinions will be taken into consideration in finalizing the plans.

RP/ARP Approval

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49. Land will not be possessed until all RPs/SRPs are approved for implementation by the Local Government Department being the competent authority and the World Bank, payments made, replacement land found, replacement structures provided, and displaced persons relocated. All RPs/ARPs are subject to final review and approval by the World Bank in order to ensure compliance with Bank safeguards. At its sole discretion the World Bank may delegate through the Government to the Local Governments this responsibility to ensure compliance with the provisions in this RF after it is satisfied that effective monitoring of this process is in place.

5. ESTIMATED DISPLACEMENT IMPACTS

Potential Resettlement Impacts

50. The project is not likely to require any private land acquisition. The Jam Chakro dumpsite is owned by the SSWMB. This component will entail potential livelihood impacts for 723 households⁵ living and 63 commercial and institutional ventures operating at the Jam Chakro dumpsite for almost three decades as squatters without legal ownership. These households mostly earn a living from collecting and selling recyclables from the dumpsite. Many of them are women, children, elderly, unemployed, who work under unhealthy conditions with no social protection and often face social exclusion. These informal workers live in makeshift/improvised shelters on the dumpsite land. They have limited access to basic services, while facing high risks from health and safety hazards. A livelihoods restoration plan (LRP) will be required to address any livelihoods impacts under this subcomponent. The information about adverse economic impacts on affected person will be finalized during the preparation of the LRP for corresponding civil works at Jam Chakro.

51. The project also includes the construction of modern garbage transfer stations (GTSs) to improve the efficiency of front-end SWM operations. The locations of GTSs proposed are at six different sites in Karachi, i.e., Dinga Morr, Mewa Shah, Gutter Baghicha, Imtiaz, Sharafi Goth and Sohrab Goth. These interventions may have limited livelihood impacts and, if so, would be covered through livelihoods restoration measures.

52. The project may also finance the upgrading of existing *kachra kundis* (communal waste collection points) and the construction of some new points at appropriate locations. The locations of potential interventions will be planned based on need and consultations with nearby residents, particularly in underserved and flood-prone areas. No physical displacement risk is associated with the rehabilitation and or construction of *kachra kundis*.



53. The project will also support the design and development of a landfill site, likely within a site designated by the GoS in Dhabeji. This subproject's area of impact will depend on the design of the facility and is expected to be much smaller than the overall government land holding of around 3,000 acres, which is reported to be free from all encumbrances. A due diligence of the proposed site will be carried at the detailed design stage before implementation, and if required, an RP will be prepared in accordance with this RF.

54. Similarly, the project may also finance the development of treatment infrastructure for non-municipal waste streams. The location of this infrastructure is not yet known. However, if required, RPs will be prepared in accordance with this RF to address any livelihood / physical displacement impacts.

55. The SSWMB's overall approach towards investment selection is that resettlement impacts will be avoided or minimized as far as possible through the selection of design alternatives. The detailed scoping activities will be conducted to avoid all potential resettlement impacts of the subprojects at critical locations. The updated RF has made use of additional information available for the landfill cell planned at Jam Chakro and proposed sites for GTSs to further assess of potential project impacts. More detailed information will become available for these and other subproject sites and will be included in subproject RPs.

Gender and Vulnerability Impacts

⁵ As per the Census Survey of Jam Chakro conducted by EMC Pakistan in August 2022

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56. The following provisions for gender and vulnerable groups are stipulated to guarantee a clear understanding and due consideration of the specific needs and problems of women and other vulnerable APs and to provide necessary safeguards during subproject implementation:

- In the design of subprojects particular attention will be paid to the development needs and priorities voiced by women and vulnerable respondents during consultations in all phases of the project.
- The consultation process will ensure that women's perspectives are obtained, and their interests are factored into all aspects of resettlement planning and implementation.
- Access for women and vulnerable APs to project related employment opportunities and targeted needs-based special assistance and provision of alternative and suitable livelihoods will be guaranteed as far as possible.
- The livelihood planning will provide special assistance to women, minorities or vulnerable groups who may be disadvantaged in securing alternative livelihoods.
- Intra-household gender analysis will be carried out. Women's and men's preferences in terms of compensation mechanisms, e.g., replacement land rather than in cash, shall be explored.
- Women will receive compensation pertaining to their economic activities in their name.
- Resettlement assistance and compensation payments will be issued in the joint names of both spouses, or single heads of households as relevant
- Social Development will include activities such as skills training, and job opportunities, will be given preference to women and vulnerable APs as per the adaptability and their needs.
- Women will be included in the participation and consultation process in a manner suitable and accessible by women.
- Due consideration will be given to complaints and grievances lodged by women APs.
- The project will also ensure the inclusion of at least one female representative in the Grievance Redress Committee and GRM at every site.

6. ELEGIBILITY CRITERIA FOR DEFINING VARIOUS CATEGORIES OF DISPLACED PERSONS

Compensation Eligibility

57. Each AP will be enlisted and issued identification as to confirm his/her presence on the proposed site of a subproject prior to the cut-off date at the time of RP preparation. The cut-off date will be disclosed to the APs through consultative meetings, focus group discussions, field surveys and other means of communication including face-to-face communication with communities. The disclosure of cut-off date will be formalized through documentation of consultation meetings and disclosure reports.

Cut-off Date

58. The eligibility for compensation will be limited to the cut-off date announced by PIU SWEEP/SSWMB immediately prior to the start of the census/ inventory survey for each subproject that involves resettlement impacts. The cut-off date shall be set and announced to prevent influx of outsiders and to avoid false and frivolous claims for compensation, relocation, and rehabilitation entitlements. Information regarding the cut-off date will be well documented and will be disseminated throughout the project area at regular intervals in written and (as appropriate) non written forms and in relevant local languages. This will include posted warnings that persons settling in the project area after the cut-off date may be subject to removal.

Eligibility

59. In line with the laws and regulations of Pakistan and ESS-5, all resettlement tasks of the project will be implemented in accordance with the eligibility and entitlement framework detailed in the entitlement matrix (discussed later in this document). Each subproject RP will list the actual compensation measures adopted based on the entitlements stipulated in the RF. People affected by a subproject under SWEEP are eligible for resettlement compensation or at least rehabilitation entitlements for their loss of assets and incomes as follows:

- i. Who have formal legal rights to land or assets;
- ii. Who have no formal legal rights to land or assets, but have a claim to land or assets that is recognized or recognizable under national law; or,
- iii. Who have no recognizable legal right or claim to the land or assets they occupy or use.



60. SSWMB is not required to compensate or assist those who encroach on the project area after the cut-off date for eligibility, provided that cut-off date has been clearly established and made public.

Entitlements

61. The following entitlements are stipulated for the compensation of lost structures and utilities and livelihoods, as well as for special provisions for women and other vulnerable APs. The valuation methodology to be used will be based on the replacement costs (market rate plus transaction costs).

Residential and commercial structures

62. Any loss of residential, commercial structures and utilities including, among others, houses, business premises will be compensated as follows:

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- i. House for house compensation as per the industry standards, in line with international good practice is the preferred option, as it has significant advantages, that it reduces the chance of displaced people squandering their compensation on items that will not provide them with an alternative housing facility. In this regard non-titled squatters, most preferably, will be compensated through fully titled and registered adequate housing on secured tenure basis in a resettlement site, if one is developed for the project, or another location agreeable to the AP; OR,

In the event provision of housing is not feasible (e.g. due to non-availability of land, economic constraints etc.) for the loss of a structure or utility, non-titled owners, including encroachers/squatters, would be entitled to cash compensation at the full replacement cost for the affected structure and other fixed assets without deductions for salvage materials, depreciation and transaction cost.

- ii. Owners of affected structures, including encroachers/squatters, will also be allowed to take and reuse salvageable materials for building or rehabilitation of structures.

Communal, public, and cultural structures and utilities

63. Any lost/affected communal, public, and cultural structures and utilities, including, schools, mosques, graveyards, and other affected assets, will be restored at the relocation sites. The relevant government department is to be informed and involved as necessary, where if the Project is deemed responsible for this restoration, then the department will be taken onboard for the operation of the specific facility. All relocation and rehabilitation provisions of this RF are applicable to public services and facilities.

Livelihood restoration

64. Detailed livelihood restoration plans (LRPs) will be included in the resettlement plans for subprojects or be prepared as standalone plans in case there are no other resettlement impacts. The LRPs will include measures to allow all affected persons, who experience adverse livelihood impacts, to be provided opportunities to improve, or at least restore, their means of income-earning capacity, production levels, and standards of living. Cash assistance alone will not be adopted (unless there is justification in certain cases, acceptable to the project) as it is established that cash assistance alone frequently fails to provide affected persons with the productive means or skills to restore livelihoods.

65. Transitional support will be provided as necessary to all economically displaced persons, based on a reasonable estimate of the time required to restore their income-earning capacity, production levels, and standards of living. Measures shall be taken that any investment intervention under the project may give all possible opportunity of employment to vulnerable groups whose income is being affected.

66. Particular attention will be paid to gender aspects and the needs of vulnerable segments of communities who may be disadvantaged in securing alternative livelihoods, and a vulnerability allowance will be determined and provided to such groups. For the purposes of the project, vulnerable groups may comprise, inter alia: identified APs earning less than the minimum wage for unskilled workers in the province (as determined by the Government of Sindh); women-headed households; the elderly; differently abled; working children and adolescents; or any other APs as identified through the ESIA. This categorization will be refined and finalized, in light of further assessment, when the RPs are prepared.

67. All poor, and vulnerable APs, especially women, will be given priority for employment in long-term waste collection, material recovery, waste treatment or waste disposal operations managed by under SWEEP, either directly or through contractors, and will be provided the

requisite training to avail such opportunities. Such longer-term employment may also be in lieu of compensation for livelihood impacts and/or vulnerability allowance. In addition, provision related to preference for project-related employment during the construction phase will be reflected in the civil works contracts as well as the agreements between the SWEEP PIU and the World Bank.

68. Un-interrupted access to business premises in the project area (e.g., during construction activity) will be ensured in consultation with the APs. If this cannot be ensured, compensation for temporary loss of livelihood will be provided. Details will be included in the detailed, site-specific resettlement/ livelihood restoration plans that will be developed for each sub-project.

Resettlement and Relocation Assistance

69. All APs will be provided assistance for relocation and resettlement (as required) to cover cost of transportation, relocation assistance, and security of tenure at relocation sites.

Entitlement Matrix

70. In line with the laws and regulations of Pakistan and the World Bank ESS5, all resettlement tasks of the project will be implemented in accordance with the eligibility and entitlement framework detailed in the **Table 1**. Each subproject RP will list the actual compensation measures adopted on the basis of the entitlements stipulated in the project RF.

