



Technical Assistance Consultant's Report

Project Number: 44140
Date: December 2013

TA 7566-REG: Strengthening and Use of Country Safeguard Systems

Subproject: Strengthening Involuntary Resettlement Safeguard Systems (Nepal)

MANUAL FOR TRAINING OF TRAINERS

Prepared by ADB Consultant Team

This consultant's report does not necessarily reflect the views of ADB or the Government concerned, and ADB and the Government cannot be held liable for its contents.

Asian Development Bank



MANUAL FOR TRAINING OF TRAINERS (TOT)

TA 7566 REG: Strengthening and Use of Country Safeguards System.

NEP Subproject: Strengthening Involuntary Resettlement Safeguard Systems in Nepal

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9th December 2013

Training Manual for Trainers

Contents:

- i. Introduction of the TOT
- ii. Objectives

Chapter: I.

1.1. Learning and learning methods.

- Conditioning.
- Trial and Error Method.
- Insightful learning (problem solving)
- Imitation
- Learning form experience.

Chapter II

2. Adult learning:

- Adult and their learning approach.
- Principles of adult learning.

2.Training approaches:

1.3.1. Motivation

1.3.2. Information delivery approach:

- Lecture approach
- Discussion
- Directed study approach
- Case study
- Role play
- Exercise approach

Chapter III

3. Structured Learning Experience:

- Activities
- Data collection
- Analysis and processing
- Generalization
- Application.

Chapter IV

4. Training Delivery.

4.1. Training management.

Concept on training and management.

- a. Pre-training Planning and management.**
- b. Training management**
- c. Post training management**

4.2. Presentation Preparation.

- **Learning Objectives/ Learning Outcomes.**
- **Activities and required materials and duration.**
- **Evaluation**

4.3. Presentation skill.

Chapter: V

5. Land Act

- 4.1. Land act: main points on land act, that interest o the public.**
- 4.2. Land valuations and its matrixes.**
- 4.3. Land acquisition and its processes.**

Chapter: VI

- 6.1. Resettlement and Rehabilitation Policy**
- 6.2. Land valuation and compensation.**

Chapter: VII

- 7.2. Report preparation on the major issues:
Such as Compensation, Rehabilitation,
Valuation and Impact assessment.**
- 7.3. TOT practice on presentation**
- 7.4. Evaluation of the workshop.**
- 7.5. Certificate Distribution**
- 7.6. Closing of the program**

1.1. Introduction:

Trainers need certain skills to deliver the content from preparation to the delivery of the content. So TOT is required, basically TOT is concentrated on the methodology in preparation to the delivery of content according to the target group. The target group is the group which is the recipient of the content. The trainers will be enhancing their capacity in a social safeguard system. Social safeguard system and land acquisition, resettlement and rehabilitation process also included.

The TOT will prepare trainer to train the people on land acquisition, resettlement, rehabilitation, valuation and safeguard system of ADB. It also provides trainers with the opportunity to enhance their capacity in comparison with international practices and the policies of Nepal.

Target Groups: These training activities will provide opportunity to officers of Nepal government, from NGOs and private sector entrepreneurs working in the involuntary land acquisition, resettlement and rehabilitation. The expert shall ensure that the trainee will be familiar with government laws and regulations and ADB's policy requirements, and be able to handle IR planning and implementation after the training in a fair manner.

1.2. General objectives: Land acquisition, resettlement and rehabilitation are major aspects of the 'social safeguard system', to handle these aspects properly, the officers and people need have clear understanding of the rules, regulation, policy, procedure. The TOT will provide an insight to understanding these issues as well as enhance their capacity in delivering the contents properly.

The TOT will prepare trainers to become more capable in training the people on the issue of social safeguard systems including

1.2.1 Specific objectives: The specific objectives are given with each presentation. These specific objectives given as a view in the training manual which specifically focuses on preparing the trainers. After completing this training session the trainers will be able to

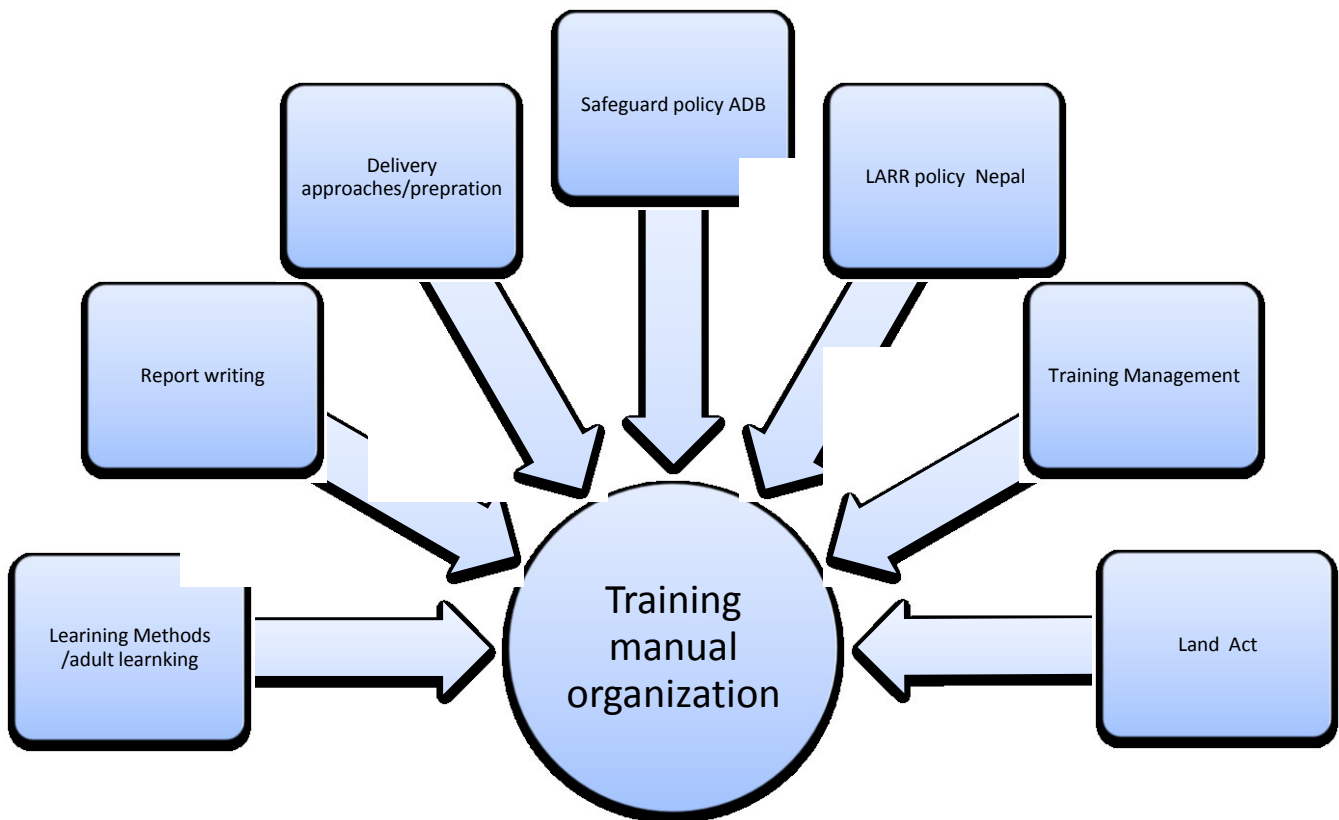
- a. Apply learning methods in their training delivery.
- b. Use of multi training methods in the training delivery.
- c. Use Different tools to make the trainees attentive in learning.
- d. Prepare proper planning in the training delivery.
- e. Demonstrate their learning in real practice.
- f. Compare social safeguard system with donor agencies such as ADB and others.
- g. Prepare human resources in planning and management of R&R required to the projects.
- h. Identify the procedure on land acquisition and valuation of the land.
- i. Produce reports as required to the programs.

Structure and content of the manual:

The training manual is designed for seven days and a day has divided into five sessions. Major Sessions are in the morning which covers ninety (90) minutes each and after lunch the sessions are designed for 60 minutes. In total there are thirty five sessions, the last session is separated for closing one. During the

closing session also trainees are involved to organize and run the session. So it has also taken as part of learning session. Since the manual is prepared to develop trainers that has catered in first three days and last four days is focused in content required in social safeguard system, national policies, laws, land use policies and report writing.

Training Manual Organization :



Chapter I Learning And learning methods: In this section of the training the trainees will learn the different approaches of learning and the theory of learning. Such as behaviourism theory and constructivism in learning. Both have significant contribution in shaping the training courses. Without basic knowledge on this the trainer will not be able to prepare his training materials. In this section , the trainers will be learning about motivation, conditioning theory of learning. Other learning mehtods are also incorporated in this training manual such as Trial and Error Method,Insightful learning (problem solving) Imitation. Learning form experience Adult learning and principles of adult learning.

Chapter II: In this chapter motivation in the training and training methods are incorporated. Information delivery approach such as Lecture, Discussion, Directed study approach, Case study, Role play, Exercise approach, Role play and Exercise. Each method has its advantages and disadvantages, the method of selection of training depends on the content to be delivered and the trainers and time allocated to the training session.

Chapter III: In this chapter, training management, presentation preparation, objective formulation (SMART) and practical aspects are included. This chapter is important since the trainees will learn to formulate proper objectives. Action verbs are also given in this chapter. The trainees will be using these action verbs throughout the formulation of objectives.

Chapter IV: In this chapter the manual deals with the land acquisition act of 2034 of Nepal. The act has provided guidelines on land acquisition, rehabilitation, resettlement, complaints, compensations and other aspects of the land. The trainees will be able to have a better understanding of the land act. It will help them support people in the field and prepare the plan accordingly.

Chapter V: The chapter is about the policies of land acquisition, Rehabilitation and resettlement, valuation, monitoring and evaluation. It will enhance the capacity of the trainees to incorporate social safeguard systems properly in the project areas. The trainees will be able to provide proper support with the proper procedure.

Chapter VI: This chapter is about the social safeguard policy of ADB. It has provided different guidelines on land acquisition, environmental protection, protection of marginalized population and their livelihood. With proper knowledge of this social safeguard system a win-win situation comes into effect in the project and environment.

This chapter also incorporates the land use policy in Nepal.

Chapter VII: This chapter is on report writing, the trainees will be engaged in different projects by supervising, monitoring, evaluating and implementing the knowledge they acquired during the training program to prepare proper reports. This chapter focuses on training the trainees on how to produce a proper report.

1. Training Manual Delivery Schedule:

Day 1	Programs/Contents	Time Morning session	Programs/Content	Time Afternoon session
	Expectation collection and objectives of the TOT, Introduction of Learning and learning environment.	8:30-10.00	<ul style="list-style-type: none"> ▪ Imitation. ▪ Learning form experience 	2.0- 3:30
	Break	10:0-10:10	Break	3:30-3:35
	Learning Methods continue: <ul style="list-style-type: none"> • Behaviorism (Stimulus and Conditioning) • Constructivism. 	10:10-11:40	❖ Adult learning and principles of adult learning:	3:35- 4:35
	Break	11:40-11:50		
	Learning Methods Trial and Error Method Insightful learning (problem solving)	11:50- 1:20	Wrap up assignment, revision, question answers of the day.	4:35- 4:50
	Lunch break	1.20- 2.00		
Day 2	Programs/ Contents	Time Morning session	Programs/Content	Time
	Training methods: Motivation, Motivational methods. Information delivery approach: <ul style="list-style-type: none"> ▪ Lecture approach ▪ Discussion 	8:30-10.00	<ul style="list-style-type: none"> ▪ Role play ▪ Exercise approach 	2.00- 3:30
	Break	10:0-10:10	Break	3:30-3:35
	<ul style="list-style-type: none"> ▪ Directed study approach ▪ Case study ▪ Role play ▪ Exercise approach 	10:10-11:40		3:35-4:35
	Break	11:40-11:50	Break	No break
	Structured Learning Experience: <ul style="list-style-type: none"> ▪ Activities ▪ Data collection ▪ Analysis and processing 	11:50- 1:20	Wrap up assignment, revision, question answers of the day.	4:35- 4:50
	Lunch Break:	1:20- 2:00		
Day 3	Programs/ Contents	Time Morning session	Programs/Content	Time

	Structured Learning Experience: <ul style="list-style-type: none"> ▪ Generalization ▪ Application Exercise on data collection of affected people and planning on rehabilitation. <ul style="list-style-type: none"> ▪ Discussion on planning ▪ Concept of training and Training Management. Management Steps in training management 	8:30-10.00	Objectives and formulation of objectives.	2.20- 3:20
	Break	10:0-10:10		Break
	<ul style="list-style-type: none"> ▪ Preparation of presentation. ▪ Learning Objectives: Formulation of learning objectives. ▪ Activities ▪ Evaluation. ▪ Outcomes: 	10:10-11:40	Presentation of their Plan	3:30-4:35
		Break		Break
	Exercise on preparation of presentation plan Group work.	11:50- 1:20	Wrap up assignment, revision, question answers of the day.	4:35- 4:50
	Lunch Break	1:20- 2:00		
Day 4	Program /Content	Time Morning session	Program/Content	Time Afternoon session
	Presentation of Land Acquisition act and its main points.	8:30-10.00	Land acquisition act:	2.0- 3:30
		Break		Break
	Law on compensation -practice in the field.	10:10- 11:40	Land Use policy and its major aspects	3:35-4:35
		Break		
	Land acquisition act	11:50- 1:20	Wrap up of the Day	4:35- 4:50
	Lunch Break:	1:20- 2:00		
Day 5	Programs/Contents	Time Morning session	Programs/Contents	Time Afternoon session
	Land valuation	8:30-10.00	Rehabilitation policy	2.0- 3:30
		Break		Break
	Land acquisition and R &R Policy: Land acquisition policy.	10:10-11:40	Compensation :	3:35-4:35
		Break		
	Resettlement policy	11:50- 1:20	Major Learning part	4:35- 4:50

	Lunch Break	1:20- 2:00		
Day 6	Programs/Contents	Time Morning session		Time Afternoon session
	Safe guard policy ADB	8:30-10.00	Safe guard Policy: Continue	2.0- 3:30
		Break		Break
	Safeguard policy: Continue	10:10-11:40	Safe guard policy: Continue	3:35-4:35
	Break	11:40-11:50	Break	No break
	Safeguard policy : Continue	11:50- 1:20	Evaluation and wrap up	4:35- 4:50
	Lunch break	1:20-2:00		
Day -7	Morning Session	Time Morning session		Time Afternoon session
	Report Preparation: Components of reports	8:30-10.00	Evaluation of the total session	2.0- 3:30
	Break	10:0-10:10	Break	No break
	Report writing ;	10:10-11:40	Closing of the program.	3:30-4:20
		Break		
	Presentation on report writing	11:50- 1:20		
	Lunch Break	1:20-2:00		

1. Topic: Learning and Learning Methods

Time: 1 hrs.30 Minutes

2. Learning Objectives: After completing this topic the trainees will be able to

- Define learning and impact of learning environment.
- Explain on types of learning.
- Identify the proper learning methods.
- Define behaviorism and conditioning.

Required materials: Meta card, Flip chart, Marker, hand outs, LCD projector.

3. Delivery approach:

S.N.	Contents	Methodology	Time
1.	<ul style="list-style-type: none"> • Introduction: • Ground rule formation • Training regulation and responsibilities . • Expectation collection: Learning expectation. 	Lecture	30
2	<ul style="list-style-type: none"> • Definition of learning: Change in behavior. Learning is the acquisition of knowledge by study. (19th century theory) • Learning is a permanent change in behavior brought about by experience. (Behaviorist theory) . • Learning is the sudden or slow acquisition of insight into the rules governing certain relationships in the environment. (Discovery learning) • A skill has only been learned properly when it can be adapted successfully to unfamiliar situations. 	Discussion /lecture/ question answer	20
3.	Learning environment and its Impact in Learning :	Lecture and Discussion	30
5	Wrap of the session with Major learning highlights and evaluation of the session.	Lecture	10

Evaluation:

1. What is the relationship in behavior change and learning? Discuss on it.
2. How do you create a physical environment in the training? Explain your idea.
3. What is the role of resource centre in learning? Explain it.

Day 1
Hand Out-1.
Learning:

Definition of Learning: This is one of the difficult task to define learning in one sentence since it has a long history from early stage. We have to think ourselves what learning is? If we observe in depth around us we would be able to say ‘Learning is a process of conceptualization of the certain phenomenon or behavior of elements that are revolving around of us.’ There are some definitions those are:

- ❖ Learning is the acquisition of knowledge by study. (19th century theory)
- ❖ Learning is a permanent change in behavior brought about by experience. (Behaviorist theory)
- ❖ Learning is the sudden or slow acquisition of insight into the rules governing certain relationships in the environment. (Discovery learning)
- ❖ A skill has only been learned properly when it can be adapted successfully to unfamiliar situations.

Learning is retrieval system too, learn and retrieve it where it is necessary, the thing what it has learned is not utilized during the time of requirement; it means the learning has not taken place. So we can say when learning takes place there is a reaction to the stimuli, then the involvement of sense will be able to store its taste, color, use, shape, meaning, etc in sensory organ of the brain.

Whatever the definition of learning, the objective of the learning is to bring changes in behavior.

1.2 **Learning Environment:** Learning takes place in different place, different environment. Here we are talking about physical environment to learn, Preparation and presentation, learning space - approaches

- ❖ **Physical Environment:** This plays a crucial role to attract in learning, neat and clean area, well set up table and desks to work, water to drink, enough ventilation and light, working space to work in groups etc. This should be set properly as a trainer.
- ❖ **Program preparation for each day:** This is generally guided by the total contents to deliver in the particular training. This is well prepared on the set target to achieve. A trainer should have all the detail information on the part of the delivery. The delivery materials should be prepared well in advance. The trainer should prepare extra hours in order to prepare the materials to deliver to the trainees. It should be given well in advance to the trainees.
- ❖ **Creating community feeling:** This is a part of the creativity. How the training should be made interesting involving in activities. Activities by the trainees, creating plays, dance, working together. At the end of the training program everybody will have a separate community added in their valuable life to share their feelings, problems etc. It plays an important role in learning.
- ❖ **Resource centre:** Resource centre will provide the resource materials, library, audio visual, internet, data centre etc. These areas will Assist to draw information and use it as required in research and to formulate new concept, modifications etc.

**Day -1.
Session II**

1.Topic: Learning Methods**Time: 1hrs.30 Minutes.****2.Learning Objectives:** After completing this topic the trainees will be able to

- Explain the types of learning.
- Identify the proper learning methods.
- Define behaviorism and conditioning.

Required materials: Meta card, Flip chart, Marker, hand outs, LCD projector.**3. Delivery approach:**

S.N.	Contents	Methodology	Time
1	Learning ways and methods: Introduction	Discussion	10
2.	Group. I. Behaviorism and training. Group. II Constructivism and training	Lecture and Discussion	40
3	Presentation from the groups.	Presentation / question answer	30
4	Wrap of the session with Major learning highlights.		10

4. Evaluation:

1. Explain how conditioning is useful in training and learning.
2. How reinforcement contributes in learning?
3. What is the concept of constructivism in training?
4. How adult learns according to constructivism.

Hand Out -2

1.2. Learning Methods:

Getting information from the social and physical environment then we start reacting to understanding the information received. The reaction is a source of learning. The information is processed and related to the past experience before it stored in our brain. The brain function in speed, some of the information remains for very short periods and some remains for longer one. This determines by the gravity of the information received form the environment. For an example if anyone blow horn in the street, it just received passes quickly because there is significant of horn blowing in the street, thousands of horns are blown in a day. If any major accident happens in the spot, the incidents remain forever.

There is some learning methods that have to take care by a trainer some of those are given below.

a. Behaviorism:

Main Words: Behavior and Conditioning.

Behaviorism is concentrated on acquisition of new behavior through conditioning. Learning through repetitive practice known as conditioning. John Watson introduced the word behaviorism (1878–1959). ‘He believed that theorizing thoughts intentions or other subjective experiences was unscientific instead that psychology focus on measurable behaviors’¹.

Behaviorists assert that the only behaviors worthy of study are those that can be directly observed; thus, it is actions, rather than thoughts or emotions, which are the legitimate object of study. Behaviorist theory does not explain abnormal behavior in terms of the brain or its inner workings. Rather, it posits that all behavior is learned habits, and attempts to account for how these habits are formed.

In assuming that human behavior is learned, behaviorists also hold that all behaviors can also be unlearned, and replaced by new behaviors; that is, when a behavior becomes unacceptable, it can be replaced by an acceptable one. A key element to this theory of learning is the rewarded response. The desired response must be rewarded in order for learning to take place (Parkay & Hass, 2000).

In education, advocates of behaviorism have effectively adopted this system of rewards and punishments in their classrooms by rewarding desired behaviors and punishing inappropriate ones. Rewards vary, but must be important to the learner in some way. For example, if a teacher wishes to teach the behavior of

¹ Good and Brophey. *Realistic Approach*. p. 155.

remaining seated during the class period, the successful student's reward might be checking the teacher's mailbox, running an errand, or being allowed to go to the library to do homework at the end of the class period. As with all teaching methods, success depends on each student's stimulus and response, and on associations made by each learner.²

- The change of knowledge through controlled stimulus/responses. This is also known as S-R theory.
- This type of learner is dependent upon an instructor for acquisition of knowledge.
- The instructor must demonstrate factual knowledge, then observe, measure, and modify behavioral changes in specified direction.
- This type of learning is a **conditioned response** or rote memorization of facts, assertions, rules, laws, and terminology. The correct response is achieved through stimulation of senses.
- The focus of intelligence development is visual/spatial, musical/rhythmic, and bodily/ kinesthetic intelligence.
- This learning goal is the lowest order learning: factual knowledge, skill development, and training..

Conditioning.

There are two types of conditioning.

- **Classical conditioning:** where the behavior becomes a reflex response to stimulus. Ivan Pavlov observed behavior of a dog associated with white coat and a bell. Normally when a dog smells food, as response to the smell saliva produced in his mouth which is natural. If the food is given with association with a bell or white coat, when they see white coat wearing, they will also produce saliva. Here Ivan proved the repetitive behavior made a dog learned the food is coming, his brain associated his visual situation as the food is coming at his serve. This type of learning takes place even in human.
- **Operant conditioning:** This is also called radical behaviorism where there is reinforcement of the behavior by a reward or a punishment. 'A reward increases the likelihood of the behavior recurring, a punishment decreases its likelihood.'³

Contribution of Behaviorism in Training: After the concept of behaviorism, competency based learning, skill development training and direct instruction was understood properly even though it was before the invent of behaviorism theory of learning. Among the methods derived from behaviorist theory for practical classroom application are contracts, consequences, reinforcement, extinction, and behavior modification.

