SOCIAL SAFEGUARDS (BASIC & ADVANCED)

Ministry of Construction

TA-8456: Transformation of Urban Management – Part I
Capacity Building for Urban Management

Prepared by
United Nations Human Settlements Programme, Myanmar

UN-HABITAT
FOR A BETTER URBAN FUTURE

Japan Fund for Poverty Reduction

ADB
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1. INTRODUCTION TO THE MODULE

1.1 TRAINING OBJECTIVES
The primary objective of this basic training module is to enhance the knowledge on development induced social issues related to the implementation of urban infrastructure projects in the cities and to introduce the concept of ‘social safeguards’ to address those social issues during the planning, designing, coordinating, managing and implementing such urban infrastructure projects. The training module will raise awareness on social safeguard policies, best practices and operational guidelines globally practiced.

The specific objectives of the training module are to raise awareness on social risks/issues and implications of city infrastructure projects in various sectors; and creating a pathway to establish citywide safeguard framework/plan and application of tools customizing to local conditions.

1.2 TARGET
Addressing development induced social and environment issues requires multi-sectoral approach as it needs institutional framework to bring inputs from the focus areas such as planning, financing, legal and regulation environment and social welfare. Therefore the target group of the basic training module is not restricted but priority will be positioned on building the capacity of the target local authorities. Therefore the priority would be staff of the six local authorities (city managers, urban planners, infrastructure engineers, urban designers, architects, finance managers/accountants, public health officials, social and welfare officers, land officers etc.).

Furthermore it is expected to make provision to include officers from state and central government who are directly involved in planning, designing and implementing city based infrastructure, particularly in the six target cities. As the module is setting the foundation to understand the concept of social and environment safeguards, staff involved in planning and decision-making level would be preferred.
2. OVERALL CONCEPT AND METHODOLOGY

2.1 LINKING COGNITION WITH PEDAGOGIC ELEMENTS
The training module is an essential part of capacity building which has been articulated by UN-Habitat as a strategic approach to share knowledge and experience and develop knowledge products towards institutional capacity building for city planning and management. In this context, the specific aim of the training module is to integrate and reproduce the knowledge generated through studies, case evaluations and researches conducted by various institutions both locally and internationally and to ensure that safeguard issues are adequately appreciated and addressed in project implementations.

The module will first, introduce concepts (which are globally practiced and accepted) in relation to environmental and social safeguards which will protect both the environment and the people from adverse effects of development projects, particularly from citywide infrastructure projects.

The next step of the training module will be to introduce the social safeguard planning, tools and practical guides in a broader perspective to create a foundation to localize and adopt social safeguard tools and mechanisms in the process of planning, designing and implementing citywide infrastructure projects.

Finally, this training module will be able to guide the participants to explore and understand in-depth the roles, functions and tasks of safeguards in the operational practices. A practical work of identifying and analysing development induced social issues will be undertaken during the training through group work/exercise.

The design of the module is framed as an interactive learning environment which facilitates the anchoring of basic levels of knowledge within the city management and create an appetite for higher level of learning for the application of best localized social safeguard practices (through the advanced training module).

2.2 STEPS OF THE TRAINING MODULE
The steps of the training module are designed to build the capacity of staff to understand the social safeguard mechanisms and application modalities.
## SOCIAL SAFEGUARDS (BASIC)

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<tr>
<th>Step</th>
<th>Theme</th>
<th>Key Areas</th>
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<tbody>
<tr>
<td>Step 1</td>
<td>Understanding the concepts of social safeguards</td>
<td>• philosophy behind the development of the social safeguards&lt;br&gt;• Recognizing development induced social issues in local context</td>
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<tr>
<td>Step 2</td>
<td>Understanding social safeguard plans, tools and practice guides.</td>
<td>• How do Social safeguards help to identify, avoid, and minimize harm to people and the environment&lt;br&gt;• Introduction of process of social safeguard planning and mechanisms</td>
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<td>Step 3</td>
<td>Application / Practice</td>
<td>• Localizing and testing social safeguard plans/tools through casework</td>
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### 2.3 PEDAGOGIC METHODOLOGY

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<thead>
<tr>
<th>Cognitive Element</th>
<th>Pedagogic Methods Used in the Module</th>
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<tr>
<td>Knowledge and Understanding</td>
<td>▪ Presentations on concepts, and international standards including ADB&lt;br&gt;▪ Interactive questions – answer sessions&lt;br&gt;▪ Presentation on Social safeguard plans</td>
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<tr>
<td>Application</td>
<td>▪ Discussion of case studies&lt;br&gt;▪ Group work 1 (case study)&lt;br&gt;▪ Group work 2 (case study)&lt;br&gt;▪ Group work 3</td>
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<tr>
<td>Synthesis</td>
<td>▪ Practical work on localizing tools&lt;br&gt;▪ Preparation of social safeguard framework</td>
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<td>Evaluation</td>
<td>▪ Self-evaluation&lt;br&gt;▪ Peer Evaluation</td>
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3. MODULE STRUCTURE

The training module structure is formulated on the basis that each session will lead to enhance the knowledge in a learning ladder, building on fundamentals to practical application of social safeguards in planning, designing and implementing citywide infrastructure.

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## 4. AIMS OF EACH SESSION

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<tr>
<th>Session (number and title)</th>
<th>Duration (minutes)</th>
<th>Contents</th>
<th>Objectives</th>
<th>Nature of Training Activities</th>
</tr>
</thead>
</table>
| Session 1: *Opening Session* | 90                 | • Welcome the participants to the course.  
• Participants introduce themselves and explain their interest/work experience related to environment and social safeguards.  
• Understand participants’ expectations of the training.  
• Introduce the background, objectives, content and schedule of the workshop, training methodology employed and reading materials. | • To effectively start the session.  
• To gain an initial understanding of each other.  
• To make participants aware of the training objectives, programme and methodology.  
• To make trainer aware of participants’ expectations.  
• To create a participatory learning environment. | • Interactive session:  
• Trainers’ PowerPoint presentation  
• Participants’ verbal presentations  
• Questions and answers |
| Session 2: *Development induced Social issues (related to infrastructure projects)* | 90                 | Session would discuss social issues related to infrastructure development. | • Participants to gain knowledge on key social issues due to infrastructure development at city level. | • Brief re-cap of session 1 by the trainer ( 3 to 4 minutes)  
• Presentation by the trainer  
• Discussion/group work  
• Group presentation  
• Trainer’s inputs through interaction |
| Session 3: *Concept of social safeguards and existing practices* | 90                 | • Session would explain the concept of social safeguard, their significance and relevance. | • Participants to understand concept of social safeguard.  
• Participants to gain knowledge to identify social issues through the concept of social safeguards. | • Brief re-cap of session 2 by the trainer (3 to 4 minutes)  
• PowerPoint presentation |
# SOCIAL SAFEGUARDS (BASIC)

## Session 4: Identification of social safeguard plans/tools and their relevance

### Contents
- Session will introduce widely used social safeguard plans and tools and their relevance.
- Participants to gain knowledge on social safeguard plans and tools.

### Objectives
- PowerPoint presentation
- Brief re-cap of session 3 by the trainer (3 to 4 minutes)
- Discussion /group work

### Day 2: Application of social and environmental safeguards

<table>
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<th>Session (number and title)</th>
<th>Duration (minutes)</th>
<th>Contents</th>
<th>Objectives</th>
<th>Nature of Training Activities</th>
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<tbody>
<tr>
<td>Session 5: Analysis of social safeguard plans/tools and their relevance (group work)</td>
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<td>Participants to analyse the social plans and their relevance to the local context.</td>
<td>Participants understand how relevant and usefulness of social safeguards in protecting people.</td>
<td>Brief re-cap of session 4 by the trainer (3 to 4 minutes) Group discussion Group presentation PowerPoint presentation</td>
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<tr>
<td>Session 6: Application of Social safeguard plans and tools</td>
<td>90</td>
<td>Session aims at providing how to apply social safeguard measures in infrastructure planning.</td>
<td>To provide knowledge on application of social safeguard measures in infrastructure planning.</td>
<td>Brief re-cap of session 5 by the trainer (3 to 4 minutes) Group work PowerPoint presentation</td>
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## Session 5: Analysis of social safeguard plans/tools and their relevance (group work)

### Contents
- Participants to analyse the social plans and their relevance to the local context.

### Objectives
- Participants understand how relevant and usefulness of social safeguards in protecting people.

### Nature of Training Activities
- Brief re-cap of session 4 by the trainer (3 to 4 minutes)
- Group discussion
- Group presentation
- PowerPoint presentation

## Session 6: Application of Social safeguard plans and tools

### Contents
- Session aims at providing how to apply social safeguard measures in infrastructure planning.

### Objectives
- To provide knowledge on application of social safeguard measures in infrastructure planning.

### Nature of Training Activities
- Brief re-cap of session 5 by the trainer (3 to 4 minutes)
- Group work
- PowerPoint presentation

## Session 7: Challenges in applying social safeguards

### Contents
- Session to allow participants to identify key challenges in applying social safeguards.

### Objectives
- To provide knowledge to identify possible challenges in applying social safeguards and how to address those challenges.

### Nature of Training Activities
- Brief re-cap of session 6 by the trainer (3 to 4 minutes)
- Guided Group discussion
- Group presentations
- Trainer’s inputs
- Summary of the module by the trainer.
5. SESSION DETAILS

DAY ONE

SESSION 1: OPENING SESSION
The opening session is intended to welcome the participants and the trainer and the participants to get to know each other. The introduction will cover the background, work related to infrastructure development of the participants. The session also provides a brief overview of the course - the background, objectives, content and schedule of the course and highlights about the training methodology. The session is interactive and oriented towards learning from each other. The course handouts and reading material are disseminated.

Handouts/session PowerPoint presentation
PowerPoint Presentation 1: Overview of the Course

SESSION 2: DEVELOPMENT INDUCED SOCIAL ISSUES AND IMPACTS
This session intends to create an understanding of social impacts of implementation of urban infrastructure and development projects in cities and their positive and negative implications. It also aims planners and decision makers to understand how and when to diagnose the social issues in the process of planning and designing infrastructure projects. The session will assist the participants to distinguished “project benefitted people” and “project affected people” through discussions based on identified possible social issues due to urban infrastructure projects based on their experience. During the session, presentations will be made deriving from international experience to supplement the learning efforts. This session will be the foundation to understand the concept of “social safeguards” and a high level of active participation of the trainees is expected.

According to UNESCAP, at least 10 million more people are expected in Myanmar’s large cities by 2030, which is the equivalent of 2 new cities the size of Yangon or 10 new cities the size of Mandalay. Myanmar needs around US 320 billion investment for infrastructure development to meet the emerging challenges. Such an investment drive requires number of readjustments in terms of land use planning, realigning and expansion of existing infrastructure, system development and new or improved governance structures. Development induced social issues will be inevitable unless appropriate social safeguards are not included into such infrastructure development plans. Myanmar has experienced number of negative impacts in infrastructure development projects due to lack of emphasis on social safeguards.

Handouts/session PowerPoint presentation
1. Handout No.1: Development induced social issues and impacts
2. PowerPoint Presentation 2: Development induced social issues and impacts
SESSION 3: CONCEPT OF SOCIAL SAFEGUARDS AND EXISTING PRACTICES

The third session is focused on the concept of social safeguards. Participants will be able to understand the policies, operation principles, governing factors and existing practices by different development partners, funding agencies including the Asian development Bank. The session will also discuss the social safeguard measures that Myanmar has applied in infrastructure projects in the recent past. Participants will gain knowledge on some social safeguard frameworks applied in other countries through case presentations in order to understand an array of important elements which are to be considered during the development of social safeguard measures/frameworks for implementing infrastructure projects in different sectors.