Table 1 - Eligibility & Compensation Entitlement Matrix*

Type of Loss	Specification	Eligibility	Entitlements
1. STRUCTURES			
Residential	Partial Loss of Structure	Owner (non-titled land user)	<ul style="list-style-type: none"> • Cash compensation for affected structure (considering functioning viability of remaining portion of partially affected structure) for its restoration to original use at full replacement cost computed at market rate for materials, labor, transport, and other incidental costs, without deduction of depreciation • Right to salvage materials from lost structure • For vulnerable households, provide legal and affordable access to at least equivalent housing compared to their current situation, if not better. • Any improvements made to a structure by a lessee/ tenant will be considered and will be compensated at full replacement cost payable through appointment between owner and the tenant as agreed during consultations
		Lessee, tenant (on non-titled land)	<ul style="list-style-type: none"> • Cash refund at rate of rental fee proportionate to size of lost part of structure and duration of remaining lease period already paid. • Any improvements made to lost structure by a tenant will be considered and compensated at full replacement cost payable as agreed through consultations
Residential	Full Loss	Owner (non-titled)	<ul style="list-style-type: none"> • All households (having one or more than one



Type of Loss	Specification	Eligibility	Entitlements
	of Structure	land user)	<p>family living in a household) will be provided adequate housing (equivalent at least to the current conditions) or cash compensation at full replacement cost computed at replacement cost (materials, labor, transport, and other incidental costs, as required, without deduction of depreciation for age).</p> <ul style="list-style-type: none"> • Right to salvage materials from lost structure. • In case of delays, the inflation rate of 10% will be added per annum in the cash compensation.
		Lessee, tenant (on non-titled land)	<ul style="list-style-type: none"> • Cash refund at rate of rental fee proportionate to duration of remaining lease period • Any improvements made to the lost structure by lessee/ tenant will be considered and will be compensated at full replacement cost payable as per agreed apportionment through consultations.
Business/ Commercial	Full Loss of structure (e.g., stalls, kiosks, cabins)	Owner (non-titled land user)	<ul style="list-style-type: none"> • Allocation of alternative location comparable to lost location, or cash compensation for self-relocation at replacement cost (labor, materials, transport, and other incidental costs, as required, without deduction of depreciation for age). • Right to salvage materials from lost structure.
2. RESETTLEMENT & RELOCATION			
Relocation Assistance	All types of structures affected	All eligible APs who need relocation as a result of losing structures	<ul style="list-style-type: none"> • The project will provide logistic support in the form of mobilization and movement assistance to all eligible APs in relocation of affected structures for project-based relocation or self-relocation as opted by the APs. • If project-based relocation, APs will be provided with access to civic amenities including electricity, water supply and sewage as well as school and mosque.
Security of tenure	Replacement structures	All APs who need to relocate as a result of losing structures	<ul style="list-style-type: none"> • APs will be relocated to existing developed areas where they will be given replacement homes with full security of tenure.
Transport allowance	All types of structures requiring relocation	All APs required to relocate as a result of losing structures	<ul style="list-style-type: none"> • For residential structures, a lump sum of PKR 20,000/- depending upon the situation on the ground • For commercial structures, a lump sum of PKR 15,000/- depending upon the situation on the ground ⁶
3. LIVELIHOOD RESTORATION			
Businesses	Temporary business interruption	Owner of business (registered	Three months Transitional Allowance for APs based on officially announced minimum wage by the GoS.

⁶ Estimated costs for transporting displaced persons and their goods to a different location within the city

Type of Loss	Specification	Eligibility	Entitlements
	Loss of income due to resettlement or project construction activities	, informal)	
	Permanent business loss due to resettlement	Owner of business (registered, informal)	Six months Transitional Allowance for APs based on officially announced minimum wage by the GoS.
Employment/livelihood	Temporary employment/livelihood interruption due to due to lack of access to income source or resettlement or project construction activities	All laid-off employees of affected businesses, or workers whose access to employment/livelihood is temporarily interrupted	Three months Transitional Allowance based on officially announced minimum wage by the GoS.
	Permanent employment/livelihood loss due to lack of access to income source or resettlement	All laid-off employees of affected businesses, or workers who's access to employment/livelihood is permanently impacted	Requisite livelihood restoration support through providing a Transitional Allowance (as required) to be provided equal to lost income for 6 months computed based on the officially designated minimum wage rate. Vocational/technical training to both men and women losing their income permanently.
Vulnerable APs	Special provisions	Vulnerable APs may include: APs earning less than the minimum wage for unskilled workers; women-headed households; the elderly; differently-abled persons.	Vulnerable APs will be provided with : <ul style="list-style-type: none"> • Subsistence allowance for at least 3 months computed on the basis of officially designated minimum wage rate. In case other applicable compensation entitlements for a vulnerable AP are higher than this, the higher entitlement will be provided. • Preference for provision of employment in operations managed by SSWMB.
4. PUBLIC SERVICES AND FACILITIES			
Loss of public services and facilities	Schools, Madrassa, graveyard etc.	Service provider	<ul style="list-style-type: none"> • Full restoration at relocation site of lost public services and facilities, including replacement of related land and relocation of structures according to provisions under sections 1 & 2 of the entitlement matrix. • Relocation of graveyard or construction of a boundary wall to confine the graveyard.

Type of Loss	Specification	Eligibility	Entitlements
5. TREES AND CROPS			
Loss of trees	Affected trees	All APs owning trees (including squatters)	<ul style="list-style-type: none"> • For timber/ wood trees: cash compensation will be provided at current market rate of timber value of species at current volume, plus cost of purchase of seedlings and required inputs to replace trees. • Fruit trees: cash compensation based on current market rate of crop type and average yield (i) multiplied, for immature non-bearing trees, by the years required to grow tree to productivity or (ii) multiplied, for mature crop bearing trees by the average years of crops forgone; plus, cost of purchase of seedlings and required inputs to replace trees.
6. UNIDENTIFIED LOSSES			
Any losses identified during implementation	Unanticipated impacts	All APs	<ul style="list-style-type: none"> • Address appropriately during project implementation according to the local legal framework and the World Bank ESF.

***Note:** All Cash allowances mentioned in this matrix are not fixed and may be adjusted for inflation annually as necessary. All compensations and financial assistances provided will be paid in the joint name of both spouses, with women prioritized as the first holder.

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Provisions for Women APs

71. Acquisition of household assets can impact women disproportionately, due to their fragile socio-economic status and it will be difficult for them to re-establish their socio-economic activities because of restricted mobility or illiteracy. Although the female household heads or the female having title of the acquired assets are eligible and entitled for compensation and benefits for their lost assets similar as to their male counterparts, but they may need special attention because of lack of resources, educational qualifications, skills, and work experience. To safeguard women needs and interests, following measures will be considered during impact assessment, census of displaced persons, designing rehabilitation/resettlement provisions and preparation of the RP for each subproject under the SWEEP.

- Gender segregated socio-economic baseline and impact inventory linked to the entitled APs will be developed, and women shall be compensated, for assets in their name, meanwhile identified female headed households (if vulnerable) will be entitled for additional compensation as provided in the subproject RP.
- During census and socio-economic assessment, meaningful consultations will be conducted with displaced women through focus group discussions and individual meetings to identify the concerns and mitigation required in resettlement planning and accordingly the subproject RP will detail the scope of resettlement impact on women and wherever required separate gender action plan will be developed.
- In case of compensation for household assets, efforts will be ensured to pay compensation in the joint accounts (if possible) and in case of provision of replacement asset, i.e., residential unit at resettlement/relocation site, it will be ensured that the provided asset is transferred in the joint ownership of the male and female counterparts of the displaced households; and

72. Gender sensitive grievance redress system with women participation will be ensured to facilitate aggrieved women (if any) to lodge complaints and get their concerns resolved.

7. LEGAL AND POLICY FRAMEWORK

Legal and Policy Framework

73. This RF is designed based on the regulatory framework of Pakistan’s and the World Bank’s ESF, specifically ESS-5. The primary objective of ESS-5 is to ensure that APs are assisted to improve, or as a very minimum restore, their former living standards, income earning capacity, and production levels.

74. Important to note that no private land acquisition is currently planned or anticipated under the project. This section aims to address any contingency during implementation of SWEEP where an unforeseen need for land acquisition is identified when planning a specific subproject.

Pakistan’s Laws and Regulations

75. In Pakistan, the governing legislation for land acquisition and compensation is the Land Acquisition Act (LAA) 1894 with successive amendments, which regulates the land acquisition process and enables the federal and provincial governments to acquire private land for public purposes. Land acquisition is a provincial subject, and each province has its own interpretation of the Act, and some have their own province-specific implementation rules.

76. The law deals with the matters related with acquisition of private land and other immovable properties existing on the land for the public purpose. The public purpose, *inter alia*, includes the construction of development projects of public interest. The LAA 1894 specifies a systematic approach for acquiring and compensation of land and other properties for development projects. It stipulates various sections pertaining to notifications, surveys, acquisition, compensation and apportionment awards and disputes resolution, penalties, and exemptions.

77. The LAA 1894 prescribes provisions for fair and adequate compensation for land acquired involuntarily, however, its enforcement marred by many lacunas due to the bureaucratic ineptness and the whole process from notification to compensation and grievance resolution often encumbered with inordinate delays and under the guise of eminent domain the state coercively acquires the citizens property and agonizing and pushing them in impoverishment with a little recourse. In addition, the LAA 1894 procedures do not entail the consultation and participation of affected people but leave the entire process to the discretion of the revenue department and implementing agency.

78. The framework of the LAA 1894 is generally considered to be constricted in scope, which does not adequately take into account the rehabilitation and resettlement of displaced populations and restoration of their livelihoods. The LAA also does not specifically provide any assistance for the poor, vulnerable or severely APs, nor does it cover for livelihood losses or resettlement costs for rehabilitation. Generally, it is limited to a cash compensation policy for the acquisition of land and built-up property, and damage to other assets such as crops, trees, and infrastructure.

79. For different range of infrastructure development functions, land acquisition laws are applied. LAA 1894 allows the various government departments and authorities to apply to relevant Boards of Revenue or other authorities for acquisition of land for public interest projects.

World Bank ESS5 and Resettlement Principles

80. Under the ESF, the World Bank has adopted ESS-5 to address land acquisition, restrictions on land use, and involuntary resettlement impacts. The objectives of ESS-5 are to avoid involuntary resettlement wherever possible; to minimize involuntary resettlement by exploring project and design alternatives; to enhance, or at least restore, the livelihoods of all displaced persons in real terms relative to pre-project levels; and to improve the standards of living of the displaced poor and other vulnerable groups.

81. The ESS-5 covers physical displacement (relocation, loss of residential land, or loss of shelter) and economic displacement (loss of land, assets, access to assets, income sources, or means of livelihoods) as a result of (i) involuntary acquisition of land, or (ii) involuntary restrictions on land use or on access to legally designated parks and protected areas. The important elements of ESS-5 are: (i) compensation at replacement cost for lost assets, livelihood, and income prior to displacement; (ii) assistance for relocation, including provision of relocation sites with appropriate facilities and services; and (iii) assistance for rehabilitation to achieve at least the same level of well-being with the project as without it. The operational policy gives special attention to poor and vulnerable households to ensure their improved well-being as a result of project interventions. To integrate these key aspects an Entitlement Matrix was prepared as part of the RF (**Section 6.5**).

Table 2 – Bridging Gaps Between LAA 1894 and ESS-5



Pakistan 1894 Land Acquisition Act	World Bank ESS5	Gap Filling Measures
<p>The expropriation elaboration contains a detailed list of properties to be expropriated, their location, information about individuals who have formal legal rights on these properties. No socio-economic study is required.</p>	<p>Through the preparation of this RF, individual RPs, census survey and socioeconomic study is envisaged. The study should include information on (i) current occupants in the affected area, (ii) characteristics of displaced households and their standards of living and livelihoods, (iii) magnitude of expected losses and extent of displacement, and (iv) information on vulnerable groups or persons.</p>	<p>All documents must be prepared in accordance with the World Bank's, ESS-5. Requirements, in addition to national legal requirements. The implementation of a census is required to identify the persons who will be affected by the project (including those who are not registered through national procedures).</p> <p>The implementation of census survey/ household census is necessary also to identify characteristics of displaced households, including standard of living, level of vulnerability, establishing baseline conditions for monitoring and evaluation purposes, and to set a cut-off date.</p>

<p>The Expropriation Law recognizes the eligibility of persons who have formal legal rights on land and structures, as registered by the registry and those whose rights are recognizable under national laws (factual ownership).</p>	<p>The World Bank's ESS-5 also recognizes those who have no recognizable legal right or claim to the land they are occupying as they are also eligible for rehabilitation assistance and compensation for loss of non-land assets at replacement value.</p>	<p>Compensation and assistance to APs without legal right or claims will be made as a principles and entitlements provided in the entitlement matrix of this RF, if they are present in the project affected area at the time of the cut-off date. Asset inventory and valuations of their affected properties will be conducted and all measures will be recorded in the database prepared.</p>
<p>Compensation for land and other assets is based on average values and department unit rates that do not ensure replacement market value of the property acquired. However, LAA requires that a 15% compulsory acquisition surcharge supplement the assessed compensation.</p>	<p>APs are to be compensated for all their losses at replacement cost, including transaction cost and other related expenses, without deducting for depreciation or reductions based on salvageable items and on market rates</p>	<p>Land valuation is to be based on current replacement (market) value with an additional payment of 15%. The valuation for the acquired housing land and other assets is the full replacement costs keeping in view the fair market values, transaction costs and other applicable payments that may be required.</p>
<p>No provision for resettlement expenses, income/livelihood rehabilitation measures or allowances for displaced poor and vulnerable groups.</p>	<p>Requires support for rehabilitation of income and livelihood, severe losses, and for vulnerable groups.</p>	<p>Provision should be made to pay for resettlement expenses (relocation, transportation and transitional allowances), compensate for loss of income, and provide support to vulnerable persons and those severely impacted (considered to be those losing more than 10% of their productive assets).</p>
<p>Lack of formal title or the absence of legally constituted agreements is a bar to compensation/rehabilitation. (Squatters and informal tenants/leaseholders are not entitled to compensation for loss of structures, crops).</p>	<p>Lack of formal title is not a bar to compensation and rehabilitation. All APs, including non-titled APs, are eligible for compensation of all non-land assets.</p>	<p>Squatters, informal tenants/leaseholders are entitled to compensation for loss of structures and livelihood and for relocation.</p>
<p>Land acquisition and compensation process is conducted independently by the Land Acquisition Collector following a lengthy prescribed legal and administrative procedure. There are emergency provisions in the</p>	<p>Involuntary resettlement is conceived, planned and executed as part of the project. Affected people are supported to re-establish their livelihoods and homes with time-bound action in coordination with the civil</p>	<p>SWEEP PIU will prepare land acquisition and resettlement plans, as part of project preparation based on an inventory of losses, livelihood restoration measures, Pakistan law and principles enumerated in World Bank ESF.</p>