Contracts, Consequences, Reinforcement, and Extinction

Simple contracts can be effective in helping children focus on behavior change. The relevant behavior should be identified, and the child and counselor should decide the terms of the contract. Behavioral contracts can be used in school as well as at home. It is helpful if teachers and parents work together with

² www.wikipedia

³ Myers, David G. (2008). *Exploring Psychology*. New York, New York: Worth. p. 222

the student to ensure that the contract is being fulfilled. Two examples of behavior contracts are listed below:

- A student is not completing homework assignments. The teacher and the student design a contract providing that the student will stay for extra help, ask parents for help, and complete assigned work on time. Teacher will be available after school, and during free periods for additional assistance.
- A student is misbehaving in class. The teacher and student devise a behavioral contract to minimize distractions. Provisions include that the student will be punctual, will sit in front of the teacher, will raise hand with questions/comments, and will not leave his seat without permission.

Consequences occur immediately after a behavior. Consequences may be positive or negative, expected or unexpected, immediate or long-term, extrinsic or intrinsic, material or symbolic (a failing grade), emotional/interpersonal or even unconscious. Consequences occur after the "target" behavior occurs, when either positive or negative reinforcement may be given.

Positive reinforcement is presentation of a stimulus that increases the probability of a response. This type of reinforcement occurs frequently in the classroom. Teachers may provide positive reinforcement by:

- Smiling at students after a correct response.
- Commending students for their work.
- Selecting them for a special project.
- Praising students' ability to parents.

Negative reinforcement increases the probability of a response that removes or prevents an adverse condition. Many classroom teachers mistakenly believe that negative reinforcement is punishment administered to suppress behavior; however, negative reinforcement increases the likelihood of a behavior, as does positive reinforcement. Negative implies removing a consequence that a student finds unpleasant. Negative reinforcement might include:

- Obtaining a score of 80% or higher makes the final exam optional.
- Submitting all assignments on time results in the lowest grade being dropped.
- Perfect attendance is rewarded with a "homework pass."

Punishment involves presenting a strong stimulus that decreases the frequency of a particular response. Punishment is effective in quickly eliminating undesirable behaviors. Examples of punishment include:

- Students who fight are immediately referred to the principal.
- Late assignments are given a grade of "0".
- Three tardier to class results in a call to the parents.
- Failure to do homework results in after-school detention (privilege of going home is removed).

<i>Reinforcement and punishment comparison</i>		
	REINFORCEMENT (Behavior Increases)	PUNISHMENT (Behavior Decreases)
POSITIVE (Something is added)	Positive Reinforcement Something is added to increase desired behavior Ex: Smile and compliment student on good performance	Positive Punishment Something is added to decrease undesired behavior Ex: Give student detention for failing to follow the class rules
NEGATIVE (Something is removed)	Negative Reinforcement Something is removed to increase desired behavior Ex: Give a free homework pass for turning in all assignments	Negative Punishment Something is removed to decrease undesired behavior Ex: Make student miss their time in recess for not following the class rules

Extinction decreases the probability of a response by contingent withdrawal of a previously reinforced stimulus. Examples of extinction are:

- A student has developed the habit of saying the punctuation marks when reading aloud. Classmates reinforce the behavior by laughing when he does so. The teacher tells the students not to laugh, thus extinguishing the behavior.
- A teacher gives partial credit for late assignments; other teachers think this is unfair; the teacher decides to then give zeros for the late work.
- Students are frequently late for class, and the teacher does not require a late pass, contrary to school policy. The rule is subsequently enforced, and the students arrive on time.

Modeling, Shaping, and Cueing

Modeling is also known as observational learning. Albert Bandura has suggested that modeling is the basis for a variety of child behavior. Children acquire many favorable and unfavorable responses by observing those around them. A child who kicks another child after seeing this on the playground, or a student who is always late for class because his friends are late is displaying the results of observational learning.

Shaping is the process of gradually changing the quality of a response. The desired behavior is broken down into discrete, concrete units, or positive movements, each of which is reinforced as it progresses towards the overall behavioral goal. In the following scenario, the classroom teacher employs shaping to change student behavior: the class enters the room and sits down, but continue to talk after the bell rings. The teacher gives the class one point for improvement, in that all students are seated. Subsequently, the students must be seated and quiet to earn points, which may be accumulated and redeemed for rewards.

Cueing may be as simple as providing a child with a verbal or non-verbal cue as to the appropriateness of a behavior. For example, to teach a child to remember to perform an action at a specific time, the teacher

might arrange for him to receive a cue /signal immediately before the action is expected rather than after it has been performed incorrectly. For example, if the teacher is working with a student that habitually answers aloud instead of raising his hand, the teacher should discuss a cue such as hand-raising at the end of a question posed to the class.

b. Constructivism:

Main words: Construct and experiences.

Von Glasersfeld describes constructivism as “a theory of knowledge with roots in philosophy, psychology, and cybernetics”. The learning theories of John Dewey, Marie Montessori, and David Kolb serve as the foundation of constructivist learning theory.

Constructivist teaching methods are based on constructivist learning theory. Along with John Dewey, Jean Piaget researched childhood development and education. Both Dewey and Piaget were very influential in the development of informal education. Dewey’s idea of influential education suggests that education must engage with and enlarge experience and the exploration of thinking and reflection associated with the role of educators. Piaget’s role in the constructivist teaching suggests that we learn by expanding our knowledge by experiences which are generated through play from infancy to adulthood which are necessary for learning. Their theories are now encompassed in the broader movement of progressive education. Constructivist learning theory says that all knowledge is constructed from a base of prior knowledge. Children are not a blank slate and knowledge cannot be imparted without the child making sense of it according to his or her current conceptions.

Approaches of Constructivism in learning:

- Active learning,
- Discovery learning
- **Knowledge building** .

Constructivist teaching strategies

Characteristics of Constructivist Teaching

One of the primary goals of using constructivist teaching is that students learn how to learn by giving them the training to take initiative for their own learning experiences.

The characteristics of a constructivist classroom are as follows:

- the learners are actively involved
- the environment is democratic
- the activities are interactive and student-centered
- the teacher facilitates a process of learning in which students are encouraged to be responsible and autonomous

Examples of constructivist activities

Furthermore, in the constructivist classroom, students work primarily in groups and learning and knowledge are interactive and dynamic. There is a great focus and emphasis on social and communication skills, as well as collaboration and exchange of ideas.^[1] This is contrary to the traditional classroom in which students work primarily alone, learning is achieved through repetition, and the subjects are strictly adhered to and are guided by a textbook. Some activities encouraged in constructivist classrooms are:

- Experimentation: students individually perform an experiment and then come together as a class to discuss the results.
- Research projects: students research a topic and can present their findings to the class.
- Field trips. This allows students to put the concepts and ideas discussed in class in a real-world context. Field trips would often be followed by class discussions.
- Films. These provide visual context and thus bring another sense into the learning experience.
- Class discussions. This technique is used in all of the methods described above. It is one of the most important distinctions of constructivist teaching methods.^[2]

Constructivist approaches can also be used in online learning. For example, tools such as discussion forums, wikis and blogs can enable learners to actively construct knowledge. A contrast between the traditional classroom and the constructivist classroom is illustrated below:

The Traditional Classroom

- Begins with parts of the whole—Emphasizes basic skills
- Strict adherence to fixed curriculum
- Textbooks and workbooks
- Instructor gives/students receive
- Instructor assumes directive, authoritative role
- Assessment via testing / correct answers
- Knowledge is inert
- Students work individually

The constructivist Classroom/workshop

- Begin with the whole – expanding to parts
- Pursuit of trainees questions / interests
- Primary Sources / manipulative materials
- Learning is interaction – building on what trainees already know
- Instructor interacts / negotiates with trainees.
- Assessment via trainees works, observations, points of view, tests. Process is as important as product
- Knowledge is dynamic / change with experiences

Role of trainers

In the constructivist classroom, the teacher's role is to prompt and facilitate discussion. Thus, the teacher's main focus should be on guiding students by asking questions that will lead them to develop their own conclusions on the subject.

Three major roles for facilitators to support students in constructivist learning environments:

- **Modeling**
- **Coaching**
- **Scaffolding**

Modeling – Jonassen describes Modeling as the most commonly used instructional strategy in CLEs. Two types of modeling exist: behavioural modeling of the overt performance and cognitive modeling of the covert cognitive processes. Behavioural modeling in Constructivist Learning Environments demonstrates how to perform the activities identified in the activity structure. Cognitive modeling articulates the reasoning (reflection-in-action) that learners should use while engaged in the activities.

Coaching – For Jonassen the role of coach is complex and inexact. She acknowledges that a good coach motivates learners, analyzes their performance, provides feedback and advice on the performance and how to learn about how to perform, and provokes reflection and articulation of what was learned. Moreover, she posits that coaching may be solicited by the learner. Students seeking help might press a “How am I Doing?” button. Or coaching may be unsolicited, when the coach observes the performance and provides encouragement, diagnosis, directions, and feedback. Coaching naturally and necessarily involves responses that are situated in the learner's task performance (Laffey, Tupper, Musser, & Wedman, 1997).

Scaffolding - Scaffolding is a more systemic approach to supporting the learner, focusing on the task, the environment, the teacher, and the learner. Scaffolding provides temporary frameworks to support learning and student performance beyond their capacities. The concept of scaffolding represents any kind of support for cognitive activity that is provided by an adult when the child and adult are performing the task together (Wood & Middleton, 1975).

Constructivist Learning Environments (CLEs)

Constructivist learning environments (CLEs) around a specific learning goal. This goal may take one of several forms, from least to most complex:

- Question or issue
- Case study
- Long-term Project
- Problem (multiple cases and projects integrated at the curriculum level).

In CLEs, learning is driven by the problem to be solved; students learn content and theory in order to solve the problem. This is different from traditional objectivist teaching where the theory would be presented first and problems would be used afterwards to practice theory.

Depending on students' prior experiences, related cases and scaffolding may be necessary for support. Instructors also need to provide an authentic context for tasks, plus information resources, cognitive tools, and collaborative tools.⁴

Constructivist assessment

Traditionally, assessment in the classrooms is based on testing. In this style, it is important for the trainees to produce the correct answers. However, in constructivist teaching, the process of gaining knowledge is viewed as being just as important as the product. Thus, assessment is based not only on tests, but also on observation of the trainees, the student's work, and the student's points of view.⁵ Some assessment strategies include:

- Oral discussions. The teacher presents students with a "focus" question and allows an open discussion on the topic.
- **KWL(H) Chart (What we know, What we want to know, What we have learned, How we know it)**. This technique can be used throughout the course of study for a particular topic, but is also a good assessment technique as it shows the teacher the progress of the student throughout the course of study.
- Mind Mapping. In this activity, students list and categorize the concepts and ideas relating to a topic.
- Hands-on activities. These encourage students to manipulate their environments or a particular learning tool. Teachers can use a checklist and observation to assess student success with the particular material.
- Pre-testing. This allows a teacher to determine what knowledge students bring to a new topic and thus will be helpful in directing the course of study.

An example of a lesson taught with a Constructivist background

A good example of a lesson being taught in a constructivist way, with the teacher mediating learning rather than directly teaching. In open constructivist lessons using these lectures as a basis, students are encouraged to discover for themselves how candles work. They do this first by making simple observations, from which they later build ideas and hypotheses which they then go on to test. The teacher acts to encourage this learning. If successful, students can use this lesson to understand the components of combustion, an important chemistry topic.

Constructivism for Adults

Constructivist philosophy has a long history of application in education programs for young children, but is used less frequently in adult learning environments. As humans develop, there are qualitative changes in their ability to think logically about experiences, but the processes by which learning occurs, **cognitive adaptation and social mediation**, are believed to be continuous or remain the same throughout the life. At the heart of constructivist philosophy is the belief that knowledge is not given but gained through real

⁴ www.wikipedia

⁵ Constructivism teaching: www.wikipedia

experiences that have purpose and meaning to the learner, and the exchange of perspectives about the experience with others (*Piaget & Inhelder, 1969; Vygotsky, 1978*).

Learning environments for adults based on constructivist philosophy include opportunities for students to make meaningful connections between new material and previous experience, through discovery. One of the simplest ways to do this is asking **open-ended questions**.

Learning contracts, group projects, role play, case studies, and simulations are classroom methods associated with transformative education.” Such approaches emphasize that learning is not an "all or nothing" process but that students learn the new information that is presented to them by building upon knowledge that they already possess. It is therefore important that teachers/ trainers constantly assess the knowledge their students/ trainees have gained to make sure that the students' / trainees 'perceptions of the new knowledge are what the teacher had intended. Teachers will find that since the students build upon already existing knowledge, when they are called upon to retrieve the new information, they may make errors. It is known as reconstruction error when we fill in the gaps of our understanding with logical, though incorrect, thoughts. Teachers need to catch and try to correct these errors, though it is inevitable that some reconstruction error will continue to occur because of our innate retrieval limitations.

The end

1. Topic: Trial and Learning Methods**Time: 1.hrs.30 Minutes.****2. Learning Objectives:** After completing this topic the trainees will be able to ;

- Define trial and error methods, insightful learning,
- Use of trial and error methods where needed.

Required materials: Meta card, Flip chart, Marker, Hand outs, LCD projector.**3. Delivery approach:**

S.N.	Contents	Methodology	Time
1	Definition of trial and learning approach: This is a fundamental method of solving problems and it comes with natural instinct .It is characterized by repeated, varied attempts which are continued until success, ⁶ or until the agent stops trying. It is an unsystematic method which does not employ insight, theory or organized methodology.	Discussion /lecture	10
2.	Trial and error method: Features of trial and learning methods. Instruction approach of trial and learning method.	Lecture and Discussion	30
3	Insightful learning. Research on insightful learning.	Lecture and discussion, experience sharing	30
4	Wrap of the session with Major learning highlights.		10

4. Evaluation:

1. Discuss on contribution of trial and learning approach in discoveries..
2. Explain the importance of insightful learning.
3. What is your opinion on insightful learning? Is it useful in conducting projects activities.
4. Is insightful learning contributed in human development? Discuss.

⁶ Oxford advanced Learner's Dictionary p1387 sixth edition.

a. Trial and Error Method.

Main words: Trial (varied attempts) error (failure) , Success, discoveries.

This is a fundamental method of solving problems and it comes with natural instinct .It is characterized by repeated, varied attempts which are continued until success,⁷or until the agent stops trying. It is an unsystematic method which does not employ insight, theory or organized methodology.

Edward Thorndike showed how to manage a trial and error experiment in the laboratory. In his famous experiment, a cat was placed in a series of puzzle boxes in order to study the law of effect in learning.⁸ He plotted learning curves which recorded the timing for each trial. Thorndike's key observation was that learning was promoted by positive results, which was later refined and extended by B.F. Skinner's operant conditioning

Innovations were also taken by this methods and later on , the methodology developed to construct the same article or drugs so on. This also known as hit and trial, this applies in construction sector, specially on mechanical sectors.

Trial and error has traditionally been the main method of finding new drugs, such as antibiotics. Chemists simply try chemicals at random until they find one with the desired effect. When time passes and random trial is reduced since the methodology has been developed with the characteristic and behavior of chemicals, materials and so on.

When there is a problem, trial begins to solve the problems. It has been experimented even in animals such as cat and others.

Trial and error has a number of features:

- **Solution-oriented:** Trial and error makes no attempt to discover *why* a solution works; merely that it *is* a solution.
- **Problem-specific:** Trial and error makes no attempt to generalize a solution to other problems.
- **Non-optimal:** Trial and error is generally an attempt to find *a* solution, not *all* solutions, and not the *best* solution.
- **Needs little knowledge:** Trials and error can proceed where there is little or no knowledge of the subject.⁹

⁷ Oxford advanced Learner's Dictionary p1387 sixth edition.

⁸ Thorndike E.L. 1898. Animal intelligence: an experimental study of the association processes in animals. *Psychological Monographs* #8.

⁹ www.Wikipedia - Encyclopedia

It is possible to use trial and error to find all solutions or the best solution, when a testably finite number of possible solutions exist. To find all solutions, one simply makes a note and continues, rather than ending the process, when a solution is found, until all solutions have been tried. To find the best solution, one finds all solutions by the method just described and then comparatively evaluates them based upon some predefined set of criteria, the existence of which is a condition for the possibility of finding a best solution. (Also, when only one solution can exist, as in assembling a jigsaw puzzle, then any solution found is the only solution and so is necessarily the best. Examples

Examples

Trial and error has traditionally been the main method of finding new drugs, such as antibiotics. Chemists simply try chemicals at random until they find one with the desired effect. In a more sophisticated version, chemists select a narrow range of chemicals it is thought may have some effect using a technique called structure-activity relationship. (The latter case can be alternatively considered as a changing of the problem rather than of the solution strategy: instead of "What chemical will work well as an antibiotic?" the problem in the sophisticated approach is "Which, if any, of the chemicals in this narrow range will work well as an antibiotic?") The method is used widely in many disciplines, such as polymer technology to find new polymer types or families.

The scientific method can be regarded as containing an element of trial and error in its formulation and testing of hypotheses. Also compare genetic algorithms, simulated annealing and reinforcement learning - all varieties for search which apply the basic idea of trial and error.

Biological evolution is also a form of trial and error. Random mutations and sexual genetic variations can be viewed as trials and poor reproductive fitness, or lack of improved fitness, as the error. Thus after a long time 'knowledge' of well-adapted genomes accumulates simply by virtue of them being *able* to reproduce.

Bogosort, a conceptual sorting algorithm (that is extremely inefficient and impractical), can be viewed as a trial and error approach to sorting a list. However, typical simple examples of bogosort do not track which orders of the list have been tried and may try the same order any number of times, which violates one of the basic principles of trial and error. Trial and error is actually more efficient and practical than bogosort; unlike Bogosort, it is guaranteed to halt in finite time on a finite list, and might even be a reasonable way to sort extremely short lists under some conditions.

b. Insightful learning (problem solving) :

Main words: Insight, association and problem solving

Insight: the ability to see and understand the truth about people or situation.¹⁰

Definition: Insightful learning is a process of association of past experiences, knowledge's and skills to solve the emerging problems. It is a thinking process with the association of the experiences '**Insight**, in learning theory, immediate and clear learning or understanding that takes place without overt trial-and-error testing. Insight occurs in human learning when people recognize relationships (or make novel associations between objects or actions) that can help them solve new problems. Humans use not only trial and error but

¹⁰ Oxford advanced learners dictionary- p672-sixth edition,

also insight based on an understanding of principles, inductive and deductive reasoning (deduction; induction; and logic), and divergent or creative thinking. Problem-solving abilities and styles may vary considerably by individual.

History

Scientist Wolfgang Kohler observed that when his chimp was faced with the problem of reaching fruit hung from the ceiling, he perceived the problem in a new way and solved it, using the objects in the room. The chimp learned to stack boxes to reach the fruit, and when the fruit was just out of reach the chimp would use a stick to retrieve it.

- Combining previously learned behaviors together in order to solve a problem.
- Changing your viewpoint or thought process to solve a problem.
- An "ah ha!" moment
- Simple knowledge + simple knowledge = solution to complex problem
- Sort of like brain blind learning

Examples/Functions.

- A dog is in a room with a baby gate keeping him in the room. He learned to push a tall box towards the baby gate to boost himself up over the baby gate to get into the hallway.
- When you need to get a picture up high on the wall, you pull a chair over to where you want it, and reach for the picture to take it down.
- When you're moving furniture and you can't get it around a corner, you turn it in different directions to make it fit.
- When you're playing a video game and you're stuck at a certain part, you keep on working on it until you figure it out.
- Using your knowledge of simple addition, subtraction, multiplication, and division to solve a more complex math problem.

Research on insightful learning: Psychologist Wolfgang Köhler believed that the mechanistic analysis of behavior was inadequate. He instead believed that humans and animals could use already learned behaviors and transform them into new behaviors in a given situation. This dramatic new behavior was called "insightful". To prove his "insight" theory Köhler conducted an experiment, one of his most famous, called the box-and-banana problem. In the experiment, Köhler first trained six chimps to: 1) reach a suspended banana by using a stick, and 2) reach a suspended banana by stacking boxes. When placed in a situation where the suspended banana was still out of reach even when using the stick most of the chimps gave up; all except one intelligent chimp named Sultan. As Sultan scratched his head he had an epiphany! He jumped up and dragged a box and stick underneath the suspended banana. Then he climbed on the box (first learned skill), and used his stick to knock down the banana (second learned skill). This experiment showed that animals, like humans, were able to solve problems by perceiving new object in new forms and relationships - as a mental process rather than a behavioral one (such as classical or operant conditioning).¹¹

¹¹ www.wikipedia

1. Topic: Learning from Imitation, other people, experience

Time: 1.hr.

2. Learning Objectives: After completing this topic the trainees will be able to

- Define imitation and learning from other people.
- Use of learning methods as required.

Required materials: Meta card, Flip chart, Marker, hand outs, LCD projector.

3. Delivery approach.

S.N.	Contents	Methodology	Time
1	Learning form imitation, other people and experience.	Lecture	5
2.	Group Presentation: Group formation. Group I : Learning from Imitation Group: II. Learning from Other people Group: III: Learning from experience.	Preparation	20
3	Presentation from the group and question answer.	Presentation, discussion, question answer	30
4	Wrap up of the session with major learning and evaluation.		5

4. Evaluation:

1. Is applicability of imitation learning useful in the projects? Discuss on it.
2. How a person learn from other person?
3. Learning takes place from experience. Justify it.

a. Learning from Imitation:

Main words: behavior, Imitate, social learning

Imitate: Imitation is an advanced behavior whereby an individual observes and replicates another's behavior. *Imitation* is also a form of social learning that leads to the "development of traditions, and ultimately our culture. It allows for the transfer of information (behaviors, customs, etc.) between individuals and down generations without the need for genetic inheritance. The word *imitation* can be applied in many contexts, ranging from animal training to international politics.

Thorpe suggested defining imitation as "the copying of a novel or otherwise improbable act or utterance, or some act for which there is clearly no instinctive tendency."¹² This definition is favored by many scholars, though questions have been raised how strictly the term "novel" has to be interpreted and how exactly a performed act has to match the demonstration to count as a copy.

Imitation serves as both learning and a social function because new skills and knowledge are acquired, and communication skills are improved by interacting in social and emotional exchanges. It is shown, however, that children with autism exhibit significant deficits in imitation that are associated with impairments in other social communication skills.

b. Learning from other people:

Ways of learning from other people

- **Watchful:** Be watching and listening carefully to other people we meet in our professional and personal environment, we can learn about new ways of thinking, interpretation and action. Careful analysis and comparison may give us valuable new understanding that can help us improve beyond the frontiers of our current capabilities.
- **The value of careful observation:** Observation is one of the best of learning even in class rooms. This applies in skill learning heavily, "observe it how I do and do as I have done. Expand your ability to observe people. The careful observation of behavior and modes of action may offer valuable information.