Handouts/session PowerPoint presentation

1. PowerPoint presentation 3 - Concept of social safeguards
2. Handout No.2: Concept of social safeguards and existing practices

Recommended Reading

1. Ministry of Communications and Information Technology (MCIT) Myanmar, 2013, Environmental and Social Management Framework (ESMF)
2. UN-Habitat, 2009, Innovative Approaches for Involuntary Resettlement,

SESSION 4: IDENTIFICATION OF SOCIAL SAFEGUARD TOOLS AND THEIR RELEVANCE

This session intends to provide knowledge on social safeguard plans and tools which are widely used by the different finance institutions including the Asian Development Bank to ensure that social safeguards are adequately addressed in the urban infrastructure projects. Participants will be able to understand the key elements in social safeguard plans and the process of applying the plans and tools during the planning, designing and implementing of infrastructure projects at city level. Furthermore the session will briefly discuss the existing legal framework governing social safeguards in order to comprehend how the tools can be optimally applied in local context. (However it is intended that the advanced training module focuses largely on the legal framework for the social safeguards once the participants clearly understand the concepts, plans, tools and process of social safeguards.)
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Handouts/session PowerPoint presentation

1. PowerPoint presentation 4: Social safeguard plans and key element

Recommended reading

1. Ministry of Communications and Information Technology (MCIT) Myanmar, 2013, *Environmental and Social Management Framework (ESMF)*

DAY TWO

SESSION 5: ANALYSIS OF SOCIAL SAFEGUARD PLANS/TOOLS AND THEIR RELEVANCE

Session 5 intends to provide an opportunity for participants to analyse widely used safeguard plans/tools to understand their applicability in the local context. Furthermore, participants will be able to identify useful elements in formulating social safeguard frameworks for infrastructure projects and how and when to apply those at different stages of project cycle. Analysis of social safeguard plans/tools will be based on the combination of local experience of the participants and trainers’ expert input. This helps the participants to acquire knowledge on how to prepare a social safeguard plans using best tools and guides.

Handouts/session PowerPoint presentation

1. PowerPoint presentation 5: Analysis of social safeguard plans/tools

Recommended reading

1. Ministry of Communications and Information Technology (MCIT) Myanmar, 2013, *Environmental and Social Management Framework (ESMF)*

SESSION 6: APPLICATION OF SOCIAL SAFEGUARD CONCEPT, PLANS AND TOOLS IN INFRASTRUCTURE PROJECT PLANNING

The session 6 aims to provide an opportunity for the participants to practice application of social safeguard plans/tools using “real situation” examples. Group work will be the mode of learning guided by the trainers. Participants will get the opportunity to test the plans/tools through formulating social safeguard processes. Group presentations followed by group discussions will provide space for sharing knowledge and will create a foundation for in-depth discussions on the application of plans/tools to enhance the level of understanding on social safeguards.
SESSION 7: CHALLENGES IN IMPLEMENTING SOCIAL SAFEGUARD MEASURES INFRASTRUCTURE PROJECT PLANNING

This session aims to discuss implementation challenges of social safeguard measures during the project cycle. Participants are to identify challenges and cluster them in order to search for the best possible actions to address those challenges. This session intends to prepare participants and to build confidence to get involved the process of planning and implementing social safeguard measures during project cycle of urban infrastructure project in the cities.

Handouts/session PowerPoint presentation

1. PowerPoint Presentation 7: Implementation challenges of social safeguard measures

Recommended reading

6. ANNEXURES

**ANNEX 1: Information to be brought to the Course**

Information and documents to be brought to the course by participants. Participants will need to be notified of this requirement by the Trainer at least three weeks before the training starts. It should be coordinated through the Local Field Coordinator to make sure that no duplication will happen and every participant will be responsible for bringing one item.

1. A list of major infrastructure projects
2. Project briefs of infrastructure projects – Township Field Coordinator to ensure that at least two projects briefs should be made available. If no such information is available, inform the trainer in advance in order to replace it with a similar example from another city.
3. Information about the city’s development strategies

**ANNEX 2: Materials to be prepared by the Trainer**

- Handouts (hard copies)
- PowerPoint presentations (refer to all the relevant sessions)
- Case studies/ discussion papers (brief)
- Colour pens
- Sketch papers / flip cart papers
- Pen Drive – 64 GB
- External Hard Drive (having all the information related to this module stored as a backup)
- Evaluation sheets (hard copies)
- Handouts (hard copies)
ANNEX 3: Course Evaluation by Participants

Course evaluation - How to do the evaluation

The evaluation is in two parts:
Part 1. Overall evaluation of the course
Part 2. Evaluation of sessions

You are required to complete both the parts and submit the completed form to the Course Coordinator just before the concluding session.

Please use the ranking matrix given below to rank each of the sessions/ exercises.

0 is lowest in value and 5 is the highest. For example, if you found the session extremely useful you can tick 5, and if you did not find it useful at all can tick 0.

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<th>Day.......</th>
<th>Session........</th>
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Explanation of the ranking parameters

**Useful:** Did you find the contents useful in relation to the work you do?
**Knowledge:** Did the session add to your knowledge?
**New skills:** Did the session help you to acquire new skills, for example of understanding concepts, working as a team, etc.?
**Interesting:** Did you find the presentation, discussions and methods interesting?

The box on the right is for your suggestions for improving the session.

Please refer to the course schedule for the day, date and session name.
Part 1: Overall evaluation of the course

1.1 Were your expectations met by the course? Yes/ No/ Partly.
   Please explain your answer briefly.

1.2 Would you recommend this course to others? Yes/ No/ Not sure.
1.3 Was the duration of the course: Too short / Too long/ Sufficient.
1.4 What would you like changed in the course? Explain briefly.
1.5 List the three sessions you found particularly useful.

1. ............................................................ ......................
2. ............................................................ ......................
3. ............................................................ ......................

Part 2: Evaluation of sessions
Lectures/ Presentations/ Discussions / Practical Group Works

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<th>Day 1, Session 2: Development induced Social issues (related to infrastructure projects)</th>
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**Day 2, Session 5: Analysis of social safeguard tools and their relevance (group work)**

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**Day 2, Session 6: Application of social safeguard concept/tools in infrastructure project planning**

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**Day 2, Session 7: Challenges in implementing social safeguard measures**

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<tr>
<td>Interesting</td>
<td></td>
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</tr>
</tbody>
</table>

**ANNEX 4: Guide for Group work**

It is expected that the trainer will be able to facilitate the group work to ensure that;

- Each participant in the group has contributed
- Participants listen to other opinions
- Pulling ideas together
- Reflecting on what has been learnt in related sessions
- Reasons are given for certain ideas
- There is active listing

Following matrix provides the role of participant and role of the trainer in the group discussions of this module.
<table>
<thead>
<tr>
<th>Role of participants</th>
<th>Group formation</th>
<th>Commencement</th>
<th>Discussion</th>
<th>Conclusion</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Appoint moderator and rapporteur</td>
<td>Read properly the task</td>
<td>Every participant in the group must take an active part</td>
<td>Moderator should allow each participant to provide conclusive remarks</td>
</tr>
<tr>
<td></td>
<td>Gather required plans/tools</td>
<td>Agree on modality</td>
<td>Should focus on tasks and not personalities</td>
<td>Capture salient points of discussion</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Role of Trainer</th>
<th>Ensure gender balance</th>
<th>Guide the group to use plans/tools</th>
<th>Guide to stay in focus</th>
<th>Support the group to conclude with key points</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Ensure representation of different sectors</td>
<td>Provide explanations if required</td>
<td>Intervene to provide technical inputs</td>
<td>Support to prepare the presentation</td>
</tr>
<tr>
<td></td>
<td>Avoid grouping friends using simple small group formation method</td>
<td>time management</td>
<td>Monitor the timing</td>
<td>Collect all group work material and presentation</td>
</tr>
</tbody>
</table>
(i) **Purpose** – The purpose of the exercise/group work is to make the participants understand the possible social issues arisen as a result of implementation of infrastructure projects.

(ii) **Preparation** - The participants should have a reasonable understanding on the impacts of infrastructure projects. It is expected that the participants have an open mind (out of bureaucratic restrictions) to discuss both positive and negative effects of infrastructure projects that cities have implemented. Participants need to read the Handout No. 1 as a foundation for the discussion and clarifications.

(iii) **Steps** –

(a) The trainer will provide a background necessary for the understanding of development induced social issues and provide some real life examples. This allows participants to think out of the box.

(b) The participants should have the Handout No. 1 with them, this provides background information about development induced social issues and they should refer to it whenever they need to.

(c) Groups will be formed consisting of 6 members maximum, ensuring gender balance and they will be provided with writing papers, flip charts, colour cards, and colour pens.

**First Half**

a) Identification of development induced social issues: Each group should appoint a moderator and a rapporteur. The moderator should lead the discussion while the rapporteur takes down the discussion notes. Everyone in the group should be given equal opportunity to contribute. During the first section of the discussion, each member of the group should be given an opportunity to briefly explain what s/he perceives on some social issues as a result of infrastructure projects. This allows to build the confidence among the members of the group in order to have an open mind for free discussion. (10 minutes)

b) Each member of the group is requested to write down 3 social issues they have encountered / foresee due to infrastructure development projects, using colour cards (provided). One issue for one card. Cluster the issues and list 3 main issues in agreement with all members of the group. (15 minutes)
c) Brainstorm further on the listed 3 social issues to gain adequate understanding of each issue and prepare a group presentation. Flip charts should be used and members of the group should equally contribute to prepare the presentation. (10 minutes)

Second Half

a) Each group will give a presentations and allow members of other groups to raise questions. The aim of this section of the group work is for participants to understand a) types of development induced social issues, b) magnitudes of those issues, c) reasons and what went wrong. The Trainer will facilitate all presentations and follow up questions ensuring all presenters have equal timing and all questions answers. Furthermore, the trainer needs to moderate the Question and Answers sessions to ensure all questions are within the framework of the subject, stick to the subject matters and avoid political and cultural sensitivities. (45 minutes)

b) Finally the trainer will summarize, recapturing the outcome of the group work providing the feedback. Participants are requested to do the evaluation of the group work individually using the evaluation form. (10 minutes)

ANNEX 6: Group work/Exercise 2 – Analysis of social safeguard plans tools and their relevance

(i) **Purpose** – The purpose of the exercise/group work is to let the participants analyse some social safeguard plans/tools and their relevance to the local context.

(ii) **Preparation** - The participants should have a reasonable understanding social safeguard plans/tools after attending the sessions 3 and 4. It is expected that participants follow sessions 3 and 4 with a keen interest to learn. Participants need to read the Handouts No. 3 and 4 as a foundation for the discussion and clarifications.

(iii) **Steps** –

a) The trainer will provide a background necessary for the analysis of social safeguard plan/tools and provide some examples. This allows participants to get familiarized with the plans/tools used in deferent financial institutions and countries including Myanmar.

b) The participants should have the Handout No. 3 with them, this provides background information about social safeguard plans/tools. They also need to bring Handout No. 4 on analysis of social safeguard plans/tools and they should refer to those whenever they need to.
c) Groups will be formed consisting of 6 members maximum, ensuring gender balance and they will be provided with writing papers, flip charts, colour cards, and colour pens.

