



**Global Environmental Facility
China Sustainable Cities Integrated Approach Pilot
Project**

Social Management Framework

December 18 , 2016

Abbreviations

AH	-	Affected Household
AP	-	Affected Person
ARAP	-	Abbreviated Resettlement Action Plan
BP	-	Bank Procedure
FGD	-	Focus Group Discussion
GEF	-	Global Environmental Facility
HD	-	House Demolition
LA	-	Land Acquisition
M&E	-	Monitoring and evaluation
MOHURD		Ministry of Housing and Urban –Rural Development of People’s republic of China
OP	-	Operational Policy
PMO	-	Project Management Office
PRC	-	People’s Republic of China
RAP	-	Resettlement Action Plan
RPF	-	Resettlement Policy Framework
SA	-	Social Assessment
SMP	-	Social Management Plan
SMF	-	Social Management Framework
TOD	-	Transit-oriented Development
TORs	-	Terms of Reference

Units

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

ABBREVIATIONS	2
1. INTRODUCTION TO THE PROJECT	5
1.1. Background of the Project.....	5
1.2. Preliminary Identification of Social Safeguards and Risks	5
1.3. Purpose of this SMF	6
2. SCREENING AND IDENTIFICATION OF SOCIAL IMPACTS	8
2.1. Screening and Identification Staff	8
2.2. Screening and Identification Procedure.....	8
2.3. Social Safeguard and SA Documents.....	8
2.4. TOR Preparation and Review	8
2.5. Preparation of Safeguard Documents, Discussion and Disclosure.....	9
2.6. Approval of Social Safeguard and SA Documents	9
2.7. Implementation, Supervision, Monitoring and Evaluation.....	10
3. SA POLICY FRAMEWORK.....	11
3.1. Purpose	11
3.2. Methods.....	11
3.3. Scope.....	11
3.4. Preparation and Implementation of Social Management Plan (including Social Gender Action Plan) 11	11
4. RPF	13
4.1. Purpose	13
4.2. Objectives, Principles and Terms.....	13
4.3. RAP Preparation	14
4.4. Institutional and Legal Framework.....	15
4.5. Implementation Process	16
4.6. Financial Arrangements	16
5. ORGANIZATION AND CAPACITY BUILDING.....	18
6. PUBLIC PARTICIPATION AND GRIEVANCE REDRESS	18

6.1. Public Participation and Information Disclosure.....	18
6.2. Grievance Redress Mechanism	19
7. MONITORING AND EVALUATION	19
7.1. Internal Monitoring.....	19
7.2. External Monitoring.....	20
APPENDIX 1-1: INITIAL SCREENING OF POTENTIAL SOCIAL SAFEGUARD ISSUES	21
APPENDIX 1-2: SCREENING OF POTENTIAL SOCIAL SAFEGUARD ISSUES	38
APPENDIX 2: TORS OF THE RAP	41
APPENDIX 3: LEGAL FRAMEWORK FOR RAP IMPLEMENTATION	43
APPENDIX 4: SAMPLE ENTITLEMENT MATRIX.....	45

1. Introduction to the Project

1.1. Background of the Project

1. The China Project will be implemented by MOHURD and seven cities that represent a range of development stages and challenges, which are Beijing, Tianjin, Shijiazhuang (Beijing-Tianjin-Hebei urban agglomeration), Ningbo (Yangtze River Delta urban agglomeration in eastern China), Nanchang (central Yangtze River Economic Belt), Guiyang (western China), and Shenzhen (Pearl River Delta urban agglomeration). In the GEF, \$32.75 million will be used for technical assistance, capacity building and project management, and will not support any civil work in principle.

Table 1. Profile of the Seven Project Cities (2015)

City	Location in China	Urban area (Km ²)	Population	Population density	GDP (RMB millions)	GDP per capita
Shenzhen	South	1996	11378700	5698	1750000	150,000
Nanchang	East-Central	617	5177300	8391	366796	70,847
Guiyang	South-West	630	3829100	6076	249727	65,218
Ningbo	East	2461	5866000	2384	801150	102,475
Tianjin	North-East	4335	15168100	3499	1572693	103,684
Beijing	North-East	1368	21520000	15727	2133083	99,121
Shijiazhuang	North-East	2242	10249300	4572	510020	49,761

Source: WIND Information Company Limited and PMO

2. **Component 1: National Platform and Toolkit:** This project component will finance multi-level coordination both at the national level and amongst cities to further develop national policies, guidelines, strategies, and capacity building efforts for integrated urban planning and TOD. The national platform will aggregate the outputs of the city level activities and compile indicators for monitoring, evaluation and benchmarking across cities. This component is implemented by the PMO at MOHURD.
3. **Component 2: City Level TOD technical assistance and pilot:** This component would specifically support the seven cities in developing strategies and plans to better integrate land use and transport planning, create urban forms and space that reduce the need for private motorized vehicles, and increase transport and land use efficiencies. Then depending on their focus and priorities, cities could develop a selection of enabling policy and institutional arrangements, conceptual land use plans, urban regeneration schemes, streetscape and urban design guidelines, parking strategies, non-motorized transport plans, and sustainable financing mechanisms following TOD principles.

1.2. Preliminary Identification of Social Safeguards , impacts and mitigation measures

4. The preliminary identification of social safeguards and risks covers two parts, one is TA, policy and planning activities financed by the project and the other is impacts from downstream activities. The GEF project will only finance the first part, not downstream activities, and Appendix 1-1 thoroughly elaborates this. Further, the Bank social safeguards policy will be mandatorily applied to the first one, and any downstream activities implemented within the project cycle.
5. The information presented in appendix 1-1 is an initial social safeguard screening of project activities as presently described. Further screening by the clients and the Bank Task Team will be conducted as the TA, policy, and upstream planning activities are further elaborated to identify actual potential downstream activities. The screening process and results will be reviewed by the Bank Task Team together with the client to assess the level of obligation for both the Bank and the client of different TA interventions and provide the basis to

wisely agree the level of involvement in the activities proposed and the social safeguard instruments that are to be applied.

6. The project in the 7 project cities will support technical assistance (TA) for developing policies and regulations, conceptual area planning, and TOD related planning, there is no civil works, specific land use planning, or investment plans involved in the project implementation, it will not involve LA, HD and resettlement directly, and will not lead to social risks and conflicts.

7. However, policies or strategy study may have downstream social impacts on relevant stakeholders, such as the urban poor, disabled and women, etc., and detail planning /design or demonstration implications, such as Ningbo, Shenzhen, Guiyang, Beijing and Shijiazhuang, may induce some downstream civil work activities ,including land use changes or construction around transit stations etc. Therefore,OP4.01, and OP 4.12, involuntary resettlement will be triggered.

8. In addition, technical assistance and pilots in the 7 project cities will be implemented in cities, involving no ethnic minorities as defined by OP 4.10 are present in project areas, so the Bank Policy on Indigenous Peoples (OP4.10) will not be triggered.

9. The mitigation measures include: i) appointed qualified social experts and consultants to do further social impacts screening; ii) conduct social assessment for both TA, policy and planning activities financed by the project and downstream activities in line with the SA framework; and in case some investments stemming from TA and planning activities will be implemented during the life of the project, social management plan (SMP) should be implemented and monitored; iii) prepare resettlement action plan if needed, and also, if some of downstream projects/investments with civil works will be implemented during the life of the Bank-financed project, resettlement action plan should be implementation and monitored as RPF. In addition, institutional arrangement and capacity building, participation and grievance redress mechanisms should be considered.

1.3. Purpose of this SMF

10. A Social Management Framework (SMF) for the Project is built up for both TA, policy and planning activities financed by the project and downstream activities to expand the Project's social benefits, mitigate social risks, and realize its social objectives more effectively.

11. This SMF includes project (policies, plans, downstream activities etc.) social impact identification and social document preparation and approval procedure, a SA Framework and a RPF. The SA Framework includes the SA purpose, methods, scope, SMP, etc. aims to guide social assessment for both TA, policy and planning activities financed by the project and downstream activities if necessary; and RPF proposes the RAP preparation and approval procedure, compensation rates, an entitlement matrix, institutional arrangements, public participation and grievance redress mechanisms, M&E arrangements, etc, it is prepared to guide resettlement plan preparation, implementation and monitoring in case some of downstream projects/investments with civil works will be implemented during the life of the Bank-financed project. The Bank will supervise the SMF implementation, including review and approval of all prepared Resettlement Plans in line with the RPF for downstream activities to be carried out in project cycle.

12. Since the Project is mostly implemented in urban or suburban areas, and does no ethnic minorities as defined by OP 4.10 are present in project areas, this SMF does not include an Indigenous Peoples Policy Framework (IPPF).

13. The Social Management Framework (SMF) is developed to ensure that all measures are taken to avoid or minimize social impacts in all project activities funded by the grant.

Unavoidable impacts will be identified according to the applicable Bank policies, and PRC laws and regulations, and necessary mitigation measures developed and implemented.

14. The SMF establishes the objectives, procedures, organizational framework and implementation arrangements for identifying and managing potential social impacts arising from project activities, and public participation and grievance redress mechanisms.