At the same time observe those who fail or are not effective. This will allow you to understand better what mistakes you should not make or avoid saving valuable time and energy.

- **Try to make new contacts:** You should try and meet new people either through your daily work or a project that you participate. Your goal should be to know as many people as possible, to be known by as many people as possible and to develop networks of relationships. And do not forget the most important is not whom you know but who knows you.

¹² www.Wikipedia

- **Ask for the support and opinion of others:** The perception other people in your family, personal or professional environment have for you is very important. These people are a key source for your self-assessment. Without self-assessment you cannot improve your career or change your life.
- **Understand and appreciate the importance of networks:** It is a fact that successful people develop strong networks of relationships. Remember that the good and strong networks of human relations are a difficult, time consuming, tedious and lengthy task. It requires hard work, resources, commitment and attention to human factors and sensitivities.
-
- **Build relationships with colleagues and superiors:** All of us in our work learn from our colleagues and our managers. It is a normal situation and thus it is necessary to strive to cultivate interpersonal relationships that will allow us to extract the maximum from the knowledge, experience and wisdom of the people with whom we work and co-operate daily.

The search for new ways of thinking, understanding new concepts, the careful observation of behavior, the self-assessment across the perception of others, the development of networks are offering you wealth from the people you encounter every day. It is up to you to recognize, use and appreciate it.

- **Use other people as a source of inspiration:** The enthusiasm of people who have achieved their objectives, are very important for you to maintain your own enthusiasm at high levels. A big step for changing your live and improving your career is to manage and treat successful people not competitive but see them as examples and as sources of knowledge that will help your achieve your own goals and objectives. Those who have already achieved something they are done something better, so you should learn from them and try to improve your defects.

c. Learning form experience.

Main word: Experience, thorough,

- **Introduction - Leaves a lasting impression:** Personal experiences leave an indelible impression on our minds that are more lasting and invaluable. Like a good teacher, her lessons are very thorough and we can only ignore it, to our own peril.
- **Experiences are thorough:** Experiences could be good, like helping a person in need, or it could be bad like losing money on a risky investment. However, what is important is that we learn from them, so that we can profit from our good experience, while at (the same time steer clear from those which are potentially harmful to us. Ask a child not to play with a match box for it can harm him, will probably have no impact on him, but once he has scorched his hand by the match stick, he will never in his lifetime forget this lesson. Thus we learn very meticulously from personal experience, rather than by adhering to advise of others, or by reading about them from books or periodicals.
- **Learn from proverbs:** Proverbs are made from the experience of long time, then it establishes in the society. The proverbs give us wonderful learning such as "Some books are to be tasted others swallowed and some few to be chewed and digested".

The biography of great statesmen, proverbs and folklore are a veritable gold mine of knowledge, with which we can enrich ourselves. It is indeed unfortunate to find people learning from bitter experiences in their practical life, such age old truths as "all that glitters is not gold," "a bird in hand is worth two in the bush," and "Honesty is the best policy." Once experienced they are unlikely to repeat it in their lives.

- **Personal experience is the best, but sometimes comes too late.** We learn from everything we do, in fact life is one great journey of learning. We learn patience and forbearance when faced with adversity, courage in the face of danger and wisdom from our mistakes of omission and commission. It is however unfortunate, that some of us learn this lesson very late in life, when it is too late. Thus we find many people ignoring the simple dictum of 'health is wealth', to later regret it when their life becomes a worse.

1.Topic: Adult learning.**Time:** 1.hr.**2. Learning Objectives:** After completing this topic the trainees will be able to ;

- Define adult learning.
- Use of adult learning approaches in facilitation to the adults.

Required materials: Meta card, Flip chart, Marker, hand outs, LCD projector**3. Delivery approach:**

S.N.	Contents	Methodology	Time
1	Define adult learning.	Discussion	10
2.	Major aspects of adult learning. Cognitive refers to knowledge or a body of subject matter, affective refers to attitudes and beliefs, and behavior refers to Practical application.	Lecture and Discussion	10
3	How adult learns? (Characteristic of adult learning) Adults want to know why they should learn , Adults need to take responsibility, Adults bring experience to learning, Adults are ready to learn when the need arises.	Lecture and discussion, experience sharing	30
4	Wrap of the session with Major learning highlights.		10

4. Evaluation:

1. Define adult learning.
2. What are the characteristic of adult learning?
3. Why does a facilitator need to know the approach of adult learning? Discuss it.

Day 1
Handout: 5
Adult learning:

Conducting training to adult is one of the challenges for the trainers. The adult have wealth of experience, knowledge and pre set mental order in some particular thing such as custom, tradition, and ways of doing things, values and norms. When they are growing, wealth of experience are adding up and they keep on learning from different sources.

There are differences of learning in formal learning of children and young than to adults.

5.1. Major aspects of adult learning. As an instructor, you should have a basic understanding of how adults learn. Adult learners bring experiences and self-awareness to learning that younger learners do not. To understand adult learning, you should understand learning domains, learning styles, and how and why adults learn. Educators have determined that most adults, adolescents, and children learn best by experiencing a blend of activities that promote the three learning domains: cognitive, affective, and behavioral. Cognitive refers to knowledge or a body of subject matter, affective refers to attitudes and beliefs, and behavior refers to Practical application.

Characteristics of adult learning.

1. Students feel safe and supported. There is a learning environment in which individual needs and uniqueness are honored, where abilities and achievements are acknowledged and respected.
2. Intellectual freedom is fostered, and experimentation and creativity are encouraged.
3. Faculty treat adult students as peers — respected as intelligent, experienced adults. Their opinions are listened to and appreciated.
4. Self-directed learning is the norm. Students take responsibility for their own learning. They work with faculty to design individual learning programs that address what each person needs and wants to learn in order to function optimally in his or her profession.
5. Optimal pacing challenges the learner. The ideal pacing for adult learners challenges people just beyond their present level of ability. If they are pushed too far beyond that level, people give up. If challenged too little, they become bored and learn little. Adults who reported experiencing high levels of intellectual stimulation — to the point of feeling discomfort — grew more.
6. Learners are actively involved in the learning experience, as opposed to passively listening to lectures. Students and instructors talk and interact, they try out new ideas in the workplace, and they use exercises and experiences to bolster facts and theory.
7. Regular feedback mechanisms are in place for students to tell faculty what works best for them and what they want and need to learn. And faculty pay attention: They listen and make changes based on student input.¹³

¹³ Dorothy Billington, PhD, For more information, go to her Web site, www.AdultGrowth.com. This list stems from her own research and is based on the findings of the father of adult education, Malcolm Knowles.

1.4. How adult learning assumptions¹⁴.

S.N.	Assumption	What it means to me
1	<p>Adults want to know why they should learn.</p> <p>Adults are motivated to put time and energy into learning if they know the benefits of learning and the costs of not learning.</p>	<p>Develop “a need to know” in your learners—make a case for the value of the learning in their lives. Help learners answer the question, “What’s in it for me ?”</p>
2	<p>Adults need to take responsibility.</p> <p>By definition, adult learners have a self concept of being in charge of their own lives and being responsible for their own decisions, and a need to be seen and treated as being capable of taking responsibility.</p>	<p>Realize that despite this self-concept and need for responsibility, once they enter a classroom many adults revert back to their school and college days when they Tended to be passive learners. Do not fall into a trap of assuming that they want to learn passively. Empower them to learn and to take responsibility for Learning. Enable learners to assess their own learning, similar to the self assessment And feedback that you Experienced during the Instructor development course.</p>
3	<p>Adults bring experience to learning.</p> <p>That experience is a resource for themselves and for other learners, and gives richer meaning to new ideas and Skills. Experience is a source of an adult’s self- identify.</p>	<p>Experience is both a plus and a minus. It is a plus because it is a vast resource. It is a minus because it can lead to biasness and presuppositions. Because adults define themselves by their experiences, respect and value that experience.</p>
4	<p>Adults are ready to learn when the need arises.</p> <p>Adults learn when they to choose to learn and commit to learn. That desire to learn usually coincides with the transition from one developmental stage to another and is related to developmental tasks, such as career planning, acquiring job competencies, improving job performance, etc. Often,</p>	<p>Be aware that some learners might not want to be there. In which case, be honest. Acknowledge that fact and the fact that nothing can be done about it. Then, agree to make the most out of training nevertheless. On the other hand, be aware that for those who want to be in the class, training is important and they must walk away with something.</p>

¹⁴ “Adult Learning,” by Malcolm S. Knowles, The ASTD Training & Development Handbook: A Guide to Human Resource Development, Robert L. Craig, editor, 1996

	<p>however, adults perceive employer <i>provided</i> training as employer-<i>required training</i>.</p>	
<p>5</p>	<p>Adults are task-oriented. Education is subject-centered, but adult training should be task-centered. For example, a child in a school composition class learns grammar, and then sentence and paragraph construction. An adult in a composition training program learns how to write a business letter, a Marketing plan, etc.</p>	<p>Organize content around tasks, not Subjects.</p>

1. Topic: Motivation**Time:** 1.hrs.30 Min**2. Learning Objectives:** After completing this topic the trainees will be able to;

- Use motivational approach in their facilitations.
- Deliver the content properly using different delivery approaches such as lecture, discussion, demonstration, role play and others.

Required materials: Meta card, Flip chart, Marker, hand outs, LCD projector**3. Delivery approach:**

S.N.	Contents	Methodology	Time
1	Definition of Motivation: Attracting people to accomplish the assigned works.	Discussion	
2.	Types of motivation: Extrinsic motivation: It is external since it has many rewards associated with it. Intrinsic motivation: It is self raised from within because he/she enjoys doing it.	Lecture and Discussion	20
3	Methods of motivations: Increase the challenge of your project, Linking the project/work with the future, Support to others to be satisfied, Reward in completion of the project.	Lecture and discussion, experience sharing	30
4	Experiments from the participants: Participants will be asked to use their understanding about motivation to present the given topics. (Importance of motivation, motivation, and methods of motivation)	Participatory demonstration.	20
5	Wrap of the session with Major learning highlights.		10

4. Evaluation:

1. Define Motivation and explain why is it important.
2. Differentiate extrinsic and intrinsic motivation.
3. How do you motivate people to do their works properly? Discuss.

Day 2.
Hand out- 1
2.1. Motivation

2.1. Motivation: Motivation is literally the desire to do things. It's the crucial element in setting and attaining goals—and research shows you can influence your own levels of motivation and self-control. So figure out what you want, power through the pain period, and start being who you want to be.

Motivation is internal driving force that pushes us to accomplish the tasks. Internal force is a very subtle force that is keeping everyone in track of work and accomplishment.

Basically there are two types of forces that motivate the people, the first one is intrinsic and second one is extrinsic.

Extrinsic motivation: It is external since it has many rewards associated with it.

Intrinsic motivation: It is self raised from within because he/she enjoys doing it.

Extrinsic motivation: It can be beneficial in a number of situations, however:

- External rewards can induce interest and participation in something the individual had no initial interest in.
- Extrinsic rewards can be used to motivate people to acquire new skills or knowledge. Once these initial skills have been acquired, people may then become more intrinsically motivated to pursue the activity.
- External rewards can also be a source of feedback, allowing people to know when their performance has achieved a standard deserving of reinforcement.

Intrinsic Motivation: It involves engaging in a behavior because it is personally rewarding; essentially, performing an activity for its own sake rather than the desire for some external reward.

Examples of behaviors that are the result of intrinsic motivation include:

- Participating in a sport because you find the activity enjoyable
- Solving a word puzzle because you find the challenge fun and interesting
- Playing a game because you find it exciting

In each of these instances, the person's behavior is motivated by an internal desire to participate in an activity for its own sake.

Importance of motivation in facilitation: If the trainees are not attentive, motivated in the course, they will lose interest of learning. So as a trainer, the motivation is important to keep the trainees in track of learning,

Ways of motivating trainees:

1. **Increase the challenge of your project:** Try something you've never done before, it will keep them thinking, that will motivate them in the work what they are doing, new approaches will also be developed of doing things during the process. R& R implementation, people have to be motivated to shift the place or doing something new- showing them new opportunities opened up. After coming the project what will happen in the area.

YOU HAVE GOT 3 CHOICES IN LIFE: GIVE IN, GIVE UP OR GIVE IT ALL WHAT YOU HAVE

2. **Linking the project/work with the future:** This is one of the main aspects to motivate learner where and how the learning is linked in the real life. Why is it important to learn should be linked to motivate the adult in the learning process? It should be explained as a part of motivation.

3. **Support to others to be satisfied:** Self satisfaction is most important part on any one's life, satisfaction on what you are doing, supporting to others for selfless motive, success in work, these brings self satisfaction.

4. **Reward in completion of the project:** Reward an award while completion the given tasks. This could be a verbal or any form. This keeps the people working harder and harder, that brings the human Excellency to any sort of jobs. This we want in the field of training. So that a trainee will put his total effort on being an excellent ...

There are many other ways of motivating people, these techniques should be applied where necessary. New techniques could also be developed in the process.

1. Topic: Content delivery Methods.**Time:** 1.hrs.30 Min.**2. Learning Objectives:** After completing this topic the trainees will be able to;

- Deliver the content properly using lecture and discussion,
- Determine the proper content delivery approach and materials required.

Required materials: Meta card, Flip chart, Marker, hand outs, LCD projector**3. Delivery approach:**

S.N.	Contents	Methodology	Time
1	Introduction of Content delivery approaches: The content delivery approach will be discussed as lecture, discussion, Discussion, Directed study approach, Case study, Role play, Exercise approach.	Discussion	10
2.	Each group will be given hand outs on the content delivery approaches of Lecture and Discussion.	Instructions.	30
3	Discussion on lecture and discussion methods with its advantages and disadvantages.	Lecture and question answer	30
4	Wrap of the session with Major learning highlights.	Lecture	10

4. Evaluation:

- When do you apply lecture method while facilitating?
- Explain the disadvantage of discussion method?
- Which method is most useful difficult situation?

2.2. Content Delivery Methods.

There are many ways to impart knowledge and skill to the trainees some of them are;

- Lecture approach
- Demonstration.
- Discussion
- Directed study approach
- Case study
- Role play
- Exercise approach.

A. Lecture approach:

The term: The noun "lecture" dates from 14th century, meaning "action of reading, that which is read," from the Latin *lectus*, pp. of *legere* "to read." Its subsequent meaning as "oral discourse on a given subject before an audience for purposes of instruction" is from the 16th century. The verb "to lecture" is attested from 1590. The noun "lectern" refers to the reading desk used by lecturers.¹⁵

Lectures are used to convey critical information, history, background, theories and equations. A politician's speech, a minister's sermon, or even a businessman's sales presentation may be similar in form to a lecture. Usually the lecturer will stand at the front of the room and recite information relevant to the lecture's content.

Though lectures are much criticized as a teaching method, universities have not yet found practical alternative teaching methods for the large majority of their courses.

Critics point out that lecturing is mainly a one-way method of communication that does not involve significant audience participation. Therefore, lecturing is often contrasted to active learning. Lectures delivered by talented speakers can be highly stimulating; at the very least, lectures have survived in academia as a quick, cheap and efficient way of introducing large numbers of students to a particular field of study.

There are some ways to make the lecture methods more interesting. Those are

- Delivery content should be prepared well in advance.
- Learning objectives should be well defined.
- Learner should be motivated to learn and listen to the content.
- Use of different teaching materials

¹⁵ www.wikipedia- Etymology of lecture.

- Delivering content should be in sequential order.
- Use of language according to the grasping ability of the learner.
- Well ventilated room and front part should be visible from all sides and eye to eye contacting place should be created in organizing the workshop.
- Walking and body language of the facilitator should be proper.
- If time permits questioning and getting answers from the learner.

Advantages of the lecture method.

- In short period large number of content delivery.
- Learners will be attentive to learn and understand the subject matter.
- Many participants could be enrolled in the lecture sessions.
- Illiterate people also can listen the content.
- It is highly use full in delivery where is time constraints

Disadvantage of the lecture methods:

- Participants will be passive.
- Difficult to measure the effect of the lecture to the large numbers.
- Only thought provocative of the lecturer.
- May not be sufficient information in the subject matter since the participants should be dependable to the facilitator.

b. Discussion Method:

Discussion is a method of sharing information knowledge one another in certain topics and their preparation, perception, research and so on will be reflected in discussion. This is regarded as one of the most challenging teaching methods; leading discussions can also be one of the most rewarding.

Using discussions as a primary teaching method allows you to stimulate critical thinking. As you establish a rapport with your students, you can demonstrate that you appreciate their contributions at the same time that you challenge them to think more deeply and to articulate their ideas more clearly. Frequent questions, whether asked by you or by the students, provide a means of measuring learning and exploring in-depth the key concepts of the contents.

Discussion should be well prepared by the facilitator. Discussion teaching method have sessions, before starting the, during the discussion and end of the discussion. These three processes should be followed.

Before starting the content of discussion should be well prepared by the facilitator as well as trainees. The topics for discussion should be distributed well in advance. There are some points to make the discussion more fruitful. Some of those are given below.

Before and getting started session:

- Clarify the rules and expectations for discussions at the outset.
- Communicate to students the importance of discussion to their success in the course as a whole.
- Plan and prepare the discussion.
- Accommodate different learning preferences.
- Provide a structure.

During the discussion:

- At appropriate points in the session, summarize the major ideas and write them on the board.
- Combine discussions with other methods.
- Integrate student responses into the discussion without making the discussion merely a student-teacher interaction.
- Create a balance between controlling the group dynamic and letting group members speak
- Show respect for all questions and comments.

After Discussion:

- Rethink, retool and revise.
- Summarize the discussion with clarification.

Leading discussions can be a stimulating, enjoyable way to teach. Keep in mind, however, that many trainees—especially those who are new to the environment—will not come into your course with highly developed discussion skills. Moreover, leading an effective discussion does not always come naturally to the instructor. No matter what level of students you are teaching, you must carefully prepare and actively facilitate the discussions to ensure that they are disciplined and inclusive and that they promote learning.

Advantages:

- Helps to clarify the subject matter.
- Participants thought will be more crystallized.
- It encourages sharing their experiences and ideas during discussion.

Disadvantage:

- Facilitators will be idle.
- Time consuming.
- Preparation of the topics may nit be proper by the participants.
- Difficult to control

1. Topic: Content delivery Methods.

Time: 1.hr 30 Min.

2. Learning Objectives: After completing this topic **the** trainees will be able to;

- Deliver the content properly using self directed facilitation method, case study methods and problem solving methods.
- Determine the proper content delivery approach and materials required.

Required materials: Meta card, Flip chart, Marker, hand outs, LCD projector

3. Delivery approach:

S.N.	Contents	Methodology	Time
1	Introduction of Content delivery approaches of self directed, case study and problem solving.	Discussion	10
2.	Group Formation: There will be three groups and they will be assigned to study the provided hand outs of the three delivery approaches.	Instructions.	30
3	Each group will present their findings on the approaches with advantages and disadvantages. Group will comment one another and will raise questions where they are confused	Presentation	30
4	Wrap of the session with Major learning highlights.	Lecture	10

4. Evaluation:

- When do you apply self directed approach of facilitation?
- Explain the disadvantage of case study method of facilitation?
- Which method is most useful difficult situation? Why.
- Which method of content delivery will lead to the participants towards innovation of new concepts?

Day-2

**Day 2
Handout -3**

Facilitation:

c. Self directed approach: People have ability to learn by themselves, if we provide them facility to learn by themselves. Self learning is one of the best approach to grasp the root of the concept.

Advantages of Self-directed facilitation method.

- complements and reinforces other, more formal development activities, increasing retention and reducing the fall-off of learning
- can be carried out continuously, as an integral part of day-to-day working activity
- places greater responsibility on the individual to empower themselves and take the initiative in planning their own personal development.

The attraction for self-directed learning:

- gives them greater freedom of choice
- is flexible
- is, by definition, specifically tailored to what they need.

Responsibility of the trainer in Self-directed Learning

- enabling individuals to make informed choices about their development
- providing support on an individual level, in response to specific requests for help
- providing a range of readily available materials and resources from which individuals can choose those best suited to their individual development needs
- Coaching, guiding and assisting individuals in using learning resources and materials to their best effect.

For learners who are new to the discipline of self-directed learning, some initial training in how to manage their development is often required. Our experiences of inducting individuals into self-directed learning methods have revealed the following as key themes which need to be included in their preparatory training:

- the learning skills involved in planning what, when and how to learn
- the responsibilities of the individual learner in managing their own development
- recognizing and using opportunities for learning and development in ordinary day-to-day work
- linking self-directed learning to job development and/or long term career development
- Choosing and using materials and support resources appropriately and effectively.

Integrating Self-directed Learning with Other Development Methods

It is possible to design most development programmes to include some elements of self-directed learning as part of their overall delivery mechanism. Effectiveness of training delivered through more traditional,

formal methods such as group-based events can be greatly enhanced when supported by continuous, ongoing, self-directed learning.

This example describes how we at DBA integrated trainer-led and self-directed learning methods in one organization's management development programme, to ensure that the initial learning impetus would be carried through and maintained over the long term, by the learners themselves.

Self-directed Learning in Management Development: an Example

- Facilitator-assisted identification of personal development priorities against a range of management development topics
- Participants choose between self-study and group training options for their development priorities
- Participants choose between self-managed development activities and coaching provided by peers/colleagues
- Facilitator-assisted groups to share and discuss participants' development
- Self-development groups, managed by participants with complementary or similar development needs

Participants were new to the concept of self-directed learning. A key requirement initially therefore was to prepare participants, setting the program in context, informing them of their responsibilities as self-directed learners, and supporting them in their choices about their personal development. As participants became more familiar with the concept, trainer input was reduced and ultimately removed. Two years on, peer support groups are still functioning independently of the organization's training function - although training support continues to be made available at the request of learners.

d. Case Study method and problem solving approach.

With case-based teaching, students develop skills in analytical thinking and reflective judgment by reading and discussing complex, real-life scenarios. The articles in this section explain how to use cases in teaching and provide case.

This article describes the rationale for using case studies, the process for choosing appropriate cases, and tips for how to implement them in the courses.

Tips for both facilitators and participants on how to be successful using case studies in facilitation. Includes links to several case repositories, organized by discipline.

The case study teaching method engages readers in active learning by putting them squarely in the shoes of real people wrestling with real dilemmas. Students read the case studies and accompanying articles and come to class prepared to argue and defend their advice for the protagonist. As learner read a case, prepare assignments, and actively participate in class discussions and exercises, they learn how best to approach and solve the problems described in the case.