First Half

a) Analysis of social safeguard plans/tools and their relevance: Each group should appoint a moderator and a rapporteur. The moderator should lead the discussion while the rapporteur takes down the discussion notes. Everyone in the group should be given equal opportunity to contribute. During the first section of the discussion, each member of the group should be given an opportunity to briefly explain their experience/knowledge on using such plans/tools. This allows to build the confidence among the members of the group in order to have an open mind for free discussion. (10 minutes)

b) Each group is requested to analyse certain plans/tools (provided by the trainer). (30 minutes)

Second Half

a) Each group will make a group presentation on identifying the key elements of the plans/tools and how those are applicable to local context. The aim of this section of the group work is for participants to understand a) the main elements of a social safeguard plan and relevant tools, b) application of those in a local context. The Trainer will facilitate all presentations and follow up questions ensuring all presenters have equal timing and all questions answered. Furthermore the trainer needs to moderate the Question and Answer sessions to ensure all questions are within the framework of the subject, stick to the subject matters and avoid political and cultural sensitivities. Flip charts should be used and members of the group should equally contribute to prepare the presentation. (40 minutes)

b) Finally the trainer will summarize, recapturing the outcome of the group work providing the feedback. Participants are requested to do the evaluation of the group work individually using the evaluation form. (Trainer to provide) (10 minutes)
(i) **Purpose** – The purpose of the exercise/group work is to make the participants identify the challenges in applying social safeguard measures in the local context.

(ii) **Preparation** - The participants should have a reasonable understanding of social safeguard plans/tools after attending the sessions 5 and 6. It is expected that participants use the key elements identified in the session 5 and application process learnt in session 6 as a basis for identifying challenges. Participants need to read the Handouts No. 4 and 5 as a foundation for the discussion and clarifications.

(iii) **Steps** –

   a) The trainer will provide a background necessary for the discussion with appropriate examples. This allows participants to build confidence, search solutions and learn more on social safeguard plans/tools used in different financial institutions and countries, including Myanmar.

   c) The participants should have Handout No. 5 with them which provides background information and they should refer to it whenever they need to.

   d) Groups will be formed consisting of 6 members maximum, ensuring gender balance and they will be provided with writing papers, flip charts and colour pens.

**First Half**

   a) Discussion on challenges in applying social safeguard plans/tools: Each group should appoint a moderator and a rapporteur. The moderator should lead the discussion while the rapporteur takes down the discussion notes. Everyone in the group should be given equal opportunity to contribute. During the first section of the discussion, each member of the group should be given an opportunity to briefly explain one possible challenge. This allows to build the confidence among the members of the group to have an open mind for free discussion. (10 minutes)

   b) Each member of the group is requested to write down 3 challenges they have foreseen in implementing social safeguard measures using colour cards (provided). One challenge per one card. Cluster the challenges and list 3 main challenges in agreement with all members of the group. (15 minutes)
c) Brainstorm further on the 3 listed challenges to gain adequate understanding of each challenge and prepare group presentation. Flip charts should be used and members of the group should equally contribute to prepare the presentation. (15 minutes)

Second Half

a) Each group will make a group presentation on identifying key challenges which are applicable to the local context. The aim of this section of the group work is for participants to understand the main challenges cities could encounter in the implementation of social safeguard measures. The trainer will facilitate all presentations and follow up questions ensuring all presenters have equal timing and all questions answers. Furthermore the trainer needs to moderate the Question and Answer sessions to ensure all questions are within the framework of the subject, stick to the subject matters and avoid political and cultural sensitivities. Flip charts should be used and members of the group should equally contribute to prepare the presentation. (40 minutes)

b) Finally the trainer will summarize, recapturing the outcome of the group work providing the feedback. Participants are requested to do the evaluation of the group work individually using the evaluation form. (10 minutes)

ANNEX 8: Checklist of Equipment and Materials

(This will help the trainer ensure she/he prepares and takes everything she/he needs to the training and to check that the equipment is present and functioning before the training starts. The local field training coordinator should do most of this.)

(ONE PAGE)

A checklist of equipment and materials to be used in preparing for the training (e.g. beamer, screen, coloured cards and marker pens, flip charts, etc.) and a checklist for the venue (e.g. size, furniture, air conditioning, etc.)

Venue:

a) Air conditioned space to accommodate 40 people. (Check the AC in a good working order)
b) Adequate lights, space for refreshments and lunch, adequate and clean wash rooms.
c) Furniture – chairs (built in facilities for writing), arranged in a semi-circular way, provide adequate space for the trainer move through and reach every participant. 7 tables for the use of group work.
d) The venue should be easily accessible.
Equipment

a) Laptop or computer
b) Multimedia projector
c) Digital camera
d) Screen
e) Beamer
f) White Board
g) Flip Chart

Consumables

a) Colour pens, pencils, marker pens
b) Butter sheets
c) Note books
d) Sticky tapes
e) Writing papers (half sheets)
f) Flip chart pads (preferably with grid lines)
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1. INTRODUCTION TO THE MODULE

This module follows the basic training module, which attempted to give to participants an overview of the social safeguards (excluding environmental ones which are the subject of another module). Compared with the basic module, this advanced training module proposes to insist on specific aspects. The field encompassed by social safeguard is very large and, for an advanced training module lasting only two day, a selection is necessary. Many aspects such as monitoring of resettlement or financial mechanisms to ensure compensations to affected people. Cross experiences between Myanmar cities (not only the 6 ones targeted in this module) and more largely cities of Greater Mekong Sub-region would have made sense in an advanced module, but priority should be given to mechanisms at this stage and comparative approach is recommended for another series of training sessions.

This module is intended to prepare courses to participants employed in cities of very different sizes: Yangon, Mandalay, Mawlamyine, Pathein, Lashio, and Monywa. The economic, social, but also environmental and spatial contexts of areas targeted by training sessions will need to be taken into account beyond the general mechanisms to be made understood by participants. The interactive nature proposed for several sessions should help the Trainer to adapt animation to the local context. Conversely, the approach proposed in this module should encourage participants to show curiosity about other experiences and to admit that the local case (of their city) is not fully specific in the world.

This training module assumes that international donors will abundantly support urban projects in Myanmar. Both trainers and participants should be aware that some of them, in particular the ADB, the JICA, the AFD and the GIZ, among others, plan to be particularly involved in urban projects. So far, the World Bank is presumably more involved in national projects in particular in the power sector or in large scale water resources management sector. Possibly, the AIIB (Asian Infrastructure Investment Bank) will follow. ADB has financed projects in Mandalay (MUSIP) together with the AFD and in Mawlamyine (GMS 3). ADB also uses the Japan Fund for Poverty Reductions to finance small projects in Yangon and Mandalay. The JICA is much present in Yangon but also and the AFD should follow. An assumption here is that international donors formulate relatively similar requirements regarding social safeguards. One point should be kept in mind: any failure to securing social safeguards in a project is potentially a source of cancellation of the project if financed by international donors.

This training module is also should also be used by bearing in mind that Myanmar has now engaged in a process of reform of the management of land, with the recent land use policy approved by the national government, waiting for a Land Use Law to be possibly enacted in the coming years.

Social safeguards being required by international donors (including loans to the private sector) as long as they commit in supporting a project, the sector-related scope of this training module will be in priority urban infrastructure oriented projects financed by donors. This scope will therefore encompass, although not exclusively: water catchment and supply, waste water and drainage, natural disaster prevention infrastructures, coastal infrastructure, airports and ports, solid waste management, waste to energy, energy generation transmission and distribution, roads and transport, housing, public space and urban rehabilitation and heritage conservation, economic and industrial zones etc. However, and hopefully, lessons of this advanced training module will be useful for application in the case of project excluding international donors support (e.g. some public private partnership).
1.1 TRAINING OBJECTIVES

The primary objective of this advanced training module is to guide participants toward implementation of the concept of 'social safeguards' to address those social issues during the planning, designing, coordinating, managing and implementing such urban infrastructure projects and to enhance awareness to main issues raised by social safeguards in Myanmar to facilitate this implementation. As the basic module, the advanced training module will raise awareness on social safeguard policies, best practices (handouts for participants) and operational guidelines globally practiced. In complement with this basic module, the advanced module will go more into details by insisting on specific aspects of methods to comply with social safeguards requirements.

One specific objective of the training module is to raise awareness and curiosity on institutional, land acquisition, compensation and communication/participation with/of affected populations social risks/issues and implications of city infrastructure projects in the context of Myanmar; and creating a pathway to establish citywide safeguard framework/plan and application of tools customizing to local conditions.

Another specific objective is to take the opportunity of working groups to strengthen links between staff of project authorities of the same city, at various levels of administrations (Regional/State administration, Development Committee or Development Affairs, Townships, Wards, etc). Previous experiences in Myanmar suggest these opportunities are not so common at the level of medium-level staff whereas international experiences suggest that inter-agency cooperation is a key factor of success for urban projects.

1.2 TARGET

Addressing development induced social and environment issues at an advanced level requires to come back to basic principles as presented in basic level training module with a double priority i) further bridge these principles with both the context of Myanmar and project management constraints ii) making participants aware of institutional and organizational aspects of addressing social issues as an interactive process.

It is assumed that participants will be the same as those having participated to the basic-level module. In the perspective of application of social safeguards principle, and in case only a part of participants having attended to basic level module sessions can attend the advanced level one, new participants should be welcome to join.

Ideally, a comprehensive group will comprise staff of the Development Committees Offices (Yangon and Mandalay) and Townships (of the other four local authorities) and officers¹ and also Region/State officers (e.g. from the Dept from Social Welfare and Resettlement, Planning Department, etc.). Could also be

1 Including urban planners, infrastructure engineers, urban designers, architects, finance managers/accountants, public health officials, social and welfare officers, land officers, public relation officers, etc
included as participants i) Township-level Committees members\(^2\) and possibly heads of Wards ii) GAD officers in particular at Regional and District levels iii) Possibly staff from relevant Union's level ministries in Nay Pyi Taw (e.g. Ministry of Social Welfare Relief and Resettlement, Ministry of Development Affairs, Ministry of Construction and DUHD, Ministry of Border Affairs... ). Last, and due their active role in the social and economic life in cities, a few participants from community-based organization will likely stimulate the group works and discussions.

As the module aims at strengthening operational understanding of social safeguards to make participants in a capacity to support implementation of resettlement plans, some of the participants should be in a position to weight on decision making level would be preferred.

Mostly government officers, targeted participants are neither social experts nor dedicated to assume socio-economic / resettlement expertise or consulting tasks. However, they need to understand the purpose and logics of tools used by experts / consultants to better assume their role of facilitation, control and implementation of social safeguards.

\(^2\) In particular Farmland Development Committees, Development Support Committees and Planning and Implementation Committees. If a Land Use Committee has been established locally, members also can join.
2. OVERALL CONCEPT AND METHODOLOGY

2.1 LINKING COGNITION WITH PEDAGOGIC ELEMENTS

The training module is an essential part of capacity building which has been articulated by UN-HABITAT as a strategic approach to share knowledge and experience and develop knowledge products towards institutional capacity building for city planning and management. However, former training experiences in the world suggest that cities staff cannot likely assimilate overnight appropriate concepts, terminology and methods presented during sessions. Full understanding is commonly achieved through practice and application. Therefore, and to ensure that sessions presented hereafter will be adequately appropriated by participants and correctly used by them along project implementations, this module aims at:

1. Balancing knowledge of experiences provided by other examples with active exchanges and discussions between participants focusing on application modalities to plan and implement required by social safeguards, by insisting on interactive processes between participants in order to demonstrate the importance of horizontal and vertical cooperation between institutions (employers of these participants).

2. Integrating and reproducing the knowledge generated through studies, case evaluations and researches conducted by various institutions both locally and internationally and ensuring that safeguard issues are adequately appreciated and addressed in project implementations. To this regard, an abundant literature is proposed by all donor agencies and summaries social safeguards after clearance often available on ADB or World Bank's web sites.