<p>procedure that can be leveraged for civil works to proceed before compensation is paid.</p>	<p>works. Civil works cannot proceed prior to compensation</p>	<p>Where gaps exist in the interpretation of Pakistan law and resettlement practices, requirements of World Bank 's involuntary resettlement policy will prevail. Civil works may only proceed after the resettlement plan is implemented and compensation for loss of assets and other allowances (budgeted as part of the project cost) is fully paid.</p>
<p>No convenient grievance redress mechanism except recourse of appeal to formal administrative jurisdiction or the court of law</p>	<p>Requires the establishment of accessible grievance redress mechanisms to receive and facilitate the resolution of APs' concerns about displacement and other impacts, including compensation</p>	<p>SWEEP PIU will establish easily accessible grievance redress mechanism available throughout project implementation that will be widely publicized within respective subproject area and amongst the APs.</p>
<p>Except invoking legal process by notifying the land under different provisions of the LAA and announcement of award, LAA does not require social impact assessment and preparation and disclosure of specific LAR planning and monitoring documents.</p>	<p>World Bank requires a social impact assessment and preparation and disclosure of specific Involuntary Resettlement (IR) documents at different stages of project planning, design and implementation and these include IR categorization checklists, Social Impact Assessment, SMF/RP/s and periodic monitoring reports etc.</p>	<p>Following ESS5 criterions, the SWEEP PIU, in collaboration with World Bank shall conduct social impact assessment of the projects and will prepare RPs for the project with IR impacts and social due diligence reports for the project without tangible IR impacts at project planning and design stage. While the periodic monitoring reports (internal and external) confirming RP implementation progress will be prepared periodically during implementation.</p>

Change of Subproject Scope or identification of Unanticipated Impacts

82. In case of change in scope of Project, or unanticipated impacts identified during subproject implementation, which are not covered under the eligibility and entitlement provisions of this RF, additional eligibility and entitlement provisions will be determined in accordance with the resettlement requirements of the World Bank's ESS5 and the applicable legal framework of Pakistan. Accordingly, the contents of the RF will be updated, and redisclosed on the World Bank and SWEEP websites after the updated document—with a government-endorsed copy submitted for the World Bank's review—has been cleared by the World Bank. Based on updated RF, specific subproject RPs will be updated with new eligibility and entitlement provisions on account of unidentified impacts and losses under any subprojects and the concerned displaced persons of such subprojects will be consulted and

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on new entitlement and RP provisions will be disclosed to them. In such a case, the RF will be updated based on further assessment, consulted on, reviewed, and cleared by the Bank, and redisclosed.

8. METHODS OF VALUING AFFECTED ASSETS

Valuation of Lost Affected Assets



Temporary occupation of land

83. Temporary occupation of land, if required for project contractors' facilities like camps sites, stack yards, etc., will be through term lease agreement between the civil works contractor and landowners, where the land chosen has to be barren, i.e., no resettlement. Further provision and guidelines pertaining to the temporary occupation of land by contractors (as required) will be highlighted in their bidding documents and contracts. In case the land is required temporarily for constructions of diversions, the PIU can itself procure occupation of such land on a termed lease through direct negotiations with the landowners. In either case the temporary occupation term will not exceed three years and the landowners will be provided with the agreed lease money and incidental land restoration costs to restore the land to its original use. The provisions on establishment of campsites, stake yards and temporary diversions will be included in the ESMP prepared for the project and shall be monitored accordingly.

Affected Assets

84. Houses and other structures will be valued at replacement cost based on construction type, size of the affected structure, and prevalent labor cost in the area. No deductions will be made for depreciation, salvageable materials or transaction costs and taxes. Rates will be evaluated by a valuation committee including representatives of the SSWMB, APs, and relevant line department to determine replacement cost.

85. Rehabilitation or replacement of affected structures and utilities (e.g., schools, mosques, roads, tube wells, electricity poles, etc.) to pre-Project level will be ensured.

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9. ORGANIZATIONAL PROCEDURES FOR DELIVERY OF COMPENSATION AND RESETTLEMENT ASSISTANCE

Institutional Roles and Responsibilities

86. The following primary institutions will be involved in resettlement activities.
87. The Local Government, Housing and Town Planning Department (LGD) is the concerned line department for the project. LGD will provide strategic oversight and direction to the investment program.
88. The project implementation will be carried out by the Sindh Solid Waste Management Board (SSWMB) through the SWEEP Project Implementation Unit (PIU).
89. The SSWMB as the IA has the overall responsibility for the day-to-day implementation of subprojects. All resettlement related tasks will be handled by the SWEEP PIU, headed by the Project Director. The PIU has social and resettlement specialists to undertake the social and resettlement related preparation tasks for subprojects, including scoping, social impact assessment, RP preparation and implementation.
90. The following institutional actors have oversight or supportive functions:

Project Implementation Unit (PIU)

91. At the Project level, SSWMB will exercise its functions through the SWEEP PIU. The PIU will be responsible for general project execution of the project and streamline the safeguards related tasks of different subproject headed by the Project Director (PD). The PIU is responsible to ensure compliance with the national as well as the World Bank's environmental and social safeguard requirements including preparation of RPs and other management plans.
92. The PD will be responsible for implementing the safeguards instruments for all subprojects and for maintaining regular contact with local community and authorities. The PIU will collect information and progress on social safeguards compliance at project and subproject level.
93. For the purpose of this Project the PIU was established with a view to serve as a central unit for providing technical backstopping with regards to safeguards management for all subprojects and has the overall responsibility for planning, implementation and supervision of safeguard functions described in this RF of the investment program.
94. The SWEEP PIU will keep a close liaison with the World Bank safeguards team to seek clarity and guidance on safeguards requirements of the program and will oversee the supervisory consultants for preparation of safeguard documents. PIU will ensure quality of safeguards documents prepared by the consultants and shall endorse all safeguards related documents to World Bank for review, clearance, and disclosure. The role of PIU will include.
- Coordinate with the provincial governments, Planning & Development Department, Board of Revenue;
 - Coordinate with the supervisory consultants and keep an oversight to facilitate them during impact assessment, census and socio-economic surveys and consultations with APs during for RP preparation. This is to ensure consistency of approach and avoid variation in information obtained and given, and to address

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- issues immediately as they arise on site;
- Ensure that the RP preparation consultants should in conformity with the RF provisions and the impacted assets should be accurately assessed and linked to the respective APs.
- Coordinate with supervisory consultants, Board of Revenue, and other line departments and SSWMB to streamline resettlement planning activities.
- Internally review the RF and RPs (draft/updated), coordinate with World Bank in review and approval process, and ensure timely disclosure of approved RPs on SSWMB Website and translation of Summary RPs in local language for disclosure to APs;
- Coordinate with the Supervisory Consultant for review of RP implementation progress and ensure timely preparation of quality monitoring reports. The monitoring reports will be internally reviewed to ensure quality final reports are shared with World Bank for review and acceptance and shall ensure timely disclosure of approved monitoring reports on the SWEEP Project website.
- The PIU will also play a central role in the training, livelihood restoration, and disbursement of any payments/ compensation necessary to APs.

Relevant PIU Staff



95. The PIU has social development staff including, a) Two Social safeguard Specialists, and b) a Communications Specialist, with relevant experience of handling planning, implementation, and monitoring subprojects. The PIU will also be responsible for grievance redress and organizing training programs on social management aspects and the successful implementation of the RF activities

96. To achieve this, the role, and responsibilities of the concerned PIU staff will be as follows.

- Screen proposals/studies for the subprojects related to safeguards issues in compliance with safeguards requirements specified in this RF
- Maintains records of all proposals and screening decisions.
- Ensure that the supervisory consultants will implement the TOR consistently particularly for safeguards mainstreaming in terms of process and outputs;
- Provide general oversight of activities with resettlement impacts to ensure compliance with this RF;
- Help SSWMB in relocated APs and ensure compensation payment in timely manner;
- Function as grievance redress office on resettlement related matters/concerns raised by the APs during RP preparation or the complaints forwarded by the project GRC or by the APs unsatisfied with decision of the project GRC. The complaints will be registered and acknowledged to APs and addressed after investigating the facts and hearing the complainants.
- Facilitate information dissemination and consultation with APs including men, women and vulnerable groups in subproject towns on all matters affecting APs to ensure compliance with the requirements of the RF, World Bank's ESF and GoS policies.
- Keep the social management framework updated, based on the project's operational experience.

Grievance Redress Committee

97. A project-wide Grievance Redress Mechanism (GRM) will be set up for all subprojects

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under the investment program to address grievances arising from social and environmental impacts. The GRM will have a two-tiered structure at the subproject level and at the executing agency level, enabling immediate local responses to grievances and higher-level review addressing more cases that are not resolved at the local level. At project/subproject level, a grievance redress committee will be established to operationalize the GRM at the PIU level. The formation of GRC and its functions will be commensurate with subproject needs and requirements and will be elaborated in each subproject RP. Further details of the GRM are provided in section 11.



Supervisory Consultants

98. Environment and social (E&S) supervisory consultants having adequate human resources for project implementation will be engaged. Supervisory consultants will also assist the SSWMB in planning and preparation for E&S management, and implementation and monitoring of the project RF. The Supervisory consultants will mobilize a team of qualified resettlement specialist with experienced enumerators and surveyors for impact assessment, census, SES surveys and conducting meaning consultations during project design stage who will facilitate the PIU in updating the RF (if required) or draft RPs prepared based on feasibility level design for subprojects. Overall social management responsibilities of the SC include:

- Undertake the screening of each subproject and identify main social impacts and prepare project descriptions;
- Undertake adequate consultations with affected people and other stakeholders of the subproject areato identify baseline conditions and impacts;
- Ensure timely disclosure of information to all APs about project design alignment, and facilitate information dissemination and consultation with APson all matters and disclosure of RP provisions and information about the GRM and compensation payment mechanism;
- Monitor day to implementation progress and prepare monthly progress reports and periodic social monitoring reports including consolidated progress of RP implementation and social management achieved during monitoring period;
- Provide technical assistance and training to the ESC, line departments, SEPA and contractors and advice on appropriate modifications to improve their effectiveness; and
- Assist PIU in preparing bi-annual subproject reports on the RF implementation, to be submitted to the Steering Committee and the World Bank.

Independent Monitoring Agency (IMA)

99. SSWMB will hire an agency or an individual expert (with team) to conduct independent monitoring and evaluation(the IMA) for the implementation of RP. The IMA shall review the implementation progress throughout the RP implementation and evaluate the level of achievement of RP objectives, identify gaps, if any, and propose remedial measures for implementation. The IMA shall be a firm hired either for all Project under the investment or for individual subprojects.

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10. IMPLEMENTATION PROCESS OF LINKING RESETTLEMENT IMPLEMENTATION TO CIVIL WORKS

100. Compensation payments for affected assets and resettlement of households, must be completed as a condition for clearing of public land before commencement of the civil works under the project.

101. APs must confirm that resettlement plans contain acceptable measures that link resettlement activity to civilworks, in compliance with this document. Timing and coordination of civil works shall ensure that no affected persons will be displaced either economically or physically due to civil works activity before compensation is paid and before any project activity can begin.

102. The following are key considerations regarding linking resettlement implementation to the civil works:

- RPs/LRPs need to be cleared by the Bank and disclosed prior to issuing bids for associated construction works
- Civil works shall commence only after implementation of RPs/LRPs and the SSWMB taking over the site.