2. Screening and Identification of Social Impacts

2.1. Screening and Identification Staff

15. The PMOs have conducted an initial social safeguard policy screening according to the Bank's social safeguard policies. The PMOs or appointed qualified social experts and consultants will screen each component for social safeguard policies, and submit the screening results to the Bank for review, discussion, and approval to identify the nature and scope of potential social impacts of project activities.

2.2. Screening and Identification Procedure

16. The technical assistance and their application do not involve civil engineering, and will not result in LA, HD and resettlement. However, studies that lead to policy making and planning may lead to downstream social impacts. Social impacts will be screened through the following steps:

- Step 1—identifying potential social impacts in policy making and planning, and screening potential social safeguards and impacts (social risks, social sustainability, social conflicts) in accordance with the PRC regulations and the Bank policies, and determining the required social safeguard documents;
- Step 2—preparing terms of reference (TORs) for the SA Report and the RAP
- Step 3—review of the TORs by the Bank according to the social safeguard policies;
- Step 4—preparing social safeguard and SA documents, and conducting discussion and disclosure;
- Step 5—approval of social safeguard and SA documents; and
- Step 6—implementation, supervision, monitoring and evaluation

17. Social impact screening includes: (1) necessity of LA (if any) and involuntary resettlement (permanent and temporary); (2) affected population; and (3) if there is any other social risk. The PMOs will use the screening tools set out in **Appendix 1-2** to identify such impacts, and identify social safeguard and SA documents to be prepared.

2.3. Social Safeguard and SA Documents

18. The social safeguard documents of each downstream activity depend on its impacts:

- **RAP:** If more than 200 persons are affected by LA and HD, an RAP should be prepared, otherwise an ARAP should be prepared.
- **SA:** If any major social impact is expected to arise, such as NIMBY effect, poverty, women's participation and labor unemployment, a SA Report should be prepared.

19. In addition, consideration should be given to social gender issues during project preparation and implementation. Social fairness and gender equality will be promoted through extensive, equal participation, and consultation with local enterprise managers and workers (including affected local female workers). Particular attention should be paid to the participation of vulnerable groups (including women). Sensitivity to social issues should be maintained during LA, resettlement, and employment assistance for enterprises (if any). Equal participation and social gender sensitivity will be reflected in project activities, such as capacity building, consultation, compensation, and livelihood restoration.

2.4. TOR Preparation and Review

20. If any major social impacts or risks are identified for project activities, the PMOs or appointed qualified social experts and consultants will prepare TORs according to the Bank's social safeguard policies, and submit them to the Bank for approval (see Appendix 1-1 for details).

21. If downstream activities involve LA and HD, OP/BP4.12 will be triggered, and a full RAP or ARAP prepared. If the affected population exceeds 200, a full RAP should be prepared. If the

affected population is less than 200, an ARAP should be prepared. Once a full RAP is to be prepared, the PMOs will develop TORs with the assistance of experienced social experts. A full RAP should be based on accurate social survey results, and include measures to mitigate negative impacts from resettlement (e.g., compensation for land, buildings and other assets, assistance during the transition period, assistance in livelihood restoration). In order to ensure that necessary resettlement measures will not replace or restrict the use of resources and assets before project implementation, resettlement activities should be implemented together with the project investment plan. See Chapter 3 for the main tasks of the RAP. **Appendix 2** provides the TOCs of the full RAP.

22. The RAP and SA TORs will be reviewed and confirmed by the Bank for downstream activities implemented during implementation of the Bang-financed project, although these are not financed by the Bank or GEF. The Bank's social safeguard experts will pay a site visit to further identify social risks, and confirm or improve the TORs.

2.5. Preparation of Safeguard Documents, Discussion and Disclosure for Downstream Activities¹

Preparation of safeguard documents

23. Once the screening and documentation requirements are accepted by the Bank and confirmed by the government, the project developer will prepare detailed safeguard documents and develop impact mitigation measures with the assistance of the PMOs.

24. Before the finalization of the safeguard documents, they should be released timely at places that can be reached by primary stakeholders, and in forms and languages that they can understand. Particular attention should be paid to this to ensure that potential APs have sufficient time and obtain drafts before consultation.

25. For any component requiring RAP and SA, consultation will be conducted at least twice at the preparation stage. The scope of social issues will be identified at the beginning of preparation of the safeguard documents, and consultation on preliminary results conducted before the finalization of the safeguard documents.

26. All the above safeguard documents to be submitted to the Bank should include Chinese and English versions.

Discussion and disclosure

27. The level of public consultation and the scope of information disclosure should be consistent with the severity of social impacts of the component. The information to be disclosed should at least include the design and impacts of the component, and recommended mitigation measures. At the design and implementation stages, the above information should be updated and reported to stakeholders. Multiple disclosure modes may be used, possibly including poster, brochure, newspaper, Web and community meeting. Before consultation, all safeguard documents should be disclosed at public places accessible for APs and other stakeholders in order to lay a foundation for meaningful consultation. The disclosure and consultation mechanism should be planned and specified in the relevant safeguard documents.

Grievance redress

28. If any affected individual or organization thinks that it is not properly treated under the Project, a grievance redress mechanism is necessary, including: 1) a recording and reporting system, including written and oral appeals; 2) handled by persons designated by local governments; and 3) restriction on appeal handling time. This mechanism will be specified in the relevant safeguard documents. During implementation, the PMOs will perform regular M&E on the operation of this mechanism.

2.6. Approval of Social Safeguard and SA Documents

¹ These procedures are followed for downstream activities (not financed by the Bank) that take place during implementation of the Bank/GEF financed project.

29. The PMOs should review and approve the social safeguard documents in accordance with the domestic regulations. The social safeguard documents should be submitted to the Bank for approval 3 months before project implementation. The Project cannot be implemented until such documents are approved. In addition, the RAP and the SA Report should have been reviewed and approved by the Bank's social experts before the component is approved.

2.7. Implementation, Supervision, Monitoring and Evaluation

30. **Implementation:** The project developer is responsible for the implementation of the safeguard measures at the implementation stage.

31. **Supervision:** The PMOs are responsible for the implementation of the actions related to safeguards approved by the government and the Bank. The Bank's task force will visit the project area regularly during implementation of downstream activities (but only during the implementation period of the Bank/GEF financed project) for the purpose of:

- Directing and assisting in the preparation of the safeguard tools;
- Reviewing screening results, reports and safeguard documents; and
- Supervising the implementation of the safeguard tools to ensure that they comply with the

Bank's policies.

32. **M&E:** The PMOs will appoint qualified, experienced consultants to perform M&E to obtain key social information on the components and information on the effectiveness of the mitigation measures. For any component requiring an RAP, the PMOs will appoint third party independent consultants accepted by the Bank to perform external M&E on RAP and SMP implementation. External M&E reports will be submitted to the Bank and the PMOs.

3. SA Policy Framework

3.1. Purpose

33. SA aims to help improve the design and implementation of TOD technical assistance and pilots financed by the Bank/GEF through extensive participation and consultation, thereby ensuring individuals and groups mostly likely to be affected directly by project activities, especially women, the poor and other vulnerable groups, participate in and support the Project (policies, plans), and realizing the social objectives of the Project.

3.2. Methods

34. Generally, such qualitative methods as literature review, FGD and interview are used for SA mainly, supplemented by such quantitative methods as questionnaire survey and structured interview.

- 1) **Literature review:** collecting socioeconomic information, relevant policies, LA and HD compensation policies, ethnic records, etc.
- 2) **Questionnaire survey:** designing a questionnaire based on the scope of project activities, scope of SA, and profile of the affected population, and conducting a questionnaire survey on the population affected by project activities (policies, plans)
- 3) **FGD:** organizing FGDs for primary stakeholders of the Project (policies, plans), including AP representatives, women, the poor and other vulnerable groups, heads of functional departments concerned, to learn their attitudes to, needs for and suggestions on the Project
- 4) **In-depth interview:** conducting face-to-face in-depth interviews with APs in a semi-structured manner to learn their attitudes to, needs for and suggestions on the Project
- 5) **Key informant interview:** interviewing key informants, including heads of departments concerned and communities/villages, to learn their attitudes and opinions to the SMF

3.3. Scope

35. Generally, SA will analyze all stakeholders possibly related to the Project, and their social impacts, including:

- 1) Stakeholder analysis: identifying primary stakeholders, and carrying out project activities involving them to collect their needs and opinions, especially women, the poor and other vulnerable groups
- 2) Information disclosure and public participation: disclosing information on TOD policies, plans, etc., Bank social safeguard policies, state and local policies on employee rights and interests, subsidies, and reemployment, reemployment training programs, employee social security policies, grievance redress channels, etc., especially the participation of women, the poor and other vulnerable groups in the Project, and how they benefit from the Project
- 3) Social gender impacts: learning local women's attitudes to and opinions on the Project, the Project's potential impacts on them, their employment and healthcare, their needs for jobs during construction, their perceptions of and needs for TOD, etc.
- 4) Social impact analysis: analyzing the potential positive and negative impacts of the Project (TOD policies, strategies, plans, etc.), potential social risks, mitigation measures, etc.