Instructors may assign questions prior to class to focus students on the particular issues they plan to address in the class session. A class session can include student-led presentations, exercises, role plays, debates, guest speakers, and summarizing lectures.

One of the distinguished part of a case discussion is the dynamic interaction between participants, who engage in presentations, lively debate and ad hoc role plays.

Instructors identify students who hold opposing views and ask questions designed to stimulate debate, or they can assign them to various stakeholder groups with different points of view of the problem or situation at hand. Instructors encourage input from both sides of the issue until the students uncover most or all of the learning points identified in advance by the instructor. Instructors will lead students to experience an “aha” moment during which conventional wisdom is trumped by deeper, more seasoned insights.

Application of the Method: The case study teaching method is appropriate for undergraduate, graduate, continuing legal training, executive education, and professional development courses, workshops, and seminars. Case studies are typically accompanied by teaching manuals or notes, which outline the basic premise of the case study, how it can be used within a course, learning objectives, assignment questions, a typical class discussion flow, and key takeaways. Teaching notes will often provide board plans, informational slides, exercises, and updates or epilogues to the case study. Faculty authors may also provide supplemental materials, such as “what happened next” cases, role play instructions and exercises, videos, or suggested readings.

A case study discussion typically requires at least one class session to fully implement. Some multi-part cases or multi-player role plays will require more time.

e. Problem-based facilitation.

Problem-based learning (PBL) is both a teaching method and an approach to the curriculum. It consists of carefully designed problems that challenge students to use problem solving techniques, self-directed learning strategies, team participation skills, and disciplinary knowledge.

1. Define the problem Diagnose the situation so that your focus is on the problem, not just its symptoms. Helpful techniques at this stage include using flowcharts to identify the expected steps of a process and cause-and-effect diagrams to define and analyze root causes.

The chart below identifies key steps for defining problems. These steps support the involvement of interested parties, the use of factual information, comparison of expectations to reality and a focus on root causes of a problem. What’s needed is to:

- Review and document how processes currently work (who does what, with what information, using what tools, communicating with what organizations and individuals, in what time frame, using what format, etc).
- Evaluate the possible impact of new tools and revised policies in the development of a model of “what should be.”

2. Generate alternative solutions

Postpone the selection of one solution until several alternatives have been proposed. Having a standard with which to compare the characteristics of the final solution is not the same as defining the desired result.

A standard allows us to evaluate the different intended results offered by alternatives. When you try to build toward desired results, it's very difficult to collect good information about the process.

Considering multiple alternatives can significantly enhance the value of your final solution. Once the team or individual has decided the "what should be" model, this target standard becomes the basis for developing a road map for investigating alternatives. Brainstorming and team problem-solving techniques are both useful tools in this stage of problem solving.

Many alternative solutions should be generated before evaluating any of them. A common mistake in problem solving is that alternatives are evaluated as they are proposed, so the first acceptable solution is chosen, even if it's not the best fit. If we focus on trying to get the results we want, we miss the potential for learning something new that will allow for real improvement.

3. Evaluate and select an alternative

Skilled problem solvers use a series of considerations when selecting the best alternative. They consider the extent to which:

- A particular alternative will solve the problem without causing other unanticipated problems.
- All the individuals involved will accept the alternative.
- Implementation of the alternative is likely.
- The alternative fits within the organizational constraints.

4. Implement and follow up on the solution

Leaders may be called upon to order the solution to be implemented by others, "sell" the solution to others or facilitate the implementation by involving the efforts of others. The most effective approach, by far, has been to involve others in the implementation as a way of minimizing resistance to subsequent changes.

Feedback channels must be built into the implementation of the solution, to produce continuous monitoring and testing of actual events against expectations. Problem solving, and the techniques used to derive elucidation, can only be effective in an organization if the solution remains in place and is updated to respond to future changes.¹⁶

¹⁶ (Resource: Excerpted from G. Dennis Beecroft, Grace L. Duffy, and John W. Moran, *The Executive Guide to Improvement and Change*, ASQ Quality Press, 2003, pages 17-19.

Day-2

Session. IV

1. Topic: Content delivery Methods.**Time:** 1.hr**2. Learning Objectives:** After completing this topic the trainees will be able to;

- Deliver the content properly using role play method of facilitation, social method and exercise method.
- Determine the proper content delivery approach and materials required.

Required materials: Meta card, Flip chart, Marker, hand outs, LCD projector**3. Delivery approach:**

S.N.	Contents	Methodology	Time
1	Introduction of Content delivery role play, social and exercise method.	Discussion	5
2.	Group Formation: There will be three groups and they will be assigned to study the provided hand outs of the three delivery approaches.	Instructions.	20
3	Each group will present their findings on the approaches with advantages and disadvantages. Group will comment one another and will raise questions where they are confused. A group will be asked to role play, on social mediation. 15 minutes.	Presentation	30
4	Wrap of the session with Major learning highlights.	Lecture	5

4. Evaluation:

1. When do you apply case study approach of facilitation?
2. Explain the disadvantage of role play method of facilitation?
3. Which method is most useful difficult situation? Why.
4. Which method of content delivery is useful in learning of social activities?

Day -2

Hand out- 4

e. Role play Method: The trainees will play a role on the subject matter and they will learn from the play. This method is effective to visualize the real situation happening in the field. Specially, Resettlement, rehabilitation, land acquisition, livelihood problems, money and valuation could be taught in role play methods. The pain how the people go through when they have to live their home where they have gone grown up. The trainer plays a role of observer in this approach. The trainees should take part in the play.

Things to consider in role play method.

- Objectives should be made clear to the role players.
- What sort of objective will be good to the role play.
- The providing problem should be simple to understand.
- Role play is an act, so the participant should come forward on it.
- The learning depends on the active participation of the trainees so they should be very clear on the roles what they are communicating.
- After completing the role, there should be what have been learnt should be discussed.

Advantages of role play methods:

- This is simple and less expensive.
- This is centered on the problems and helps to learn to the participants.
- This approach helps to demonstrate complex things in short period.
- This is participants centered approach.

Disadvantages of Role play methods:

- If participants do not take part actively, this will be a only entertainment.
- Participants will not have attention in the whole scenario on what is the main essence and happening since they will be focused on their role only.
- The role and the participants and what they have played should be made clear in the training session.

f. Exercise approach: This is also a kind of problem solving approach. The trainees are given problems that bring the results required. The participants will complete the exercise on their own. The exercise is given on the basis of the prior experience and knowledge and required knowledge is added up on top of it. So that participants will learn new approaches, skills, knowledge on the subject matter.

Things to consider in this approach.

- Motivating participants to the exercises.
- The given exercise should be made clear to all participants.
- Observing during the time of their exercise, if they are not clear, it should be made clear.
- After the exercise it should be evaluated.

Advantages:

- It can be used at any time in any condition.
- Less preparation time.
- The objectives will be achieved with the involvement of the participants.

Disadvantages:

- Participants may be confused if the exercise is not based in true facts and figures.
- Limited time resources may restrict the thorough knowledge on the subject matter.

g. Social knowledge by social participation: This is one of the approaches to train people in the real field of work. Rehabilitation, resettlement, valuations etc can be learnt from the field. It will be much fruitful for those who are involving in these exercises. This is more fruitful in cultural learning and so on. Participants should be in the field with the support of the trainers. The process of learning takes place in dealing with the people and solving their problems.

Things to consider in this process;

- The people who have been working in the site should be made clear, these trainees are here to assist you in the process.
- They will not take time of the real project officers. They are learning, should be supported to them thus type of conscious level of the site people should be developed.
- The learning objectives for the participants should be made clear.
- They should be trained on how to write report learnt from the field.
- Constant supervision in their learning.

Advantages:

- Participants will be able to handle the work right away.

- The problems and challenges will be faced by the participants, so that they knew what is going to happen in real field .
- This is an approach to prepare the work force.

Disadvantages:

- Difficult to accommodate large number of participants in the site.
- Right attitude of the site worker may not be developed to the trainees.
- Chances of derailing the learning by the wrong type of assignment in the field.

1. Topic: Content Delivery Methods.**Time:** 1.hr**2. Learning Objectives:** After completing this topic the trainees will be able to

- Deliver the content properly using structured method of facilitation,
- Explain the advantages of structured content delivery method.
- Conduct structured method for collecting information and publishing data.

Required materials: Meta card, Flip chart, Marker, hand outs, LCD projector.**3. Delivery approach:**

	Contents	Methodology	Time
	Introduction of Content delivery approaches of structured method.	Discussion /lecture	10
	Steps of structured learning: Activity conducting, data collecting and publishing, data analysis, generalization and presenting.	Lecture and discussion	20
	Probing: Finding information is a very important skill in experiential learning model. There are some techniques for probing, these should be applied.	Lecture and discussion	20
	Wrap of the session with Major learning highlights.	Lecture	10

4. Evaluation:

- When do you structure approach approach of facilitation?
- Explain the advantages of structured approach of facilitation.
- Explain probing? Is it important in collecting data? Explain it.

Day -2

Hand out- 5

2.3 Structured Learning: Structured learning experiences is one of the training approaches. In this approach, the participants learn from their own insightful analysis of their doings. The basis of learning is the experiences, so the participants who have been inclined to work in the community have to be taught in this approach. The experiences what they have while working on the community will be shared and it will be examined together.

Advantages of structured learning:

- The learning is both cognitive and affective and the training is self development, the participants will gain more knowledge in the subject matters.
- The change factors in their life are themselves since the learning is centered on their own.
- It develops the effectiveness of the trainers.
- It helps to engulf many participants at a time.
- The talkative and non talkative participants provide balance approach.
- The participants learn one another, so they learn more.
- The training method is useful in different types of situation.

Steps of Structured learning experiences:

1. Activity conducting:

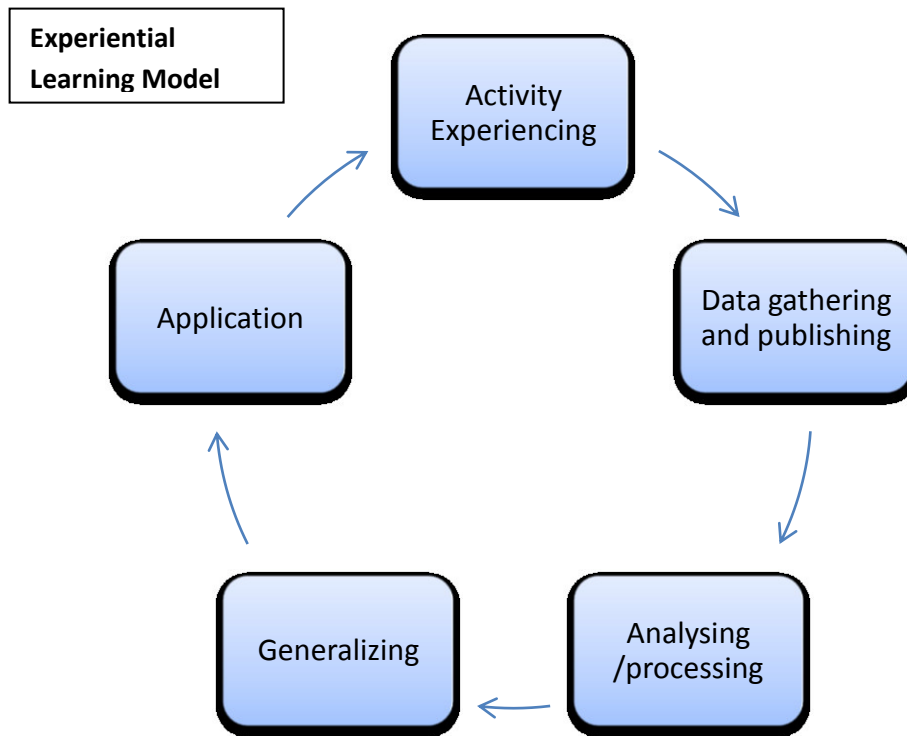
- In the beginning the participants have to motivate to work and the providing introduction of the tasks.
- The rules, regulation, duration of the activities, methods of the activities should be made clear to all participants.
- Directing to the trainees to carry out the tasks and supervising the activates.
- Trainer should observe the behavior of the trainees and note it down. It helps to guide the trainees to accomplish the objectives.

2. Data Collection and publishing: The step is one of the difficult steps in the structured training process. If the data is not collected properly, there will be difficulties to analyze the data. The participants will be asked different questions on the basis of their experiences such as why? How? When etc type of questions will be asked for probing information for data collection.

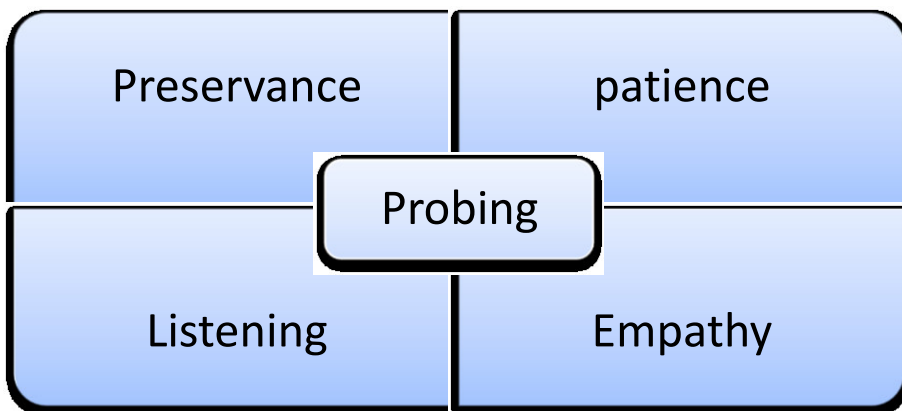
3. Analyzing and processing: In this process, the collected data from the participants will be analyzed in order. During this approach, the success and weaknesses will be discussed as well. If the analysis is not done properly, the participants may have boring or their attraction will be directed in other areas.

4. Generalization: This will provide the conclusion of the learning. This will help on finding some new things too. What the trainees have learnt.

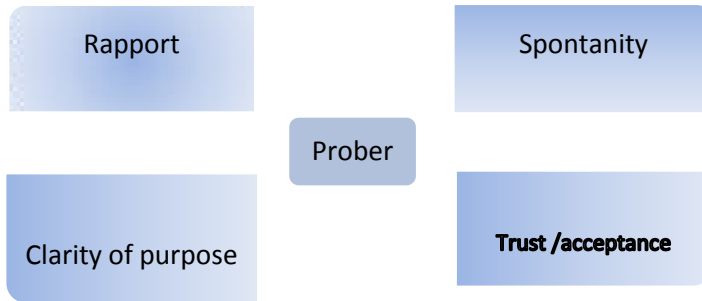
5. Application: The trainees will apply their knowledge what they have learnt. The participants will be asked on how to apply the concept in real field of work.



Probing: Finding information is a very important skill in experiential learning model. There are some techniques for probing, these should be applied.



Role of Prober



Method of Collecting Information:

1. Instructor should ask the questions to express their experiences. Do not add or subtract what they said.
2. Write whatever the trainees said. Do not judge the experienced shared by the trainees.
3. Duration for discussion should be separated and it should be told to the trainees.
4. Help to the trainees who have difficulties to share their experiences.
5. Controlling the misbehavior of any found during information collection, but be careful while controlling.
6. Integrate the experience of individual and groups.
7. Listening attentively to the trainees, what they are trying to say should be made clearer.

Preparing exercise to share the experiences;

1. Learning objective should be made.
 - If it is cognitive type, the concept should be made clearer.
 - If it is affected type, be conscious on experience and learn from insightful thoughts.
 - If it is skill related, the exercise should be focused on particular skill orientations.
2. Activities should be related in daily life, daily problems, community problems etc.
3. Materials for data collection should be well prepared.
4. Trainer should be fully prepared for the analysis level.

1. Topic: Training Management.

Time: 1 hr. 30 Minutes.

2. Learning Objectives: After completing this topic the trainees will be able to;

- Define training and Management.
- Outline training management.
- Required materials: Meta card, Flip chart, Marker, hand outs, LCD projector

3. Delivery approach:

S.N.	Contents	Methodology	Time
1	Definition of training: Training is defined as learning that is provided in order to improve performance on the present job (Nadler, 1984). This differs from a few other definitions in that rather than “training” being used as a verb—to train, it defines it from the learners' action—an activity they perform.	Lecture /Discussion	10
2.	<ul style="list-style-type: none"> • Definition of Management: Management defined as the organization and coordination of the activities of an enterprise in accordance with certain policies and in achievement of clearly defined objectives • Fredmund Malik defines as Management is the transformation of resources into utility. • Management included as one of the factors of production - along with machines, materials and money • As a discipline, management comprises the interlocking functions of formulating corporate policy and organizing, planning, controlling, and directing a firm's resources to achieve a policy's objective. 	Lecture /Discussion	10
3	Scope of Management: Hand out distribution on scope of Management and discussion on scope of management such as forecasting, planning, and organizing commanding, coordinating, controlling.	Discussion and question answer	40
4	Aspects of planning: Discussion in line of elements of planning.	Discussion	20
5	Wrap of the session with Major learning highlights.	Lecture	10

4. Evaluation:

1. Define Training and management.
2. What are the scopes of management?
3. What need to consider while planning training?

Day 3

Hand Out-1

Training and Management.

Definition of Training: Training is defined as learning that is provided in order to improve performance on the present job (Nadler, 1984).

This differs from a few other definitions in that rather than “training” being used as a verb—to train, it defines it from the learners' action—an activity they perform.

Performance is improved by helping the learners to master a new or established technology. The technology may be a piece of heavy machinery, a computer, a procedure for creating a product, or a method of providing a service.

Notice that the last part of the definition states that training is provided for the present job. This includes training new personnel to perform their job, introducing a new technology, or helping an employee to achieve standards.

Earlier it was stated that there are four inputs to a system: People, material, technology, and time. Training is mainly concerned with the meeting of two of these inputs: people and technology—helping people master a given technology.

While we often think of technology as computers, electronics, etc., it is much more. The Merriam-Webster dictionary defines technology as the practical application of knowledge, especially in a particular area. It includes the usage and knowledge of tools, techniques, and crafts, or a system or method for organization.

Definitions of Management.

Views on the definition and scope of management include:

- Management defined as the organization and coordination of the activities of an enterprise in accordance with certain policies and in achievement of clearly defined objectives
- Fredmund Malik defines as Management is the transformation of resources into utility.
- Management included as one of the factors of production - along with machines, materials and money
- As a discipline, management comprises the interlocking functions of formulating corporate policy and organizing, planning, controlling, and directing a firm's resources to achieve a policy's objectives
- The size of management can range from one person in a small firm to hundreds or thousands of managers in multinational companies.

- Management in all business and organizational activities is the act of coordinating the efforts of people to accomplish desired goals and objectives using available resources efficiently and effectively. Management comprises planning, organizing, staffing, leading or directing, and controlling an organization (a group of one or more people or entities) or effort for the purpose of accomplishing a goal. Resourcing encompasses the deployment and manipulation of human resources, financial resources, technological resources, and natural resources.
- Since organizations can be viewed as systems, management can also be defined as human action, including design, to facilitate the production of useful outcomes from a system. This view opens the opportunity to 'manage' oneself, a prerequisite to attempting to manage others.

Scope of Management:

Management involves the manipulation of the human capital of an enterprise to contribute to the success of the enterprise. This implies effective communication: an enterprise environment (as opposed to a physical or mechanical mechanism), implies human motivation and implies some sort of successful progress or system outcome. Management must have humans, communication, and a positive enterprise endeavor.

Plans, measurements, motivational psychological tools, goals, and economic measures (profit, etc.) may or may not be necessary components for there to be management. At first, one views management functionally, such as measuring quantity, adjusting plans, meeting goals. This applies even in situations where planning does not take place. From this perspective, Henri Fayol (1841–1925)^[3] considers management to consist of six functions:

1. Forecasting
2. Planning
3. Organizing
4. Commanding
5. Coordinating
6. Controlling

In another way of thinking, Mary Parker Follett (1868–1933), defined management as "the art of getting things done through people".¹⁷ She described management as philosophy.

Training Management: After knowing what training is and what a management is, these separate entity should be integrated to learn training management. Training changes behavior of the trainees in order to develop their skill, knowledge, and attitude. Management facilitates the process of the training. So training management is defined as a process of facilitation of training in sequential process in order to change the behavior, skill, knowledge and attitude of the trainees.

There are steps of training management, those are

- a. **Pre-taining management:** This involves the following activities. These activities determine the quality of the training and delivery.

¹⁷ www.wikipedia

- Training Need assessment.
- Development of the training course and training methods.
- Selection of the training venue.
- Training promotion, application preparation and distribution.
- Net working with other organizations and coordination.
- Collection of application forms.
- Selection of participants.
- Finding and managing of resource persons.
- Discussion with the resource person and finding more about the training
- Preparation of training materials.
- Preparation of training venue.
- Preparation of training schedule and distribution of participants.
- Registration of participants.
- Inauguration of the training: Invitation for chief guest, guest.
- Management of inauguration place and other formal requirements such as banners etc.

Providing Information to the resource person:

- Description of the participants (Age, education, experience, background etc.)
- Objectives of the training.
- Knowledge of the participants in the subject matter.
- Available training materials in the class room.
- Method of training and teaching materials.
- Training preparation time.
- Reneumeration and other facilities.

Training management:

The training management includes the day to day activities during the training period. From inauguration of the training to the ending of the training. There are some procedure that need to follow to make the training more effective. Those are;

- Daily registration of the trainees in the training hall.
- Distribution of learning and note taking materials to the trainees.
- Collecting expectations of the workshop from the trainees.
- Preparing rules and regulation of the training.
- Providing responsibilities and accountability for the trainees.
- Daily evaluation of the training and respecting the valuable suggestions from the trainees.
- Daily activities reporting.
- If anything changed due to expectation in the training schedule, need to inform to the resource person.
- Organizing observation tours.
- Preparation of the certificates.

- Taking photo snaps of the training.
- Managing monitoring mechanisms.
- Preparing all requirements regarding the training completion formalities.

Management After training

Training Completed but need to carry out some important works those is mentioned below.

- Preparing training report and submitting to the relevant authority.
- Handing over the training materials such as overhead projectors, flip charts, daily activities charts and so on.
- Payments to hotels and so on.
- Clearing of the advances.
- Sending an appreciation letter to the organization took part in the training.
- Organizing monitoring program to observe the progress (It does not apply in all cases, where applicable need to work out on it)
- Reform in training curriculum if needed.
- Research on the training materials and approaches and development.

1. Topic: Training Presentation Plan**Time:** 1hr.30 Mins.**2. Learning Objectives:** After completing this topic the trainees will be able to;

- Define presentation plan.
- Training objective formulation.