3. Making participants in a position – when they have this opportunity - to clarify and justify application of principles of social safeguards to the upper levels of decision-making in cities, such as, Ministers (Region/States) directors of departments but also other key local governance actors, such as members the multiple committees members which represent at all institutional levels (City, Township, etc.). The perspective to establish Land Use Committees at the different administrative levels of the country, as considered by the present Land Use Policy recently formulated by the Government of Myanmar this year, will make this ability of participants particularly important.

4. Encouraging adaptation to local contexts of knowledge generated through studies and case evaluations conducted by various institutions both in Myanmar and in comparable Asian DMC contexts.

The design of the advanced module assumes relevant to consider more depth several concepts principles and tools as presented along the basic level training module. Given that the scope of social safeguards is extremely wide, it also assumes that, to go more in depth with these concepts and principles, selective approach is preferable.

Another assumption of this module is that, in the near future, projects requiring compliance with social safeguards in most of the 6 cities will likely rarely affect huge numbers of people, with the exception of
public transport projects in cities like Yangon or Mandalay. The module would have been totally different if targeted projects were large dams or railways construction, or international airports.

Design of the module is proposed within the framework of interactive learning environment which facilitates the anchoring of advanced levels of knowledge within the city management and create an appetite for higher level of learning for the application of best localized social safeguard practices (through projects planned locally in particular those financed by donors).

2.2 UNDERSTANDING THE STRUCTURE OF THE TRAINING MODULE

The training module is an essential part of capacity building which has been articulated by UN-HABITAT as a strategic approach to share knowledge and experience and develop knowledge products towards institutional capacity building for city planning and management.

The training module comprises inevitably “Take-off and Landing” essential phases, namely introductory (Session 1) and conclusive sessions (Session 8). Session 1 should put the whole module on correct tracks. The structure of the module should be made clear to participants. Also, the trainer should establish a friendly and cooperative atmosphere (for participants to be eager to ask questions and to formulate ideas, even not relevant) and make sure some participants, women in particular, will be comfortable with active participation. Session 8 is largely dedicated to evaluation but should in fact consider the aftermath of the module, and help participants to continue keeping interest on social safeguards mechanisms, when possible during their daily work.

Then, sessions 2 and 3 are dedicated to two fundamental aspects of social safeguards. Session 2 relates to the basic issue of land acquisition in Myanmar, estimated here as the major contextual feature / matter of concern for social safeguards in the country. Session 3 relates to legal and institutional aspects. Both aspects require synthetic and clear presentation and must be contextualized according to the case of each city. The content of these two sessions also are fundamental ones to guide the practice of public officers or people in charge of taking appropriate decision in the city.

The other sessions focus more on practice and mechanisms than on contextual aspects. The direction of sessions will be the interactions with stakeholders, in particular affected people. Sessions 4 and 5 will be more oriented toward mechanisms to deal with economic and financial aspects of the social safeguards. Sessions 6 and 7 will put emphasis on these interactions but on the basis of the knowledge acquired along the two previous sessions in order to make them more useful.

Components of the training module are designed to build the capacity of staff to understand the social safeguard mechanisms and application modalities. All along the training module participants will be encouraged to progress from a more “passive” posture (understanding facts, figures, tools, etc.) to more “active” postures: formulation of proposals with regard to i) issues and challenges and ii) interactions with population and within institutions.

<table>
<thead>
<tr>
<th>Step</th>
<th>Target</th>
<th>Key Areas</th>
</tr>
</thead>
</table>
| Component 1 | “Take-off and Landing” | • Make participants understanding the logic of the module  
• Make participants comfortable with participative process along the module |
<table>
<thead>
<tr>
<th>Component</th>
<th>Description</th>
<th>Issues/Topics</th>
</tr>
</thead>
</table>
| Component 2 | Selected fundamental contextual features to be contextualized locally | • Evaluation of the module  
• Aftermath: to consider application of lessons learnt by participants |
| Component 3 | Mechanisms and process orientated toward interactions with stakeholders | • Land acquisition  
• Legal, regulatory and institutional challenges  
• Demonstrate necessity of inter-agency interactions.  
• Resettlement to be seen as a process  
• Communication and interaction with affected populations  
• Mechanisms to deal with vulnerable populations affected |

Assuming the trainer will be the same person in charge of the training module in all cities, he/she will take note of local situations encountered in other cities so as presentations and discussed can be illustrated by examples taken from the experience of the other cities.

The documents prepared for this training module have a quite substantial content, although very limited compared with the subject.

The participants should be delivered the power point presentations and the handbooks preferably at least five days before the module starts, for them to consult them and for sessions to be more effective. The trainer should encourage them to learn further by referring to the documents listed as bibliography in this document, although most of them are not available in Burmese.

Although appendices do not consider this possibility (see below), a strongly recommended option is for the trainer to establish groups as soon as the list of participant is given to him/her. Thus, some time can be spared since the schedule of the various sessions is tight. Having groups set in advance and remaining the same all along the module will pave the way for more efficient exchanges.
3. MODULE STRUCTURE

Training module structure is formulated on the basis that each session will lead to enhance the knowledge in a learning ladder building on fundamentals to practical application of social safeguards in the planning, designing and implementing citywide infrastructure.

Breaks are relatively long and their length is here indicative. With the agreement of participants, the trainer should not hesitate to shorten them from 5 to 10 minutes to make more comfortable for participants to evaluate sessions and for him/her to wrap-up sessions followed by these breaks. Participants should be encouraged to exchange about sessions during break time.

### Day 1: Context of Social Safeguards and selected main issues

<table>
<thead>
<tr>
<th>Time</th>
<th>Session</th>
<th>Title of Session</th>
</tr>
</thead>
<tbody>
<tr>
<td>9.00 – 10.30</td>
<td>Session 1</td>
<td>Opening Session – Partially interactive</td>
</tr>
<tr>
<td>10.30-11.00</td>
<td>Break</td>
<td></td>
</tr>
<tr>
<td>11.00-12.30</td>
<td>Session 2</td>
<td>The Issue of Land Acquisition in Myanmar</td>
</tr>
<tr>
<td>12.30-13.30</td>
<td>Lunch</td>
<td></td>
</tr>
<tr>
<td>13.30-15.00</td>
<td>Session 3</td>
<td>The Legal and Institutional Framework – Partially interactive</td>
</tr>
<tr>
<td>15.00-15.30</td>
<td>Break</td>
<td></td>
</tr>
<tr>
<td>15.30-17.00</td>
<td>Session 4</td>
<td>Identification, Assessment of Social Impacts and Resettlement Plan</td>
</tr>
</tbody>
</table>

### Day 2: Support Interactions with affected people

<table>
<thead>
<tr>
<th>Time</th>
<th>Session</th>
<th>Title of Session</th>
</tr>
</thead>
<tbody>
<tr>
<td>9.00 – 10.30</td>
<td>Session 5</td>
<td>Avoiding, Minimizing, Mitigating, Compensating and Resettlement Plan Implementation – Strongly interactive</td>
</tr>
<tr>
<td>10.30-11.00</td>
<td>Break</td>
<td></td>
</tr>
<tr>
<td>11.00-12.30</td>
<td>Session 6</td>
<td>Information of People Affected by a Project, Participation and Grievances Redress Mechanisms - Strongly interactive</td>
</tr>
<tr>
<td>12.30-13.30</td>
<td>Lunch</td>
<td></td>
</tr>
<tr>
<td>13.30-15.00</td>
<td>Session 7</td>
<td>Vulnerable Groups - Issues &amp; Recommendations – Strongly interactive</td>
</tr>
<tr>
<td>15.00-15.30</td>
<td>Break</td>
<td></td>
</tr>
<tr>
<td>15.30-17.00</td>
<td>Session 8</td>
<td>Evaluation, Clarification, and Toward Capitalization – Strongly interactive</td>
</tr>
</tbody>
</table>
## 4. AIMS OF EACH SESSION

<table>
<thead>
<tr>
<th>Session (number and title)</th>
<th>Duration (minutes)</th>
<th>Contents</th>
<th>Objectives</th>
<th>Nature of Training Activities</th>
</tr>
</thead>
<tbody>
<tr>
<td>Session 1: Opening Session</td>
<td>90</td>
<td>• Welcome the participants to the course.</td>
<td>• To effectively start the session</td>
<td>Interactive session:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Participants introduce themselves and explain their expectations of the training.</td>
<td>• To gain an initial understanding of each other</td>
<td>• Trainers’ Power Point, incl. basic terminology</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Understand participants’ expectations of the training.</td>
<td>• To make participants aware of the training objectives, programme and methodology</td>
<td>Presentation</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Introduce the background, objectives, content and schedule of the module, training methodology employed and reading materials.</td>
<td>• To make trainer aware of participants’ expectations</td>
<td>• Participants’ verbal presentations</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Terminological explanation</td>
<td>• To assess the knowledge level of participants as regards social safeguards (results of Basic Module)</td>
<td>• Questions and answers</td>
</tr>
<tr>
<td>Session 2: The Issue of Land Acquisition in Myanmar</td>
<td>90</td>
<td>Session would discuss land acquisition issues related to infrastructure development as a starting basis to understand the challenge of capacity strengthening of government staff with regard to social safeguards</td>
<td>• Participants to understand the deep justification for capacity strengthening</td>
<td>• Power Point Presentation by the Trainer</td>
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<td></td>
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<td></td>
<td>• Participants to understand the link between land acquisition and project in a country where infrastructure projects are going to multiply</td>
<td>• Group work</td>
</tr>
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<td></td>
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<td></td>
<td>• Participants to bridge the national challenges of land acquisition with their experience at local level.</td>
<td>• Group presentation</td>
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<tr>
<td></td>
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<td></td>
<td>• Participants to gain knowledge on social safeguards aspects with respect to project cycles as financed by donors, and to assignments of external consultants</td>
<td>• Trainer’s inputs through interaction</td>
</tr>
</tbody>
</table>
# SOCIAL SAFEGUARD (ADVANCED)

| Session 3: The Legal and Institutional Framework | 90 | Session would present national available regulation related to social safeguards subject, explain the detailed organization at National Regional/State, and City/Township levels with regard to social safeguards, in particular implementation of involuntary resettlement plans. | • Participants to understand legal and regulatory framework  
• Participants to understand institutional challenges and challenges raised by decision process and local governance in Myanmar | • PowerPoint presentation by the Trainer  
• Guided group discussion  
• Trainer’s inputs through interaction |

| Session 4: Identification, Assessment of Social Impacts and Resettlement Plan | 90 | Session will introduce and discuss methodologies and practices with for purpose to make adapt them in the case of their own city | • Participants to gain knowledge on socio-economic aspects of social safeguards, and on know-how and precautions to perform census, identification / inventory of losses  
• Participants to understand the whole cycle of identification and assessment of project impacts and require collaboration between public agencies. | • Power Point presentation by the Trainer  
• Group work/Discussion  
• Trainer’s inputs through interaction |