3.4. Preparation and Implementation of Social Management Plan (including Social Gender Action Plan)

36. A feasible social action plan will be developed, as needed for activities financed by the Bank/GEF, based on the identified social risks, including specific measures, implementation schedule, agencies responsible, costs incurred, funding sources, M&E indicators, etc., in order to ensure that local residents benefit from the Project (TOD policies, strategies, plans, etc.), and promote inclusive social development and social fairness. The social action plan should reflect social gender sensitivity to promote social gender development.

37. The social action plan identifies the agencies responsible for the social actions (measures), which should participate in the preparation of the social action plan.

4. RPF²

4.1. Purpose

39. Since downstream impacts of the technical assistance and pilots may result in LA and involuntary resettlement, the borrower has prepared the RPF, and related principles and guidelines in accordance with the Bank's policy OP4.12 to guide resettlement activities.

4.2. Objectives, Principles and Terms

40. This RPF is based on OP4.12 "Involuntary Resettlement" in the World Bank Operational Manual issued in December 2001, and the overall objectives are:

- Involuntary resettlement should be avoided where feasible, or minimized, exploring all viable alternative project designs;
- Where it is not feasible to avoid resettlement, resettlement activities should be conceived and executed as sustainable development programs, providing sufficient investment resources to enable the persons displaced by the project to share in project benefits;
- Displaced persons should be assisted in their efforts to improve their livelihoods and standards of living or at least to restore them, in real terms, to pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher.

41. This RPF defines the principles and objectives of resettlement, and appropriate guidelines, rights, and legal and institutional framework, compensation and restoration patterns, participation characteristics, and appeal procedure for resettlement, and is used to guide compensation, resettlement and restoration matters.

- Each RAP should be based on identifiable basic information collected, and include the following aspects:
- Those whose farmland or rural houses together with housing sites is/are wholly or partly affected by the Project (permanently or temporarily);
- Urban houses wholly or partly affected by the Project (permanently or temporarily);
- Commercial facilities (enterprises and stores) wholly or partly affected by the Project (permanently or temporarily);
- Young crops and ground attachments wholly or partly affected by the Project (permanently or temporarily).

42. The key principles and objectives of this RPF are as follows:

- Acquisition of land and other assets, and related resettlement should be minimized where possible;
- As of the baseline survey date, all APs are entitled to restoration measures to help them improve or at least their living standard, ability to earn income and production level; the lack of legal title to asset losses does not impede their entitlement to resettlement measures;
- The resettlement measures available include: (1) residential houses and other buildings are compensated for at replacement cost free from depreciation or recovery of residual value; (2) cash or other means of compensation, such as land replacement and endowment insurance; (3) equal replacement of housing and housing sites acceptable to APs; and (4) subsidies for relocation and living;
- If APs can accept the replacement of housing, housing sites and farmland, replacements should be as close to their lost land as possible;
- The transition period of resettlement should be minimized, and restoration measures should be made available to APs at the project site before the preset starting date;
- The acquisition plan of land and other assets, and the restoration measures offered shall be negotiated with APs repeatedly to ensure minimum interference; APs will be empowered before the preset starting date;

² Any reference to World Bank review, approval and supervision applies only for downstream activities (not financed by the Project) that are prepared and implemented during the period of implementation of the Bank/GEF-financed project.

- The existing community service and resource levels should be maintained or improved;
- Whenever and wherever necessary, financial and material resources for resettlement and restoration must be available; the budget in the RAP should include contingencies;
- The institutional and organizational arrangements should ensure that assets and resettlement are designed, planned, consulted and implemented effectively and timely;
- The implementation of the RAP shall be supervised, monitored and evaluated effectively and timely.

4.3. RAP Preparation

43. The preparation and implementation of the RAP (including the payment of all resettlement costs) will be the responsibility of the borrower. Each PMO is fully responsible for the Project, implementation and management

44. When the affected population of a component exceeds 200, the municipal PMOs will prepare a RAP in coordination with the local governments and the owners, and submit it to the Bank (for downstream activities prepared or implemented during implementation of the Bank/GEF-financed project); in addition, APs should be fully consulted so that they have a chance to participate in the design and implementation of the RAP.

45. On the basis of the Operational Policy on Involuntary Resettlement (OP4.12), the RAP will cover the following (if relevant), and anything unrelated to the Project should be specified in the RAP:

- General description of the Project;
- Identification of potential impacts of the Project;
- Objectives (the main objectives of the resettlement program);
- Socioeconomic studies: The findings of socioeconomic studies to be conducted in the early stages of project preparation and with the involvement of potentially displaced people;
- Legal framework: The findings of an analysis of the legal framework, covering the scope of the power of eminent domain and the nature of compensation associated with it, the applicable legal and administrative procedures, environmental laws and social welfare legislation, laws and regulations, and any legal steps necessary;
- Eligibility: Definition of APs and criteria for determining their eligibility for compensation and other resettlement assistance;
- Valuation of and compensation for losses;
- Resettlement measures: a description of the packages of compensation and other resettlement measures;
- Resettlement site selection and construction, infrastructure, and social services;
- Environmental protection and management;
- Public participation and consultation, where the APs and the related communities must be included;
- Integration with host populations: measures to mitigate the impact of resettlement on any host communities;
- Grievance procedures: establishing an appeal procedure;
- Organizational responsibilities: identifying resettlement agencies, including NGOs that may play a part, evaluating their capacity, and proposing measures for institutional capacity enhancement;
- Implementation schedule;
- Costs and budget;
- M&E.

46. The RAP should be completed no later than 6 months before the starting date of resettlement, and submitted to the Bank for consideration at least 3 months before that. Only after the Bank has accepted the RAP can compensation, resettlement and restoration activities begin. Such activities should be completed before the commencement of civil engineering.

47. When the affected population of a component does not exceed 200, the PMOs will prepare an abbreviated resettlement action plan (ARAP) in close cooperation with the local governments and the owners, and submit it to the Bank through the PMOs; in addition, APs should be fully consulted so that they have a chance to participate in the design and implementation of the RAP.

48. On the basis of the Operational Policy on Involuntary Resettlement (OP4.12), the ARAP covers the following minimum elements:

- a census survey of APs and valuation of assets;
- description of compensation and other resettlement assistance to be provided;
- consultations with displaced people about acceptable alternatives;
- institutional responsibility for implementation and procedures for grievance redress;
- arrangements for monitoring and implementation; and
- a timetable and budget.

49. The ARAP should be completed no later than 4 months before the starting date of resettlement, and submitted to the Bank for consideration at least 3 months before that. Only after the Bank has accepted the ARAP can compensation, resettlement and restoration activities begin. Such activities should be completed before the commencement of civil engineering.

4.4. Institutional and Legal Framework

50. The legal framework guiding the implementation of the RAP is based on the Bank's policy on involuntary resettlement (OP4.12), the applicable laws, regulations and ordinances of the state, and the project provinces and cities.

51. The PRC has developed a complete legal framework and policy system on LA, HD, resettlement and compensation, including the Land Administration Law of the PRC (amended on August 28, 2004). Within the state legal and policy framework, local governments have promulgated relevant local regulations and policies to manage and direct local LA, HD, resettlement and compensation work. The 7 cities governments have promulgated local regulations and policies in accordance with the applicable state laws and policies to manage and direct relevant local work.

52. The key laws, regulations and ordinances of the PRC used to prepare this RPF and ensure its legal validity include: 1) laws and policies on LA (see **Appendix 3, Table 1**); and 2) laws and policies on HD (see **Appendix 3, Table 2**).

53. The latest policies will apply in practice.

54. According to the Notice of the Ministry of Land and Resources on Doing a Better Job in LA Management (MLR [2010] No.238), "All localities shall establish a dynamic adjustment mechanism for compensation rates for land acquisition, adjust compensation rates for land acquisition every 2 or 3 years depending on economic level and local per capita income growth, and improve the compensation level for land acquisition gradually."

55. The purpose of preparing the RAP is to ensure that the APs have sufficient opportunities to replace their lost assets, and improve or at least restore their income level and living standard. To realize this purpose, all APs should be identified, and it should be ensured that all APs think the remedies defined in the RAP are rational. In consideration of the main types of impacts (e.g., LA, demolition of urban and rural residential houses, demolition of non-residential properties (enterprises, stores, etc.), the following measures are usually taken:

56. APs losing farmland will be entitled to the following compensation and restoration measures:

- Land reserved for resettlement obtained through LA should be used to develop the

collective economy with the consent of villagers, offer collective jobs for collective resettlement, generate operating income, etc.