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11. GRIEVANCE REDRESS MECHANISM

Introduction

103. Grievance Redressal Mechanisms (GRMs) have become increasingly important and an integral part for development projects around the globe where environmental, health, safety, and social adverse anticipated and unanticipated impacts resulting from project activities are likely to happen. A Grievance Redressal Mechanism is a tool of communication and coordination among project staff, communities, and other stakeholders who are directly affected by projects (in this case that of the Solid Waste Emergency & Efficiency Project – SWEEP) to address and mitigate the concerns arise during project implementation.

104. The GRM is intended to provide a way to reduce risk during project implementation, offer communities an effective avenue for expressing concerns and achieving remedies, and promote a mutually beneficial engagement with citizens and communities. Local people need a trusted way to voice and resolve concerns linked to project activities, and PIU SWEEP need an effective way to address community concerns. The GRM also helps the SSWMB to meet the specific commitment included in the Stakeholder Engagement Plan for SWEEP to develop and operationalize such a system, prevent and address community concerns and risks, and assist larger processes that create positive social change.



105. The GRM given below includes procedures, roles, and functions to facilitate the due process of grievance resolution by proposing an effective and prompt grievance response system to be established before project implementation. This GRM has been developed on top of the existing complaint resolution system of the SSWMB, however, includes measures and practices to differentiate the project GRM from that of the SSWMB. The GRM will enable the PIU SWEEP and SSWMB to address specific grievances and resolve complaints through corrective actions, allow systematic identification of emerging issues and trends, facilitate preemptive engagement to provide transparent and credible processes acceptable to all parties, and ensure outcomes that are seen as fair, effective, and lasting by stakeholders.

Review of the Existing SSWMB Complaint System

106. SSWMB operates a complaints system, which comprises several complaint registration channels including:

- i. A dedicated telephone helpline (1128)
- ii. The SSWMB's website and social media pages (that provide direct telephone numbers for central and regional offices as well as email addresses for relevant officials). The social media pages are updated regularly and allow social media users to send messages directly or use an email address displayed on the website and social media pages to file complaints or give suggestions.
- iii. A smartphone application ([SSWMB's Citizen' Application](#) for android and iPhone users) where citizens can log in to provide suggestions and complaints on all SWM related issues. Using the application, complainants can also upload pictures, videos, audio files, or even handwritten text files in support of their complaints.

107. The SSWMB employs staff at its command-and-control center who are tasked with the registration and management of complaints.

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108. While the SSWMB's complaints system is primarily focused on service-related complaints regarding the Board's operations, a dedicated GRM for SWEEP, described below, will be built on top of the existing complaints systems of the SSWMB, such that complaints concerning project-supported investments and activities may be received through existing channels and relayed by existing staff, however, these will be registered separately, managed under the SWEEP GRM, and tracked by the Grievance Redress Committee (GRC) until resolution.

SWEEP GRM - Overview

109. The Project has developed a dedicated GRM, to receive and resolve all complaints and grievances related to project-supported activities. A GRC has already been notified, comprising relevant staff from the SWEEP PIU, with the Project Director at its head and the Stakeholder Engagement and Gender Specialist as the secretary. Other than the GRC members, the Committee may also utilize existing resources at the SWEEP-PIU and SSWMB to address and resolve grievances. Available SSWMB staff at the command-and-control center will be tasked to operate and manage key interfaces such as dedicated telephone lines and email accounts set up to receive complaints, who will then relay to the pertinent SWEEP personnel to settle grievances and provide feedback related to project activities. The existing SSWMB team will be provided training to manage project-specific communications and grievances, which will require response and redressal procedures that are distinct from normal complaints on services. The existing SSWMB team may be supplemented with additional resources using project financing if needed. The design of the GRM will continue to be strengthened in light of the feedback provided during the stakeholder consultations and grievances received to better address the envisaged objectives.

110. The GRM employs the available complaint registration channels that are part of the existing system used by SSWMB, as well as dedicated project-specific interfaces, and also builds on top of them, as described below:

- **Helpline: 1128** SSWMB's Complaint helpline where all project-specific communications and grievances are to be recorded, tracked, and managed in the GRM database. The helpline will also be used for SWEEP complaints.
- **SSWMB's Citizen Application.** Complainants may register on the application to lodge complaints or provide feedback on project-supported activities, which will be filed in the dedicated sub-portal of SWEEP.
- **Dedicated email:** complaints@sweep.gos.pk Any complaints or grievances received at other email addresses used by the SSWMB for complaints will be routed to the dedicated email address.
- **Online Complaint Application via the [website \(sweep.gos.pk\)](http://sweep.gos.pk)**
- **Social Media pages** of SWEEP (registering complaint process and links), with project-related communications and grievances, routed to the SWEEP GRM and GRC
- **Telephone numbers:** 021-99217787-88. Call and complaint numbers already in use by SSWMB will also be used to receive project-related communications or complaints, which will then be recorded in the SWEEP GRM.
- **In-Person registration of complaints at project offices (PIU and site offices).** All communications will be shared with the GRC and entered into the GRM database by the dedicated staff of SWEEP-PIU.
- **On-site complaints register and complaints boxes** will be placed at all sub-project sites prior to the construction of the project. The supervision consultants engaged for

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specific subprojects will ensure that qualified staff of contractor/s is tasked with and available on-site to receive verbal complaints, and shared them with the PIU.

Grievance Redress Procedure/ Mechanism

111. A set of procedures for receiving, recording, and handling complaints has been defined in the following subsections. This includes procedures for recording, registering, and sorting grievances; conducting an initial assessment of grievances, referring grievances to appropriate levels or persons, determining the resolution process, making decisions, including parameters and standards for accurate and consistent decision-making, notifying complainants and other affected parties of eligibility, the resolution process, and outcomes, along with tracking, documentation, monitoring, and evaluation.

Assignment of the Role of a Focal person as the Grievance Officer

112. This grievance officer will be the person assigned to receiving and following up on complaints through a structured process as explained in the following sections. Project-related complaints, as they arise, shall be addressed by the Grievance officer, the role of which shall be played by the Social Safeguards Specialist. This Grievance Officer shall report to the Project Director of the SWEEP PIU.



Step 1: Receipt, Log, and Acknowledgement of Complaint/ Grievance

113. As part of the GRM, grievances from the stakeholders or their representatives may be communicated through any of the channels/mediums highlighted above. All grievances communicated in any of these mediums shall be recognized and recorded in the database, which the PIU SWEEP will have access to. Once the grievance is recorded, a grievance number shall be allocated and communicated to the aggrieved within 24 hours of receipt. In case the grievance is assessed to be out of the scope of the GRM, a communication towards the same shall be made to the complainant, along with an alternative mode of redressal suggested. As part of this acknowledgment, a tentative timeline for the redress of the grievances shall be identified, in keeping with the process below. This acknowledgment shall be provided on the same day the grievance is received.

114. A separate log in the database will be maintained to analyze information about grievance and conflict trends, community issues, and project operations to anticipate the kinds of conflicts that might be expected in the future, both to ensure that the grievance mechanism is set up to handle such issues and to propose organizational or operational changes.

Step 2: Initial Review, Examination, and Investigation of the Complaint/ Grievance

115. Once the grievance is received and recorded, the Grievance Officer (from the SSWMB, contractor, or personnel responsible for resolving the grievance). The Grievance Officer and concerned department shall then undertake an inquiry into the specifics of the grievance, with the aim to determine and analyze the cause of the grievance and subsequently identify suitable resolution measures. Depending on the sensitivity of the issue, a site inspection can be undertaken to check the validity and severity of the grievance. For this purpose, the Grievance Officer will also undertake discussions with the aggrieved concerned and external stakeholders. The inspection will be undertaken within three days of the receipt of the

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grievance.

Step 3: Resolution of Grievance

116. Based on the case investigation, the Grievance Officer, in consultation with the concerned department/s, shall identify a suitable resolution to the issue which will not be more than 14 working days. Should the complaint resolution demand more time, then the same shall be conveyed to the complainant along with the issues being faced. Grievances that require assistance from a different department will be referred to the GRC. At the conclusion of the action to solve grievances, the complainants will be informed of the outcome within 48 hours along with satisfaction with the action taken.

117. The GRM will also include a system for re-lodging complaints should they remain unsatisfied, which will be escalated to the Head of the GRC. Anonymous complaints will also be received and entertained by the PIU staff. These complaints will be entertained based on the evidence attached as well as any documentation provided. Since complainants have chosen not to provide contact information in this type of complaint submission, they may not be able to receive responses, notifications, or alerts.

118. Grievances that are beyond the capacity of resolution at the GRC level will be forwarded directly to the local government department representative and the relevant service providers. PIU SWEEP will be following up on such complaints and forward the entire information to the complainant in the due course of time. The same approach will be adopted for the complaints pertaining to gender-based violence.

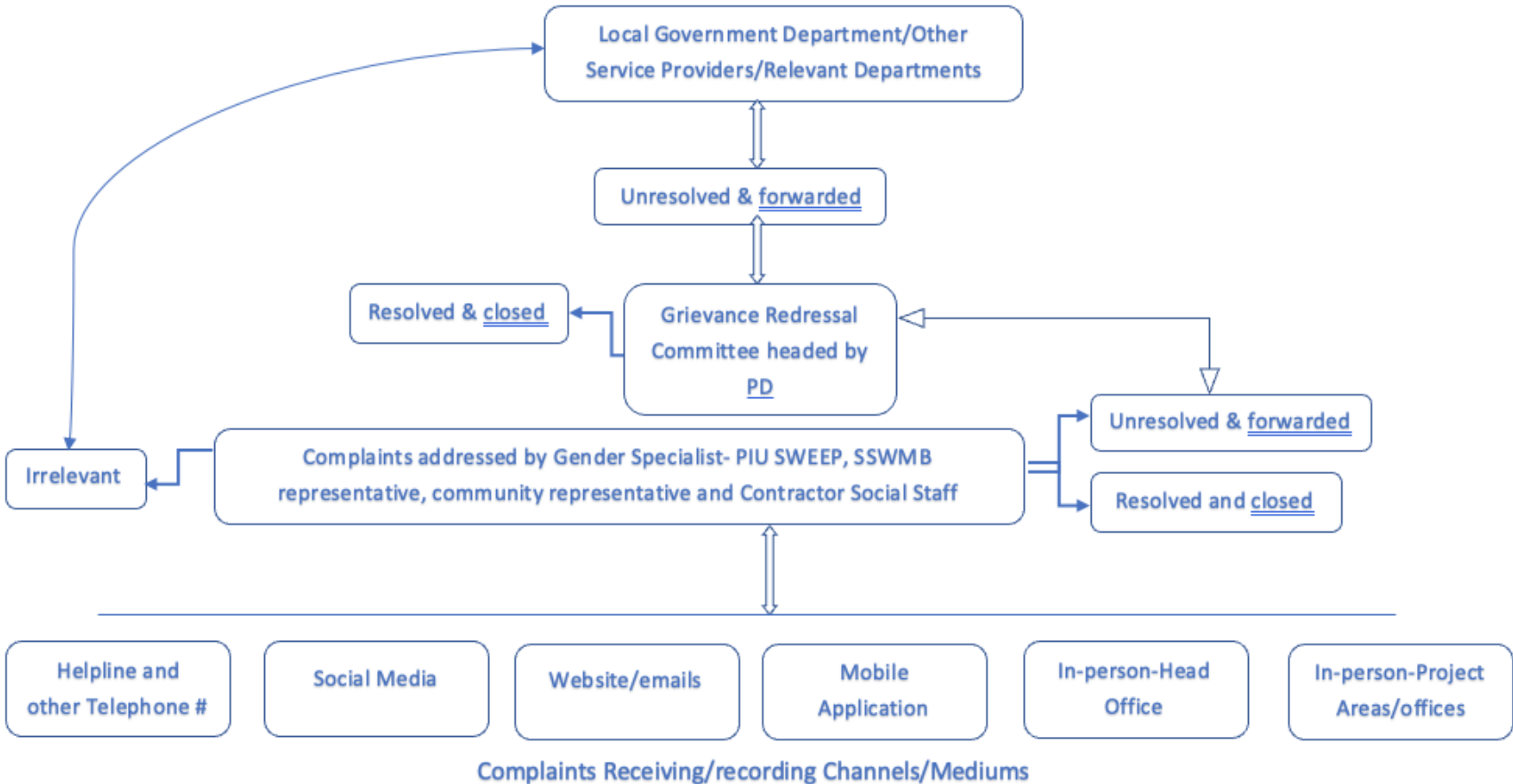
119. Major grievance/issues/required strategic direction and decisions. The mechanism is reflected in the flow chart given below:



Grievance Redress Committee (GRC) under SWEEP

Role	Designation
Head of the GRC	Project Director SWEEP
Director GRC	Deputy Project Director SWEEP
Secretary to GRC	Stakeholder Engagement and Gender Specialist
Member	Deputy Director Communication
Member	Community Engagement and Resettlement Specialist

Note: Deputy Project Director or Deputy Director Communication SSWMB will chair the Committee in the absence of Project Director. Three persons are necessary in the quorum for conducting the meeting and the committee meeting cannot be conducted without chair. The Secretary to the committee will be responsible to keep all records confidential. Record may be share after the approval of Project Director SWEEP with the World Bank or any stakeholder.