<p>| Day 2: Support Interactions with affected people |</p>
<table>
<thead>
<tr>
<th>Session (number and title)</th>
<th>Duration (minutes)</th>
<th>Contents</th>
<th>Objectives</th>
<th>Nature of Training Activities</th>
</tr>
</thead>
</table>
| Session 5: Avoiding, minimizing, mitigating, compensating and resettlement plan implementation | 90 | Session will introduce principles and methods to avoid, minimize and mitigate losses and also compensation mechanisms | • Participants to understand mechanisms for compensation in cash or non-cash forms  
• Participants to understand the role of local authorities to perform income restoration schemes | • Power Point presentation by the Trainer  
• Group work/Discussion  
• Trainer’s inputs through interaction |
| Session 6: Information of PAP Participation and Grievances Redress Mechanisms | 90 | Session aims at providing how to deal with information to PAP, consultation and participatory mechanisms, and grievance redress  
Session to discuss about how maximizing efficiency of participatory process to limit hurdles to project implementation and to make projects | • To provide knowledge on methods to make relation with PAP interactive, equitable to them and efficient with regard to projects’ implementation | • Power Point presentation by the Trainer  
• Guest Presentation/Panel discussion  
• Trainer’s inputs through interaction |
### SOCIAL SAFEGUARD (ADVANCED)

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</table>
| **Session 7:** Vulnerable groups issues and gender/solutions in practice | 90 | Session to make participants aware about to grant a specific attention to vulnerable groups and gender aspects all along the involuntary resettlement planning and implementation process | • To make participants aware of the particular situation of vulnerable groups, in particular ethnic groups, the poor and women  
• Participants to formulate solutions adapted to the vulnerable groups living in their city  
• Power Point presentation by the Trainer  
• Group work/Discussion  
• Trainer’s inputs through interaction |
| **Session 8:** Evaluation, clarification, and toward capitalization | 90 | Self evaluation  
Peer evaluation  
Trainer’s brief assessment  
Informal discussion | • To evaluate the performance of the module as a whole  
• To identify synergies between lessons learnt from modules in the 6 cities  
• Evaluation questionnaire  
• Group discussion  
• Trainer’s inputs |
5. SESSION DETAILS

5.1. DAY ONE

SESSION 1: OPENING SESSION
The opening session is intended to welcome the participants and the trainer to get to know each other. The introduction will cover the background, work related to infrastructure development of the participants. A brief reminder of what was done at basic level is provided. The session also provides brief contents of the course - the background, objectives, content and schedule of the course and highlights about the training methodology. Session 1 is interactive and oriented towards learning from each other. The course handouts and reading material are disseminated, if not done before. The session enables also the trainer to remind terminology related to social safeguards to gauge the overall level of knowledge of participants.

Session power point presentation/Handout
1. Power point Session 1: Opening Session
2. Handout for Session 1: none

Recommended Reading

<table>
<thead>
<tr>
<th>References</th>
<th>Access</th>
</tr>
</thead>
<tbody>
<tr>
<td>Power points distributed along the basic level module</td>
<td>Provided by organizers</td>
</tr>
</tbody>
</table>
SESSION 2: THE ISSUE OF LAND ACQUISITION IN MYANMAR

The second session aims at entering straight the issues of land acquisition in a fast growing country like Myanmar. Session 2 should make participants aware of the seriousness of the situation as observed, and will highlight the risks for projects, cities and people to possibly result from non respect of fundamental rights of use of land. Issues will be identified on the basis of local cases of projects not restricted to urban infrastructure / sector as long as they relate to areas located in or close to the city. Session 2 has as its objective to understand the overall challenge of social safeguards through the specific issue of land acquisition as practiced in Myanmar. Participant will be invited to react by providing their experience of the situation in their own local context.

Handouts/Session power point presentation/Handout

1. Power point Session 2: The Issue of Land Acquisition in Myanmar
2. Handout for Session 2: The Issue of Land Acquisition in Myanmar

Recommended Reading

<table>
<thead>
<tr>
<th>Reference</th>
<th>Access</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ministry of Communications and Information Technology (MCIT), 2013, Environmental and Social Management Framework (ESMF)</td>
<td>Copy / paste the reference as indicated to access via Google</td>
</tr>
</tbody>
</table>

SESSION 3: THE LEGAL AND INSTITUTIONAL FRAMEWORK

This session intends to make participants aware of i) the importance of the national / local regulatory framework concerned by social safeguards, ii) grey points or lacks of this framework compared with requirements of donors relating to social safeguards iii) the opportunity / necessity for institutions (at all administrative level concerned) to cooperate to comply with this requirement. Session 3 will be also the opportunity to present the project management arrangement when financed by donors (ADB scheme can be used) to understand how social safeguards interact with the implementation of a project and since commonly in projects PMU, PIU and resettlement units have for tasks to coordinate agencies to perform with safeguards-related requirements.

During the guided group discussion areas where current national / local regulatory framework do not provide clear in cut response to social safeguards requirements will be identified. Participants will formulate ideas to facilitate cooperation between concerned public administrations from local (Township and Wards), regional and Union's levels to achieve this compliance.
## Session Power Point Presentation/Handout

1. Power Point Session 3: The Legal and Institutional Framework
2. Handout for Session 3: The Legal and Institutional Framework

### Recommended Reading

<table>
<thead>
<tr>
<th>Reference</th>
<th>Access</th>
</tr>
</thead>
<tbody>
<tr>
<td>MDRI/CESD, Asia Foundation, 2013, State and Region Governments in Myanmar, 98 p.</td>
<td>Copy / paste the reference as indicated to access via Google</td>
</tr>
</tbody>
</table>
SESSION 4: IDENTIFICATION, ASSESSMENT OF SOCIAL IMPACTS AND RESETTLEMENT PLAN

This session aims at presenting how impacts are generally identified and assessed by reviewing into details the 6 standardized (all projects do not necessarily follow the same cycle due to particularities of their own local context) following steps: census, socio-economic survey, gender and vulnerability analysis, inventory analysis, valuation of lost assets, detailed measurement surveys.

Participants will be able to understand the challenges represented by the collection of relevant data, in particular through socio-economic surveys, mapping of land ownership or cadastre, and the means necessary to suitably identify losses. Along this session, participants should be made aware of the necessity to rely on the full collaboration of stakeholders (incl. public agencies, CBOs and residents) to perform proper surveys.

Session 4 will have for indirect purpose to increase readiness of trainees to actively participate to further sessions.

Session power point presentation/Handout

1. Power Point Session 4: Identification, Assessment of Social Impacts and Resettlement Plan
2. Handout for Session 4: Identification, Assessment of Social Impacts and Resettlement Plan

Recommended reading

<table>
<thead>
<tr>
<th>Reference</th>
<th>Access</th>
</tr>
</thead>
<tbody>
<tr>
<td>Asian Development Bank, 2015, Resettlement Plan, Myanmar, Mandalay Urban Services Improvement Project, 122 p</td>
<td>Copy / paste the reference as indicated to access via Google</td>
</tr>
<tr>
<td>Asian Development Bank, 2007, Compensation and Valuation in Resettlement, Cambodia, People’s Republic of China and India, 70 p.</td>
<td>Copy / paste the reference as indicated to access via Google</td>
</tr>
</tbody>
</table>
5.2. DAY TWO

SESSION 5: AVOIDING, MINIMIZING, MITIGATING, COMPENSATING AND RESETTLEMENT PLAN IMPLEMENTATION

Session 5 aims at providing an overall understanding of the sense of resettlement (in particular planning) with for expected result to limit the adverse direct social effects of projects on life and revenue of local people. The construction of the entitlement matrix will be used as a pedagogic means to facilitate this understanding and to guide exchanges between trainer and participants. The case of the resettlement plan as established for Mandalay Urban Services Improvement Project (financed by the ADB) will be used as support for group work.

Session power point presentation/Handout

1. Power Point Session 5: Avoiding, Minimizing, Mitigating, Compensating and Resettlement Plan Implementation

2. Handout for Session 5: Avoiding, Minimizing, Mitigating, Compensating and Resettlement Plan Implementation

Recommended reading

<table>
<thead>
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<tbody>
<tr>
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</table>

SESSION 6: INFORMATION OF PAP PARTICIPATION AND GRIEVANCES REDRESS MECHANISMS

The session 6 will be partially an information session and partially a participatory session involving external guests (see Appendix 9). In Myanmar, information disclosure and consultation/participation mechanisms related to large projects are still a matter of improvement (see Session 2). Nevertheless, their potential efficiency for social safeguards is high due to the very active role of CBOs and NGOs locally in many wards and village tracts, in particular following orientations of the recent land use policy of the GOM. Expectedly, the multiplication of projects financed by donors in Myanmar cities will give CBOs a critical role in the process of compliance with social safeguards requirements. Participants should understand why it is important to perform information to affected people all along the resettlement process, how it is possible to do it and, in particular, how information and participation mechanisms should minimize grievances and complaints at implementation stage. Session 6 will focus on mechanisms and on concrete aspects such as
scheduling of information to be delivered to affected people in order to avoid any adverse effects on compensation mechanisms and on inter-agency aspects

**Session power point presentation/Handout**

1. Power Point Session 6: Information of PAP Participation and Grievances Redress Mechanisms

**Recommended reading**

<table>
<thead>
<tr>
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<tbody>
<tr>
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</table>

**SESSION 7: VULNERABLE GROUPS - ISSUES & RECOMMENDATIONS**

Although this aspect will inevitably be considered along previous sessions, session 7 has for purpose to clarify their status of vulnerable groups and the attention they should be given in the resettlement process. Vulnerable groups encompass covers not only ethnic minorities/indigenous groups, elderly people, poor and religious minorities, but also women. Session 7 will be the opportunity to present in particular aspects of social safeguards dealing with ethnic minorities, and to recapitulate particular arrangements related to them to comply with donors’ requirement, in particular the ADB. Session 7 will also provide the opportunity to consider specifically the context of each 6 cities which differ as regards the presence of vulnerable groups. The session will be oriented toward practice and formulation and solutions proposed by participants themselves, again tailored for each city, with the assistance of the trainer. Positioned almost
at the end of the module, session 7 should benefit from knowledge and active discussions stimulated previous sessions.

**Session power point presentation/Handout**

1. Power Point Session 7: Vulnerable groups - Issues & Recommendations
2. Handout for Session 7: Vulnerable groups - Issues & Recommendations

**Recommended reading**

<table>
<thead>
<tr>
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<tbody>
<tr>
<td>Asian Development Bank, 2015, Resettlement Plan, Myanmar, Mandalay Urban Services Improvement Project, 122 p.</td>
<td>Copy / paste the reference as indicated to access via Google</td>
</tr>
<tr>
<td>Asian Development Bank, 2003, Gender Checklist Resettlement, 38 p.</td>
<td>Copy / paste the reference as indicated to access via Google</td>
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</tbody>
</table>

**SESSION 8: EVALUATION, CLARIFICATION, AND TOWARD CAPITALIZATION**

Final session will address self evaluation and peer evaluation of the module by participants. For self evaluation, participants will fulfill the evaluation form (used for each session and to be adapted by the trainer) during about 15 minutes and remit it to the trainer. Peer evaluation will take the form of an open discussion (at least 45 minutes) following the same steps than the self evaluation. In complement, the trainer will provide orally its own assessment of the participants (possibly he/she can make reference to training module as experienced by him/her in the other cities or to his/her assessment of the participants
as experienced during the basic module). Last, a more informal discussion should enable the trainer to highlight the interest for participants to bridge lessons learnt during the module with those learnt from other modules, in particular environmental safeguards.

Session power point presentation/Handout

1. Power Point Session 8: Evaluation, Clarification, and Toward Capitalization
2. Handout for Session 8: none
6. APPENDICES

**APPENDIX 1: Information to be brought to the Course by participants**

Information and documents to be brought to the course by participants (Participants will need to be notified of this requirement by the Trainer at least three weeks before the training starts. It should be coordinated through the Local Field Coordinator to make sure that no duplication will happen and every participant will be responsible for bringing one item).