- Where land reallocation is impossible, land-expropriated farmers must be identified. They will be provided with jobs with a remuneration level at least equivalent to their lost income, or receive a resettlement subsidy at 4-6 times the average annual output value (AAOV) of the acquired land in the 3 years before LA. If the former living standard of the APs still cannot be fully restored like this, resettlement subsidy may be increased to 15 times the AAOV, or compensation as comprehensive district land price.
- If land compensation fees and resettlement subsidy are still insufficient to restore the living standard of the APs, they will receive subsidies from fees on the use of state-owned land.
- Land compensation fees and resettlement subsidy will be paid to the affected village committees, and used to: 1) increase cultivated area if land is available; 2) improve agriculture through irrigation, etc.; and 3) develop nonagricultural income. Like fixed assets, affected young crops, fruit and commercial forests will be compensated for at replacement cost.
- The lost income, young crops and infrastructure, and land restoration costs of the persons affected by temporary land occupation will also be compensated for.
- Eligible APs will be included in endowment insurance for LEFs or the social security system; and
- The APs will have priority in receiving job opportunities and skills training under the Project.

57. Demolished houses and attachments will be compensated for as follows, and the following restoration measures will be taken:

- Supply of resettlement housing of equal value;
- Compensation at full replacement cost;
- Reconstruction or restoration of all affected facilities and services (e.g., roads, water and power supply, telephone, cable TV, schools);
- The subsidy during the transition period should ensure that all assets are relocated or temporary housing is obtained.

58. The RAP prepared should include an entitlement matrix for the APs. See **Appendix 4** for a sample.

4.5. Implementation Process

59. The RAP should include an implementation schedule for all activities to be conducted. If necessary, compensation payment, other entitlement restoration measures (in cash or in kind) and resettlement should at least be completed one month before LA. If full compensation is not paid or necessary assistance measures are not available before LA, a transition subsidy should be provided.

4.6. Financial Arrangements

60. The PMOs, local governments or owners will bear all costs related to LA and resettlement. Any RAP consistent with this RPF must include estimated costs and a budget. Whether identified as APs at the RAP preparation stage or not, and whether sufficient funds are available or not, all those adversely affected by LA and HD are entitled to compensation or any other appropriate relief measure. For the above reason, the budget in the RAP should include contingencies, which are usually 10% or more of the estimated resettlement budget in order to cover contingent resettlement costs.

61. The compensation rates specified in the RAP provide a basis for the calculation of compensation fees for resettlement, which should be fully paid to individuals or collectives losing land or other assets, and should not be deducted for any reason. The RAP should describe by what means compensation fees are paid by the component owners to the affected

villages or villagers. A rationale is that the fund flow should be as direct as possible with minimum intermediate links.

5. Organization and Capacity Building

62. **Bank:** supervising the implementation of social and resettlement management, and reviewing and approving the social safeguard documents
63. **PMO at MOHURD, provincial PMOs,** and government agencies concerned (civil affairs bureaus, labor and social security bureaus, etc.): supervising the implementation of the social safeguard documents, and reporting the same to the Bank regularly; assigning staff to manage social and resettlement risks, and ensuring that the Project is implemented according to the SMP or RAP
64. **Social and environmental departments under PMOs:** responsible for project implementation, preparing social management documents and RAPs, assisting in project monitoring and supervision, and submitting progress reports to project management agencies
65. **SA and resettlement consulting agencies:** preparing the SA Report and the RAP
66. **SA and resettlement monitoring agencies:** conducting M&E on the Social Management Plan or RAP, and submitting M&E reports to the Bank
67. During implementation, the PMOs will appoint social experts to train their social and resettlement staff in order to improve their SA capacity, and
68. The budget of implementation of the SMF shall be estimated and considered in the project cost.

6. Public Participation and Grievance Redress

6.1. Public Participation and Information Disclosure

69. During the project preparation, this SMF was disclosed in the affected cities for comment. The disclosure was conducted on the websites of national PMO (MOHURD) and seven project cities from the 20 October to 1 November 2016. The disclosed duration was at least 2 weeks. The eight PMOs disclosed this draft SMF on the local website and request the comments from the effected people and relevant agencies. The disclosed information link is shown below Table 2.

Table 2 Information disclose link summary

NO.	PMO/City	Link	Duration of disclosure	Site of the disclosure
1	MOHURD	http://114.242.72.198/	2016-10-30	MOHURD - governed website
2	Beijing	http://www.bjjs.gov.cn/tabid/662/InfoID/106072/frtid/4299/Default.aspx	2016-10-24 2016-11-8	Beijing Municipal commission of housing and urban-rural development
3	Tianjin	http://www.tjcac.gov.cn/xgk/tzgg/201610/t20161020_45772.html	2016-10-20	Tianjin Urban & Rural Construction Commission
4	Shijiazhuang	http://www.sjz.gov.cn/col/1274081553614/2016/11/01/1477983112949.html	2016-11-1	Shijiazhuang Municipal Government
5	Ningbo	http://www.nbjs.gov.cn/GB/show.aspx?id=40935&path_id=000000000100008	2016-10-21 2016-11-5	Ningbo Housing and Urban-Rural

				Development Committee
6	Nanchang	http://www.nc.gov.cn/xwzx/tzgg/201610/t20161024_833269.htm	2016-10-21 2016-11-4	Nanchang Municipal Government
7	Guiyang	http://jtj.gygov.gov.cn/art/2016/10/31/art_27973_1067312.html#	2016-10-31 2016-11-14	Guiyang Transportation Committee
8	Shenzhen	http://www.szpb.gov.cn/xxgk/qt/tzgg/201610/t20161025_5012815.htm	2016-10-24 2016-11-4	Shenzhen Development Perform Committee (DRC)

70. During project implementation stage, public disclosure and consultations will be conducted. The stakeholders, experts, the public, NGO, and relevant departments will be consulted, the comments collected will be compiled to the plan (strategy/ research /policy) and other outputs. The information including the background of plan (strategy/research/policy) and main context; the constraints for plan (strategy/research/policy) implementation etc will be disclosed

71. In addition, The RAP and the SA Report/SMP should describe the measures taken or to be taken, and enable the APs to participate in the proposed project activities.

72. The RAP and the SA Report/SMP should be subject to free, prior, and informed consultation, and all documents that ensure the adequate participation of the APs should be disclosed as required by the Bank.

73. Public participation should be implemented ahead of project design, and must run through the whole process of RAP implementation and external M&E.

6.2. Grievance Redress Mechanism

74. During project preparation and implementation, an effective grievance redress has been established in order to learn the Project's impacts on stakeholders, and ensure extensive public participation:

- **Stage 1:** An AP may file an oral or written appeal with the employer or village/community committee. In case of an oral appeal, the employer or village/community committee shall keep a written record. Such appeal should be solved within two weeks.
- **Stage 2:** If the AP is dissatisfied with the disposition of Stage 1, he/she may file an appeal with the IA or project management agency after receiving such disposition, which shall make a disposition within two weeks.
- **Stage 3:** If the AP is still dissatisfied with the disposition of Stage 2, he/she may file an appeal with the competent authorities level by level in accordance with the Administrative Procedure Law of the PRC for arbitration.
- **Stage 4:** If the AP is still dissatisfied with the arbitration award, he/she may file a suit in a civil court in accordance with the Civil Procedure Law of the PRC after receiving the arbitration award.

7. Monitoring and Evaluation

75. The PMOs should establish an M&E mechanism for the implementation of the RAP and the SA Report/SMP, including internal and external monitoring.

7.1. Internal Monitoring

76. Internal monitoring will be implemented by the PMOs, which will establish a topside-down internal monitoring mechanism. The PMOs or the appointed consultants will monitor the implementation of the RAP and the SA Report/SMP semiannually, and prepare two progress reports annually for submission to the Bank.

7.2. External Monitoring

77. External M&E will be conducted by an independent agency appointed by the PMOs through public bidding over all resettlement activities of the Project semiannually until project completion.

78. Such independent agency may be an academic institution, NGO or consulting firm, but it should have qualified and experienced staff, and its TORs should be accepted by the Bank.

Appendix 1-1: Initial Screening of Potential Social Safeguard Issues

Ningbo

S.N.	Subproject Name	Activities	Outputs	Downstream activities and social impacts	WB social safeguard policies	Measures
SCI-NB-1	SCI-NB-1 Studies on TOD Development Strategy in Ningbo City	Based on the planning for the rail network and passenger terminals in Ningbo, the key TOD development zones should be clearly delimited where TOD policies should be implemented within the main urban districts; the overall TOD development program should be worked out; the capabilities and scales should be ascertained of investing and financing the construction of TOD-supported rail transport facilities and other related traffic infrastructures in these zones; the control indicators of planning and design should be defined to guide the future TOD planning and construction of Ningbo; by the integrated transport planning model, the traffic impacts of TOD development strategy should be evaluated, and the social and environmental impacts of the TOD development strategy should also be assessed; and based on the study outcomes, the feedback recommendations should be made on the urban spatial development strategy of Ningbo. To develop urban TOD sharing platforms and a series of extendable toolkits, to facilitate	(1) TOD Development Strategy Report, including such major TOD development zones, the Overall TOD Development Program, TOD Development Strategy Evaluation, Feedback Recommendations on the Urban Spatial Development Strategy. (2) Atlas/Drawings and compilation of other basic materials. (3) Urban TOD platform and tool (toolkit), and benchmarking application in Ningbo and feedbacks.	The studies may induce downstream social impacts on different stakeholders, such as poor, disabled persons, women and elderly.	OP4. 01	<ol style="list-style-type: none"> 1. Appoint qualified social experts and consultants. 2. Screen social impacts as SMF 3. Conduct social assessment as SMF, if required