Table 3: Nomenclature of GRC



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Audit, inspection, and physical verification/Enquire Grievance Record

120. All grievance record is auditable, and each grievance may be audited by stakeholders or any nominated staff at the SWEEP PIU with the permission of Project Director SWEEP. The record will be maintained at the SWEEP-PIU level, if a team member/others required a record will produce a record with the approval of the Project Director SWEEP.

Timeline for Resolution of Complaint

- The committee will finalize the decision within a 14-day period and assess progress on its decision
- Categorization of grievance by Assistant (for GRM) to Secretary GRC (Within 2 days of receipt)
- Assignment of complaint to relevant department/ Personnel for redressal of complaints (Within 3 days of receipt)
- Submission of complaint status to GRC (fortnightly)
- Updated status of the complaint by the relevant department /personnel and submission to PD SWEEP (Monthly)



Complaints of Gender Based Violence, Sexual Exploitation & Abuse/ Sexual Harassment & Violence Against Children (GBV, SEA, SH, and VAC)

121. Gender-based violence (GBV) is a violation of human rights. Nearly six in ten women around the world suffer some kind of violence in their lifetime, whether physical or sexual (UN Women, 2019b). Although countries have been encouraged by international and regional legal entities to take steps to fight the problem, GBV continues to occur worldwide in many forms, ranging from domestic violence to sexual abuse, to more severe forms such as honor killings, acid attacks, and other forms of femicide. The global prevalence of GBV indicates that the issue is yet to fully be tackled, which has far-reaching consequences. Studies reveal that GBV leads to physical injuries, disability, and death, and victims also suffer mental and psychological disorders. According to a World Bank study (Nata Duvvury, 2013), some women fear GBV more than war or cancer.

122. The PIU SWEEP is focused on addressing any GBV, SEA, and SH related grievances across all project-supported activities and subproject sites. A survivor-centered approach will be adopted under which the survivor's safety, confidentiality, choices, needs, and well-being will remain central. The SEA/SH and VAC complaints will be addressed in the following manner:

123. **Accessibility:** The SEA/SH and VAC GRM will be accessible to all potential complainants from affected persons and workers at subproject sites. Complainants can lodge complaints using multiple access points (SSWMB's Citizen's Application, phone, email, complaints boxes, in-person, etc.) to register complaints. Adequate information about the existence and operations of GBV complaints will be provided to the communities in local languages.

124. **Safety:** The safety and security of the survivor, his/her family, and the people who have assisted them to register a complaint, must be the number one priority for all actors. Individuals who disclose an incident of GBV are often at a high risk of further violence from

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the perpetrator(s) or from others around them. The survivor’s physical and psychological safety as well as that of their family must always remain a priority, and survivors must be involved in all decision-making related to their case including proceeding with legal action.

125. **Confidentiality:** Confidentiality would be the prime priority and will be maintained, as much as possible, with respect to any GBV/SEA/SH and VAC complaint, and only those who need to know about such a complaint will be advised of its existence. Information gathered about the allegation will not be shared with persons or entities unless there is explicit permission granted by the complainant. Confidentiality should cover all information in a complaint that may lead to the identification of a specific incident or those affected by the allegation. This applies to the survivor and witnesses, but also the identity of the alleged perpetrator. Confidentiality is key to protecting survivors’ and witnesses’ safety.

126. Information-sharing will take place on a strictly need-to-know basis, limited to essential information, and based on pre-established information-sharing protocols which are in line with best practices for the handling of GBV/SH/SEA/VAC cases.

127. Reports of grievances to the World Bank and PIU shall only include an anonymized summary of allegations based on pre-established information-sharing protocols.

128. **Survivor-centered approach:** All prevention and response actions must balance the respect for due process with the requirements of a survivor-centered approach under which the survivor’s safety, confidentiality, choices, needs, and well-being remain central.



129. **Respect:** The survivor’s rights, needs, and wishes will be respected at all levels, and all actions will be taken with her/his consent or the consent of the parents/legal guardians in case of a minor.

130. **Non-discrimination:** Survivors of violence will receive equal and fair treatment regardless of their age, gender, race, religion, nationality, language, ethnicity, socio-economic status, or any other characteristic.

131. **Considerations regarding children and persons with physical and/or intellectual disabilities:** When the survivor is a child, the best interest of the child is the governing principle. Children are considered incapable of providing consent because they do not have the ability and/or experience to anticipate the implications of an action, and they may not understand or be empowered to exercise their right to refuse. A child is anyone under the age of 18 under national and provincial laws who cannot give free and voluntary consent. Additional considerations and protective safeguards may also apply where the complainant or survivor is a person with physical and/or intellectual disabilities.

Procedures of Addressing Grievances on GBV, SEA, SH & VAC

132. The GRM for GBV, SEA, SH, and VAC will require a dedicated and specific system to receive, manage, and resolve such complaints. The (i) Stakeholder Engagement and Gender Specialist and (ii) Community Engagement and Resettlement Specialist, at the SWEEP PIU will be central to this system as the focal points for all complaints and grievances related to GBV, SEA and SH. The PIU staff will be responsible for tracking and managing such complaints, and will be provided training from a certified and reputable organization focusing on issues of GBV and VAC. The system will rely on designated GRM operator(s) for GBV, SEA, SH, and VAC, who will actively coordinate with staff managing the various complaint channels (among the SWEEP PIU, SSWMB, and supervision consultants) for receiving and

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lodging such complaints. The designated staff will be provided adequate training on handling and documentation of complaints related to gender-based violence, sexual exploitation and abuse, and sexual harassment, and covering referral mechanisms to related service providers. All grievances related to GBV, SEA, and SH will be managed by a dedicated GBV, SEA, SH and VAC committee specifically set up for this purpose. The members of the committee will also need to be well-trained to manage such complaints.

133. **GRM Operator for GBV, SEA, SH, and VAC:** The GRM Operator will be responsible for: (i) receiving, categorizing, and logging complaints; (ii) referring survivor/s who contact through the GRM to social safeguard specialist SWEEP; (iii) notifying designated representative of SSWMB (iv) forwarding the case to SEA/SH and VAC Committee (if the survivor or in the case of a minor his/her parents or legal guardians, choose to file a formal complaint); (v) following up with the survivor and updating case status in the GRM. All complaints, communications, or any reported incidents related to GBV, SEA, SH, and VAC will be immediately flagged to the focal points at the SWEEP PIU.

134. **GBV, SEA/SH and VAC Committee:** The committee will comprise of four individuals, at least one of whom will be a woman. The following members will be part of the Committee to discuss and resolve such complaints:

- Stakeholder Engagement and Gender Specialist, SWEEP- PIU
- Personnel from the Solid Waste Management Board (SSWMB) at LFSs and GTS
- A representative from the community,
- Personnel from Social Team of the contractor
- Community Engagement and Resettlement Specialist, SWEEP- PIU
- Focal person from the service provider the survivor is referred to, or a trained GBV or VAC professional from one of the service providers.



135. The SEA/SH and VAC Committee will be responsible for:

- (i) Assessing the complaint to establish whether an act of SEA/SH or VAC has been committed.
- (ii) Confirming whether the alleged perpetrator is associated with the Project; and
- (iii) Agreeing upon a plan of action including sanctions to be imposed, in consultation with the employer of the alleged perpetrator.

Response Protocol

136. **Step 1:** A survivor may either directly report an incident using any of the means (phone, email, office address) to access GRM, or choose to report to an individual whom she/he trusts such as a family member, a friend, another member of the community, a service provider, or community or religious leader.

137. **Step 2:** Upon receipt of a complaint, the GRM Operator will register the case in the GRM. The GRM Operator/s will inform the PIU focal Points, who will in turn inform the World Bank of any SEA/SH or VAC complaint/allegation, within 48 hours of receiving such a complaint. When the allegation is received directly from the survivor or parent/legal guardian in the case of a minor, the GRM Operator/s will record their account of the incident and assist them by referring them to GBV service provider(s) for support immediately. If the complainant is not the survivor, the complainant should be encouraged to ask the survivor to come forward by explaining to them the potential benefits of doing so, either alone or with the person reporting to the GRM. If there is a genuine concern about the safety of the survivor, the GRM Operator may try to directly approach them, and refer them to the relevant GBV service provider.

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138. The GRM Operator/s will refer any survivor reporting abuse or violence through the project grievance mechanism to a relevant service provider, regardless of whether the perpetrator is known to be associated with the project or not. The reason for this is that it may not be possible to know the specific details about the perpetrator at the time the complaint is launched, or at the time that support services start; and once they begin, a survivor should continue to receive care and have access to them. Further, due to increased awareness activities in the project-affected communities, survivors may seek services through the project, whether the perpetrator is associated with the project or not.

139. The GRM Operator should have knowledge on:

- i. How to access said services,
- ii. whom to contact,
- iii. Financial support that may be provided, and
- iv. Available options for assistance within and outside of the GRM.

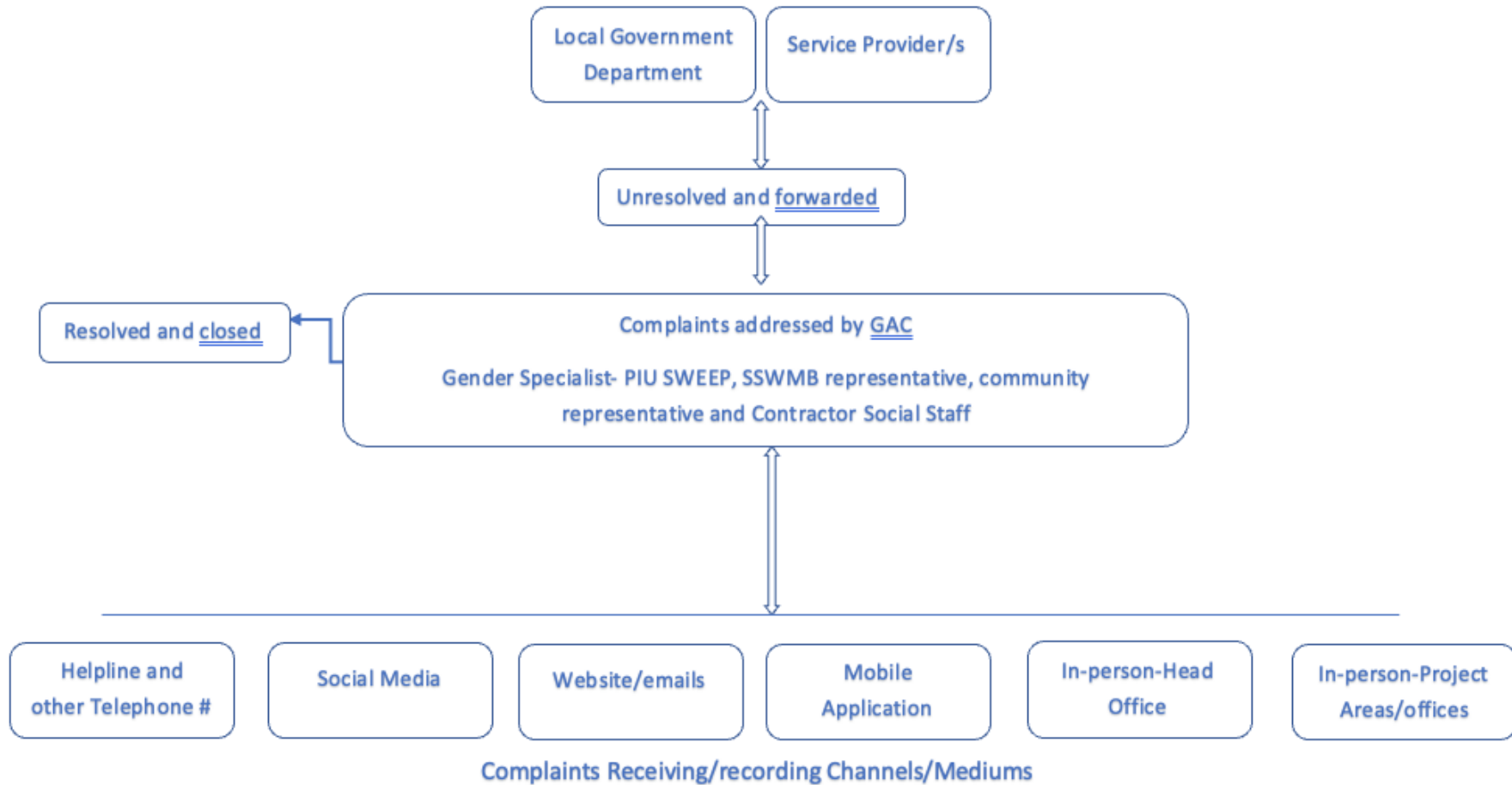
140. Upon receipt of a complaint and prior to referral or any third-party disclosure of the case, the GRM must ensure that consent is taken from the survivor. For this purpose, a standard form may be used as appended.