Required materials: Meta card, Flip chart, Marker, hand outs, LCD projector**3. Delivery approach:**

S.N.	Contents	Methodology	Time
1	Definition of training: A plan prepared to achieve learning objectives during facilitation. A detailed description of the individual lessons that a trainer plans to train on a given day. A lesson plan is developed by a trainer to guide instruction throughout the day. It is a method of planning and preparation.	Lecture /Discussion	10
2.	Objective formulation: Use of SMART concept for formulating the specific objectives. Individual will ask to formulate specific objectives within given guide lines. Practice on objective formulation.	Lecture /Discussion	30
3	Presentation of the objectives: Objectives will be asked to present form the individuals randomly up to 6 people and the formulated objectives will be dissected.	Discussion and question answer	40
4	Wrap of the session with Major learning highlights	Lecture	10

4. Evaluation:

1. Define Training presentation plan with its main body.
2. What is the importance of training planning?
3. What need to consider while planning the training?

3.2. Presentation Plan Preparation:

Presentation plan (Lesson Plan): A detailed description of the individual lessons that a trainer plans to train on a given day. A lesson plan is developed by a trainer to guide instruction throughout the day. It is a method of planning and preparation.

A lesson plan traditionally includes the name of the lesson, the date of the lesson, the objective the lesson focuses on, the materials that will be used, and a summary of all the activities that will be used.

Good planning is the first step to an effective training sessions and one of the main trainers tasks that excellent trainer must be mastered.

Components of the presentation plan: Major components of the presentation plan are given below.

- Objectives
- Activities
- Time Estimates
- Required Materials
- Alternatives - Make sure to plan for those trainees who might be absent during your activities.
- Assessment - This includes workshop work, homework, and tests.

Formulation of objectives: The objectives guide the total activities of the presentation and success of the presentation too. So it should be formulated properly. The lesson based objectives are specific objectives.

In short, you must formulate learning objectives as specifically as possible, so that students understand exactly what they are expected to know and to achieve, within what period of time, using what methods, under what circumstances and using what tools. What are the characteristics of Learning Objectives?

Learning objectives should be S.M.A.R.T., that is:

S – Specific

– says exactly what the learner will be able to do

M – Measurable – can be measured at the end of the training session

A – Attainable for the participants within scheduled time and specified conditions

R – Relevant to the needs of the participant and the organization

T – Time-framed - achievable by the end of the training session

Suggested Action Verbs for Learning Objectives

Here is a sample list of verbs that can be used when writing learning objectives. These verbs indicate activities that are measurable and specific.

Assemble	diagram	make	relate
Assess	differentiate	measure	repeat
attempt	discriminate	memorize	rephrase
calculate	distinguish	modify	represent
categorize	document	name	restate
challenge	draw	operate	review
change	estimate	organize	select
choose	evaluate	originate	separate
classify	explain	paraphrase	show
combine	fill in	perform	specify
compare	give example	plan	state
compose	give in own words	prepare	suggest
conclude	identify	produce	summarize
construct	illustrate	propose	tell
define	indicate	rank	transform
demonstrate	judge	rearrange	translate
describe	justify	recall	use
design	label	recognize	verbalize
determine	list	recommend	write
develop	locate	record	

2.3.3 Characteristics of a specific objective

- (a) It is always expressed in terms of the student/trainees.
- (b) It is unequivocal, in other words it is precise and supports only one interpretation.
- (c) It describes an observable behavior on the part of the subject.
- (d) It specifies, where appropriate, the special conditions in which this behavior is manifested and the criteria which will make it possible to judge whether the objective has been attained.

A distinction must also be made between the objectives in a list of contents, such as one finds in certain course outlines.

An objective comprises at least three parts: a subject (the trainees), a verb of action (the observable behavior which is expected) and a complement (the content). Thus, in the specific objective 'the trainees must be able to list different types of documentary information network', the subject is the trainees, the verb 'to list' refers to observable behavior and the content is linked to the types of documentary information network. This content might be the subject of several other objectives: for example, 'the trainees will be capable of comparing various types of documentary information network' or 'the trainees will be capable of choosing the appropriate type of documentary network for a given requirement'. There can, therefore, be no confusion between objectives and lists of contents. The verb and the complement must be precise if the objective is to be specific.

1.Topic: Stages of Training Presentation Plan**Time: 1 hr.30 Mins****2. Objectives:** After completing this topic the trainees will be able to;

- Prepare presentation plan to accomplish within given time frame of.
- Formulate proper evaluation as per the content to check the objectives are achieved or not.

Required materials: Meta card, Flip chart, Marker, hand outs, LCD projector**3. Delivery approach:**

S.N.	Contents	Methodology	Time
1	Presentation Plan: The body consist of presentation plan described as motivational stage . delivery stage and application stage and controlling stage.	Lecture /Discussion	10
2	Explanation of model on presentation plan preparation. Exercise on individual stage. Presentation preparation Plan	Lecture /Discussion	30
3	Presentation of the plan and dissecting from the colleagues.	Discussion and question answer	40
4	Wrap of the session with Major learning highlights	Lecture	10

4. Evaluation:

1. Define Training presentation plan with its main body.
2. What is the importance of training planning?
3. What major areas are to be considered while planning the training?

2.3. Stages of presentation preparation:

1. **Motivational stage:** The trainer should carry out the following work to motivate the trainees.

- Establishing rapport with the participants.
- Attracting participants towards the training materials/ contents.
- Giving heading of the lesson.
- Importance of the lesson in their real field/life.
- Explaining the objectives of the lesson.
- Define new words.

This will help to attract the trainees in the contents and the attention will be drawn to the lesson presentation.

2. **Delivery stage:** This is also known as information stage. The information should be provided in sequential order. Appropriate methods of providing information should be identified such as

- Demonstration
- Lecture
- Discussion
- Case study etc.

3. **Application stage:** This could be defined as evaluation stage in the lesson plan preparation. This could be carried out as follow.

- Asking questions
- Providing exercise.
- Asking to work (practical demonstration) etc.

In this stage trainees will say, whether they have grasped the learning or not.

4. **Controlling stage:** This is the last stage of training. In this stage, trainer should provide suggestions, feedback on the work of the trainees. If the trainees are not up to the required level of knowledge and skill in the subject matter, it should be represented where the skill and knowledge is lacking. After the end of the lesson , the trainer should conclude the lesson with summary.

Presentation Plan

Topic:

Trainer:

Specific Objectives of the lesson:

Program:

Total Time:

Venue:

Required materials

Process of training conduction:

Subheadings and stages	Method s of presentation	Time
1. Motivation: (Connecting with previous lessons/ greetings / reports etc. Introducing with the session.)		
2.Delivery /information		
3.Application /Evaluation		
4. Control: (This is the control mechanism. Controlling by questioning, eye to contact, associating with work, presentation.)		
Remarks:		

1. Topic: Presentation Skill**Time: 1 hr.****2. Learning Objectives:** After completing this topic the trainees will be able to;

- Present their preparation properly with proper timing and voice projection.
- Formulate proper evaluation as per the content to check the objectives are achieved or not.

Required materials: Meta card, Flip chart, Marker, hand outs, LCD projector.**3. Delivery approach:**

S.N.	Contents	Methodology	Time
1	Presentation: Presenter and Presentation	Lecture /Discussion	5
2.	Presenter and Presentation: Posture, Voice projection, gesture, Language etc. Discussion On useful tips Some other Useful Tips to presenter:	Lecture /Discussion	20
3	Agenda Top 3 things you have to do right <ul style="list-style-type: none"> • Preparation • Delivery • Overcoming Stage Fright Top 2 Understand <ul style="list-style-type: none"> • Your purpose & audience • Capture & hold the audience's attention 		10
4	Presentation Practice by the participants and commenting to the presenter.	Demonstration of presentation	20
5	Wrap of the session with Major learning highlights	Lecture	5

4. Evaluation:

1. What is the effect of eye contact during presentation?.
2. What is voice projection and what is effect of voice projection in presentation?
3. How do you prepare your presentation? Mention it.

Presentation Skill

4. Preparation of the Presentation

- Deterring the objectives
- Finding information on participants.
- Preparing the subject matter.
- Presentation aid should be ready to use and it should be tested.
- Rehearsal should be done of the presentation.

4.1. Presentation Skill:

Presentation skill is one of the important skill in facilitation. In the context of the training, trainer/resource person have to deliver the content to the trainees is presentation.

1. The Presenter: The presenter should consider the following with their body posture, eye contact, voice projection, gesture.

a. Eye contact: During the time of presentation, the presenter should have eye contact with the trainees. If presenter looks anywhere, the trainees will be distracted since they will think what the presenter is looking for.

The advantages of eye contact: It provides two way communication and providing feedback by their eye of the presentation, facts and so on.

Participants will be controlled: Eye contacts helps to control the participants. If there is in distraction presentation will be good, the flow of facts and ideas will not be obstructed. The learning will be better.

b. Voice projection: Voice projection should be right for effective presentation. The sound should be clear, not broken or lost in between, clearly to hear. The advantage of clear and simple voice is as below.

- Participants will hear and understand the concept.
- Voice creates interest in the participants and the presentation will also be lively.
- Physical smartness will also be increase due to the voice.

c. Posture: The presenter should have right posture, too much moving, turning back towards the participants distract the attention from the content. So the presenter should have right postures.

_ It provides confidence to the presenter.

- Helps to control the nervousness.

d. Gesture: The gesture helps to explain with the body language, too fast, hand movement, some time sound ups and down etc. This will help to keep the required information in the memory of the participants. The gesture is more appropriate when attracting the participants in the content.

2. **Use of language.** This is a most important part of effective presentation. The language should be clear, understandable with the clear meaning. The language should be used as per the standard of the participants.

There are some tips to overcome with the language.

- Difficult words should be written in the flip chart.
- Speak slowly to give time to grasp the word and its meaning.
- Do not use bad language especially to indicate particular gender, ethnicity and caste.

3. Use of Media: this is one of the important aspects in presentation, mostly LCD projectors are used in the presentation. The appropriate media should be selected to present the content. While using it , everybody should see it clearly.

4. Discussion: This is also an effective way of presentation. It helps to be clear in the content and makes some positive input too. The presenter should have clear objectives, plan and content to start the discussion, proceed –control and completion.

The major advantages of discussion method are;

- It teaches interpersonal skills such as understanding and communication.
- It is child centered through provides an opportunity for pupils to learn from each other,thus encouraging teamwork.
- It promotes tolerance and helps pupils to understand that there are many aspects or opinions to any one topic.

◦It also helps leadership, speaking and listening skills.

Things to consider in the beginning of discussion

- Determine the objectives.
- Determining the teaching points.
- Preparing required questions.
- determining the positive points whether the discussion has come up or not.

Method of conducting the discussion

- Repeating questions and being silent.
- Rephrasing the question in different way.
- Asking challenging question.

- Questioning again if required.
- Re directing if the discussion s going out of track.
- Negative feedback should be ignored.
- Stay behind being active listener.

Method of controlling the discussion.

- Discussion should be directed towards main points.
- How relevant is the discussion with the subject matter.
- Only recording what are relevant.

Concluding of the discussion.

- Own decision/ Judgment should be applied.
- Taking care of the time.
- Considering new information received from the discussion.
- The point which are not in the discussion should be explained.

Important points to remember while presenting

- Eye contact with the participants
- Good voice projection and clear pronunciation.
- Standing with self confidence.
- Application of training aids properly
- Connecting subject matter from one another especially with new transferring.

1. Topic: Exercise on Presentation**Time: 1 hr.****2. Learning Objectives:** After completing this topic the trainees will be able to;

- Present their preparation properly with proper timing and voice projection.
- Formulate proper evaluation as per the content to check the objectives are achieved or not.

Required materials: Meta card, Flip chart, Marker, hand outs, LCD projector**3. Delivery approach:**

S.N.	Contents	Methodology	Time
1	Introduction of the content: Presentation plan	Lecture /Discussion	5
2.	Presentation Plan Preparation: On different topics such as in discussion method, Lecture methods as their choice of the lesson.	Lecture /Discussion	30
3	Presentation Practice by the participants and commenting to the presenter.	Demonstration of presentation	20
4	Wrap of the session with Major learning highlights and major tips in presentation.	Lecture	5

4. Evaluation:

1. Objective formulation is an important part discuss on it.
2. Why is motivational part important in presentation?
3. Why do you need to take care of the audience/participants? Discuss on it.

Some other Useful Tips to presenter:

1. Agenda Top 3 things you have to do right

- Preparation
- Delivery
- Overcoming Stage Fright

2. Top 3 Understand

- Your purpose & audience
- Capture & hold the audience's attention
- Manage your stage fright

3. Preparation Using structure to be exceptional & memorable

- Persuade Describe a situation ,Give the audience a problem, Offer a solution Suggest an action to be taken
- Decision Making, Define problem, Develop list of criteria for evaluating a series of possible solutions. List relevant solutions & evaluate against criteria .Pick best solution & suggest ways to implement, Discuss issues that may arise during implementation
- Impart Information, Outline situation, Describe your role in it Tell what action you took & what result were Offer analysis or recommendations for path forward
- Define your audience Who is attending? Whom do you need action from? Primary Audience (Action) Secondary Audience (Acceptance)
- Audience anticipation Determine how much they already know Anticipate how they will respond Ask yourself if your proposal is in their interest
- Storyboard concept Write a single key message on a Post it note Order the notes Flesh out each slide with high level messages Storyboard exercise

4. Power Point Formatting Tips

- Formatting tips Use non serif fonts Less is always more Uses transitions or special effects only when relevant.
- You have the best visual Slides, handouts, and animations should be minimized Reduce distraction, have the audience focus on the presenter
- Execution objectives Deliver few (5 or less) key points that the audience will remember Sell the benefits of your proposed action Neutralize opposition
- **Self Preparation**
- 60 / 20 rule Arrive 60 minutes before you present First 40 minutes to prepare room, notes, and handouts (make sure projector works!!) Last 20 minutes to introduction, information gathering & rapport building

- Believable & Memorable Posture Gestures Voice Volume, Inflection & Tempo Exceptional Presenter Handout

5. Starting Presentation:

- First two minutes Introduction (preferably third party) What's in it for them? Grasp their attention
- Reading your audience Attentive Inattentive Hostile
- Handling Q & A Giving Feedback Paraphrasing Clarifying Empathic Listening Active Listening Repeat Question for Remote Users Presentations That Persuade Handout

6. Managing Stage Fright is prepared!

- Appearing confident... even when you not Stand tall Head and eyes up Smile Move with purpose, energy & enthusiasm
- Script the first two minutes Memorize your words Practice your delivery with a trusted audience ahead of time Rehearse, rehearse, rehearse
- Staying in control Arrive early so you can relax Anticipating questions / scripting answers Parking lot awkward / inappropriate questions

1.Topic: Land Acquisition act.**Time:** 1 hr.30 Mins.**2. Learning Objectives:** At the end of this session, the participants will able to

- Find the position of people regarding the land and government.
- the role of government in compensating the affected people.

3. Delivery approach:

S.N.	Contents	Methodology	Time
1	Introduction of Land Acquisition Act (Draft)	Lecture	5
2	Group formation on study of land acquisition act. Group:1. Definitions and their Meanings 2 Group 2: Land acquisition power 3-4 Group 3: Decision Acquiring Land. -5	Group Formation	5
3	Instruction to the Group: Each group has to presenter their preparation and they have to choose the presenter. Presentation Should Be prepared as session presentation format.	Instruction	5
4	Presentation preparation time with study	Self preparation/Hand out distribution/ LA Act.	30
5	Presentation:	Presentation/ Discussion	40
6	Wrap up of the session with major learning aspects.	Lecture	5

4. Evaluation:

1. In which situation project affected person complains?
2. What are the major aspects of Land acquisition act? Explain.
3. Which section of the law is about negotiation to acquire land?

2. Definitions: In this Act, unless the subject or the context otherwise requires, (a) "Land" means any land belonging to any person, and walls, buildings, trees, etc., permanently installed there on "**Public Purposes**" means undertaken in the interest of or for the benefit or use of the general public, or functions to be undertaken by Government of Nepal and the term also included the following:

(1) Project approved by Government of Nepal.

(2) Project undertaken by local bodies in different levels.

(c) "Local Officer" means an officer designated by Government of Nepal and where no such officer is designated, the Chief District Officer.

(d) "Concerned person" means the person who is entitled to the Compensation payable for lands acquired under this Act.

(e) "Institution" means a Company, Development, Board, or Corporation established or formed pursuant to the prevailing law.

3. Power of Government of Nepal to Acquire Lands for Public Purpose :

Government of Nepal may, if it so deems necessary, acquire any land at any place for any public purpose, subject to compensation under this Act.

4. Power to Acquire Land for Institution : (1) In case institution requests Government of Nepal for the acquisition of land for any of the following purposes, subject to payment of compensation and all other expenses under this Act, Government of Nepal may decide to have the land acquired for such institution:-

(a) To construct residential quarters for the staff, workers or laborers of the institution, or otherwise provide for their welfare, or undertake any function in the interest of the general public.

(b) To operate a project connected with an institution fully owned by Government of Nepal, or to construct a godown for the storage of any commodities or material connected with or manufactured by any such institution.

(2) Proceeding regarding the acquisition of land under this Act shall not be initiated unless the institution requesting for land acquisition has executed a deed in respect to the following matters:

(a) Payment to Government of Nepal of all the expenses incurred or likely to be incurred for the acquisition of the land.

(b) If the land is meant for the construction of residential quarters for workers or technical personnel, or for any function intended for their comfort, the period required for the completion of such building, the design or type hereof, and the such building, the design or type thereof, and the period for which it will be maintained.

(c) If any other construction purpose, the estimated time for construction and mode of for use.

(3) Notwithstanding anything contained pursuant to Sub-section (1), Government of Nepal shall not acquire the land except practical purpose of agricultural for research, if the institution requires the land for agriculture.

5. Decision of Acquiring Land and Officer for Preliminary Action: (1) At least Gazette Class Three Officer or Head of the Office in case Gazette Officer is not available at that Office acquiring the land and the Project Chief in case of a project may initiate preliminary action to confirm the place and land after the decision made by the Government of Nepal to acquire the land.

(2) Notwithstanding anything contained in Sub-section (1), Government of Nepal may order at least Officer level employee of the institution, if such institution requests to nominate an employee to initiate preliminary action pursuant to Sub-section (1).

Land Acquisition Act:**1. Sub topics:** Preliminary action relating to Acquire Land**Time:** 1 hr 30 Mines.**2. Learning Objectives: After completing this session the participants will be able to;**

- Find the situation where the land could be returned to the right full owner.
- Determine when the penalties are imposed on the persons.

3.Delivery Approach:

S.N.	Content	Methodology	Time
1	Introduction of the section	Lecture/ discussion	10
2	Preliminary action of land acquisition,-6	Discussion/ Power point presentation	20
3	Compensation for loss. Preliminary action-7 7. Compensation for Losses : (1) Compensation shall be paid for losses resulting from clearing of crops and trees, and of demolition of walls, etc., or for damage, if any, suffered as a result of the removal or digging of earth, stone, ditches, or boring. in Respect to Findings of preliminary Action	Discussion/ Power point presentation/ Hand out	20
4	8.Report to be submitted	Discussion	20
5	Wrap up with major learning points		10

4. Evaluation:

1. In which situation penalties are imposed?
2. Where the affected person appeals against their grievances?
3. In which situation, the land should be returned to the rightful owner? Discuss.

Day 4

Handout -2

Preliminary action relating to Acquire Land

5. Preliminary action relating to Acquire Land: (1) The officer initiating preliminary Action pursuant to Section 5 shall put a copy of notice in following office or place for the purpose of stakeholder,

- (a) A place where people mostly move near by the concerned land,
- (b) Concerned Village Development Committee and Municipality Office,
- (c) House door or compound wall, if house and compound wall has to be acquired.

(2) The officer initiating preliminary action may enter into the concerned land or house a compound along with employee and workers for the purpose of following works after three days of Notification pursuant to Subsection (1).

- (a) To survey or mapping of such land,
- (b) To collect the sample of the soil, stone etc, to dig or boring for to find out whether the land is appropriate or not to acquire.
- (c) Erect pillars, etc., or otherwise demarcate lands considered suitable for acquisition,
- (d) Install any equipment for any of the operations mentioned or in Clause (a) or (b).

(3) In case it becomes necessary to cut or uproot any crop or tree on the land which is to be acquired, or to remove or demolish any wall or obstruction located therein in the course of any of the operations indicated in Clause (a to d) of Sub-Section (2), any person may do so with the approval of the officer responsible for preliminary Action, and such functions shall be performed as far as possible in the presence of the concerned person.

7. Compensation for Losses : (1) Compensation shall be paid for losses resulting from clearing of crops and trees, and of demolition of walls, etc., or for damage, if any, suffered as a result of the removal or digging of earth, stone, ditches, or boring.

(2) The officer responsible for preliminary Action shall determine the amount of compensation payable under Sub-Section (1) and pay the same to the concerned person.

(3) In case the concerned person is not satisfied with the amount of compensation determined under Sub-Section (2), he/she may file a complaint with the chief District Officer on which he/she receives information thereof, and in such cases the decision of the Chief District Officer shall be final.

8. Report to be submitted in Respect to Findings of preliminary Action: (1) The officer responsible for preliminary Action shall complete such Action within fifteen days from the starting of it, determinate whether the land is suitable for acquisition, and then submit a report containing necessary Information in respect to such Action to the local office as early as possible .

(2) The report to be submitted under Sub-Section (1) shall also mention the amount of compensation determined under Sub

Topic: Land Acquisition Act:**1.Sub topics: Notification of Land Acquisition****Time: 1 hr 30 Mines.****2. Learning Objectives: After completing this session the participants will be able to;**

- Find the situation where the land could be returned to the right full owner.
- Determine when the penalties are imposed on the persons.

3.Delivery Approach:

S.N.	Content	Methodology	Time
1	Introduction of the section Land acquisition process. 9,10,11	Lecture/ discussion	10
2	9. Notification of Land Acquisition, 10. Particulars to be Given in Notices Relating to Land Acquisition 11. Right of Landowner to File complain 12	Discussion/ Power point presentation	20
3	13. Form of Compensation and Officer powered to Determine It	Discussion/ Power point presentation/ Hand out	20
4	Criteria for determining compensation (15-19)	Discussion/ power point	20
5	Wrap up with major learning points		5

Evaluation:

1. What contents should be in the notice published in the notice to acquire land from the public
2. Where the affected person appeals against their grievances?
3. What is power to occupy land?

Notification for land acquisition to compensation criteria.

9. Notification of Land Acquisition: (1) After receiving a report of preliminary Action submitted under Section 8, the local officer shall issue a notification containing the following particulars in respect to the land.