		the pilot cities to evaluate and monitor the long-term environmental, social and economic costs and benefits brought by different transit-oriented intervenes.				
SCI-NB-2	Studies on TOD Planning, Design and Implementation for Rail Transit	To select a rail line as a carrier to organically coordinate multi-sector planning incorporating the best national and international practices, through detailed TOD planning design along the rail line to explore the mode of integrating urban transport facilities construction and land use development management so as to realize the sound development of urban land use.	(1) Review Report of the Third-round Rail Transit Planning. (2) Detailed TOD planning scheme for areas along the rail line.	Detailed TOD planning scheme indicates downstream activities, such as land use changes or construction around transit stations, etc.	OP 4.12, involuntary resettlement, triggered.	1. Conduct involuntary resettlement screen as RPF, 2. If downstream activities induce land acquisition and resettlement, RAPs need to be prepared as RPF.
SCI-NB-3	Studies on improving existing TOD-based rail transit stations	Select built railway stations and analyze problems and weakness of transit railway in non-transport functions by using SCI-NB-1 results; diagnose and improve current plans by comparing TOD-based development models combining both domestic and international new and improvement cases: 1. Thoroughly review underground space development of current railway stations and improve reasonable and feasible suggestions, and improve the connectivity and connection mechanism of subway stations; 2. find out	1. Studies on improving existing TOD-based rail transit stations 2. Transport data platform and APP software	The studies may induce downstream social impacts on different stakeholders, such as poor, disabled persons, women and elderly.	OP4. 01	1. Appoint qualified social experts and consultants. 2. Screen social impacts as SMF 3. Conduct social assessment as SMF, if required

		transfer supporting facilities at subway stations and offer improvement suggestions, including improving surrounding public transport system and NMT system, integrate data platforms, develop and examine related APP software.				
4	Capacity Building	With this project as a channel, through special workshops and forums, to organize activities of domestic and overseas training and study tours so as to improve the expertise of the staff concerned, introduce advanced concepts and heighten the level of the sector in Ningbo. In addition, to strengthen the management capacity of project management agencies and raise the professional level of managerial staff to ensure successful implementation and effective management of the project.	N/A			
5	Project Management	N/A	N/A			

Shenzhen

S.N.	Subproject Name	Activities	Outputs	Downstream activities and social impacts	WB social safeguard policies triggered	Mitigation Measures
1	City TOD strategy for Shenzhen	<p>Study on TOD strategy for Shenzhen City</p> <p>Study on the planning and construction mechanism of TOD in Shenzhen</p> <p>Study on public policy system of TOD in Shenzhen</p> <p>Study on the multi-dimensional, life-cycle management system of TOD in Shenzhen</p>	Reports	The studies may induce downstream social impacts on different stakeholders, such as poor, disabled persons, women and elderly.	OP4.01(social)	<ol style="list-style-type: none"> 1. Appoint qualified social experts and consultants. 2. Screen social impacts as SMF 3. Conduct social assessment as SMF, if required
2	Study on sustainable development planning, construction and management of International Low Carbon City based on TOD	<p>Study on the Master Plan of International Low Carbon City based on TOD</p> <p>Study on urban design and zoning at typical metro station areas following TOD principles</p> <p>Study on development and construction management for the International Low Carbon City</p> <p>Study on the implementation plan for the smart management platform of ILCC based on TOD</p>	Main reports, Supporting documents and Blueprint	Detailed TOD design indicates downstream activities, such as land use changes or construction around transit stations, etc	OP 4.12, involuntary resettlement,	<ol style="list-style-type: none"> 1. Conduct involuntary resettlement screen as RPF, 2. If downstream activities induce land acquisition and resettlement, RAPs need to be prepared as

						RPF.
3	Capacity building	N/A	N/A			
4	Project management	N/A	N/A			

Nanchang

S.N.	Subproject Name	Activities	Outputs	Downstream activities and social impacts	WB social safeguard policies triggered	Mitigation Measures
1	The research on TOD-based spatial layout strategy and planning for Nanchang City (1)	<p>Studies on the sustainable development of TOD and low-carbon city development in Nanchang City</p> <p>(1) TOD and low-carbon city study;</p> <p>(2) Studies on urban morphology and landscape for the development of low-carbon city in Nanchang City</p> <p>(3) Studies on the land utilization for the development of low-carbon city in Nanchang City</p>	Research Report	The studies may induce downstream social impacts on different stakeholders, such as poor, disabled persons, women and elderly.	OP4.01(social)	<ol style="list-style-type: none"> 1. Appoint qualified social experts and consultants. 2. Screen social impacts as SMF 3. Conduct social assessment as SMF, if required
2	The research of TOD-based spatial layout strategy and planning for Nanchang City (2)	<p>(1) Research of TOD-based spatial layout strategy and routes for Nanchang City;</p> <p>(2) TOD general planning for Nanchang City;</p> <p>(3) Nanchang City TOD design guideline, policy guideline and negative list;</p> <p>(4) Monitoring and evaluation of Nanchang City implementing TOD strategies.</p>	Research Report	The studies may induce downstream social impacts on different stakeholders, such as poor, disabled persons, women and elderly.	OP4.01(social)	<ol style="list-style-type: none"> 1. Appoint qualified social experts and consultants. 2. Screen social impacts as SMF 3. Conduct social assessment as SMF, if required
3	Diagnosis and comprehensive planning of	<p>(1) Studies on TOD demonstration project for rail transit line 2 in Nanchang City;</p> <p>(2) Studies on TOD demonstration project for BRT Corridor</p>	Research Report	The studies may induce downstream	OP4.01(social)	<ol style="list-style-type: none"> 1. Appoint qualified social experts and

	TOD zone	of “Bringing Mountain into City Program” in Nanchang City; (3) Studies on TOD demonstration project for New Jiulong Lake Town in Nanchang City;		social impacts on different stakeholders, such as poor, disabled persons, women and elderly.		consultants. 2. Screen social impacts as SMF 3. Conduct social assessment as SMF, if required
4	Capacity Building	Seminar 1: Nanchang TOD Development and Multiple Planning Integration; Seminar 2: Nanchang TOD Investment and Financing Model; Seminar 3: Nanchang TOD implementation monitoring and assessment; Seminar 4: Nanchang TOD Development and Low-carbon City; Domestic survey: Practice of multiple plans integration; Foreign survey 1: TOD planning practice; Foreign survey 2: Rail transit TOD implementation; Training abroad: Low-carbon smart city and TOD; Comprehensive training: Participate in trainings of the project organizing party.	N/A			
5	Project Management	N/A	N/A			

Guiyang

S.N.	Subproject Name	Activities	Outputs	Downstream activities and social impacts	WB social safeguard policies triggered	Mitigation Measures
------	-----------------	------------	---------	--	--	---------------------

1	Studies on TOD Development Strategy in Guiyang City	<p>1. Based on the development concept of “TOD”, optimize and intensively use the land along high-capacity transit and support the development of an ecological Guiyang</p> <p>2. Establish the development model featuring “high-capacity transit + property”, ensuring the sustainable construction and operation of high-capacity transit</p> <p>3. Investigate policy and technical support for the comprehensive development of high-capacity transit, and establish the operational guarantee mechanism for the sustainable development of high-capacity transit</p> <p>4. Investigate coordinated transport development, urban planning and land utilization, as a preliminary research of revising the new round of master plan for Guiyang City</p> <p>5. Establish the transit-oriented urban development model, ease traffic jam, control urban sprawl, reduce urban energy consumption and promote sustainable urban development and rational growth.</p>	Planning Research Reporting	The studies may induce downstream social impacts on different stakeholders, such as poor, disabled persons, women and elderly.	OP4.01(social)	<p>1. Appoint qualified social experts and consultants.</p> <p>2. Screen social impacts as SMF</p> <p>3. Conduct social assessment as SMF, if required</p>
2	The Comprehensive Development	Supported by the development model of “Rail + Property” and land investment policy and integrating the ideas of land	Planning Research	Detailed TOD design indicates downstream	OP 4.12, involuntary resettlement	1. Conduct involuntary resettlement screen as

	Plan for Areas along Rail Transit (Phase 2) in Guiyang City	development planning for TOD-based Rail Transit Line 1 and Line 2, this project will review and make overall planning for the comprehensive land development of Rail Transit Line 3 and S2 stations and surrounding areas, improve the connection of P+R rail transit model, BRT to other public transport modes, drive the building of an integrated and comprehensive transportation system that is convenient with rational layout of hub facilities, modernized transportation technologies, coordinated multiple transportation modes, low energy consumption, low pollution, low land occupancy, high efficiency, improve the burden rate of public transport, and guide citizens to choose green, low-carbon and environment-friendly transportation modes.	Reporting	activities, such as land use changes or construction around transit stations, etc		RPF, 2. If downstream activities induce land acquisition and resettlement, RAPs need to be prepared as RPF.
3	The Comprehensive Development Plan for Areas along BRT in Guiyang City	In line with BRT development, urban development needs and the development areas of surrounding stations, and the ideas of TOD development, this project will plan and design the spatial pattern of cities surrounding key stations, focus on designing personalized public space in particular pedestrian and bicycle space, develop well-spaced city skylines and decide land marking buildings and landscape corridor. The project will make conceptual design and configure the transport facility layout of key stations and their transfer relationship, and	Planning Research Reporting	Detailed TOD design indicates downstream activities, such as land use changes or construction around transit stations, etc.	OP 4.12, involuntary resettlement	1. Conduct involuntary resettlement screen as RPF, 2. If downstream activities induce land acquisition and resettlement, RAPs need to be prepared as RPF.