141. **Step 3:** If the survivor or parent/legal guardian in case of a minor wishes to file a formal complaint, the GRM Operator will send the case to the SEA/SH and VAC Committee. As mentioned above, the Committee will review the available information and assess if it constitutes an act of SEA/SH or VAC. Further, it will establish whether there is a link with the project. If the findings reveal that an incident has taken place by an individual associated with the project, the Committee will inform the appropriate party/ employer (i.e., the contractor, consultant, or SSWMB) of the alleged perpetrator of the allegation. The Committee will share their recommendations with the employer of the perpetrator, and a course of action (including disciplinary action) will be agreed upon within two weeks of receiving the complaint. Subsequently, the employer will be responsible to take the agreed disciplinary action within 30 days of the receipt of the complaint. Any sanctions imposed (please refer to Gender Action Plan- CoC) should be proportionate to the violation; and in accordance with the national/provincial legislation, the employment contract and the CoC. In instances where it is necessary to report the case to local authorities in line with national or provincial laws, the Committee will refer the case with the consent of the survivor or parent/ legal guardian, for further investigation and criminal proceedings.

142. **Step 4:** Where the survivors decide to file a formal complaint, it is important to keep the survivors or parents/legal guardians of minors informed about the progress of the case. In such instances, the GRM Operator will inform the survivor when the case has been sent to SEA/SH and VAC Committee for review, and when the matter has been sent to the employer for disciplinary action. Alternatively, the survivor or parent/legal guardian may decide to approach the employer directly or pursue legal action through a referral partner.

143. **Step 5:** Once the necessary disciplinary action has been taken, or legal action has been initiated the case will be closed in the GRM. The results of the process, whether it is sanctions imposed by the employer or initiation of legal proceedings, will be logged in the GRM. PIU SWEEP Social Safeguard Specialist, Representatives of SSWMB and the World Bank will be informed of the closure of the case, as per the agreed communication protocols.

Table 4: Nomenclature for addressing Complaints Gender Action Committee (addressed in Gender Action Plan)



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144. Currently, the GRM and its modalities have been defined under the project preparation phase after consultations with project stakeholders. Once the project proceeds to the implementation phase, it will be further refined and streamlined to ensure that it fulfills its purpose of allowing people to voice their concerns and find solutions pertaining to project activities. The implementation mechanisms will be further developed when the contractor has been brought onboard and publicized accordingly.

12. DESCRIPTION OF THE ARRANGMENT OF RESETTLEMENT FUNDING

Preparation of Cost Estimates

145. World Bank ESS-5 provisions under this RF require that no physical or economic displacement for subproject construction will occur until (i) the RPs prepared in line with the RF have been implemented and compensation and any other entitlements, in line with the RF and specified in the RPs, has been provided to APs; and, if required (ii) a comprehensive income and livelihood rehabilitation program, supported by an adequate budget, is in place to help APs improve, or at least restore, their incomes and livelihoods.

146. Ensuring that compensation and associated resettlement activities are provided in advance of development works requires a degree of certainty around sources of funding and mechanisms for ensuring the efficient flow of funding. The procedures spelt out in this section offer guidance to ensure compliance with the World Bank’s ESF. This RF offers guidance to ensure that resettlement plans associated with projects include the preparation of budgets and work plans that comply with ESS-5. This RF does not make provision for compensation or resettlement associated with land acquired by private interests for private purposes, which is not the project’s requirement.

147. In case the RP implementation would delay by more than one year, the unit costs will be updated to include the annual inflation rate.



Flow of funds

148. The allocation and provision of the financial resource is responsibility of the PIU, SWEEP-SSWMB for effective management of project resettlement requirements including clearance of public land specified for civil works/construction free from encumbrances, establishment of relocation/resettlement sites, payment of compensation for acquired assets, entitled relocation and resettlement costs and implementation of income restoration measures etc. Hence, compensation, assistance, relocation and rehabilitation of income and livelihood will be considered as an integral component of project costs and will be accordingly estimated and included in the project documents to ensure adequate funds are made available.

149. Funds for structure compensation and resettlement will be budgeted for in advance of the commencement of project works. A budget to cover associated compensation for lost assets and resettlement of APs will come from SSWMB. PIU-SWEEP-SSWMB will fund resettlement costs through the establishment of a compensation fund. This fund will be established in advance of the project activities. Where appropriate, these costs will be identified as part of an environmental and social impact assessment prepared in advance of development approval. A project involuntary resettlement budget will be prepared to include a component for the cost of compensation of lost assets to be acquired from APs. Consistent with procedures laid out in RPF, the budget shall include compensation for loss of residential structures and budget for implementation of resettlement activities shall be the responsibility of SSWMB and in consultation with APs.

150. The LRP/SRP/RP will be funded by the Government of Sindh’s own budget from Component-3 which has already been incorporated in PC-1 and also spelled out in PAD of the project.

Contingency arrangement

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151. The resettlement costs will be precisely assessed and reflected in the itemized RP budget including compensation costs for construction of adequate housing and applicable relocation, resettlement, and income restoration costs as well as administrative costs including costs for RP implementation institutional arrangement, monitoring and evaluation and the sufficient contingencies allocation for unforeseen expenses. Any unanticipated losses that would occur during the projects' implementation will be documented, impacts will be assessed and addendum to the RPs will be prepared to systematically compensate the losses. The addendums including budgetary provisions will be reviewed and cleared by the World Bank. The PIU will ensure that there will be physical and monetary contingencies in place to tackle any sort of inflation or any change in the project.

RP Implementation Schedule and Commencement of Works

152. The RP preparation and implementation schedule will vary from subproject to subproject based on readiness level of subproject design and resettlement requirements. In terms of resettlement planning, the project implementation will consist of the three major phases, namely project preparation, clearance of project sites and final/updated RPs preparation and implementation of RPs, i.e., relocation of APs to resettlement sites, full payment of compensation for cleared assets and entitled resettlement and rehabilitation cost to APs with income restoration measure in place. In line with the principles laid down in this RF, PIU will prepare a detailed implementation schedule as integral part of each RP indicating the sequence and time frame of activities for acquisition of land, preparation of draft and implementation ready RPs for each subproject under different phases and RP implementation timelines synchronized with the construction schedule for each subproject.

153. The commencement of civil works for any subproject or any of its section with resettlement impacts will be conditional upon full implementation of PIU/SSWMB endorsed and World Bank cleared RPs which will be spelled out in the project/ loan covenants to ensure ESS-5 requirements are fully complied with.

154. A detailed implementation schedule will be prepared for each RP indicating the sequence and time frame of activities, including (i) clearance of the sites; (ii) release of funds to the acquiring agency; (iii) disbursement of compensation for various categories of assets and income losses; (iv) relocation and livelihood restoration/substitution measures; (v) demolition of structures and transfer of public land free from encumbrances; and (vi) grievance redress and M&E.

13. STAKEHOLDER CONSULTATION AND INFORMATION DISCLOSURE

Consultation with Key Stakeholders

155. Consultations have been carried out during the preparation of original RF and additional consultations were carried out while preparing this revised RF. Additional and continual meaningful consultations will be carried out particularly with APs, communities, and other key stakeholders during preparation and implementation of RP of each subproject to solicit their views, identify their needs and preferences for compensation and rehabilitation measures and relocation. The nature and timing of these consultations will vary depending upon the implementation stage of the project.

156. Subproject specific stakeholders will be identified through the initial social assessment of each subproject. Stakeholder consultations and information dissemination will be carried out over the preparation of the subproject through community meetings, focus group discussions and interviews of key informants so that they can share their views and recommendations for the subproject preparation and implementation. These recommendations will be included in the subproject RP and with description of actions defined to address them.

157. The ESC team will retain a close liaison with the APs and other stakeholders. The APs and other stakeholders will be informed on their rights, eligibility, compensation entitlements, payment procedures and requirements. The project-based grievance redress system with grievance handling mechanism will be explained and the APs will be kept informed during resolution of grievances. The information related to land acquisition process and status, processing of claims, payment of compensation timelines for acquired assets and delivery of resettlement, rehabilitation and income restoration costs/measure will be provided repeatedly.



158. The consultation meetings with all stakeholders will be recorded and documented comprehensively, including signed attendance lists, photographs and minutes of the key issues addressed and agreements reached, observations made in the field, and outstanding issues in need of being addressed. The consultations will be documented in the RP with consultation records appended. This information will be updated for each RP update and will also be continued in the monitoring reports.

159. During the revision of the RF, consultations were conducted with academic institutions, governmental departments, non-governmental organizations, and other various organizations that work in the solid waste management sector in Karachi. The feedback from these consultations centered around the positive outlook and future the subprojects would bring to the Karachi ecosystem, however, the impacts on the waste pickers and the potential APs at any of the sites were also discussed along the following lines:

- Any informal waste pickers whose livelihoods are impacted due to subprojects may be trained and formally made part of this project as project workers. If this is not possible, then they should be compensated for the economic displacement faced.
- If any resettlement takes place due to this project, then international guidelines and regulations such as the World Bank's ESF should be utilized, as the Land Acquisition Act 1894, which is the main law in Pakistan for such matters, is not enough to properly guide the resettlement process.

Consultation Framework during Project Implementation

160. The PIU will be responsible for managing and conducting meaningful consultation with

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directly affected persons and other affected groups throughout the project lifecycle. The most commonly used approaches to consultations, information sharing and engagement with stakeholders are outlined as follows:

- Wider community consultations include a broad representation of the communities through mass public meetings
- One-to-one consultations with the people that will be directly affected by the Project
- Targeted stakeholders' consultations including specific groups of affected persons such as PAA losing agricultural land, communities losing common lands and forest trees under customary rights, communities losing access, etc.
- Workshops including representatives of local authorities and PAA, the representatives of the affected persons and communities
- Focus group discussions including representatives of local authorities, communities, women's groups, youth groups, and any other third parties to discuss specific project-related issues and gather participants' opinions, suggestions, and concerns
- Key informant interviews are conducted mostly during the project preparation phase to generate information and ideas about the Project. The key informants may include community leaders, public representatives, heads of the AHs, women heads of the AHs, community organization, NGO, officials of relevant institutions, experts from academia and civil society
- Face-to-face meetings with the APs will be held to clarify confidential information on the compensation amount, particular entitlements related to the APs' affected lands and other assets, complaints or concerns related to the project, as needed

161. Consultation proceedings will be properly documented. The essential documents will include: date, location, a list of the key issues raised by the participants, agreed actions, photographic records, and list(s) of participants. The minutes of the consultations, together with scanned sign-in sheets of the participants will be included in the monthly and quarterly reports and in the RAPs. The data should be disaggregated by gender, with the key information recorded at the top of the minutes, stating the number of participants, the number of men, and the number of female participants. A stand-alone Stakeholder Engagement Plan (SEP) has been prepared for the project providing details on stakeholder consultations.

