INVOLUNTARY RESETTLEMENT CATEGORIZATION

A. Project Data

Project No. XXXXX-XX

Country/Project Title: ____________________________ Date: ______________

Department/ Division: ___________________ Processing Stage:______________

Lending Modality: [ ] Project Loan [ ] Hybrid Loan [ ] Financial Intermediation
[ ] Program Loan [ ] Emergency Loan Loan or Equity Investment
[ ] Sector Loan [ ] SDP Loan

Other Project Types : [ ] Grant ___JFPR ___GEF ____ Other Sources:_____________

Coverage: [ ] Country [ ] Regional [ ] Inter-regional

Project : [ ] Detailed Design [ ] Detailed Design Completed
Before Loan Negotiations During Implementation

Processing Events (Tentative Schedule) and dates:

PPTA Fact Finding : ___________ Due Diligence before PSCCM3 __________

Loan Fact Finding : ___________ PSCCM :___________________________

MRM : ______________________ Due Diligence after PSCCM (if anticipated):

Appraisal : ___________________ ________________________________

1 “Hybrid loans” have features of a regular project loan and a sector loan, such that some subprojects, components,
or investments are selected and prepared only after loan approval.

2 Applies to program loans with investment components.

3 Due diligence should be conducted and reported in the RRP for Private Sector Credit Committee Meeting (PSCCM)
   submission.
# B. Screening Questions for Resettlement Categorization

<table>
<thead>
<tr>
<th>Probable Involuntary Resettlement Effects*</th>
<th>Yes</th>
<th>No</th>
<th>Not Known</th>
<th>Possible</th>
<th>Remarks</th>
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<tbody>
<tr>
<td>Will the project include any physical construction work?</td>
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<td>Does the project include upgrading or rehabilitation of existing physical facilities?</td>
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<td>Are any project effects likely to lead to loss of housing, other assets, resource use or incomes/livelihoods?</td>
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<td>Is land acquisition likely to be necessary?</td>
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<td>Is the site for land acquisition known?</td>
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<td>Is the ownership status and current usage of the land known?</td>
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<td>Will easements be utilized within an existing Right of Way?</td>
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<td>Are there any non-titled people who live or earn their livelihood at the site or within the Right of Way?</td>
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<td>Will there be loss of housing?</td>
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<td>Will there be loss of agricultural plots?</td>
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<td>Will there be losses of crops, trees, and fixed assets?</td>
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<td>Will there be loss of businesses or enterprises?</td>
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<tr>
<td>Will there be loss of incomes and livelihoods?</td>
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<td>Will people lose access to facilities, services, or natural resources?</td>
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<td>Will any social or economic activities be affected by land use-related changes?</td>
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</tbody>
</table>

If involuntary resettlement impacts are expected:

- Are local laws and regulations compatible with ADB’s Involuntary Resettlement policy?
- Will coordination between government agencies be required to deal with land acquisition?
- Are there sufficient skilled staff in the Executing Agency for resettlement planning and implementation?
- Are training and capacity-building interventions required prior to resettlement planning and implementation?

*Whenever possible, consider also any future subprojects or investments.

## Information on Affected Persons:

Any estimate of the likely number of households that will be affected by the Project?

[ ] No [ ] Yes If yes, approximately how many? ______

Are any of them poor, female-heads of households, or vulnerable to poverty risks?

[ ] No [ ] Yes If yes, please briefly describe their situation ____________________________

Are any APs from indigenous or ethnic minority groups? If yes, please explain? __________________

## Additional Information Requirements for Private Sector projects:

[ ] Resettlement and land acquisition completed

[ ] Resettlement to be completed

[ ] Project entails risk by association (e.g., associated facilities are part of the project but not funded by the proponent)

[ ] PSOD is lending to a Financial Intermediary

[ ] The project is an Equity Investment

[ ] The project is a Partial Credit /Political Risk Guarantee

[ ] Others, please describe_________________
E. Involuntary Resettlement Category [ ] New [ ] Recategorization

After reviewing the answers above, the Project Team Leader and Social Development/Resettlement Specialist agree subject to confirmation, that the project:

1. Project Categorization and Resettlement Planning Requirements
   [ ] Category A, Significant IR impact, a full Resettlement Plan is required.
   [ ] Category B, Nonsignificant IR impact, a short Resettlement Plan is required.
   [ ] Category C, No IR impact, no resettlement report is required.
   [ ] Additional information is needed for categorization and is to be gathered by the Project Team Leader. In the interim, the project is classified as:
     [ ] Category A/B
     [ ] Category B/C
     [ ] Social Development/Resettlement Specialist to participate in Fact Finding
     [ ] Consultant support is required to prepare Resettlement Plan/Resettlement Framework (RP/RF), therefore the TOR for a Social Development/Resettlement Specialist should be included in TA Report

2. Additional Requirements for Sector, Sector Development Program/Project Loans, Emergency Loans and Hybrid Loans

   [ ] Resettlement Framework
   [ ] Core Subproject Resettlement Plans

Note:
A draft RP/RF disclosed to APs and endorsed by the Executing Agency is required before Management Review Meeting (MRM).
A summary RP/RF should be included as a core appendix in the draft RRP for MRM.
A satisfactory RF/RP is required before Appraisal.

Proposed by:

Project Team Leader _______________ Date _______________ RD Resettlement/Social Dev't Specialist _______________ Date

Checked by: _______________ Date _______________

RSES Social Dev't Safeguard Specialist

Endorsed by: _______________ Date _______________

Director, RSES

Approved by: _______________ Date _______________

Chief Compliance Officer