- (a) The purpose for which the land is to be acquired,
- (b) Whether only the land is to be acquired, or whether it is to be acquired along with the houses and walls located thereon,
- (c) The name of the Village Development Committee and Municipality and ward number in which the land is located,
- (d) The plot number, if the land has already been surveyed and measured,
- (e) If the land has not already been surveyed and measured, such particulars as will help to identify it, and particulars regarding the boundaries thereof,
- (f) Area of the land,
- (g) Other necessary particulars,

(2) One copy of the notice mentioned in Sub-Section (1) shall be affixed at each of the following offices or places:

- (a) The local office of the project for which land is to be acquired,
- (b) District government office,
- (c) The appropriate Village Development Committee or Municipality Office,
- (d) The Land Revenue Office,
- (e) Thoroughfares Located around the concerned land,
- (f) Such other place as the local officer may deem appropriate.

(3) In case the local officer is satisfied that the concerned person will not be able to know (about the land acquisition) notwithstanding the publication of a notice under Sub-Section (1), he/she may, if he/she so deems appropriate and feasible, personally send a notice to such person. In case the amount of compensation has already been determined by the time such notice is delivered to such person, the local officer shall also indicate in such notice the period within which he/she should appear for receiving the compensation, and the name of the office from where he/she should do so.

(4) After the notice mentioned in Sub-Section (1) has been affixed, the appropriate Land Revenue Office of documents relinquishing title to the concerned land in any manner. The suspension shall be lifted in case the local officer directs the Land Administration or Revenue Office in writing to that effect.

10. Particulars to be given in Notices Relating to Land Acquisition: The notice to be issued under Sub-Section (1) of Section shall also indicate the following particulars for the information of the concerned person:

- (a) Particulars to the effect that the concerned person shall submit an application claiming compensation within a minimum time-limit of fifteen days, along with documentary evidence of his/her title to the land,
- (b) The time-limit within which the concerned person will be allowed to fell trees or crops grown by him/her on the land, and demolish houses or walls located therein, if he/she is permitted to do so.

11. Right of Landowner to File complain : (1) Within a time-limit of seven days from the date of the publication of a notice under Section 9, plus the time required for the journey involved, the concerned landowner may file a complaint with the Ministry of Home Affairs, the Government of Nepal through the local officer, explaining the reasons, if any, why his/her land should not be acquired. If the tenant has built any brick-house on the land with the consent of the landowner, such tenant may also file a complaint under this Sub-Section with respect to such house and the land occupied by it.

(2) Before taking a decision on the complaint filed under Sub- Section (2), Ministry of Home Affairs, the Government of Nepal shall consult the officer responsible for preliminary Action, and, if necessary, the local officer as well.

(3) For the purpose of taking decision in respect to the complaint filed under Sub-Section (1), the Ministry of Home Affairs, the Government of Nepal hearing complains under this Section shall exercise the powers vested in a district court in respect to conducting local investigations (*sarjameen*), summoning witnesses, recording statements or procuring document.

(4) Decision on complaints to be made under Sub-Section (2), shall be pronounced ordinarily within fifteen days from the date of receipt of such.

12. Power to Occupy Land : (1) The local officer shall take possession of the concern land and hand it over to the office or institution for which it is acquired after a decision has been made on complaint, if any, filed under Sub- Section (1) of Sub-Section 11 after the publication of the notice under Sub-Section (1) of Section 9, or at any time after the expiry of the time limit for filing a complaint, if no complaint has been received. Such land may then utilized for the purpose for which it is acquired. After taking possession of the land in this manner, the local officer shall notify Government of Nepal accordingly.

(2) Notwithstanding anything contained in Sub-Section (1), in case any house is to be acquired along with the land, and if it is being occupied personally by the owner thereof, it shall not be taken possession of (by the local officer) unless (the owner thereof) is paid 50 percent of the amount of compensation payable to him/her, if such compensation has already been determined, or reasonable expenses in advance as required to enable him/her to shift his residence, if the amount of compensation has not already been determined.

13. Form of Compensation and Officer powered to Determine It: (1) Compensation payable under this Act shall be paid in cash. (2) There shall be a committee consisting of the following officers to determine the amount of compensation payable under Sub-Section (1):

- (a) Chief District Officer, (b) Land Administrator or Chief of the Land Revenue Office (c) The Project-in-chief, if the land has been acquired for a project, and if it has been acquired for any other

purpose, an officer designated by the Chief District Officer, (d) A representative of the District Development Committee .

(3) Notwithstanding anything contained in Sub-Section (1), the amount of compensation may be determined separately in the case of persons whose land is wholly acquired, and of those whose land is partially acquired.

14. Allotment of Other Lands in Exchange: In case any person whose land is wholly acquired under this Act wants to obtain compensation in the form of land elsewhere, Government of Nepal may, in exchange for such land, allot him/her any waste land, or land belonging to itself, or any other land which it is going to allot or sell in accordance with prevailing Nepal law, if available.

15. Compensation for Guthi lands: In the case of Guthi lands acquired Under this Act, compensation shall be paid in accordance with the provisions of the Guthi Corporation Act, 1976.

16. Criteria to be Considered While Determining Compensation: (1) The Compensation Fixation Committee shall take the following criteria into consideration while determining compensation for lands to be acquired for Government of Nepal, Local Bodies, and institutions fully owned by Government of Nepal.

(a) The guidelines issued by Government of Nepal from time to time in respect to the fixation of compensation and,

(b) The losses suffered by the concerned person as a result of his having been required to shift the residence or the place of his/her business by reason of acquisition of the land.

(2) While determining the amount of compensation for land to be acquired for institutions other than Local Bodies, and institutions fully owned by Government of Nepal, the compensation Fixation committee shall take the following criteria into consideration:

(a) The price of the land at the time of the publication of a notice of land acquisition under Section 9,

(b) The Value of the crops, houses, walls, sheds, etc, if any, acquired along with the land,

(c) The losses which the concerned person will suffer as a result of shifting his /her residence or the place of his /her business, by reason of the acquisition of his/her land.

17. Determination of compensation for Land Acquired Out of Surplus Land: Notwithstanding anything contained in Section 16, in case the land to be acquired for Government of Nepal, Local Bodies, or institutions fully owned by Government of Nepal happens to be part of the land taken excess of the ceiling on landholding prescribed in the Lands Act, 1964 the amount of compensation therefore shall not exceed the amount payable under the Lands Act, 1964.

18. List of Persons Entitled to Compensation and Complaints against it :

(1) On the basis of the applications received within the time-limit prescribed in the notification issued under Section 9, the local officer shall prepare a list of persons entitled to compensation, and issue a notice accordingly for the information of the concerned persons.

(2) A person who is not satisfied with the list contained in the notification issued under Sub Section (2) may file a complaint with the Ministry of Home Affairs, the Government of Nepal within fifteen days after the publication of such notification.

(3) In case any complaint filed under Sub-Section (2) relates to questions other than those involving a dispute over ownership or possession, the Ministry of Home Affairs, the Government of Nepal shall dispose of the same ordinarily within fifteen days. But in case such complaint concerns a dispute over ownership or possession, no Action shall be taken thereon, and a notice stating that compensation shall be paid to the person who establishes his/her title through the final decision of the court shall be served on to the concerned persons. Such notice shall also indicate the name of the office which will hold custody of the amount of compensation.

(4) The person who establishes his/her claim on the basis of the final decision pronounced by the court on a case relating to dispute over ownership or possession, shall receive the amount kept in custody, under Sub-Section (3) within two years after such final decision. In case such person fails to receive the amount kept in custody after the expiry of that time-limit, it shall be credited to the Consolidated Fund.

Land Acquisition Act**1. Sub topics: Compensation****Time: 1. hr.****2. Learning objectives:** After completion this session the trainees will be able to;

- Identify the procedure of compensation.
- Support o the APs where the problem arises in compensation.

3. Delivery approach:

S.N.	Contents	Methodology	Time
1	Compensation	Lecture	5
2	Group formation on study of land acquisition act. Group:1. Compensation procedure Notice for compensation 19- to 24 transfer of title. Group 2: Special power to acquire land 25 to 31 no tenancy right to transfer to other land given for cultivation. Group 3: confistication of building -32 to 42 power to frame rules	Group Formation	
3	Instruction to the Group: Each group has to presenter their preparation and they have to choose the presenter. Presentation Should Be prepared as session presentation format.	Instruction	
4	Presentation preparation time with study	Self preparation/Hand out distribution/ LA Act.	30
5	Presentation:	Presentation/ Discussion	30
6	Wrap up of the session with major learning aspects.	Lecture	5

4. Evaluation:

1. What is compensation? and who is entitled for compensation?
2. How the land is transferred to the Aps?
3. Which section of the law is about negotiation to acquire land?

19. Notice to be Given After Fixation of Compensation: After the Compensation Fixation committee has determined the amount of compensation, the Chief District Officer shall notify Government of Nepal accordingly.

20. Compensation to be obtained by Tenants: In case the land to be acquired under this Act is a tenancy holding, fifty percent of the amount of compensation payable for such land shall be obtained by the tenant. Provided that in case a house constructed by the tenant with the consent of the landowner is also acquired, the tenant shall receive the entire amount of compensation paid for such house.

21. Arrears Due to the Government may be deducted from compensation: In case any amount of land or other tax levy is due from the concerned person at the time of payment of compensation for his/her land, it may be deducted from such compensation.

22. Devolution of Ownership: After any land has been taken possession of (by the local Officer) under Section 12, the ownership thereof shall accrue to Government of Nepal or to any institution for which the land has been acquired.

23. Transfer of Title and Adjustment in Land of Record Revenue Register: (1) Within fifteen days after taking possession of land ownership of which has accrued to Government of Nepal or any institution under Section 22, the local officer shall write to the office possessing records of such land to effect the transfer thereof to Government of Nepal, or to the concerned institution, as the case may be, after removing entries thereof in the land Revenue records and such office shall do so, and notify the local officer and the outgoing landowner accordingly as early as possible.

32. Confiscation of Building constructed or crops Grown Without Permission : (1) After the ownership of land acquired under this Act by the Government of Nepal, or any institution, no person shall construct any building, shed, wall, etc, on such land, or cultivate without the written approval of Government of Nepal or the concerned institution.

(2) In case any person constructs any building, shed, wall, etc., or cultivates the land in contravention of Sub-Section (1), Government of Nepal or the concerned institution, may confiscate such structure, or the crop grown on the land, without paying compensation.

33. Land Acquired for Purpose may be used for Another purpose :

In case the land, acquired for the Government of Nepal or on institution fully owned by the Government of Nepal pursuant to this Act, is not required for that purpose as it was acquired or there remains surplus land upon using it for that purpose, the Government may use such land for public purpose and the

34. Land found Unnecessary to be returned to Expropriated

Landowner: (1) If any land acquired pursuant to this Act is found unnecessary for the purpose for which it has been acquired, or there remains surplus land upon using for such purpose, it shall be returned to the expropriated land-owner, unless it is otherwise utilized by Government of Nepal or an institution fully owned by it under Section 33.

(2) In case any land, acquired under this Act for any institution other than one fully owned by Government of Nepal is not utilized for the purpose mentioned in the agreement executed under Sub-Section (2) of Section 4, such land shall be returned to the expropriated landowner.(3) Notwithstanding anything contained in Sub-Sections (1) and (2), no land shall be returned under this Section unless the expropriated landowner has refunded the amount of compensation paid for such land under this Act.

(4) The local officer shall return the land on refund of compensation and additional amount by the expropriated landowner under this Section. (5) After land has been returned to the expropriated landowner, the local officer shall direct the appropriate office in writing to update the record accordingly in the name of the landowner, and the appropriate office shall then Act and notify the same to the local officer.

35. Power to Sell Land Which Has Been Acquired: In case the expropriated Landowner refuses to get back the land under Section 34, or is not traced, it may be sold to any other person.

36. Goods Not to be Returned If Not Lifted Within prescribed Time-Limit: In case the person permitted to lift the crop, tree or building or wall constructed on the land in accordance with the different provisions of this Act fails to do so with the prescribed time limit, the local officer may impound the same, and no claim by such person to such crops, trees, house, or wall shall be entertained.

37. Compensation to be Received within prescribed Time-Limit: In case the concerned person fails to receive compensation within the time limit prescribed for the purpose under the different provisions of this Act, or refuses to accept it, the local officer shall issue a notice prescribing a final time-limit of three months for receiving such compensation. In case the concerned person fails to receive compensation even within such time-limit, he/she shall not be entitled to any compensation.

38. Local Officer to Provide Assistance: Any officer who is empowered under this Act to perform any Action may request ' the chief district officer, or the police for assistance in the course thereof, and in that event, ' the Chief District Officer, or the police shall provide assistance.

39. Penalties: (1) In case any person opposes or obstructs any Action being taken under Section 6, or uses force the persons who are taking such Action, or assaults them, or destroys any equipment installed or erected, or erases or damages any marker or map installed or made in the course of such Action,

40. Authority to Hear Cases and Appeals: (1) The original jurisdiction in respect to offenses punishable under this Act shall be in the Chief District Officer. (2) Appeals against any decision made by the Chief District Officer under Sub-Section (1) shall be entertained ♣ in Court of Appeal within thirty five days.

41. **Government of Nepal to be the Plaintiff:** Government of Nepal shall be the plaintiff the in all case filed under this Act.

42. **Power to Frame Rules:** Government of Nepal may frame Rules to implement the objectives of this Act.

43. **Repeal and saving:** (1) The Land Acquisition Act, 1961 has been repealed. (2) Any Action taken for the purpose of acquisition of land under the Land Acquisition Act, 1961 at the time of commence of this Act shall be deemed to have been taken under this Act after the commencement thereof and may be continued as if it was started under this Act.

Day 4**Session: V.****1. Topic: Land Use policy of Nepal****Time:** 1 hr**2. Learning Objectives:** After completing this lesson the participants will be able to ;

- Explain the importance of land use policy with its main objectives.
- Assist to the APs where needed to guide as per land use policy.

Required materials: hand outs on the topics of discussion, masking tape or blue tack, markers, white board, LCD projector, Meta cards, flip chart.**3. Delivery approach:**

S.N.	Contents	Methodology	Time
1	Introduction of the policy	Lecture.	5
2	Land use Policy_7 and classification of land. a) Agricultural Area, b) Residential Area, c) Occupational Area, d) Industrial Area, e) Forest area, f) Public land area, e) Demarcated area for other use.	Discussion with PowerPoint	10
3	Land use policy explanation 7.1- 7.7	Discussion/power point presentation	30
4	Strategies for using land -8	Lecture/discussion	10
5	Wrap up of the session with major learning aspects and evaluation.	Lecture	5

4. Evaluation:

1. What are the objectives of land use policy?
2. Explain the classification of land according the land use policy.
3. What are the policies to strike balance in between environment and the development activities?
Explain them.

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Day 4
Hand Out : 5

6.4. Main Objectives of the land use policy.

- 6.4.1. Classification of land to optimize the use of land and sources from the land.
- 6.4.2. Encouraging to use land on the basis of protection, management,
- 6.4.3. Managing of land according to division of land and encouraging planned urbanization.
- 6.4.4. Maintaining balance in between development and environment.
- 6.4.5. Protecting land of geographical, cultural, religious, historical, tourist attracting places and others having special importance.
- 6.4.6. Preparing land use plan with consideration to address the land use policy.
- 6.4.7. Determining minimum valuation and land taxation in the basis of use of land.
- 6.4.8. Arranging (facilitating) to bring the land into use which is not in use.

7. Policy

7.1. To the optimum utilization of land and sources from the land, the land has classified as follow.

- a) Agricultural Area,
- b) Residential Area,
- c) Occupational Area,
- d) Industrial Area,
- e) Forest area,
- f) Public land area,
- e) Demarcated area for other use.

7.2. On the basis of classification, to encourage on protection , management and use of land the following policies are adopted.

- 7.2.1. The land will be used as per the identified classification.
- 7.2.2. To keep fertile land barren and use of agricultural land for non agricultural activities will be discouraged.
- 7.2.3. To maintain at least 40% forest of the total land of the country, government land. will be protected.
- 7.2.4. If private sector comes to conduct industries, residential and agriculture development, they will be assisted without unbalancing the land use policy.
- 7.2.5. The government can acquire any type of land as per the need for its infrastructure development projects.

7.3. To manage the division of land and to encourage the planned urbanization, the following policies will be followed.

- 7.3.1. Plotting (Chaklabandhi) of land and acquiring land for development, the land pooling system will be followed.
- 7.3.2. It will discourage the uncontrolled division of land.

- 7.3.3. As per the need, it will encourage to develop settlement areas and manage urbanization .
- 7.3.4. It will discourage to use the land against the standard of the policy by altering natural shape of the land

7.4. The following policy will be followed to strike balance in between environment and the development activities.

- 7.4.1. In urban areas, required minimum of open space and green areas will be maintained.
- 7.4.2. Identification of sensitive areas in view of environment and protection.
- 7.4.3. By maintaining the balance in between land, environment and development it will protect and promote biodiversity.
- 7.4.4. Keeping view in sustainable development and climate change , the development activities will be conducted.
- 7.4.5. It will discourage to establish settlement where the area is dangerous by the natural disasters.

7.5. The following policy will be adapted to protect the land of geographical, cultural, religious, historical, tourist attracting places and others having special importance.

- 7.5.1. It will protecting world heritage site.
- 7.5.2. It will protect and develop the important sites of historical, religious, and cultural

7.6. The following policy will be adapted to preparing land use plan with consideration to address the land use policy.

- 7.6.1. The land use plan will be prepared in steps and implemented accordingly.
- 7.6.2. Any development construction activities will be conducted as per the land use plan.
- 7.6.3. The land use policy will be incorporated in educational curricula to increase the awareness on land use policy.

7.7. The following policy will be adapted for determining minimum value and land tax on the basis of land use.

- 7.7.1. On the basis of identified areas and use the minimum value and tax will be determined of the land.
- 7.7.2. Additional tax will be imposed if the land is not used as determined and identified by the land use policy.

7.8. The following policy will be adapted to arranging (facilitating) and to bring the land into use which is not in use.

- 7.8.1. The land all in all is not in use ,could be obtained by any the prescribed means it will be used to draw optimum benefit from it.
- 7.8.2. The land is under prescribed area of land use but not in use will be used for other purpose.

8. Strategies and working policies.

8.1. To activate the policy of classification of land policy the following mentioned strategies and working polices will be adapted.

8.1.1. The land will be classified in given basis below.

- a) Land formation, capacity and appropriateness: on this basis to draw the optimum benefit land use zoning will be determined.
- b) The existing basis of land utilization: if the condition is out of land classification, the land will be classified as per the use of land in the present condition.
- c) Need basis: For public purpose and to carryout development activities, the land will be utilized differently than the classified in policy.

8.1.2. High mountainous land, it will be encouraged to use as planting of herbs , orchid firm development and pasture land .

8.1.3. The inhabitant of Himalaya and high mountain area will be relocated in the concept of urbanization and the land which is being vacated will be utilized to develop agriculture, herbs forest, mining, tourism and etc areas will be development.

8.1.4. The land that have irrigation facility and having ample possibility it will encourage to farm in the land.

8.1.5. Controlling of Uncontrolled and unplanned expansion of industrial and commercial activities for planned , scientific and environmental friendly development and expansion of corridors and more will be planned and developed .Likewise for the residential purpose the land will be developed in certain distance.

8.1.6. For the people with land less and less land holding an special area will be identified to conduct the program for their settlement.

8.2. The following strategies and working policies will be adapted to protect , manage and to encourage use of land on the basis of classification of land.

8.2.1. Notice for all will be published on, to utilize the land according to the classification of land.

8.2.2. For certain reason, the alteration of use of land will be arranged by the institutional mangement. If found not used the land as per classification and without permission the alteration of use is punishable.

8.2.3. It will be encouraged for commercial farming, cooperative farming, contract farming etc.

Topic: Land Acquisition, Compensation, Resettlement and Rehabilitation Policy-**1. Sub topic:** Land Acquisition

2. **Learning Objectives:** After completing this session the participants will be able to;

- Explain the land acquisition policy of Nepal.
- Follow the procedure while acquiring land

Required materials: hand outs on the topics of discussion, masking tape or blue tack, markers, white board, LCD projector, Meta cards, flip chart.

3. Delivery approach:

S.N.	Contents	Methodology	Time
1	Introduction of LA ,R&R policy	Lecture.	10
2	Formation of Groups: 3 groups Group I : Objectives and principles Group II SIA : Social Impact assessment Group III: Land acquisition policy and procedure	Discussion with PowerPoint	
3	Study and Presentation Preparation	Discussion/power point presentation	30
4	Presentation	Lecture/discussion	40
6	Wrap up of the session with major learning aspects and evaluation	Lecture	5

4. Evaluation:

1. In which situation project affected person complains?
2. What are the major aspects of Land acquisition act? Explain.
3. Which section of the law is about negotiation to acquire land?

1.BACKGROUND

Nepal is facing serious challenges for smooth and timely completion of infrastructure projects. One of the main reasons for delay in timely completion of project is land acquisition, resettlement and rehabilitation. In absence of any national policy on resettlement and rehabilitation, there are no single guidelines available to various ministries and executing agencies to address the issues related to R&R at the field level.

Despite positive benefits of public infrastructure development such as hydro power projects, roads/highways, irrigation projects, infrastructure and urban development activities, the construction of these projects has many adverse impacts such as loss of land and structures due to land acquisition, involuntary resettlement of the affected people and loss of income and livelihood sources. While meant to be harbinger of development, such Projects can also result in destruction of production system, loss of productive assets and sources of income, weaken community institutions and social networks, cultural identification, traditional rights and mutual cooperation. Experience gained so far shows that community and groups, which are economically and socially vulnerable are most affected as a result of these impacts.

This Resettlement and Rehabilitation Policy for Development Works and Public Infrastructure 2013 has been drafted to effectively resettle and rehabilitate the affected households and communities by restoring their lost assets, resources and means of livelihoods to pre-project level and to facilitate the management of development projects by maintaining uniformity in distribution of compensation, resettlement and rehabilitation works.

This policy aims to make the resettlement and rehabilitation of affected communities a more humane, participatory, informed and transparent process. The policy will ensure that the land acquisition and valuation process is scientific, timely and realistic.