RF Disclosure and Dissemination

162. The RF for SWEEP and RPs prepared for each subproject to be implemented under the Project and periodic social monitoring reports prepared will be subject to disclosure. The preliminary RF was disclosed on World Bank and SSWMB websites before appraisal of the project. This updated RF will be disclosed on the Bank and SSWMB websites. Any subsequent subproject RPs will also be disclosed on the SSWMB and Bank websites before the implementation of the RPs. RF and RPs will also be made available to APs and other stakeholders by placing the copies at accessible including the relevant PIU and District and Town offices along the Project corridor.

163. PIU/SSWMB will prepare an Information Brochure in Urdu language including summary information on the key aspects of the resettlement process of a subproject including but not limited to subproject summary and social impacts, grievance redress mechanism with institutional set-up, general eligibility and entitlement provisions. Such brochure will be disseminated to the APs during preparation and updating of the RPs. In addition, the cut-off date and other information on relevant issues will be disclosed to APs and other stakeholders in the project area through leaflets in Urdu made available at project and relevant government offices. For illiterate people, other suitable communication methods will be used.

14. MONITORING AND EVALUATION

Overview

164. The major objectives of monitoring and evaluation are to:

- (i) ascertain whether activities are progressing as per schedule and the specified timelines are being met;
- (ii) assess if compensation, rehabilitation measures are sufficient;
- (iii) identify problems or potential issues;
- (iv) identify methods and corrective actions to rapidly mitigate any problems and
- (v) ensure that RP objectives are met with and the standards of living of APs are restored or improved;
- (vi) collect gender disaggregated information to monitor the day-to-day resettlement activities of the project through the following
 - (a) Review of project information for all APs;
 - (b) Consultation and informal interviews with APs;
 - (c) Key informant interviews; and,
 - (d) Community public meetings.

165. The resettlement tasks will be monitored internally and externally. The PIU will provide World Bank with an effective basis for assessing resettlement progress and identifying potential difficulties and problems related to scope and the subproject's risks and impacts.

Internal Monitoring

166. Internal monitoring will be the responsibility of the ESC of the PIU. The internal monitoring will include the following:

- (i) Administrative monitoring: daily planning, implementation, feedback and troubleshooting, individual displaced person database maintenance, and progress reports;
- (ii) Socio-economic monitoring: case studies, using baseline information for comparing displaced persons socio-economic conditions, evacuation, demolition, salvaging materials, community relationships, dates for consultations, and number of appeals placed; and
- (iii) Impact evaluation monitoring: Income standards restored/improved, and socioeconomic conditions of the displaced persons.

167. The indicators for internal monitoring will be subject related to immediate activities for RP implementation and its outputs and results. This information will be collected directly from the field. It will be used to assess the progress and results of RP implementation, and to adjust the work program, if necessary. These monitoring activities will continue until resettlement is completed.

168. The consultant will monitor and verify RP implementation to determine whether resettlement goals have been achieved, livelihood and living standards have been restored, and provide recommendations for improvement. In order to ensure that all displaced households are compensated prior to commencement of civil work. Potential monitoring indicators from which specific indicators can be developed and refined according to the census for each subproject are set out in **Table 5** below.

Table 5 - Potential Indicators for Internal Monitoring

Monitoring Aspects	Potential Indicators
Institutional set-up and resource allocation	RP implementation, monitoring institutional set-up and budget in place. Grievance redress mechanism established and explained to the APs and affected communities.
Delivery of Entitlements	Compensation entitlements disbursed, compared with number and category of losses set out in the entitlement matrix. Relocation and rehabilitation costs and income restoration support provided as per entitlements and schedule Income and livelihood restoration activities being implemented as set out in the income restoration plan.
Restoration of living standard and income	Affected residential structures reconstructed/restored at relocation sites Number and percentage of displaced persons covered under livelihood restoration and rehabilitation programs (women, men, and vulnerable groups). Number of displaced persons who have restored their income and livelihood patterns (women, men, and vulnerable groups). No. of APs (especially vulnerable) provided opportunities in project related employment. Percentage of displaced persons who improved their income and living standard (women, men, and vulnerable groups).
Consultation and Grievances	Consultations organized as scheduled including meetings, groups, and community activities. Community awareness about grievance redresses mechanism and its use. Progress on grievances recorded and resolved including information dissemination to affected families on the resolution of the grievances. Information on the implementation of the social preparation phase and implementation of special measures for vulnerable groups.
Communications and Participation	Number of meetings held with APs (male and female) to explain RP provisions, grievance redress mechanism and compensation disbursement mechanism. Number of APs (male female) participated in the meetings. Number of meetings and consultations held with vulnerable people.

External Monitoring

169. External monitoring of the RP will be undertaken, based on which a Compliance Report will be submitted to World Bank and SSWMB. The Monitoring/Compliance report will be used by the World Bank as a basis to issue notice to proceed with civil work activities to the contractor for site preparation. The report will be published on the website of the SSWMB and the World Bank. Independent monitoring will continue beyond the implementation periods of RP.

170. The extent of monitoring activities, including their scope and periodicity, will be commensurate with the project's risks and impacts. In case of subproject with significant resettlement impacts, SSWMB through PIU will engage the services of an independent agency or consultant, not associated with project implementation, to undertake external monitoring and evaluation of the RP implementation particularly for "High and Substantial Risks" subprojects.



171. An Independent or Third-Party Monitoring Agency or an individual with a team (IMA) will carry out external monitoring of RP and report monitoring results to SSWMB and World Bank through semi-annual monitoring reports or with a frequency as agreed with the World Bank. The external monitor will monitor and verify RP implementation progress and assess the achievement of RP objectives and compliance with World Bank's safeguards requirements through review of RP implementation progress reports, periodic internal monitoring reports and through, consultations with the APs and other stakeholders and impact assessment based on filed surveys. The key tasks of the external monitor will include:

172. **Table 6** below presents a set of suggested indicators for verification of the monitoring information by qualified and experienced external monitor.

Table 6 - Potential Indicators for External Monitoring

Monitoring Indicator	Basis for Indicator
Basic information on displaced persons' households (Gender disaggregated data essential for all aspects)	<ul style="list-style-type: none"> • Project location including description on project intervention and IR impacts. • Census data • Composition and structure, ages, educational, and skill levels with gender of household Head. • Vulnerable households • Land and other resource-owning and resource-using patterns • Occupations and employment patterns and income sources and levels. • Participation in neighborhood or community groups and access to cultural sites and events.
Compensation payment Restoration of living standards and	<ul style="list-style-type: none"> • Was Compensation for acquired assets, including structures and other assets, delivered? • Were Compensation payments sufficient to replace lost assets? • Replacement of affected assets particularly residential, productive assets and key social and cultural elements?
Restoration of livelihoods (Disaggregate data for displaced persons moving to group resettlement sites, self-relocating displaced persons, displaced persons with enterprises affected.)	<ul style="list-style-type: none"> • Have affected enterprises received sufficient assistance to reestablish themselves? • Have vulnerable groups been provided income-earning opportunities? Are these opportunities effective and sustainable? • Do jobs provided restore pre-project income levels and living standards?
Information and satisfaction levels of displaced persons.	<ul style="list-style-type: none"> • How much do the displaced persons know about resettlement procedures and entitlements? • Do the displaced persons know their entitlements and aware on whether these have been met? • What is the perception of displaced persons about the extent and level to which their living standards and livelihoods have been restored? • How much do the displaced persons know about grievance procedures and conflict resolution procedures?
Effectiveness of resettlement planning	<ul style="list-style-type: none"> • Were the displaced persons and their assets correctly enumerated? • Was the time frame and budget sufficient to meet objectives, were there institutional constraints? • Were entitlements based on replacement costs and adequate for rehabilitation and restoration of the APs? • Were vulnerable groups identified and assisted adequately? • How did resettlement implementers deal with unforeseen problems?

173. Based on the independent monitor's report, if significant issues are identified, a corrective action plan will be prepared, reviewed and approved by World Bank and disclosed

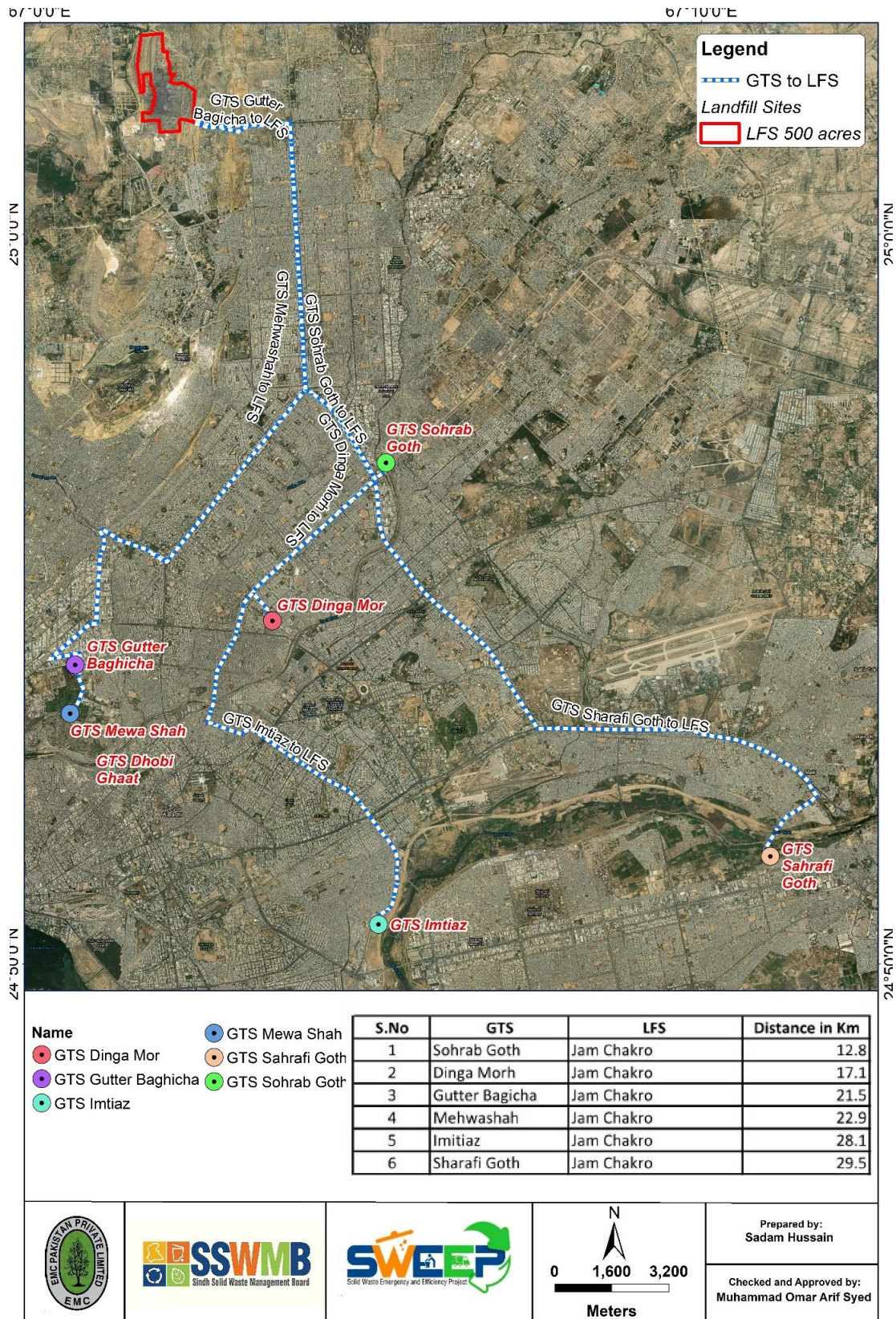
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to affected persons. In addition to the above defined monitoring mechanism, the World Bank will also keep a close oversight on the subprojects implemented under the SWEEP and will keep monitoring subproject on an ongoing basis by launching safeguards review missions until a subproject completion report is issued.

Reporting and Disclosure Requirements

174. The PIU SWEEP will prepare and submit quarterly (if not agreed otherwise in the RPs) social safeguards monitoring reports to the World Bank as part of project implementation performance monitoring. Such periodic monitoring reports documenting progress on resettlement implementation will be provided through the SWEEP PIU to the World Bank for review and disclosure. In case of a subproject with significant IR impacts, the monitoring reports will be prepared by an independent monitor who will prepare and submit monthly monitoring reports to SWEEP for the review. The SWEEP PIU will also submit subproject completion reports for each site when compensation has been paid. In addition to the routine monitoring reports, in cases wherever required and agreed between SWEEP and the World Bank during execution of the project, the PIU will prepare supplementary monitoring reports and share these with the World Bank. All monitoring reports will be subject to disclosure and will be disclosed on the World Bank and SWEEP websites as and when cleared by World Bank.