Many of these information and documents have normally been prepared for the basic training module

About the city

Maps, photographs, videos related to land acquisition in the city.
City development plan and / or plan for the development of social and economic and urban infrastructure fields
Population, including statistic related to ethnical and religious aspects
Main economic activities
Monthly average income of a low income family in US$
Brief description of the two infrastructure projects in the city presumed as having impact on people (as understood from basic level training module). Those used during basic-level training module will be relevant
List of projects supported by donor organizations
Identification of key problems holding back better infrastructure development (this should be about social safeguards)
List of the institutions or departments responsible for urban planning, urban management and the area of work covered by the module

About urban policies and institutions

Brief description of how the participants’ own department fits into the CDC’s / TADC’s activities with respect to social safeguards.
Brief description of the main national, regional and city government policies affecting the social safeguards
Outline of the regulatory framework governing social safeguards (land and strategic planning).
Regulation and property rights in informally developed areas
About the participants’ own work
A summary of participants’ own work related to social safeguards.
APPENDIX 2: Materials to be prepared by the Trainer

- Handouts (Hard copies)
- Power point presentations (refer to all the relevant sessions)
- Case studies/discussion papers (brief)
- Marker pens for use with flipcharts and non-permanent for use with whiteboard
- Sketch papers/flip cart papers
- Pen Drive – 64 GB
- External Hard Drive (having all the information related to this module stored as a backup)
- Evaluation sheets (Hard copies)
- Hard copies of Handouts

APPENDIX 3: Course Evaluation by Participants

Course evaluation - How to do the evaluation

The evaluation is composed of two parts:

Part 1. Overall evaluation of the course

Part 2. Evaluation of sessions

You are required to complete both the parts and submit the completed form to the Course Coordinator just before the concluding session.

Please use the ranking matrix given below to rank each of the sessions/exercises.

0 is lowest in value and 5 is the highest. For example, if you found the session extremely useful you can tick 5, and if you did not find it useful at all can tick 0.

<table>
<thead>
<tr>
<th>Day</th>
<th>Session</th>
<th>Session Name</th>
<th>0</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
<th>Suggestions for Improvement</th>
</tr>
</thead>
<tbody>
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<td></td>
<td></td>
<td>0</td>
<td>1</td>
<td>2</td>
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<td>Interesting</td>
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</table>
Explanation of the ranking parameters

**Useful:** Did you find the contents useful in relation to the work you do?

**Knowledge:** Did the session add to your knowledge?

**New skills:** Did the session help you to acquire new skills, for example of understanding concepts, working as a team, etc?

**Interesting:** Did you find the presentation, discussions and methods interesting?

The box on the right is for your suggestions for improving the session.

Please refer to the course schedule for the day, date and session name

**Part 1: Overall evaluation of the course**

1.1 Were your expectations met by the course? Yes/ No/ Partly

Please explain your answer briefly for

1.2 Would you recommend this course to others? Yes/ No/ Not sure

1.3 Was the duration of the course: Too short / too long/ sufficient

1.4 What would you like changed in the course? Explain briefly
1.5 List the three sessions you found particularly useful.

1. ............................................................. ....................
2. ............................................................ ......................
3. ............................................................ ......................

Part 2: Evaluation of sessions

Lectures/Presentations/Discussions/Practical Group Works

<table>
<thead>
<tr>
<th>Day 1, Session 1: Opening Session</th>
<th>0</th>
<th>1</th>
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<th>5</th>
<th>Suggestions for Improvement</th>
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<td>Useful</td>
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<tr>
<th>Day 1, Session 2: The Issue of Land Acquisition in Myanmar</th>
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<tr>
<td>Useful</td>
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<tr>
<th>Day 1, Session 3: Policy, Regulatory, Institutional Frameworks</th>
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<th>3</th>
<th>4</th>
<th>5</th>
<th>Suggestions for Improvement</th>
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<td>Useful</td>
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<thead>
<tr>
<th>Day 1, Session 4: Identification of Project Losses Census and Inventory of Losses</th>
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<th>5</th>
<th>Suggestions for Improvement</th>
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<td>Useful</td>
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</table>
## Day 2, Session 5: Avoiding, minimizing, mitigating and compensating

<table>
<thead>
<tr>
<th>Useful</th>
<th>Knowledge</th>
<th>New Skills</th>
<th>Interesting</th>
<th>Suggestions for Improvement</th>
</tr>
</thead>
</table>

## Day 2, Session 6: Information of PAP Participation mechanisms and grievances redress

<table>
<thead>
<tr>
<th>Useful</th>
<th>Knowledge</th>
<th>New Skills</th>
<th>Interesting</th>
<th>Suggestions for Improvement</th>
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</table>

## Day 2, Session 7: Vulnerable groups issues and gender/solutions in practice

<table>
<thead>
<tr>
<th>Useful</th>
<th>Knowledge</th>
<th>New Skills</th>
<th>Interesting</th>
<th>Suggestions for Improvement</th>
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</table>

## Day 2, Session 8: Evaluation, clarification, and toward capitalization

<table>
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<tr>
<th>Useful</th>
<th>Knowledge</th>
<th>New Skills</th>
<th>Interesting</th>
<th>Suggestions for Improvement</th>
</tr>
</thead>
</table>

## APPENDIX 4: Guide for Group work

It is expected that trainer will be able facilitate the group work to ensure that;

- Each participant in the group is contributed
- Participants listen to others opinion
- Ideas are pulled together to arrive at conclusions or recommendations
- What has been learnt in related sessions is reflected on
- Reasons are given for ideas presented
Attentive listening of presentations and other participants

Following matrix provides the role of participant and role of the trainer in the group discussions under this module

<table>
<thead>
<tr>
<th>Role of participants</th>
<th>Group formation</th>
<th>Commencement</th>
<th>Discussion</th>
<th>Conclusion</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Appoint moderator and rapporteur</td>
<td>Read properly the task</td>
<td>Every participant in the group must take an active part</td>
<td>Moderator should allow each participant to provide conclusive remarks</td>
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<tr>
<td></td>
<td>Gather required plans/tools</td>
<td>Agree on modality</td>
<td>Should focus on tasks and not personalities</td>
<td>Capture salient points of discussion</td>
</tr>
<tr>
<td></td>
<td>Ensure gender balance</td>
<td>Guide the group to use plans/tools</td>
<td>Guide to stay in focus</td>
<td>Support the group to conclude with key points</td>
</tr>
<tr>
<td></td>
<td>Ensure representation of different sectors</td>
<td>Provide explanations if required</td>
<td>Intervene to provide technical inputs</td>
<td>Support to prepare the presentation</td>
</tr>
<tr>
<td></td>
<td>Avoid grouping friends using simple small group formation method</td>
<td>Time management</td>
<td>Monitor the timing</td>
<td>Collect all group work material and presentation</td>
</tr>
</tbody>
</table>
APPENDIX 5: Group work/Exercise 1 – The Issue of Land Acquisition in Myanmar (Session 2)

**Purpose** – The purpose of the exercise/group work is to make the participants to understand the specific issue of land acquisition as happening in their city as a result of implementation of infrastructure projects.

**Preparation** - The participants should have a reasonable understanding of land acquisition as prepared and implemented in their own city and knowledge of major local projects raising problems of land acquisition. It is expected that participant have an open mind (out of bureaucratic restrictions) to discuss mechanisms to prepare and implement land acquisition locally or in their State/Region. Particular attention will be given to land registration, record keeping land dispute settlements. Although focus should be urban projects, other projects in the agriculture processing, hydropower, mining, etc. sector can be considered as long as they take place in or close to Townships covering urban areas. Participants need to read the Handout for Session 2 as a foundation for the discussion and clarifications if any should be made from the trainer.

**Steps**

*Power Point presentation (15mn)*

Trainer will provide a background necessary for the understanding of land acquisition issues in Myanmar. This presentation will also enable delineating the subjects of matters for the work to follow.

*Arrangement for group work (5mn)*

The participants should have the Handout for Session 2 with them that provides background information about land acquisition issues and should refer to it whenever they need.

Groups will be formed consisting of 8 members maximum in each group ensuring gender balance and will be provided with writing papers, flip charts, color cards, and color pens.

*Group Work (45 minutes)*

Identification of land acquisition issues locally: Each group should appoint moderator and a rapporteur. The moderator should lead the discussion while the rapporteur takes down the discussion notes. Everyone in the group should be given equal opportunity to contribute. During the first section of the discussion, each member of the group should be given an opportunity to briefly explain what s/he perceives some land acquisition issues as a result of infrastructure
SOCIAL SAFEGUARD (ADVANCED)

project. This allows building the confidence among members of the group to have an open mind for free discussion. (20 minutes)

Each member of the group is requested to write 3 land acquisition issues they have encountered / foresee due to local development projects which are familiar to them using colour cards (provided). One issue for one card. Cluster the issues and list 3 main issues in agreement with all members of the group. (15 minutes)

Brainstormed further on listed 3 land acquisition issues to gain adequate understanding of each issue and prepare group presentation. Flip chart should be used and members of the group should equally contribute to prepare the presentation. (10 minutes)

Group presentation and wrap-up (35 minutes)

Each group will make the presentations and allow members of other groups to raise questions. The aim of this section of the group work is for participants to understand a) types of development induced land acquisition issues, b) magnitudes of those issues c) reasons and what went wrong. The Trainer will facilitate all presentations and follow up questions ensuring all presenters have equal timing and all questions answers. Furthermore the trainer needs to moderate the Question and Answers to ensure all questions are within the framework of the subject, stick to the subject matters and avoid political and cultural sensitivities.

Wrap-up (10 minutes)
Finally the trainer will summarize, recapturing the outcome of the group work providing the feedback. Participants are requested to do the evaluation of the group work individually using the evaluation form.

APPENDIX 6: Group Work- Exercise 2: – The Legal and Institutional Framework (Session 3)

Purpose – The purpose of the guided group discussion is to make the participants understanding legal and regulatory framework, institutional challenges and those raised by decision process and interactions with respect to compliance with social safeguards of international donors during project implementation stage. The background of the discussion will be Category A project-types, which defined as following (ADB, Operations Manual Bank Policies, Safeguard Policy Statement, 2013, pp.2 & 3): Category A. A proposed project is classified as category A if it is likely to have significant adverse environmental impacts that are irreversible, diverse, or unprecedented. These impacts may affect an area larger than the sites or facilities subject to physical works (...). A proposed project is classified as category A if it is likely to have significant involuntary resettlement impacts. A resettlement plan, including assessment of social impacts, is required.

Preparation - The participants should have a good general understanding of the regulatory institutional framework in their city and of materials used during the basic level training module.
It is expected that participants to use the key issues identified in the session 2 and as a basis for identifying regulatory and institutional challenges.

**Steps –**

*Power Point presentation (20mn)*

Trainer will provide a background necessary for the understanding of legal/ regulatory and institutional framework in Myanmar. This presentation will also include institutional arrangements of project preparation and implementation; the case of ADB common arrangement of resettlement units will be considered. This presentation will enable delineating the subjects of matters for the work to follow.

*Guided Group Discussion (60mn)*

The guided group discussion will require from participants a minimal knowledge of the general process of compliance with social safeguards as required by the ADB. It will be divided into three successive parts:

- Part one (20 minutes) will focus on legal and regulatory framework in Myanmar and locally and on the gaps existing between this framework and the general requirement of social safeguards.

- Part two (20 minutes) will focus on interactions between administrations at the implementation stage of resettlement plan, as existing in the city of participants. The three following levels will be considered: Union's administrations at local levels, Region and Development Committees and Townships (in the cases of Yangon and Mandalay) and Union’s administrations at local levels, Region/State and Townships (in the case of other cities)

- Part three (20 minutes) will focus on interactions between Township and Community-based organizations at the implementation stage of resettlement plan.