1. POLICY OBJECTIVE

The key policy objective is Avoidance, Minimization and Mitigation as stated below:

- (i) To avoid, and when avoidance is not possible, minimize project impacts.
- (ii) To mitigate adverse impacts of projects on social and economic aspects of affected households and communities; and
- (iii) To maximize opportunities for social benefits in the Project area

2. POLICY

1. To screen the projects early on to identify project impacts and risk resulting from land acquisition leading to involuntary resettlement, land lease or purchase through negotiated settlement.
2. To ensure that the executing agency has carried out meaningful consultations with affected persons, project impact communities, and concerned non-government organizations with a particular attention to the needs of vulnerable groups, especially those below the poverty line (BPL), the landless, the elderly, women and children, indigenous people and those without legal title to land.
3. To ensure executing agency has established a grievance redressal mechanism to receive and facilitate resolution of the grievances of the affected persons and communities.
4. To ensure executing agency has well-developed plans and adequate resources allocation to ensure improvement or at least restoration of the livelihoods of all project affected persons.
5. To develop procedures in a transparent, consistent and equitable manner if land acquisition is through negotiated settlement so as to ensure that people who enter/ sell via negotiated settlement, continue to maintain the same or better income and livelihood status.
6. To provide Land for land, if possible, as compensation to those affected households who become marginal farmer due to the project impact.
7. To design social inclusion programs by means of additional support and assistance for socio economic improvement of deprived groups such as Dalit, under privileged indigenous nationalities and single women
8. To ensure that affected persons without titles to land or any recognizable legal rights to land are also eligible only for resettlement assistance and not compensation for land. However, they will be paid compensation for loss of non-land assets.
9. To prepare mitigation plans such as Resettlement Plan (RP), if required.
10. Pay compensation and provide other resettlement entitlements prior to physical or economic displacement of the affected households

11. To ensure resettlement of the displaced people, to the best possible extent, within the periphery of their existing settlements with the exception of those who are voluntarily willing to be resettled at other places, in a bid to minimize displacement.
12. Monitor and assess resettlement outcomes, their impacts on the standards of living of displaced persons, and whether the objectives of the resettlement plan has been achieved by taking into account the baseline conditions and the results of resettlement monitoring.

prepare a new R&R Act.

5. OPERATIONAL PROCEDURES (Working policies)

5.1 Screening and categorization of projects

Prior to the acquisition of land, at the preparatory stage, an initial screening of the proposed project will be done so as to assess the nature and extent of Project impacts and associated involuntary resettlement risks. In line with this initial screening, the Project shall be divided into following categories:

- 5.1.1 Project with **High R&R Risks** (meaning a project, which renders physical and/or economic displacement of 50 or more families in mountains, 75 or more families in hills and 100 or more families in Tarai). The Department will prepare the resettlement and rehabilitation plan and will submit the same to the concerned Ministry for approval.
- 5.1.2 Project with **moderate or low R&R Risks** (meaning a project which renders physical and/or economic displacement of less than 50 families in mountains, less than 75 families in hills and less than 100 families in Tarai). The Department will approve the resettlement and rehabilitation plan.
- 5.1.3 Project **with no risk impact** (meaning there is no physical displacement or loss of livelihood). In this case the executing agency will make only land acquisition and compensation plan. The Department will approve the land acquisition and compensation plan.

5.2 Social Impact Assessment (SIA)

5.2.1 Whenever a Project intends to acquire land for a public purpose, which entails involuntary resettlement, a social impact assessment (SIA) shall be undertaken in the area in consultation with the affected villages, households and village leaders. The Social Impact Assessment shall include the following:

- Estimation of affected households and number of families likely to be displaced both physically and economically.
- Extent of land, structures, and other assets likely to be affected by proposed acquisition
- Whether the extent of land proposed for acquisition is the absolute bare minimum extent needed for the project
- Whether land acquisition at an alternate place has been considered and not found feasible;
- To understand the social, economic, cultural demographic structure of the communities within the project impact area.

- The nature and cost of addressing the social impacts, the cost implications within the overall cost of the project vis-à-vis the project benefits.

5.2.2. Appraisal of SIA

The concerned Ministry will review the SIA for all high risk projects with a support of a multi-disciplinary Expert Group comprising of independent Social scientists, R&R expert and technical expert on the Project. This Expert Group shall review the SIA and shall make specific recommendation whether the extent of land proposed to be acquired is absolute bare-minimum extent needed for the project and whether there are no other less displacing alternative available. The SIA for medium /low risk and no risk project the R&R unit with the department will approve the same.

5.3 Land Procurement for project

Land may be procured through one of the four ways: i) voluntary donation, ii) direct negotiation, iii) land development program, and iv) land acquisition.

(i) Voluntary donation

Projects requested by the community and where the affected persons will directly benefit from the projects, land may be obtained through voluntary donation. Voluntary donation of land will take place only when:

- Land owner donates 10% or less of his/her owned land
- Land owner does not belong to member of the disadvantaged and marginalized community as identified by the social impact assessment of the Project
- Land owner does not fall under marginal farmer after donation of the land
- The whole process of consultation, participation and information dissemination of the project is open and transparent and the owner is fully informed of his/her rights
- If written agreement is made in the presence of a third party willingly and with one's own free choice without seen or unseen pressure, intimidation, threat, or force from either local body, individual, community or authorities of the project while deciding to donate the land
- If agreement is made during pre-feasibility and feasibility study phase with respect to measurement of land, plot delineation and ownership transfer, and only formalities are to be completed during detail design phase.

(ii) Purchase/Acquisition of land through Direct Negotiation

The land can be obtained through direct negotiation with due notification to the landowner. While obtaining land and assets through direct negotiation, meaningful consultation will be held with the affected owner and those concerned irrespective of legal title. The entire process of negotiation has to be transparent and documented. A third party consisting of project beneficiaries and a resettlement specialist will observe the process.

(iii) Land Development Programme:

Land may be acquired according to Land Development Programme under the condition that the executing agency has prioritized necessary land acquisition to be acquired through Land Development Programme and that the majority of affected landowners have expressed in writing the willingness to participate in the land development programme.

(iv) Land Acquisition

Land may be acquired by providing compensation for it on the basis of current land acquisition Act after preparing a Land Acquisition, Compensation, Rehabilitation and Relocation plan.

5.4 Transfer of ownership

All the project-affected families will be given certificates for the use of the land in the relocation areas. The project developer will bear all the expenses incurred in preparing survey maps, registration, ownership transfer and distribution of the certificate.

Day: 5
Session -II

Topic: Land Acquisition , Resettlement and Rehabilitation Policy-

1. Sub topic: Plan Preparation

2. Learning Objectives: After completing this session the participants will be able to;

- Prepare plan as per the policy for
- Follow the procedure while acquiring land

Required materials: hand outs on the topics of discussion, masking tape or blue tack, markers, white board, LCD projector, Meta cards, flip chart.

3. Delivery approach:

S.N.	Contents	Methodology	Time
1	5.5 Preparation of land acquisition and compensation plan What aspects should be in this plan : Social Survey and survey for loss determination and data base preparation, Base line survey to determine the economic status and land holding data base preparation.	Lecture/Discussion	10
2	5.6 Preparation of Resettlement and Rehabilitation plan Major features of Plan: Area selection with APs, resettlement area demarcation, development,	Discussion with PowerPoint	10
3	Formation of groups. Instruction to group: Group I will prepare the outline of the Land acquisition and compensation plan. Group II will prepare outline of resettlement and rehabilitation plan.	Discussion/power point presentation	10
4	Presentation from the group	Lecture/discussion	40
6	Wrap up of the session with major learning aspects and evaluation	Lecture	5

4. Evaluation:

1. In which situation project affected person complains?
2. What are the major aspects of Land acquisition act? Explain.
3. Which section of the law is about negotiation to acquire land?

Day 5

Session II

Hand Out -II

5.7 Preparation of land acquisition and compensation plan

Project **with no risk impact** (meaning there is no physical displacement or loss of livelihood), the executing agency will make only land acquisition and compensation plan which will include the following details:

1. Inventory of all affected HH with details of asset being impacted
2. Details demonstrating that project impact is not leading to physical displacement of direct or indirect impact of livelihood.
3. Details of any community based assets , getting affected.

5.8 Preparation of Resettlement and Rehabilitation plan

5.6..1 A Resettlement and Rehabilitation (R&R) Plan will be prepared based on the census survey at the time of project preparation. The executing agency will use service of competent and experienced experts for undertaking preparation of the R&R Plan. The R&R plan preparation shall be undertaken in consultation with the displaced/affected households, village leaders and representatives, social activists and civil society members This Plan may be updated in line with the changes made in the engineering design. While planning the project, the entire estimated cost of the rehabilitation and resettlement plan will form an integral part of the cost of the project for which the land is being acquired.

5.6.2 Disclosure of LA Plan and R&R Plan: The land acquisition and compensation plan as well as the resettlement plan shall be disclosed to the displaced households and their views on the proposed R&R measures will be taken. The disclosure will be done in simple language and media, understandable to the affected households and target communities.

1. Topic: Valuation of affected assets and additional support.**Time:** 1 hr.30 minutes**2. Learning Objectives:** After completing this session the participants will be able to;

- Facilitate the procedure of valuation
- Identify the condition of benefit sharing annually or one time.

Required materials: hand outs on the topics of discussion, masking tape or blue tack, markers, white board, LCD projector, Meta cards, flip chart.

3. Delivery approach:

S.N.	Contents	Methodology	Time
1	5.9 Valuation of affected assets 5.7.1 While evaluating and fixing the compensation of land (with house and other assets on it) the CDC will use the criteria as given in the hand out.	Lecture/Discussion	20
2	5.7.2.While valuating homestead land the criteria will be adopted as given in the handout (derived from the policy)	Discussion with PowerPoint	20
3	5.7.3 While evaluating and fixing the compensation of house particular attention will be paid to the criteria given in the hand out.	Discussion/power point presentation	20
4	5.10 Additional assistance and benefit sharing will be carried out as given in the hand out. (this a part of the policy)	Lecture /discussion	15
5	Wrap up of the session with major learning aspects and evaluation	Lecture	5

4. Evaluation:

1. In which situation project affected person complains?
2. What are the major aspects of Land acquisition act? Explain.
3. Which section of the law is about negotiation to acquire land?

Valuation of affected assets.

5.7.1 While evaluating and fixing the compensation of land (with house and other assets on it) the CDC will use the following criteria:

- Market value / set reference value
- Official (government) valuation of land at present
- Hiring of independent valuers to assess the value of land
- Value of crop and structures such as house, sheds, wall and other structures on land, if any (without any depreciation on structures)
- The geographic location (or advantage of location) of land and its strategic, economic, social and cultural importance
- The proportion of parcel to be acquired and the usability/un-usabile of the remaining land parcel
- The status of AP with respect to whether s/he has other land and/or house and the economic and social impact due to loss of the particular land

5.7.2 While valuating homestead land the following criteria will be adopted:

- Access to temporary/permanent/Highway
- Aspect of land according to geographic location
- Potential commercial/industrial use of land
- Touristic and religious importance of land
- Ideal land for housing/settlement
- Site and situation of land e.g., upland, lowland or depression

5.7.3 while evaluating and fixing the compensation of house particular attention will be paid to the following criteria:

- No depreciation on any structure
- Use of standard unit rate as prescribed by the concerned government line agency
- If the standard unit rate needs to be revisited based on replacement value, CDC is authorized to do the same for the project.
- Any other timely criteria identified by the CDC.

5.11 Additional Assistance.

In addition to the compensation provisioned in this policy, additional assistance provision and resettlement and rehabilitation facilities such as housing facilities, transport facilities, facilities for transporting construction materials, transferring business, rental assistance and priority in employment, will be fixed for project-affected individuals on the basis of social impact

assessment (SIA). Additional support will be provided in line with the provisions stated in the resettlement and rehabilitation plan to adequately and effectively address the Project impacts on seriously affected households and to support their resettlement and rehabilitation. Additional Support and assistance will be provided in line with the resettlement and rehabilitation plan, to the underprivileged groups- especially dalits, marginalized indigenous or ethnic groups or women headed households.

5.12 Compensation, Assistance and Benefit Sharing

5.9.1 For project like transmission and distribution line, water distribution network, underground telecommunication etc where the land is used by the project but is still accessible to the owner for regular use, the policy recommends that an agreement will be reached between the land owner and the project holding agency for annual payment to the land owner for use of his asset for the project. A benefit-sharing plan will be developed for the project giving details of such arrangements under Benefit sharing model.

5.9.2 If the land acquisition and/or resultant impact, the remaining plot becomes economically unviable, the project will acquire the total land plot and the compensate the landowner as per the norms stated in the policy. .

5.9.3 In cases wherein, a building or a physical infrastructure is partially affected, with the remaining structure remaining viable for use, the affected person will be compensated in cash amount only for the affected portion and additional money will be provided to renovate the remaining parts of the affected structure. However, if the remaining part of the building becomes unfit for use as a result of partial impact, the project would acquire the total building by compensating the building owner on the basis of market replacement value of structure to be calculated in line with the construction type of the structure without depreciation.

5.9.4 Affected person shall be allowed to take salvaged material from the demolished structure at no costs.

5.9.5 In case of loss of standing crop and fruits, the Project will provide cash compensation for loss of the same at current market value of mature crops to be determined in consultation with the Department of Agriculture. However, in case of loss on horticulture or on commercial production of fruits, the farmer will be compensated on the basis of a loss assessment at prevalent market rate.

5.9.6 The loss of trees, plants, logs, firewood and grasses on private land will be compensated as per the standards set by the Department of Forest in the district.

5.9.7 In case of loss of crops and grasses, the local market rate for a year's production will be provided as compensation. The standards set by the Department of Agriculture will be followed to measure the production.

5.9.8 In cases where in the land is temporarily acquired for the Project, the compensation will be determined based on the net loss of income incurred by the affected owner as a result of the temporary acquisition and the damage of the standing crops or trees, grasses. The same shall be compensated in cash based on current market value. The Project will also be responsible for restoration of the temporarily acquired land to its previous or better quality.

5.9.10 If the land occupied by irrigation or any other facility is not acquired but damaged as a result of the Project and rendered out of operation, the same will be restored to operational state

5.9.11 The compensation amount will be paid through a bank cheque after the applications for compensation along with the land ownership certificates are submitted at the district administration office or at the project office. Other cash entitlements and assistance will be paid at the local levels in the presence of representatives from local non-government organizations, social activists and project-affected people, among others.

5.9.12 Compensation will be given to women in case of loss of the enterprises run by women themselves.

5.9.13 If an affected landowner fails to claim the compensation within the given period, the compensation amount will be provided to his/her spouse or any other person who is a legitimate claimant, as per the existing laws, on the condition that the chief of the local authority proves that the person is legitimate claimant. In addition, a clear reason for the failure of the affected landowner to be present to claim the compensation will also need to be provided.

5.9.14 If landowners fails to claim the compensation in accordance with the policy, the compensation amount for such landowners, whom the local authorities such categories as 'absentee landowner', shall be deposited at the stated bank account. If no one, lays claim to the compensation deposited in the bank account for five years from the date of bank deposit, public notices will be issued three times, within a gap of at least a month, in national dailies seeking claimant for the amount. After that, the unclaimed amount will be deposited in the government account. After that, no further claim on this compensation shall be entertained.

The Project shall ensure payment of compensation and other resettlement assistance before physical and economic displacement of the affected households and prior to signing the construction contract agreement/initiation of construction work

5.9.15 The task of updating map records, mapping of plots etc. will be done prior to compensation disbursement by the Project agency and depositing the amount of absentee landowners in a bank account.

Day 5**Session –IV**

1. Topic: Consultation, participation and information dissemination, relocation and livelihood restoration

Time: 1 hr.

2. Learning Objectives: After completing this session the participants will be able to;

- Facilitate the procedure of information dissemination.
- Identify the condition of relocation and livelihood restoration

Required materials: hand outs on the topics of discussion, masking tape or blue tack, markers, white board, LCD projector, Meta cards, flip chart.

3. Delivery approach:

S.N.	Contents	Methodology	Time
1	Information dissemination procedure: Meaningful consultations and its impact	Lecture/Discussion	20
2	Relocation : Condition of relocation areas, Approach of relocation Single resettlement, Indigenous population resettlement., Area development and others requirements.	Discussion with PowerPoint	40
3	5.13 Livelihood restoration The resettlement and rehabilitation measures for the displaced households and communities will be prepared with a view to either improve or maintain or restore their lives and livelihoods to pre-project levels. All high-risk project will have a dedicated livelihood restoration plan with allocated resources.	Discussion/power point presentation	10
4	5.14 Social Inclusion : Resettlement would be regarded as an opportunity for development for those affected especially the vulnerable households	Discussion/power point presentation	10
5	Wrap up of the session with major learning aspects and evaluation	Lecture	10

4. Evaluation:

1. What should be in meaningful consultation?
2. Explain the provisions of relocation.
3. What are the main procedure to disseminate the information ?
4. Explain the procedure livelihood restoration.

Day 5
Session IV
Hand Out. 4

5.15 Consultation, participation and information dissemination

Meaningful consultations will be conducted in the Project area with the affected persons, local village representatives, village leaders, vulnerable groups, concerned nongovernment organizations during the entire Project cycle. Project executing agency will inform the Project details, Project objectives, possible impacts, Project timeline, proposed compensation and resettlement and rehabilitation provisions to all key stakeholders including affected households, especially the women and vulnerable groups. Such information will also be disseminated by means of public gathering and community level consultations, to be organized at the village-level Participation of elected office bearers of local bodies will also be solicited during the census survey of the affected households, collection of details about affected properties and affected individuals and families. In projects with significant impact on vulnerable groups, apart from participation and consultation, continuous participation of these groups in the decision-making process of the R&R plan formulation will also be ensured. The project executing agency will make resettlement related documents by posting them on public places (including website) accessible to the affected households and other stakeholders

Documentation will be done of all consultations detailing the date, venues, information provided during these consultations and the main issues of discussions. If any public notices are issued, then copies of the same would also be attached with the consultation documentation.

5.16 Relocation

5.11.1 If as a result of displacement, there is a need for relocating all the population of a particular community or an area, efforts will be made to rehabilitate all these households together at a single resettlement area so that their socio-cultural and economic relations are not disrupted. Care will be taken to ensure that the identified resettlement area is safe from any environmental hazard or natural disaster. Further key amenities in form of community facilities (school, health facilities and religious places etcetera) and other basic services (drinking water, sewage, electricity and telephone etcetera) will also be made available in this area.

5.11.2 Underprivileged indigenous nationalities or dalit groups will be rehabilitated to dense locality in the vicinity of their natural habitats so that their ethnic, linguistic and cultural identities as well as socioeconomic network remain unaffected.

5.11.3 The Project shall ensure that resettlement areas are well-developed prior with all necessary amenities prior to relocating the project-affected households from their settlements. The selection of a resettlement area for cultivation should be based on a detailed study and also keeping in mind the land's prospects from the perspective of sustainable agricultural production. Specific area for cultivation should be developed with a plan that would make it possible to avail some plots to build houses, an area for harvest, a place for cattle farming and some space to grow vegetables.

5.11.4 The displaced households will be encouraged to maintain good social and economic relations with the locals (host population) at the resettlement areas so as to reduce possible negative impacts and facilitate harmonious relationships amongst them. Local non-government organizations (NGOs), community-based organizations (CBOs) and social activists will be mobilized to facilitate the relocation of the project-affected households to the resettlement areas.

5.11.5 In cases wherein the project leads to adverse impact on any community facility and resources such as irrigation supply, drinking water supply, sewage, grazing land, spiritual or religious place or building, school, meeting venue, market place etcetera, the same shall be restored to its original form by the Project. Alternatively, total money needed to reconstruct or restore the affected community facility will be provided to the affected community or the concerned group responsible for maintenance of the facility

5.11.6 A tension might surface between the resettled people and local host communities as a result of the infrastructural development provisions, services and other resettlement measures made available to the affected resettled households. In order to facilitate harmonious relations between the resettlers and the host communities and avoid any tensions, the host community will also be provided access to the public services and infrastructure created in the resettlement area.

5.11.7 Land will be acquired for the creation of resettlement site in case sufficient public land is not available for this purpose.

5.17 Livelihood restoration

The resettlement and rehabilitation measures for the displaced households and communities will be prepared with a view to either improve or maintain or restore their lives and livelihoods to pre-project levels. All high-risk project will have a dedicated livelihood restoration plan with allocated resources.

5.18 Social Inclusion

Resettlement would be regarded as an opportunity for development for those affected especially the vulnerable households. The holistic development of the vulnerable groups will be an integral part of R&R plan and measures. Need-based schemes relating to saving, credit, income generation and training shall be incorporated in each R&R Plan for improving livelihood of local laborers, socio-economically vulnerable groups, women, janjatis and other deprived people, shall be conceived and implemented through social mobilizers or community based organizations. The underprivileged indigenous community, ethnic community, dalits and women-headed households (in cases wherein they have traditional practice of catching fish) will be provided fishing rights and facility of running fish farming or catching fishes in

limited area of the reservoirs or dam constructed by project, without harming the environment. All projects will make efforts to address gender issues in a most pragmatic manner. All high-risk projects will hav

Day 5
Session – V

1. Topic: Institutional Mechanism

Time: 1 hr.

2. Learning Objectives: After completing this session the participants will be able to;

- Identify the proper institutional mechanism for proper type of work to carry out in R & R.
- Identify different institutional mechanism for resettlement and rehabilitation works and their responsibilities.
- Follow the procedure for grievances handling.

Required materials: hand outs, masking tape or blue tack, markers, white board, LCD projector, Meta cards, flip chart.

3. Delivery approach:

S.N.	Contents	Methodology	Time
1	District land valuation Committee, and District Compensations Determining Committee and their composition with their responsibilities.	Lecture/Discussion	20
2	6.3.1 Resettlement and Rehabilitation (R&R) unit at Department level (to be referred as executing agency). Resettlement and Rehabilitation (R&R) unit at concerned Ministry level. 6.3.3 Resettlement and Rehabilitation (R&R) unit at project level.	Discussion with PowerPoint	20
3	6.4 Grievance redresses Mechanism Tier I : Project level Grievance Redressal Committee (GRC) headed by Project Manager and responsible for : Tier II : District level Grievance Redressal Committee (GRC) headed by CDO responsible for handling grievances related Tier III: Regional level Grievance Redressal Committee (GRC) headed by Regional Administrator and will be responsible for to the following. Open to court: If the AP is not satisfied with the decision of the Regional Level Grievance Committee, shall have the right to appeal to the Court of Appeal within 35 days of the decision communicated.	Discussion/power point presentation	30
4	6.5 Monitoring and evaluation Arrangements, Review Panel and policy update.	Discussion/power point presentation	10
5	Wrap up of the session with major learning aspects and evaluation	Lecture	10

4. Evaluation:

- 1 What are grievances addressing mechanism/
2. Mention the function of valuation Committee.
3. How this policy is addressed to maintain the quality of the project? Mention it with your justification.