ANNEXURE I: MAP OF PROPOSED TRANSFER STATION SITES



ANNEXURE II: INVOLUNTARY RESETTLEMENT SCREENING CHECKLIST

Name of Enumerator: _____ Date: _____

District: _____ Sub-Division: _____



Subproject: _____

Sector: _____

Project Categorization: High Substantial Moderate Low

SECTION 1	Yes	No	Expected	Remarks
Does the project require land acquisition? Yes/No				
If yes, then describe the type of land being acquired from the categories below:				
Land (Quantify and describe types of land being acquired in "remarks column".				
Government or state-owned land free of occupation (agriculture or settlement)				
Private land				
• Residential				
• Commercial				
• Agricultural				
• Communal				
• Others (specify in "remarks").				
• Name of owner/owners and type of ownership document if available.				
If land is being acquired, describe any structures constructed on it				
Land-based assets:				
• Residential structures				
• Commercial structures (specify in "remarks")				
• Community structures (specify in "remarks")				
• Agriculture structures (specify in "remarks")				
• Public utilities (specify in "remarks")				
• Others (specify in "remarks")				
If agricultural land is being acquired, specify the following:				
Agriculture related impacts				
• Crops and vegetables (specify types and cropping area in "remarks").				
• Trees (specify number and types in "remarks").				
• Others (specify in "remarks").				
Affected Persons (APs)				
Will any persons be displaced from the land when acquired? Yes/No				
• Approx. number of APs				
• Males				
• Females				
• Titled land owners				
• Tenants and sharecroppers				



• Leaseholders				
• Wage laborers				
• Encroachers and squatters (specify in remarks column)				
• Vulnerable APs (e.g., women headed households, senior citizens, disabled and those below the poverty line). Specify the number and vulnerability in "remarks".				
• Others (specify in "remarks")				
• How will persons be affected?				
SECTION 2				
Will the relocation of informal settlers be involved? Yes/No				
If yes, how many persons? Gender? Type of activity?				
If yes, does the settlers been made aware of relocation?				
Are the settlers using the land for livelihoods, cultural activities? Yes/No				
Has the relocation place been identified?				
Will there be adverse impacts of relocation or beneficial impacts? Describe in remarks column				
Can the relocated persons lose locational advantages?				
Will their livelihood be affected at the new location?				
Has the relocation assistance been decided?				
Is there a host population residing near the relocation site?				

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ANNEXURE III: OUTLINE FOR RESETTLEMENT PLAN (RP)

The minimum elements of a resettlement plan as per ESS5 are given below:

1. Description of the project - General description of the project and identification of the area
2. Identification of Potential Impacts that would give rise to displacement.
3. Main Objectives of the Resettlement Program
4. Census survey and baseline socio-economic surveys - The findings of a household level census identifying and enumerating affected persons, and with the involvement of affected persons, surveying land, structures, and other fixed assets to be affected by the project.
5. Legal Framework - Findings of an analysis of the legal framework.
6. Institutional Framework - Findings of an analysis of the institutional framework.
7. Eligibility - Definition of displaced persons and criteria for determining their eligibility for compensation and other resettlement assistance, including relevant cutoff dates.
8. Valuation of and compensation for losses - Methodology to be used in valuing losses to determine their replacement cost and a description of the proposed types and levels of compensation for land, natural resources and other assets under local law, and such supplementary measures as necessary to achieve replacement cost for them.
9. Community Participation and feedback from consultations - Involvement of displaced persons.
10. Implementation Schedule – An implementation schedule providing anticipated dates for displacement, and estimated initiation and completion dates for all resettlement plan activities. The schedule should indicate how the resettlement activities are linked to the implementation of the overall project.
11. Costs and Budget – Tables showing categorized cost estimates for all resettlement activities, including allowances for inflation, population growth, and other contingencies; timetables for expenditures; sources of funds; and arrangements for timely flow of funds; and funding for resettlement, if any, in areas outside the jurisdiction of the implementing agencies.
12. Grievance Redress Mechanism – The plan describes affordable and accessible procedures for third-party settlement of disputes arising from displacement or resettlement; such grievance mechanisms should take into account the availability of judicial recourse and community and traditional dispute settlement mechanisms.
13. Monitoring & Evaluation – Arrangements for monitoring of displacement and resettlement activities by the implementing agency, supplemented by third-party monitors as considered appropriate by the Bank, to ensure complete and objective information; performance monitoring indicators to measure inputs, outputs, and outcomes for resettlement activities; involvement of the displaced persons in the monitoring process; evaluation of results for a reasonable period after all resettlement

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activities have been completed; using the results of resettlement monitoring to guide subsequent implementation.



14. Arrangements for Adaptive Management – The plan should include provisions for adapting resettlement implementation in response to unanticipated changes in project conditions, or unanticipated obstacles to achieving satisfactory resettlement outcomes.

The additional planning requirements where resettlement involves physical displacement are also given below:

15. Transitional Assistance - Describes assistance to be provided for relocation of household members and their possessions (or business equipment and inventory). The plan describes any additional assistance to be provided for households choosing cash compensation and securing their own replacement housing, including construction of new housing. If planned relocation sites (for residences or businesses) are not ready for occupancy at the time of physical displacement, the plan establishes a transitional allowance sufficient to meet temporary rental expenses and other costs until occupancy is available.
16. Site selection, site preparation, and relocation – When planned relocation sites are to be prepared, the resettlement plan describes the alternative relocation sites considered and explains sites selected.
17. Housing, infrastructure, and social services – Plans to provide (or to finance local community provision of) housing, infrastructure, and social services; plans to maintain or provide a comparable level of services to host populations; any necessary site development, engineering, and architectural designs for these facilities.
18. Environmental protection and management – A description of the boundaries of the planned relocation sites; and an assessment of the environmental impacts of the proposed resettlement and measures to mitigate and manage these impacts (coordinated as appropriate with the environmental assessment of the main investment requiring the resettlement).
19. Consultation on relocation arrangements – The plan describes methods of consultations with physically displaced persons on their preferences regarding relocation alternatives available to them, including as relevant, choices related to forms of compensation and transitional assistance, to relocating as individual households families, or with preexisting communities or kinship groups, to sustaining existing patterns of group organization, and for relocation of, or retaining access to, cultural property.
20. Integration with host populations – Measures to mitigate the impact of planned relocation sites on any host communities

The additional planning requirements where resettlement involves economic displacement are also given below:

21. Direct land replacement – for those with agricultural livelihoods, the resettlement plan provides for an option to receive replacement land of equivalent productive value or demonstrates that sufficient land of equivalent value is unavailable. Where

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replacement land is available, the plan describes methods and timing for its allocation to displaced persons.

22. Loss of access to land or resources – For those whose livelihood is affected by loss of land or resource use or access, including common property resources, the resettlement plan describes means to obtain substitutes or alternative resources, or otherwise provides support for alternative livelihoods.
23. Support for alternative livelihoods – For all other categories or economically displaced persons, the resettlement plan describes feasible arrangements for obtaining employment, or for establishing a business, including provision of relevant supplemental assistance including skills training, credit, licenses or permits, or specialized equipment. As warranted, livelihood planning provides special assistance to women, minorities, or vulnerable groups who may be disadvantaged in securing alternative livelihoods.
24. Consideration of economic development opportunities – The resettlement plan identifies and assesses any feasible opportunities to promote improved livelihoods as a result of resettlement processes. Where relevant, the plan should also assess the feasibility of prospects for financial distributions to communities, or directly to displaced persons, through establishment of project-based benefit sharing arrangements.
25. Transitional support – The resettlement plan provides transitional support to those whose livelihoods will be disrupted. This may include payment for lost crops and lost natural resources, payment of lost profits for businesses, or payment of lost wages for employees affected by business relocation. The plan provides that the transitional support continues for the duration of the transition period.

ANNEXURE IV – Consent to Disclose Information on GBV/SEA/SH/VAC Complaints

Instructions:

1. *This form should be read to the complainant or his/her guardian in his/her mother tongue.*
2. *It should be clearly explained to the complainant that he/she can choose any or all of the proposed options (for example, only having access to care services without consenting to the complaint management mechanism process).*
3. *Please explain in detail to the complainant/ survivor what the GRM process is, inform the complainants who will contact them, for what purpose, and what the time frames are, especially for follow-up and providing feedback. Explain the available service providers and provide information necessary for the complainant to specify choices. The following information can be given regarding the GRM:*

"The GRM is an administrative procedure and can only give rise to administrative sanctions, if any, only in accordance with labour law and contractor policies. The GRM will not give rise to any compensation or reparation, but you retain the right to seek legal advice and you can start the judicial process at any time. The GRM process means that a designated person (designated by the project, and providing details of their identity) will contact you for further details regarding the complaint."

4. *Ensure that the complainant is fully aware that he or she may change his or her mind at any time and that, as a result, the process would stop.*
5. ***Do not attach this consent form directly to the complaint registration form; it should be kept separate to ensure the confidentiality of the information provided by the beneficiary. Keep all forms secure and prevent unauthorized access.***

I, _____,
understand that I am free to consent to all or only one of the options below (for example, only to have access to management services without consenting to the GRM process). I am also aware that I may refuse consent to any option. I understand that the GRM is an administrative procedure and can only give rise to administrative sanctions, if any, in accordance with labour law and contractor policies. I understand that the GRM will not give rise to any compensation or reparation, but that I retain the right to seek legal advice at any time.

1- I authorize _____ (name of the project management & implementation unit) to share information regarding my complaint with competent authority so that they can initiate the complaint management mechanism process. I understand that the process might involve a more detailed inquiry and that I will be contacted to provide details of the complaint. I have received detailed information about the GRM process, who will contact me, with what purpose and timeframe and I agree to participate in these steps. I retain the right to change my mind at any time regarding the disclosure of information to the contact person named below and that in this case the process of handling my complaint will be interrupted. I understand that the information provided will be treated with confidentiality and respect, and will only be disclosed, if necessary, in the administrative process of taking up my complaint.

1- Authorization to be underlined by the complainant: Yes No
(or the parent/guardian if the complainant is under 18 years of age)

2- I authorize _____ (name of the project implementation unit) to provide the service provider(s) I have designated with information specifically related to my case, in order to be able to receive assistance according to my security, health, psychosocial and/or legal needs. I understand that the information provided will be treated with confidentiality and respect, and will only be disclosed if necessary to enable me to receive the assistance I have requested. I retain the right to change my mind at any time regarding the disclosure of information to the contact person/body named below.

I have been informed and understand that some non-identifying information may also be provided for reporting purposes. Any information disclosed will not be specifically related to me or the incident. It will be impossible to identify myself based on the information provided. I understand that the information provided will be treated confidentially and with respect.

I would like my information to be communicated to:

(tick the appropriate boxes and specify the name, department and agency/organization, if applicable)



1. Security services (specify): _____
2. Psychosocial services (specify): _____
3. Health / medical services (specify): _____
4. Safe place / refuge (specify): _____
5. Legal assistance services (specify): _____
6. Protective services (specify) : _____
7. Livelihood services (specify): _____
8. Other (specify type of service, name and organization): _____

2- Authorization to be underlined by the complainant: Yes No (or the parent/guardian if the complainant is under 18 years of age)

I understand that the lack of my consent to the start of the complaint management mechanism (if I underlined "no" in point 1) means that my complaint will be closed and none of the confidential and/or identifiable information will be shared (the grievance entry point will only use the type of violence reported and the gender of the complainant for reporting purposes).

I also understand that the refusal to proceed with the registration of my complaint within the project will not affect my rights to access support services.

Signature/thumbprint of the complainant:
(or the parent/guardian if the complainant is under 18 years of age)

Entry point code/signature:

Date : _____

Agreed contacts with the complainant for all successive interactions:

Telephone:

Address:

Other:

<p>Do not attach this consent form directly to the complaint registration; it should be kept separate to ensure the confidentiality of the information provided by the beneficiary.</p> <p>Keep all forms secure and prevent unauthorized access.</p>