The Trainer will guide the discussion by providing inputs. He/She will make sure participants have a correct general understanding of common arrangement for project implementation, in particular general functions attributed commonly to PMU, PIU and resettlement units. He/She will also make sure questions/ answers are not monopolized by a few participants and that all agencies represented can express their views.

*Wrap-up (10 minutes)*

Finally the trainer will summarize, recapturing the outcome of the group work providing the feedback. Participants are requested to do the evaluation of the group work individually using the evaluation form.
APPENDIX 7: Group Work- Exercise 3: – Identification, Assessment of Project Impacts and Resettlement Plan (Session 4)

**Purpose** – The purpose of the exercise/group work is to make the participants familiar with how impacts are generally identified and assessed by reviewing into details the 5 steps: census, socio-economic survey, inventory of losses, valuation of lost assets, detailed measurement surveys

**Preparation** - The participants should have a good understanding of what has been discussed in previous sessions, in particular session 3 and a good visual knowledge of their own city, in particular of areas where urban infrastructure will be possibly constructed (e.g. a zone where a landfill is planned, areas where road widening to ease access to industrial zone, etc.) It is expected that participant have an open mind (out of bureaucratic restrictions) to discuss. Particular attention will be given to land registration, record keeping land dispute settlements. Participants need to read the Handout for Session 4 as a foundation for the discussion and clarifications if any should be made from the trainer.

**Steps**

*Power Point presentation (15mn)*

Trainer will provide a background necessary for the understanding of the way impacts are generally identified and assessed. This presentation will also enable delineating the subjects of matters for the work to follow.

*Arrangement for group work (10mn)*

The participants should have for Session 4 with them that provides background information about land acquisition issues and should refer to it whenever they need.

Participants will be divided into 5 Groups each with similar number of members, and ensuring gender balance. Each group will be provided with writing papers, flip charts, color cards, and color pens. The following tasks will be assigned as topic for discussion to each group: i) census, ii) socio-economic survey, iii) inventory analysis, iv) valuation of lost assets, v) detailed measurement surveys.

Before starting the group work, the trainer will remind overall picture and definition of each topic, as presented in the power point in order to make sure participants are aware of the link between tasks. The trainer will also give indication about a text book case project (to be detailed by the trainer) on the basis of the following indications:

- Sector of the project: water supply (incl. reservoir, waste water, solid waste or flood control)
- Category B project according to ADB classification
- Encompassing at least two Townships in the cases of Mandalay and Yangon
- Preferably encompassing urban and semi-urban areas with significant land acquisition problem
- Location in the suburb of the city (semi rural wards)
- Funded by ADB loan
- Preferably the approximate location of the (text book case) project will be suggested on a map of the city and indicated to participants

**Group work (35 minutes)**

Each group should appoint moderator and a rapporteur. The moderator should lead the discussion while the rapporteur takes down the discussion notes. Everyone in the group should be given equal opportunity to contribute. The text book case project will be the background. During the first section of the discussion, each member of the group should be given an opportunity to briefly explain how she/he perceives “obstacles estimated / solution proposed” to perform the task assigned to her/his group - and assuming the previous task has been performed well to avoid at this stage to link obstacles to the lack of performance of previous tasks.

Each group is requested to agree with 3 pairs “obstacles estimated / solution proposed” to perform the task using color cards (provided). One pair for one card. Cluster the issues and list 3 pairs in agreement with all members of the group.

Brainstormed further on listed 3 pairs “obstacles estimated / solution proposed” to gain adequate understanding of each pair and prepare group presentation. Flip chart should be used and members of the group should equally contribute to prepare the presentation.

**Group presentation and wrap-up (25 minutes)**

Each group will make a brief presentation followed by questions of other groups. The aim of this section of the group work is for participants to become aware of the necessity to give strong importance to the quality of impacts identification and assessment process and, owing to the discussion, to be aware of the necessity to understand how each step depends on the quality of the previous ones. The Trainer will facilitate all presentations and follow up questions by introducing and emphasizing in the exchanges interdependency between each task and support of public agencies to ensure success of the cycle as a whole (e.g. surveying). Furthermore the trainer needs to moderate Questions and Answers to ensure they remain within the framework of the subject, stick to the subject matters and avoid political and cultural sensitivities

**Wrap-up (5 minutes)**

Wrap-up - Finally the trainer will summarize, recapturing the outcome of the group work providing the feedback. Participants are requested to do the evaluation of the group work individually using the evaluation form.
**APPENDIX 8: Group Work- Exercise 4: –Avoiding, Minimizing, Mitigating, Compensating and Resettlelement Plan Implementation (Session 5)**

**Purpose** – The purpose of the exercise/group work is to make the participants understanding the mechanisms bounding avoidance, minimization, mitigation and compensations of losses in the case of urban projects. This will be achieved by taking as for example the case of the urban infrastructure project in Mandalay Urban Infrastructure Project (MUSIP), financed by the ADB (and the AFD).

**Preparation** - The participants should have a reasonable understanding of former sessions, in particular Session 2 and Session 4. Participants need to read Handouts for Sessions 2, 4 and 5 as foundations for the discussion and clarifications if any should be made from the trainer. To animate the group works, the trainer will use the resettlement action plan document published by the ADB and available on line, related to the MUSIP (2015). From this document, he/she will extract and establish separate documents (in Burmese) i) the section 1 which provides the main project’s feature and maps and ii) the 11 the entitlement matrix in word format. In his/her power point presentation, the trainer should take the necessary time to explain the principle of the entitlement matrix.

**Steps**

*Power Point presentation (15mn)*

Trainer will provide a background necessary for the understanding of mechanisms bounding avoidance, minimization, mitigation and compensations of losses. This presentation will also enable delineating the subjects of matters for the work to follow.

*Arrangement for group work (5mn)*

The participants should have the Handouts for Sessions 2, 4 and 5 with them that provides background information about the subject (incl. the basic features related to the project and the entitlement matrix as presented in ADB document) and should refer to it whenever they need. They will also be distributed translated basic features related MUSIP.

Groups will be formed consisting of 8 members maximum in each group ensuring gender balance and will be provided with writing papers, flip charts, cards, and color pens.

*Group Work (25 minutes)*

Each group should appoint moderator and a rapporteur. The moderator should lead the discussion while the rapporteur takes down the discussion notes. Everyone in the group should be given equal opportunity to contribute. During the first section of the discussion, each member of the
group should be given an opportunity to briefly give its opinion about how avoidance, minimization and mitigation have been approached by resettlement consultants.

Each member of the group is requested to write down process used 5 bullet points (in few words) to achieve the construction of entitlement matrix by using color cards (provided). The group will brainstorm on this basis and a prepare group presentation. Flip chart should be used and members of the group should equally contribute to prepare the presentation.

*Group presentation, assessment of group proposals and wrap-up (45 minutes)*

Each group will make the presentation and allow members of other groups to raise questions (25 minutes). The Trainer will facilitate all group presentations and follow up questions ensuring all presenters have equal timing and all questions answers. All along group presentations the trainer needs to moderate the Question and Answers to ensure all questions are within the framework of the subject, stick to the subject matters and avoid political and cultural sensitivities.

Then the trainer will disclose which process was effectively followed by consultants to construct the entitlement matrix. The trainer will then wrap-up by outlining relevance and shortcomings of each group presentation compared with the approach developed by resettlement consultants to achieve the entitlement matrix (15 minutes).

*Wrap-up (5 minutes)*

The trainer will make a very brief wrap-up. Finally participants are requested to do the evaluation of the session individually using the evaluation form.

**APPENDIX 9: Group Work- Exercise 5: – Information of PAP Participation and Grievances Redress Mechanisms (Session 6)**

**Purpose** – The purpose of the exercise/group work is to make the participants familiar with the chain of information / consultation / participation related to affected people and with practical mechanisms related to grievances redress and complaints management. Information / participation process involves not only affected people but also CBOs. The ways these aspects are treated on the field depend largely on type of country, location of the project etc.

**Preparation.** Participants are proposed to gather a general view of the various CBOs (and NGOs) involved in their city in local projects (basic utilities, education, health, environment or social). The understanding of the general role and organization of local CBOs active in urban projects or micro projects is desirable. As far as possible, participants should have visited (just viewing and possibly take pictures) a few areas of their cities before the training module, especially those areas which are inhabited by informal settlers and also regarded as future development areas (economic activities and infrastructure, residential and real estate projects considered there, etc.).
Steps

*Power Point presentation (20 minutes)*

Trainer will provide a background necessary for the understanding of the main interactive process to be implemented with affected people. This presentation will also enable delineating the subjects of matters for the work to follow.

*Guest speakers and preparation of panel discussion (25 minutes)*

Trainer will introduce very rapidly the guests, link with the topic of the session and present the principle of work for the panel discussion (5 minutes)

One representative of local CBOs will be invited to attend the session for them to present his/her experience in consultation/participatory process and/or grievance/complaints mechanisms. The oral presentation (10 minutes) will not necessitate power point required but paper materials such as leaflets or brochure in Myanmar language could be distributed, and photos/map can also be shown. Activities of the CBO should cope with social issues in relation with land occupation and generation of revenues and involve contacts with adult residents, preferably in poor areas. CBO should have experience of communication with residents about projects developed in the city or surrounding village tracts concerned, possibly with grievances and complaints. Presentation will be concrete.

One national consultant experienced in resettlement planning and if possible resettlement implementation will be invited. He/She will be experienced of projects funded by JICA, ADB, World Bank/IFC, AFD or GIZ, and preferably in urban projects in the State or Region. The consultant will introduce his/her experience in one specific project in 10 minutes, possibly by using power point presentation. Presentation will be concrete.

*Panel discussion (35 minutes)*

Panel discussion will have for topic how information and participation process can contribute to limit redress grievances and complaints and how institutional arrangement at the local level (Wards, Villages) are mobilized to redress of grievances and record and follow-up complaints. It is important that the topic focus on local projects, including those not financed by international donors (e.g. private investments)

The Panelists will comprise the two guest speakers and one voluntary participant, preferably experienced in information/consultation/participation process in the city (possibly an officer of Redress Grievance Committee if any). The Trainer will guide the discussion and stimulate participants to raise questions to panelists. If (not preferable case) the project discussed did/does not follow requirements of donors, the trainer will have for responsibility to guide the discussion to the adaptation of arrangements discussed to these requirements.
Synthesis and wrap-up (10 minutes)

Participants will individually take note of Q&A and deliver them to the Trainer, who will make (after the session) a synthesis to be used during Session 7. He/she will wrap-up the session. Evaluation of the training session by participants.

APPENDIX 10: Group Work- Exercise 6: – Vulnerable Groups - Issues & Recommendations (Session 7)

**Purpose** – The purpose of the exercise/group work is to make the participants aware of the mechanisms required by social safeguards to deal with the specific case of vulnerable groups, in particular ethnic minorities, the poor, and women. The exercise should be the opportunity to put emphasis on the particularities of each city as regard a part of vulnerable groups, in particular ethnic minorities. A specific attention should be given to the issues of gender. The exercise will also be the opportunity for participants to demonstrate their understanding of concepts and methods discussed along previous sessions.

**Preparation.** Participants should have ready the previous materials distributed since this session is of relative cross cutting nature. Power points related to Session 4, 5 and 6 will be particularly useful. Before Session 7, the trainer will have consulted official data related to the demography of ethnic groups in the city concerned.