		integrate the development of areas surrounding key stations with BRT construction in terms of functional development, facility setting, transport transfer and environmental design. The existing public transport route and stations will be optimized according to the layout of BRT passage, entrance/exit setting to optimize public transport network and improve the operation of public transport. The optimized principles, ideas, optimization plan and construction plan will be proposed, accordingly.				
4	Capacity Building		N/A			
5	Project Management	N/A	N/A			

Beijing

S.N.	Subproject Name	Activities	Outputs	Downstream activities and social impacts	WB social safeguard policies triggered	Mitigation Measures
1	Research on TOD system in Beijing City	This project will comprehensively diagnose and plan the implementation policy mechanism and land utilization optimization focusing on the guidelines for featured Beijing planning, TOD zoning indicator system, assessment system and	Reports, policy and guidelines are studied to provide technical support for TOD implementation and policy	The studies may induce downstream social impacts on different stakeholders,	OP4.01(social)	<ol style="list-style-type: none"> 1. Appoint qualified social experts and consultants. 2. Screen social impacts as SMF. 3. Conduct social

		sustainable development indicator system in existing regions and big data monitoring	safeguarding	such as poor, disabled persons, women and elderly.		assessment as SMF, if required
2	TOD-oriented demonstration projects for rail transit route functions and land utilization optimization	Apply TOD to the corridor level and optimize land utilization functions in the areas surrounding stations	Plan the optimization scheme and provide a reference for TOD implementing body	Detailed TOD design indicates downstream activities, such as land use changes or construction around transit stations, etc	OP 4.12, involuntary resettlement	1. Conduct involuntary resettlement screen as RPF, 2. If downstream activities induce land acquisition and resettlement, RAPs need to be prepared as RPF.
3	TOD-oriented demonstration projects for comprehensive planning and construction of urban update regions	Optimize TOD-oriented rail transit stations and surrounding land utilization functions in urban update regions	Plan the optimization scheme and provide a reference for TOD implementing body	TOD-oriented demonstration project indicates downstream activities, such as land use changes or construction around transit stations, etc.	OP 4.12, involuntary resettlement	1. Conduct involuntary resettlement screen as RPF, 2. If downstream activities induce land acquisition and resettlement, RAPs need to be prepared as RPF.

4	Capacity Building		N/A			
5	Project Management	N/A	N/A			

Tianjin

S.N.	Subproject Name	Activities	Outputs	Downstream activities and social impacts	WB social safeguard policies triggered	Mitigation Measures
1	Research on the overall strategy for comprehensive TOD development in Tianjin central urban area	This project will focus on the parking facilities of the central urban area, emphatically discuss the parking supply strategies in different areas, improve the management level of existing parking facilities. Through mechanism innovation, it will improve the utilization rate of existing parking facilities and encourage transfer from motor vehicle transport to public transport, so as to mitigate the pressure on the central urban area's parking. The researches include: Analysis the parking status quo and parking demands of central urban area; research on the parking development strategy and management mechanism of central urban area, as well as the development of central urban area's parking industry.	Reporting	The studies may induce downstream social impacts on different stakeholders, such as poor, disabled persons, women and elderly.	OP4.01(social)	<ol style="list-style-type: none"> 1. Appoint qualified social experts and consultants. 2. Screen social impacts as SMF 3. Conduct social assessment as SMF, if required.
2	Research on the participation opportunities and strategies by	Analysis of private sectors' financing needs in the central urban area's TOD project; analysis of private sectors' financing needs in the central urban area's parking industry; the private sector's financing needs	Reporting	The studies may induce downstream social	OP4.01(social)	<ol style="list-style-type: none"> 1. Appoint qualified social experts and

	private sectors in Tianjin urban construction	in constructing sponge city and comprehensive corridor construction, investigating and determining the reasonable model for generating infrastructure income and the scope of income rate; and developing the procurement guidelines for private sectors in urban infrastructure construction.		impacts on different stakeholders, such as poor, disabled persons, women and elderly.		consultants. 2. Screen social impacts as SMF 3. Conduct social assessment as SMF, if required.
3	Analysis of low-carbon travel and sustainable transport development in Tianjin central city areas	Analysis of the status quo of bicycle travel in central city; analyzing the bicycle travel demand in central city; research on the planning for bicycle lane in central city; the implementation plan for recent construction of bicycle lane in central city; analyzing the status quo of common public transport and NMT network in areas along rail transport routes; analysis of traffic demands; adjustment plan of public transport network along the line; assessment and optimization of public transport network plan; optimization and adjustment plan and assessment of NMT network in areas along the line; research on systems and mechanisms adaptable to the synergy of rail transport, bus, walking and cycling, with rail transport as the main stay.	Reporting	The studies may induce downstream social impacts on different stakeholders, such as poor, disabled persons, women and elderly.	OP4.01(social)	1. Appoint qualified social experts and consultants. 2. Screen social impacts as SMF. 3. Conduct social assessment as SMF, if required.
4	Capacity Building	It is planned that the capacity for solving technical and project management problems will be improved through learning activities such as workshops, online electronic courses, seminars or field studies.	N/A			

5	Project Management	N/A	N/A			
---	--------------------	-----	-----	--	--	--

Shijiazhuang

S.N.	Subproject Name	Activities	Outputs	Downstream activities and social impacts	WB social safeguard policies triggered	Mitigation Measures
1	Research on urban sustainable development at the macro level	<p>1) The positioning and target analysis of the future Shijiazhuang development in the integrated development of JingJinJi</p> <p>2) Analysis of the route and sequence of Shijiazhuang's urbanization development under the concept of eco-civilization</p> <p>3) Analysis of Shijiazhuang comprehensive transport system and urban development model and functional morphology</p> <p>4) Studies on Shijiazhuang's social governance structure under the concept of green transportation</p> <p>5) Analysis of intensive urban land development based on rail transit TOD model</p> <p>6) Analysis of TOD application in Shijiazhuang's spatial development strategic planning</p>	Research, Strategy	The studies may induce downstream social impacts on different stakeholders, such as poor, disabled persons, women and elderly.	OP4.01(social)	<p>1. Appoint qualified social experts and consultants.</p> <p>2. Screen social impacts as SMF.</p> <p>3. Conduct social assessment as SMF, if required.</p>
2	Studies on the interaction between rail	1) Studies on the interaction of rail transit on TOD development model and urban planning	Research, Technical Guidelines	The studies may induce downstream	OP4.01(social)	1. Appoint qualified social

	transit and urban planning	<p>2) Technical guidelines for preparing detailed plan for the scope of affecting rail transit TOD model</p> <p>3) The layout influence and guideline of rail transit on the residential land in Zhengding New District</p> <p>4) Guiding model of integrated rail transit development</p> <p>5) Studies on establishing rail transit-based smart transportation system in Zhengding New District</p> <p>6) Research on integrated transportation in TOD development areas</p> <p>7) Research on property increasing value effect along the rail transit</p>		social impacts on different stakeholders, such as poor, disabled persons, women and elderly.		<p>experts and consultants.</p> <p>2. Screen social impacts as SMF.</p> <p>3. Conduct social assessment as SMF, if required.</p>
3	Construct TOD demonstration zone in Zhengding New District	<p>1) Studies on the synergistic mechanisms for developing Zhengding New District in Shijiazhuang metropolitan areas</p> <p>2) Studies on the suitability and matchability of TOD model and urban planning at all levels</p> <p>3) TOD-oriented comprehensive land utilization (community, industrial park)</p> <p>4) Constructing comprehensive transport system in the new districts under the TOD model</p> <p>5) NMT in Zhengding New District and constructing public space system</p> <p>6) Improving TOD-oriented public behavior model and governance capacity</p>	Research, Planning	Construct TOD demonstration zone indicates downstream activities, such as land use changes or construction around transit stations, etc	OP 4.12, involuntary resettlement	<p>1. Conduct involuntary resettlement screen as RPF</p> <p>2. If downstream activities induce land acquisition and resettlement, RAPs need to be prepared as</p>