**Steps**

*Power Point presentation (20 minutes)*

Trainer will provide a comprehensive background necessary for the understanding of the status of vulnerable groups in the resettlement process. Particular attention will be given to ethnic groups in this presentation. This presentation will also enable delineating the subjects of matters for the work to follow.

*Arrangement for group work (5mn)*

The participants should have the Hand out No: 7 with them that provides background information about Vulnerable Groups Issues and Recommendations and should refer to it whenever they need.

Participants will be divided into 3 Groups each with similar number of members, and ensuring gender balance. Each group will be provided with writing papers, flip charts, color cards, and color pens.

*Guided Group Discussion (60mn)*
The guided group discussion will require from participants a minimal knowledge of the general process of compliance with social safeguards as required by the ADB. It will be divided into three successive parts:

- **Part one (20 minutes)** will focus on Identification and Assessment of Project Impacts. This aspect will be treated by highlighting possible measures to be taken locally to ensure protection of interest and improvement of the specific situation of ethnic minorities / groups in the local urban area.

- **Part two (20 minutes)** will focus on avoiding, minimizing, mitigating and compensating. This aspect will be treated by highlighting possible measures to be taken locally to ensure protection of interest and improvement of the specific situation of poor households in the local urban area.

- **Part three (20 minutes)** will focus on information of PAP participation mechanisms and grievances redress. This aspect will be treated by highlighting possible measures to be taken locally to ensure protection of interest and improvement of the specific situation of women as long as they belong to vulnerable groups in the local urban area.

Trainer will guide the discussion by providing inputs. He/She will also make sure questions / answers are not monopolized by a few participants and that all agencies represented can express their views. He/she will take the opportunity of this role to correct misunderstandings of participants regarding sessions 4, 5 and 6.

**Synthesis and wrap-up (10 minutes)**

Finally the trainer will summarize, recapturing the outcome of the group work providing the feedback. Participants are requested to do the evaluation of the group work individually using the evaluation form.

**APPENDIX 11: Group Work Checklist of Equipment and Materials**

This will help the trainer ensure she/he prepares and takes everything she/he needs to the training and to check that the equipment is present and functioning before the training starts. The local field training coordinator should do most of this.

A checklist of equipment and materials to be used in preparing for the training (e.g. beamer, screen, colored cards and marker pens, flip charts, etc) and a checklist for the venue (e.g. size, furniture, air conditioning, etc)
Venue:
- Air conditioned space to accommodate 40 people. (Check the AC in a good working order)
- Adequate lights, space for refreshments and lunch, adequate and clean wash rooms.
- Furniture – chairs (built in facilities for writing), arranged in a semi circular way, provide adequate space for the trainer move through and reach every participant. 7 tables for the use of group work.
- The venue should be easily accessible.

Equipment
- Lap top computer
- Multimedia projector
- Digital camera
- Screen
- Beamer
- White Board
- Flip Chart
- Room, tables / chairs should be arranged so as groups of 8-10 persons can be formed to work in circle.

Consumables
- 40 Color pens, 40 pencils, 10 marker pens
- Butter sheets (tracing paper)
- Note books
- Sticky tapes
- Writing papers (Half Sheets)
- Flip chart pads (preferably with grid lines)

APPENDIX 12: Bibliography (selection)

The bibliography here proposed is a selection of relatively recently published documents, unfortunately rarely translated into Burmese. A great importance is given to ADB publications, since this donor is particularly active in the urban sector in Myanmar. Many other relevant documents are not indicated here for practical reasons but readers will useful refer to further publications such as those of the World Bank, the IFC (private / business oriented projects sector projects), OECD (international comparison related to social safeguards), international NGOs and Foundations, research institutes, and of course donors as regards project case studies. Among donors not mentioned here and potentially active in Myanmar, some have also requirement and policies with respect to safeguards: DFAT (Australia), GIZ (Germany), AFD (France), DFID (United Kingdom), SIDA (Sweden), SDC (Switzerland). All these documents are available in English and on Internet.
To learn further, participants can visit many website related to the subject. Apart from those quoted in this document, they will useful visit the website of International Network on Displacement and Resettlement at: http://indr.org/

References listed below are classified by releasing organizations

<table>
<thead>
<tr>
<th>Reference</th>
<th>Reading</th>
</tr>
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<tbody>
<tr>
<td>Displacement Solutions, 2015, Land Acquisition Laws &amp; Practices in Myanmar: Overview, Gap Analysis with IFC PS 1 and PS 5, and Scope of Due Diligence Recommendations.</td>
<td>Essential study to understand the regulatory framework, although remaining essentially related to national level</td>
</tr>
<tr>
<td>Source</td>
<td>Description</td>
</tr>
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</tr>
<tr>
<td>Displacement Solutions, Housing, Land and Property Rights in Burma, 2009, the Current Legal Framework, 1244 p.</td>
<td>Essential study to understand the regulatory framework, although remaining essentially related to national level</td>
</tr>
<tr>
<td>IFC, Handbook for Preparing a Resettlement Action Plan, Environment and Social Development Department, 79 p.</td>
<td>Useful to deal with business oriented projects in cities (industrial zones and projects, real estate projects, etc.)</td>
</tr>
<tr>
<td>JICA, 2010, Guidelines for Environmental and Social Considerations, 42 p.</td>
<td>Essential document to guide requirement of the JICA regarding social safeguards</td>
</tr>
<tr>
<td>Ministry of Communications and Information Technology (MCIT), 2013, Environmental and Social Management Framework (ESMF)</td>
<td>Important study to provide general information on social safeguards in Myanmar. Used in the basic-level training module.</td>
</tr>
<tr>
<td>UNDP, 2015, The State of Local Governance: Trends in Myanmar, the Synthesis of People's Perspectives Across all States and Regions</td>
<td>Study useful for the understanding of role of institutions and in particular Committees and participatory process – to be adapted to the case of each city. But remains general. Not project oriented</td>
</tr>
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### SOCIAL SAFEGUARD (ADVANCED)

<table>
<thead>
<tr>
<th>Source</th>
<th>Title</th>
<th>Summary</th>
</tr>
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<tbody>
<tr>
<td>UN Habitat, 2016, Guidelines for Urban Planning in Myanmar, 38 p.</td>
<td>Important to understand how urban planning can develop in Myanmar and to identify impacts on social safeguards.</td>
<td></td>
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</tbody>
</table>
APPENDIX 13: Information sheets for 6 cities

State: Yangon
Administrative body: Yangon City Development Committee (YCDC)
Location: in Lower Burma (Myanmar) at the convergence of the Yangon and Bago Rivers about 30 km away from the Gulf of Martaban
Population (2013 census):
- Metropolitan City: 5,209,541
- Urban: 5,998,000
- Ethnicities: various with 9 ethnics (Bamar, Chinese Burmese, Chin, Rakhine, Mon, Karen, Shan, Kaya, Kachin)
- Religions: Buddhism, Christianity, Hinduism, Islam

Major Projects:
- Yangon-Mandalay Railway Improvement Project Phase I – JICA
- National Power Transmission Network Development Project Phase II – JICA
- Greater Yangon Water Supply Improvement Project – JICA
- Yangon Urban Renewal and District Cooling Project – ADB
- Power Transmission Improvement Project – ADB
- Transformation of Urban Management – ADB
State: Mandalay
Administrative body: Mandalay City Development Committee (YCDC)
Location: located 716 km (445 mi) north of Yangon on the east bank of the Irrawaddy River
Population (2013 census):
- City : 1,225,133
- Density : 7,500/km² (19,000/sq mi)
- Metro : 1,022,487
- Ethnic groups: Bamars, Indian, Chinese, Shan

Economic Factor
- Agriculture
- Trading and logistics
- Minerals and mining
- Wood and forestry

Major Projects:
- Project for development of water saving agriculture technology in Central Dry Zone – JICA
- Project on Capacity Improvement of Recovery and Reintegration Assistance for Trafficked Persons – JICA
- The Project for Improvement of Water Supply System in Mandalay City – JICA
- Project for Enhancement of Engineering Higher Education in Myanmar – JICA
- The Project for Enhancing Technological Universities in Myanmar – JICA
- Mandalay Urban Services Improvement Project – ADB
- Transformation of Urban Management – ADB
- Agricultural Development Support Project – WB
### City: Mawlamyine
City's administrative body: Mawlamyine Township Development Committee

**Location:** situated 300 km south east of Yangon and 70 km south of Thaton, at the mouth of Thanlwin (Salween) river.

**Population (2010 Census)**
- Total: 325,927
- Ethnicities: Mons, Burmans, Chinese, Indians, Karens
- Religions: Theravada Buddhism, Christianity, Islam, Hinduism

**Economic factor:**
- Mawlamyine Industrial Zone (170 acres or 69 ha) started operation in 2002. As of 2012, 159 industries with 972 workers are located in the zone
- Agricultural product: rice
- Wood and forestry: teak

### Major Projects:
- Myanmar: Third Greater Mekong Subregion Corridor Towns Development Project – 2014 – ADB
- Myanmar: Economic Empowerment of the Poor and Women in the East-West Economic Corridor – ADB – 2015
- Rehabilitation of the Road from Myawaddy to Mawlamyine in Myanmar – ADB
- Mawlamyine Deep-Sea Port - 2015 ADB
City: Pathein
State: Ayeyarwady
Administrative body: Pathein Township Development Committee

Location: on the Pathein River (Bassein), which is a western branch of the Irrawaddy River. Pathein is the fourth largest city of Burma (Myanmar), situated 190 kilometres (120 mi) west of Yangon

Population (2004 Census)
- Total 315,600
- Ethnicities Bamar, Burmese Indians, Kayin
- Religions Buddhism

Economic factor:
- Agriculture product: rice, oil and salt mills.
- Functioning port
- Strong road and water-way network.

Major Projects:
- The Project for Improvement of Road Technology in Disaster Affected Area in Myanmar (Ayeyawady State) – ADB
- Water Supply Improvement Project Study for Yangon City and Pathein City – Myanmar’s Ministry of Health, Labor and Welfare, 2013

“Preparatory Study for Cooperation in the Water Supply Improvement Program (JICA Master Plan 2013)
**City:** Lashio  
**State:** Shan  
**Administrative body:** Lashio Township Development Committee  
**Location:** about 200 kilometres (120 mi) north-east of Mandalay. It is situated on a low mountain spur overlooking the valley of the Nam Yao river.  
**Population (2004 Census)**  
- Total: 130,000  
- Ethnicities: Shan, Chinese and Burmans  
- Religions: Buddhism  
**Economic factor:**  
- Teak resources  
- Minerals mines  
- Strong economic and social connections to China.

**Major Projects:**

- **Food security:** Food and Nutrition Security in Shan State – 2015 – GIZ  
- **Agriculture:** Adapting agricultural value chains to climate change in Shan State, Myanmar – 2015 – GIZ  
- **Health:** Project for Improving Lashio General Hospital in Shan State – JICA – 2015  
- **Infrastructure:** Muse-Kyaukphu Rail Transportation System - 2011 - China Railway Engineering Corporation-CREC and Myanmar’s Ministry of Rail Transportation
City: Monywa  
State : Sagaing  
City's administrative body: Monywa Township Development Committee  
Location: located 136 km north-west of Mandalay on the eastern bank of the River Chindwin  
Population (2004 Census)  
- Total 270,000  
- Ethnicities Karen, Shan, Kachin  
- Religions Buddhism  
Economic factor:  
- Copper mines  
- Agricultural product: beans, orange, pulses and jaggery (palm sugar)  
- A major centre of trade with India  

Major Projects:  
- Water supply project (French decentralized cooperation, 2014)  
- Tamu-Kalay-Segyi-Monywa Mandalay Rail Line project – Indian Loan - 2013