		<p>7) The planning for constructing TOD low-carbon ecological demonstration community</p> <p>8) Recent planning for constructing TOD-based new districts</p> <p>9) The construction of green lane system demonstration projects in Zhengding New District</p>				RPF.
4	The themed research on TOD implementation mechanism and safeguarding policy measures in Shijiazhuang City	<p>1) Borrowing the experience of Chinese and international TOD implementation mechanism and policy safeguarding measures</p> <p>2) Interpreting the relationship between China's TOD and related planning</p> <p>3) Constructing the coordination mechanism for TOD implementation bodies and organizations</p> <p>4) Formulating TOD-related laws and technology standards</p> <p>5) Studies on TOD dynamic monitoring and evaluation mechanism</p> <p>6) Studies on TOD-related land, finance and tax supporting policies</p>	Report, Technical Standards	Technical Standards may induce downstream social impacts on different stakeholders, such as poor, disabled persons, women and elder.	OP4.01(social)	<p>1. Appoint qualified social experts and consultants.</p> <p>2. Screen social impacts as SMF.</p> <p>3. Conduct social assessment as SMF, if required.</p>
5	Collecting basic information and establishing data platform	<p>1) Borrowing the experience of Chinese and international TOD cases</p> <p>2) Comprehensive transport monitoring and establishing the data assessment platform in Zhengding New District</p> <p>3) Survey and analysis of social demands</p>	Data platform and monitoring system	Establishing the data assessment platform may relate downstream social impacts	OP4.01(social)	<p>1. Appoint qualified social experts and consultants.</p> <p>2.screen social</p>

		<ul style="list-style-type: none"> 4) Basic data platform 5) TOD dynamic inspection and evaluation 		on different stakeholders, such as poor, disabled persons, women and elderly.		<p>impacts as SMF</p> <p>3. Conduct social assessment as SMF, if required.</p>
6	Capacity Building	<ul style="list-style-type: none"> 1) Attended the training on “successful TOD-oriented planning cases and experience from popular cities both at home and abroad” 2) Large academic seminars both at home and abroad 3) Set up the website of the project 	N/A		No	
7	Project Management	N/A	N/A			

Appendix 1-2: Screening of Potential Social Safeguard Issues

The PMO will use this form to screen the applications of all components:

Basic information of component (policies, plans, etc.)

Name of component		Component No.	
Owner		Location of component	
Estimated budget		Estimated date of commencement	
Brief description of component (including LA and HD, impacts on water use by urban residents, farmers and enterprises, etc.):			
Summary of screening results:			

Screening of social impacts of component (policies, plans, etc.)

	Item	Description	Document required
I. Positive social impacts			
1			
2			
3			
II. Negative social impacts			
III. Impacts on the poor			
IV. Social gender impacts			
V. Other social risks and conflicts			

--	--	--

Signatures of screening and review staff:

Signature of the Social Officer of the PMO:

Name: _____

Title and date: _____

Signature of the Director of the PMO:

Name: _____

Title and date: _____

The PMO will keep a copy of this form and copies of related documents. A set of copies will be submitted to the Bank. If necessary, a third set of copies will be sent to the provincial authorities.

List of social safeguard screening results

	Item	Yes	No	Unkn own	Description	If yes, Bank policy triggered	If yes, document required
I. Resettlement and LA							
1	Will the Project lead to LA (public or private, temporary or permanent)?					OP4.12 Involuntary resettlement	RAP
2	Will the Project lead to HD (including operating and non-operating properties)?					OP4.12 Involuntary resettlement	RAP
3	Will anyone be prohibited from using its routine economic resources (e.g., pastures, fishing sites, forests)?					OP4.12 Involuntary resettlement	RAP
4	Will the Project lead to the involuntary resettlement of individuals or households?					OP4.12 Involuntary resettlement	RAP
5	Will the Project lead to the temporary or permanent loss of crops, fruit trees and facilities?					OP4.12 Involuntary resettlement	RAP
III. Employees							
8	Will the Project lead to the unemployment of employees?						Employee reemployment plan
9	Will the Project lead to the job transfer of employees?						Job transfer training
10	Will the Project reduce the income of of employees?						

Signatures of screening and review staff:

Signature of the Social Officer of the PMO:

Name: _____

Title and date: _____

Signature of the Director of the PMO:

Name: _____

Title and date: _____

The PMO will keep a copy of this form and copies of related documents. A set of copies will be submitted to the Bank. If necessary, a third set of copies will be sent to the provincial authorities.

Appendix 2: TORs of the RAP

- 1 Basic Information of the Project
 - 1.1 Background of the Project
 - 1.2 Introduction to the Project
 - 1.3 Components and resettlement impacts
 - 1.4 Project preparation and progress
 - 1.5 Measures to reduce resettlement
 - 1.6 Identification of related projects
- 2 Impacts of the Project
 - 3.1 Project impact survey
 - 3.2 Range of project impacts
 - 3.3 Impacts
 - 2.3.1 Acquisition of rural collective land
 - 2.3.2 Temporary land occupation
 - 2.3.3 HD
 - 2.3.4 Infrastructure and ground attachments
 - 2.3.5 Affected population
 - 2.3.6 Vulnerable groups
- 3 Socioeconomic Profile
 - 3.1 Socioeconomic profile of the project area
 - 3.1.1 Socioeconomic profile of the affected cities and districts/counties
 - 3.1.2 Socioeconomic profile of the affected villages
 - 3.2 Sampling survey
 - 3.2.1 Households affected by LA
 - 3.2.2 Households affected by HD
- 4 Legal Framework and Policies
 - 4.1 Policy framework
 - 4.2 Main principles
 - 4.3 Resettlement policies of the Project
 - 4.3.1 Acquisition of rural collective land
 - 4.3.2 HD
 - 4.3.3 Vulnerable groups
 - 4.3.4 Infrastructure and ground attachments
- 5 Compensation Rates
 - 5.1 Acquisition of rural collective land
 - 5.2 HD
 - 5.3 Infrastructure and ground attachments
 - 5.4 Rates of other costs
- 6 Production and Livelihood Restoration Programs
 - 6.1 Objectives of resettlement
 - 6.2 Resettlement principles
 - 6.2.1 Resettlement minimization
 - 6.2.2 Equivalent compensation
 - 6.2.3 Focusing
 - 6.3 Restoration program for LA
 - 6.3.1 LA impact analysis
 - 6.3.2 Analysis of lost income
 - 6.3.3 Restoration measures
 - 6.4 Restoration program for HD
 - 6.5 Restoration program for vulnerable groups
 - 6.5.1 Assistance measures
 - 6.5.2 Training
 - 6.5.3 Employment
 - 6.6 Restoration program for ground attachments
- 7 Organizational Structure and Implementation Progress
 - 7.1 Organizational structure
 - 7.1.1 Organizational setup
 - 7.1.2 Organizational responsibilities
 - 7.1.3 Staffing
 - 7.1.4 Equipment
 - 7.1.5 Training program
 - 7.2 Implementation progress
- 8 Budget and Funding Sources

- 8.1 Budget
 - 8.2 Annual investment plan
 - 8.3 Funding sources and disbursement
 - 9 Public Participation and Grievance Redress
 - 9.1 Started public participation and consultation activities
 - 9.2 Information disclosure
 - 9.3 Participation and willingness survey
 - 9.4 Public participation and feedback
 - 9.5 Subsequent information disclosure and public participation plan
 - 10 M&E
 - 10.1 Internal monitoring
 - 10.1.1 Implementation procedure
 - 10.1.2 Scope
 - 10.1.3 Reporting
 - 10.2 External M&E
 - 10.2.1 External M&E agency
 - 10.2.2 Procedure and scope
 - 10.2.3 M&E indicators
 - 10.2.4 Reporting
 - 10.2.5 Post-evaluation
 - 11 Entitlement matrix
- Appendixes

Appendix 3: Legal Framework for RAP Implementation

Table 1 Laws and Policies on LA

Level	No.	Location	Document	Effective date
State	/	/	Land Administration Law of the PRC	2004-8-28
			Regulations on the Implementation of the Land Administration Law of the PRC (Decree No.256 of the State Council)	1998-12-27
			Measures on Public Announcement of Land Acquisition (Decree No.10 of the Ministry of Land and Resources)	2002-1-1
			Decision of the State Council on Deepening the Reform and Rigidly Enforcing Land Administration (SC [2004] No.28)	2004-10-21
			Guidelines on Improving Compensation and Resettlement Systems for Land Acquisition (MLR [2004] No.238)	2004-11-3
			Notice of the Ministry of Land and Resources on Formulating Uniform Annual Output Value Rates and Location-based Integrated Land Prices (MLR [2005] No.114)	2005-7-23
			Notice of the State Council on Intensifying Land Control (SC [2006] No.31)	2006-8-31
			Real Right Law of the PRC	2007-10-1
			Interim Regulations on Farmland Occupation Tax of the PRC	2008-1-1
City	1	Beijing	Measures of Beijing City for the Implementation of the Land Administration Law of the PRC	1991-6-1
			Administrative Measures for Land Replacement in Green Belts of Beijing City	2001-12-30
			Measures for Compensation and Resettlement for Land Acquisition for Construction Purposes of Beijing City (Decree No.148 of the Beijing Municipal Government)	2004-7-1
	2	Guiyang	Uniform AAOV Rates and Location-based Composite Land Prices of Guiyang City	2010-1-1
			Notice on Carrying out Strict LA and HD Management, and Protecting Lawful Rights and Interests of the Public (GMGO [2011] No.58)	2011-5-25
	3	Nanchang	Notice of the Jiangxi Provincial Government on Publishing Uniform AAOV Rates and Location-based Composite Land Prices of Jiangxi Province (JPG [2009] No.22)	2009-3-1
			Interim Measures for Endowment Insurance for Land-expropriated Farmers of Nanchang City	2009-7-1
	4	Ningbo	Implementation Plan for the LA and HD Sunshine Project (NLRB [2012] No.50)	2012-4-20
	5	Shenzhen	Some Provisions on LA Resettlement and Compensation, and Land Replacement	2015-9-10
			Implementation Measures for Land Acquisition of Shenzhen City	2002-10-1
			Measures for Land Acquisition Announcement	2002-1-1
			Regulations of Shenzhen City on Land Acquisition and Land Use Right Withdrawal	1999-7-1
	6	Shijiazhuang	Administrative Measures for Collective Land Acquisition in the Downtown Area of Shijiazhuang City (SMG [2013] No.15)	2013-6-10
			Compensation Rates for Young Crops and Ground Attachments on Collective Land in the Urban Area of Shijiazhuang City (SMGO [2016] No.6)	2016-1-1
			Detailed Rules for the Implementation of Land Reservation of Hutuo New District (SMG [2010] No.25)	2010-5-4
	7	Tianjin	Notice on of Registration Change of Collective Land Ownership in Collective Land Acquisition (JGTFDQ [2014] No.232)	2014-10-28
			Opinions on the Implementation of New-round Location-based Composite Land Prices (JGTFZ [2014] No.205)	2014-9-29
Notice on Adjusting Location-based Composite Land Prices of Tianjin City (TMG [2014] No.20)			2014-9-10	
Compensation Rates for Young Crops and Ground Attachments on Acquired Land of Tianjin City (JGTFZ [2014] No.236)			2014-2-14	
Land Acquisition Procedure of Tianjin City (JGTFZ [2013] No.376)			2013-12-24	

Land Administration Regulations of Tianjin City

2007-3-1

Table 2 Laws and Policies on HD

Level	No.	Location	Document	Effective date
State	/	/	Regulations on the Expropriation of Buildings on State-owned Land and Compensation Therefor (Decree No.590 of the State Council)	2011-1-21
City	1	Beijing	Regulations of the Beijing Municipal Government on Subsidies for Urban House Demolition (BMG [2001] No.109)	2001-11-15
			Administrative Measures for House Demolition of Collective Land of Beijing City (Decree No.124 of the Beijing Municipal Government)	2003-8-1
			Opinions of the Beijing Municipal Government on the Implementation of House Acquisition and Compensation on State-owned Land	2011-5-27
			Notice on Matters in House Acquisition and Compensation on State-owned Land (JJF [2012] No.19)	2012-7-12
	2	Guiyang	Administrative Measures for House Demolition of Guiyang City	2001-12-1
			Interim Regulations of Guiyang City on House Demolition Compensation and Appraisal (Decree No.104 of the Guiyang Municipal Government)	2002-9-15
			Notice of the Guizhou Provincial Government on Issuing the Measures of Guizhou Province for Compensation and Housing Security for the Acquisition of Houses on State-owned Land, Measures of Guizhou Province for the Selection of Appraisal Agency for Houses on State-owned Land, and Guidelines for Compensation for Losses from Business or Production Suspension for Houses on State-owned Land (GPGO [2011] No.116)	2011-10-8
	3	Nanchang	Administrative Measures for Urban House Demolition of Nanchang City (GCB [2002] No.94)	2003-1-1
			Notice on Assessing the Fee Rates for Urban House Demolition of Nanchang City (HJJ [2003] No.69)	2003-9-30
			Notice of the General Office of the Nanchang Municipal Government on Issuing Compensation Rates for Urban House Demolition of Nanchang City (NMGO [2004] No.8)	2004-1-30
			Notice of the Nanchang Municipal Government on Preparing Compensation Rates for Urban House Demolition (NMGO [2009] No.457)	2009-12-1
			Notice of the Nanchang Municipal Government on Implementing the Regulations on the Expropriation of Buildings on State-owned Land and Compensation Therefor (NMG [2011] No.16)	2011-6-3
	4	Ningbo	Regulations on Compensation, Subsidies and Rewards for House Acquisition on Urban Collective Land of Ningbo City (NMG [2016] No.72)	2016-7-13
			Regulations on Compensation, Subsidies and Rewards for House Acquisition on State-owned Land of Ningbo City (NMG [2015] No.28)	2015-3-18
			Measures for Investigation and Compensation for Unregistered Buildings on State-owned Land in the Urban Area of Ningbo City (NMGO [2014] No.13)	2014-1-28
			Implementation Rules for "Sunshine Demolition" of Houses on Collective Land of Ningbo City (NLRB [2012] No.80)	2012-6-7
			Measures for the Appraisal of House Demolition on Collective Land of Ningbo City (NMG [2006] No.120)	2006-12-18
Implementation Rules for House Demolition on Collective Land of Ningbo City (No.141)			2006-6-30	
Regulations on House Demolition on Collective Land of Ningbo City			2006-6-2	
Implementation Rules for the Management of Urban House Demolition of Ningbo City	2002-6-30			

5	Shenzhen	Administrative Measures for House Demolition of Shenzhen City	1994-1-29
6	Shijiazhuang	Administrative Measures for Compensation for Land (Houses) Occupied for City-level Public Welfare Projects of Shijiazhuang City (SMG [2016] No.19)	2016-1-1
		Administrative Measures for Urban House Demolition of Shijiazhuang City (Decree No.124 of the Shijiazhuang Municipal Government)	2002-4-20
7	Tianjin	Regulations on Urban House Demolition of Tianjin City (Decree No.113 of the Tianjin Municipal Government)	2007-3-10

Appendix 4: Sample Entitlement Matrix

Type	APs	Measure	Entitlement
LA	Village collectives	1) Collective land	Compensation will be fully paid to the village collective, and used through discussion at a village meeting.
		2) Attachments	
	Rural residents	1) Land compensation and resettlement subsidy	Households not subject to land reallocation will receive 80% of land compensation.
			For households subject to land reallocation, land compensation and resettlement subsidy will be disbursed to each affected group for even distribution.
		2) Temporary land use	Full compensation for temporary land use will be paid based on the period of use, and the used land will be fully restored after use.
		3) Young crops	The direct APs will receive full young crop compensation.
4) Social insurance	Eligible farmers may cover social insurance.		
5) Production and livelihood measures	Free training and job referral will be offered to LEFs.		
HD	Rural residents	Compensation and resettlement	1) The AHs may choose cash compensation or property swap; 2) In case of property swap, the displacer will offer resettlement housing and supporting facilities; 3) In case of cash compensation, compensation will be paid at replacement cost, and free housing land will be provided by the local government for house reconstruction.
		Moving and transition subsidies, and reward	The AHs are entitled to moving and transition subsidies, reward, and smooth transition.
		Trees and attachments	Affected trees and attachments will be compensated for at the specified rates.
Entities	Proprietors	Compensation and resettlement	1) The affected entities may choose cash compensation or relocation; 2) In case of relocation, the displacer will assist in finding land and grant compensation at replacement cost; 3) In case of cash compensation, the affected entities will receive compensation at replacement cost; 4) The affected entities will receive compensation for production suspension or losses.
		Workers	The affected workers will receive compensation for lost income; the workers of any entity not to be relocated will receive training and job referral.
Vulnerable groups	All affected vulnerable groups	1) They will receive compensation for LA and HD equally; 2) During detailed planning, they will be further identified, and those losing contracted land will be entitled to the reallocation of resources equally; 3) They will receive assistance in production and livelihood development;	

		<p>4) Poor households affected by HD will receive support from local governments during house reconstruction;</p> <p>5) Local civil affairs bureaus have included five-guarantee households, the disabled, the poor and women-headed households in the local MLS system;</p> <p>6) They will enjoy priority in local characteristic industry development and cooperative operation;</p> <p>7) Vulnerable households short of labor will have priority in land reallocation to ensure income.</p>	
Women	All affected women	<p>1) All village committees should have female members, and women will enjoy the same rights as men at village meetings and congresses;</p> <p>2) Women's opinions are learned and considered in public opinion surveys;</p> <p>3) Women enjoy equal rights in future compensation for LA and HD;</p> <p>4) Jobs generated by the Project will be first made available to women, and women will also receive training and job referral.</p>	
Ethnic minorities	All minority APs	<p>1) They will have priority in employment and skills training;</p> <p>2) They will have priority in receiving employment information;</p> <p>3) They can express their opinions and needs at consultation meetings;</p> <p>4) Relevant policies should be translated into minority languages for easier acceptance and understanding, and explained in detail;</p> <p>5) Special attention will be paid to vulnerable groups in minority areas during resettlement.</p>	
Infra-structure	Proprietors	Restored by the owner or compensated for at replacement cost	<p>1) Some affected infrastructure will be demolished and restored by the construction agency, such as farmland facilities.</p> <p>2) Proprietors of some infrastructure may reconstruct infrastructure using compensation, such as communication and power facilities.</p>