Day 5
Session – V
Hand out: 5

6. INSTITUTIONAL MECHANISM

6.1 District Land Valuation Committee:

District Land Revenue Office at the beginning of every fiscal year will constitute a District Level Valuation Committee and this committee will publish single reference value of each category of land in the given district. CDC will refer the same value while calculating compensation for affected asset under a project. The district level valuation committee will comprise of:

- a) Chief District Officer - Chairman
- b) Local Development Officer - Member
- c) Chief, Inland Revenue Office- Member
- d) Chief (maximum five offices relating to development works)- Member
- e) District Treasury Controller - Member
- f) Chief of Land Survey Office - Member
- g) Representatives (maximum five among major political parties) - Member
- h) Representative of local Chamber of Commerce and Industry - Member
- i) Manager, local Commercial Bank- Member
- j) Chief of Land Revenue Office - Member-secretary

6.2 Compensation determination Committee (CDC)

CDC will be responsible for fixing the compensation value for all affected assets. CDC will use the valuation criteria as stated in the policy. For operational purpose CDC may form a task force for assessing the value of assets affected by the project. CDC will compromise of:

- a) Chief District Officer – Chairman
- b) Representative of DDC
- c) Chair of concerned VDC/Municipality
- d) Chief land revenue office of the district
- e) Project head: as member secretary

CDC can invite respective representative of the national assembly, representative of APs and resettlement specialist as special invitee.

6.3 Resettlement & Rehabilitation Unit

6.3.1 Resettlement and Rehabilitation (R&R) unit at Department level (to be referred as executing agency).

A dedicated R&R unit headed by 2nd or 3rd class officer will be established at the executing agency level. This unit will consist of a resettlement specialist and a monitoring specialist. At early stage of the project cycle the unit will be responsible for all preparatory work and ensuring project is prepared in compliance with policy requirement. The unit will be responsible to guide and monitor the performance of the project level R&R unit and ensure it implement the project as per the policy. Dedicated resources will be allocated by the executing agency for smooth and effective functioning of the R&R unit.

6.3.2 Resettlement and Rehabilitation (R&R) unit at concerned Ministry level.

A dedicated R&R unit headed by 2nd class officer will be established at the Ministry level. The unit will consist of a resettlement specialist and a monitoring specialist. The unit will be responsible to monitor the performance of the Department level R&R unit and ensure compliance with national policy. All resettlement related documents of projects will high risk will be submitted by Department R&R unit for approval by the R&R unit of the concerned ministry.

6.3.3 Resettlement and Rehabilitation (R&R) unit at project level.

The structure and human resource allocation of R&R unit at project level will depend on the impact of project and details will be provided in the R&R plan. The department level R&R unit will ensure timely establishment of the project level R&R unit.

6.4 Grievance redressal Mechanism

The policy proposes three tier grievance redressal mechanism.

Tier I : Project level Grievance Redressal Committee (GRC) headed by Project Manager and responsible for :

- Grievances of APs related to RP preparation and implementation
- Adjustment of project scope including determining influence zone,

Depending on the nature of grievances, and if unresolved at project manager level, the same will be referred to 2nd tier of GRM which is District level Grievance redresses committee

Tier II : District level Grievance Redressal Committee (GRC) headed by CDO responsible for handling grievances related to the following.

- Valuation
- Equitable distribution of payment
- Omission or mistakes
- Any other grievance forwarded by project level GRC.

This GRC will comprise of (CDO as the Chair, DDC representative, official government advocate, resettlement specialist). If the AP is not satisfied with the decision of the District Level Grievance Committee, shall have the right to appeal to the 3rd tier Regional Level Grievances Committee within 35 days of the decision communicated by district level GRC.

Tier III: Regional level Grievance Redressal Committee (GRC) headed by Regional Administrator and will be responsible for :

- Valuation, compensation
- Equitable and timely distribution of payment
- Scope and area of influence

The committee will be headed by Regional administrator as Chair, Jt. Secretary of concerned ministry, legal expert, resettlement specialist, R&R unit head of concerned department. This committee will have the discretion of holding grievances hearing at the site. If the AP is not satisfied with the decision of the Regional Level Grievance Committee, shall have the right to appeal to the Court of Appeal within 35 days of the decision communicated.

6.5 Monitoring and evaluation

The policy proposes two level monitoring systems. The first level of monitoring will be at the project level as detailed out in the resettlement plan. For all high risk projects, the department will hire an external monitoring agency with specialization in R&R which will undertake annual monitoring and will submit the report to the executing agency and to the concerned ministry and to the National Planning Commission. The concerned Ministry will also monitor the high and medium risk projects. All private sector and PPP projects will engage independent external monitoring agency for review and assessment of the R&R aspects of the project. These project will also be reviewed and monitored by the R&R unit of concerned Ministry.

6.6 Review Panel

A review panel shall be formed by NPC to oversight the trends, risk, benefits of the infrastructure project and effectiveness of the R&R policy in addressing challenges associated with R&R issues for infrastructure projects. The panel will provide feedback to the concerned ministries and department for effective planning and implementation of R&R.

The review panel shall comprise of the following:

- a) Member of National Planning Commission (who looks after the concerned area) - Chairman
- b) Chief of unit at the ministry concerning to the project- Member
- c) Chief of concerned department - Member-secretary

7. Policy Update

The National R&R policy will be reviewed on an ongoing basis and will be updated after every five years.

Day: 6.
Session: I

1. Topic: ADB Social Safe Guard Policy

Time: 1 hr. 30 Mins.

2. Learning Objectives: After completing this session the participants will be able to;

- Identify the major policies on safe guard ADB.
- Explain the social safe guard requirements in the project level and improve where the compatibility in the policy is not up to the standard level to international donor agencies.

Required materials: hand outs on the topics of discussion, masking tape or blue tack, markers, white board, LCD projector, Meta cards, flip chart.

3. Delivery approach:

S.N.	Contents	Methodology	Time
1	Major Aspects of Social Safeguard policies of ADB The operational policies of the Asian Development Bank (ADB) include three safeguard policies: the <i>Involuntary Resettlement Policy</i> (1995), the <i>Policy on Indigenous Peoples</i> (1998), and the <i>Environment Policy</i> (2002).	Lecture/Discussion	40
2	<p>CHANGING CONTEXT</p> <p>8. Asia and the Pacific, the most populated and fastest-growing region in the world, is undergoing dramatic social and environmental changes. Concerns have grown about the long term sustainability of development in many Asian countries. Rapid industrialization and urbanization, coupled with increased demand for natural resources, are triggering changes in land use and human settlement, declining water quality and quantity, loss of biodiversity, deforestation and desertification, elevated pollution levels, and negative impacts on human health.</p> <p>.Of the 250 million Indigenous Peoples in the world, some 70% are in Asia and the Pacific. Some 120 languages have become either</p>	Lecture Discussion	40

	endangered or extinct, demonstrating the threats to the culture and integrity of Indigenous Peoples. The challenge of preventing further impoverishment resulting from environmental degradation and involuntary resettlement, acknowledging the special needs and respecting the rights of Indigenous Peoples and other vulnerable groups, and improving the policies and building the capacity of DMCs to manage these impacts is acute.		
6	Wrap up of the session with major learning aspects and evaluation	Lecture	10

4. Evaluation:

1. Would you please explain the major social safeguard policies?
2. What should be in the project planning regarding the social safe guard areas? Could you please explain it.
3. Indigenous population need safe guard in different areas while acquisition of land for the projects, How do you made indigenous people friendly project planning without losing the efficiency of the project . Please explain your ideas.

I. BACKGROUND AND INTRODUCTION

1. The operational policies of the Asian Development Bank (ADB) include three safeguard policies: the *Involuntary Resettlement Policy* (1995), the *Policy on Indigenous Peoples* (1998), and the *Environment Policy* (2002). All three safeguard policies are due for revision. ADB needs to address emerging environmental and social challenges of development in its developing member countries (DMCs), respond to lessons learned from its experience with its current safeguard policies, and adapt to its new lending modalities and financing instruments. In addition, ADB policies need to reflect changing best practices of other multilateral financial institutions (MFIs) and of private sector institutions such as the equator principles financial institutions.¹ In December 2004, ADB management approved a concept paper for a safeguard policy update (SPU) to enhance the effectiveness of ADB's safeguard policies and to ensure

that these policies remain relevant to changing client needs and to new business opportunities.

2. The SPU has sought to (i) better articulate the safeguard policies to improve their clarity, coherence, and consistency; (ii) balance a front-loaded procedural approach with one also focused on results during implementation; (iii) adapt policy implementation to an evolving range of lending products and innovative financing modalities; (iv) work toward greater harmonization with safeguard practices across MFIs and tailor safeguard approaches to different clients with varying capacities; and (v) improve internal processes and resource allocation.

3. The SPU has resulted in a consolidated policy with the following structure: (i) A safeguard policy statement (SPS) that describes common objectives of ADB's safeguards, lays out policy principles, and outlines the delivery process for ADB's safeguard policy. The SPS is designed for application to current and future lending modalities and caters to the varying capacities and needs of DMC clients in both the public and private sectors. (ii) A set of specific safeguard requirements that borrowers/clients are expected to meet when addressing social and environmental impacts and risks. Through their due diligence, review, and supervision ADB staff will ensure that borrowers/clients comply with these requirements during project preparation and implementation. Over time ADB may adopt additional safeguard requirements or update existing requirements to enhance effectiveness, respond to changing needs, and reflect evolving best practices.

(iii) A consolidated *Operations Manual* section that specifies ADB's internal review procedures for due diligence and for supervision throughout the project cycle.

4. Once approved by the ADB Board of Directors, the SPS and the safeguard requirements for borrowers/clients will supersede the three current safeguard policies and the new OM section will supersede the existing OM Sections F1, F2, and F3. ADB will update its *Handbook on Resettlement*² and *Environment Assessment Guidelines* (2003) and prepare a handbook on Indigenous Peoples to provide detailed technical guidance and recommend good practices.

5. A consultation draft of the SPS was posted on ADB's website in October 2007 for external consultations. During the consultation period (November 2007 through April 2008), ADB received extensive comments and detailed suggestions through the 14 multi stakeholder consultation workshops held in the region and outside. ADB also received feedback from numerous written submissions, thematic discussions, and informal meetings and teleconferences. All comments received before the close of the consultation period were posted on ADB's website. To be responsive to the wide range of comments, ADB management decided to prepare a second draft of the SPS based on the comments and suggestions received from external consultations and hold another consultation workshop in Manila for stakeholders to have an opportunity to review the revised documents.

6. The second draft of the SPS was made available for public comments on ADB's website from 3 October to 4 December 2008. A detailed comments-response matrix was posted on ADB SPU website on 9 October 2008, which includes comments received from the 14 country/subregional consultations and written submissions during the comment period of 12 October 2007–30 April 2008. The preliminary draft safeguard review procedures (draft Operations Manual) were made available on 24 October 2008. In addition, as requested by many stakeholders, a draft glossary of terms was also posted on the web. Consultation workshops on the second draft SPS were held 18–21 November 2008 in Manila, to allow a comprehensive and substantive discussion of the second draft SPS with an emphasis on ADB's response to stakeholder comments on the consultation draft of the SPS (see ADB SPU website for a report on the stakeholder consultations).

7. The working paper of the SPS was prepared and circulated to the ADB Board for consideration and guidance in January 2009, and the Board discussion was held in February 2009. This R-paper is the result of the internal and external consultation process in which ADB Board and staff, and external stakeholders, including governments, civil society organizations, private sector, and academia, took part.

II. CHANGING CONTEXT

8. Asia and the Pacific, the most populated and fastest-growing region in the world, is undergoing dramatic social and environmental changes. Concerns have grown about the longterm sustainability of development in many Asian countries. Rapid industrialization and urbanization, coupled with increased demand for natural resources, are triggering changes in land use and human settlement, declining water quality and quantity, loss of biodiversity, deforestation and desertification, elevated pollution levels, and negative impacts on human health. These threats tend to disproportionately affect the poor. High population densities and rising demand for land for urban development and infrastructure have increased the risks associated with involuntary resettlement of people and the adverse impacts on such vulnerable groups as the poor and Indigenous Peoples. Of the 250 million Indigenous Peoples in the world, some 70% are in Asia and the Pacific. Some 120 languages have become either endangered or extinct, demonstrating the threats to the culture and integrity of Indigenous Peoples. The challenge of preventing

further impoverishment resulting from environmental degradation and involuntary resettlement, acknowledging the special needs and respecting the rights of Indigenous Peoples and other vulnerable groups, and improving the policies and building the capacity of DMCs to manage these impacts is acute.

9. DMCs have been responding to emerging social and environmental challenges to varying extents. Some DMCs have improved their environmental and social safeguard policies and regulatory frameworks, while others continue to have less developed systems and often rely on donor agencies' policies and procedures. The development processes in the region have altered the roles and responsibilities of public and private entities, civil society, and local communities in favor of socially and environmentally sustainable development and higher expectations in relation to transparency and citizen participation. Similarly, the roles of the commercial banking industry and financial intermediaries have expanded in line with growing pressure for corporations to take their social and environmental responsibilities seriously. DMCs increasingly recognize the need to raise their standards towards international good practice, develop the capacity to respond to global and regional environmental and social risks, and promote social and environmentally sustainable growth. In addition, private sector project proponents are increasingly willing to adopt progressive investment practices that are socially and environmentally responsible and they may go beyond mere compliance with regulations if they have a clear business case for doing so.

10. MFIs have been updating their environmental and social safeguard policies to ensure the relevance of these policies to changing needs. In 2005, the World Bank launched a program to pilot the use of country systems to address social and environmental safeguards in Bank supported operations.³ In January 2008, the World Bank issued an evaluation report of the initial phase of the Pilot Program for Use of Country Systems.⁴ Based on this report, the World Bank approved a continuation of the program to incrementally scale up the initiative from the project level to the country level to engage borrowers and other development partners in applying a greater range of safeguards and to build borrower capacity on a more sustainable basis than is feasible at the project level. The World Bank also revised its safeguard policies on Indigenous Peoples in 2005 and on physical cultural resources in 2006 to reflect changing circumstances. In 2006, the International Finance Corporation (IFC) adopted its *Policy and Performance*

Standards on Social and Environmental Sustainability,⁵ to introduce results-based requirements and good practices for the private sector. More than 60 commercial financial institutions have adopted the new IFC performance standards for project finance. Also in 2006, the Inter-American Development Bank issued its *Environment and Safeguards Compliance Policy*⁶ which also provides for selective use of country systems. In May 2008, the European Bank for Reconstruction and Development (EBRD) adopted its *Environmental and Social Policy*,⁷ along with performance requirements, which replaces its 2003 environmental policy. The new EBRD policy and performance requirements provide similar safeguards to those of the IFC but reflect the specific characteristics of the EBRD's region of operations and its commitments under the European principles for the environment, to which the EBRD is a signatory.

11. Emphasis on donor harmonization and alignment with country systems has been growing. In 2005, the Paris Declaration on Aid Effectiveness established global commitments for donors and partner countries to improve the management and effectiveness of aid in reducing poverty and inequality, increasing growth, building capacity, and accelerating achievement of the Millennium Development Goals. The declaration has five principles: assuring country ownership; aligning donor programs with countries' development strategies, priorities, and procedures; having donors harmonize their approaches and actions; managing for development results; and having mutual accountability. These principles provide a powerful impetus for donors to help foster better integration of social and environmental

considerations into developing country partners' strategies and priorities and to continue and intensify their efforts in relation to harmonizing approaches toward addressing social and environmental issues. The Accra Agenda for Action, adopted in 2008, reaffirmed these principles and further emphasized the importance of country systems. Consultations undertaken in the context of ADB's efforts to enhance support to ordinary capital resources (OCR) borrowers have shown that clients in the

3 World Bank. 2005. *Piloting the Use of Borrower System to Address Environmental and Social Safeguard Issues in Bank-Supported Projects*. Washington, DC.

4 World Bank. 2008. *Evaluation of the Initial Phase of the Pilot Program for Use of Country Systems for Environmental and Social Safeguards*. Washington, DC.

5 IFC. 2006. *Policy and Performance Standards on Social and Environmental Sustainability*. Washington, DC.

6 Inter-American Development Bank. 2006. *Environment and Safeguards Compliance Policy*. Washington, DC.

Day.6.

Session: II

1. Topic: ADB A. ADB's Current Safeguard Policies

2. Learning Objectives: After completing this session the participants will be able to;

- Explain Current safe guard policies frame work of ADB
- Identify the Safeguard Requirements
- Explain the experiences of safeguard policies of ADB including Indegenous people, environmental, complain oversight etc.

Required materials: hand outs on the topics of discussion, masking tape or blue tack, markers, white board, LCD projector, Meta cards, flip chart.

3. Delivery approach:

S.N.	Contents	Methodology	Time
1	Introduction with current safeguard frame work of ADB.	Lecture/Discussion	10
2	Safeguard Requirements. The safeguard policies require that (i) impacts are identified and assessed early in the project cycle; (ii) plans to avoid, minimize, mitigate, or compensate for the potential adverse impacts are developed and implemented; and (iii) affected people are informed and consulted during project preparation and implementation. The policies apply to all ADB-financed projects, including private sector operations, and to all project components. The internal procedural requirements are detailed in the Operations Manual sections (footnote 10– 12) and involve similar implementation processes as follows: (i) screening and scoping of the main issues start as soon as potential projects for ADB financing are identified and continue throughout the project cycle; (ii) impacts are assessed, safeguard plans summarizing mitigation measures, monitoring program, and institutional arrangements are prepared, and arrangements are made to integrate safeguards into project	Discussion with PowerPoint	30

	design and implementation; (iii) affected people are consulted during project preparation and implementation and information is disclosed in a form, manner, and language accessible to them; and (iv) safeguard plans are disclosed to the general public and the information is updated at various stages in the project cycle. ¹³ ADB's safeguard policies require that both ADB's and DMCs' safeguard requirements are complied with.		
3	Roles and Responsibilities, B. Compliance Oversight, 18. Accountability Mechanism. C. Experience with ADB's Safeguard Policies , 23. Indigenous Peoples.	Discussion/power point presentation	30
4	Crosscutting issues of ADB	Discussion/power point presentation	10
5	Wrap up of the session with major learning aspects and evaluation	Lecture	10

4. Evaluation:

1. Mention any four safe guard requirements of ADB.
2. How the social safeguard policy protected the environment? explain it with the experience of ADB.
3. What are cross cutting issues of ADB? Mention 5 of them.

DAY 6
Session: II
Hand Out-2

III. CURRENT SAFEGUARD POLICIES AND EXPERIENCE

A. ADB's Current Safeguard Policies

14. ADB's Safeguard Policy Framework. Safeguard policies are generally understood to be operational policies that seek to avoid, minimize, or mitigate adverse environmental and social impacts, including protecting the rights of those likely to be affected or marginalized by the development process. ADB's safeguard policy framework consists of three operational policies on the environment,⁹ Indigenous Peoples, and involuntary resettlement. These are accompanied by *Operations Manual* sections on Environmental Considerations in ADB Operations; ¹⁰ Involuntary Resettlement; ¹¹ and Indigenous Peoples. ¹² ADB's *Handbook on*

Resettlement (footnote 2) and Environmental Assessment Guidelines (2003) provide information on good practice approaches to implementing safeguards. In addition to the three safeguard policies, several sector policies have environmental safeguard elements, for example, those pertaining to water, energy, and forestry.

15. Safeguard Requirements. All three safeguard policies involve a structured process of impact assessment, planning, and mitigation to address the adverse effects of projects throughout the project cycle. The safeguard policies require that (i) impacts are identified and assessed early in the project cycle; (ii) plans to avoid, minimize, mitigate, or compensate for the potential adverse impacts are developed and implemented; and (iii) affected people are informed and consulted during project preparation and implementation. The policies apply to all ADB-financed projects, including private sector operations, and to all project components. The internal procedural requirements are detailed in the *Operations Manual* sections (footnote 10– 12) and involve similar implementation processes as follows: (i) screening and scoping of the main issues start as soon as potential projects for ADB financing are identified and continue throughout the project cycle; (ii) impacts are assessed, safeguard plans summarizing mitigation measures, monitoring program, and institutional arrangements are prepared, and arrangements are made to integrate

safeguards into project design and implementation; (iii) affected people are consulted during project preparation and implementation and information is disclosed in a form, manner, and language accessible to them; and (iv) safeguard plans are disclosed to the general public and the information is updated at various stages in the project cycle.¹³ ADB's safeguard policies require that both ADB's and DMCs' safeguard requirements are complied with.

16. Roles and Responsibilities. A basic principle of the three existing safeguard policies is that implementation of the provisions of the policies is the responsibility of the borrower/ client. Borrowers/clients are required to undertake social and environmental assessments, carry out consultations with affected people and communities, prepare and implement safeguard plans, monitor the implementation of these plans, and prepare and submit monitoring reports. ADB's role is to explain policy requirements to borrowers/clients, help borrowers/clients meet those requirements during project processing and implementation through capacity-building programs, ensure due diligence and review, and provide monitoring and supervision. Considerable attention is devoted to the project processing and approval phase of the project cycle, although ADB's role in monitoring safeguard compliance continues during project implementation. ADB's project completion reports and project performance evaluation reports include review of the implementation of safeguards.

B. Compliance Oversight

17. Compliance System. Upon its reorganization in 2002, ADB established arrangements for monitoring projects' compliance with its safeguard policies. With the support of the Environment and Social Safeguard Division, ADB's Chief Compliance Officer is responsible for advising management and operations departments on safeguard compliance and related operational procedures and guidelines. Compliance with the safeguard policies is monitored throughout the project cycle. If a project poses risks of noncompliance, actions to ensure compliance are recommended at the Management Review Meeting, and project compliance is reviewed again at a Staff Review Committee meeting. Operations departments take steps to ensure that outstanding safeguard requirements are met before Board approval. Review missions are undertaken during project implementation to monitor compliance with safeguard provisions in the legal agreements and to take appropriate actions if projects are at risk of noncompliance.

18. Accountability Mechanism. In May 2003, ADB adopted a new accountability mechanism¹⁵ whereby people adversely affected by ADB-financed projects can express their grievances; seek solutions; and report alleged violations of ADB's operational policies and procedures, including safeguard policies. The accountability mechanism replaced ADB's *Inspection Function* (1995).¹⁶ ADB's accountability mechanism comprises two separate, but related, functions: (i) consultation, led by ADB's special project facilitator, to assist people adversely affected by ADB-assisted projects in finding solutions to their problems; and (ii) providing a process through which those affected by projects can file requests for compliance review by ADB's Compliance Review Panel.

C. Experience with ADB's Safeguard Policies

19. Environment. ADB formally introduced environmental assessment into its lending operations in 1979.¹⁷ By the time the current *Environment Policy* was adopted in 2002, ADB had accumulated more than two decades of environmental assessment and management experience. During that period, the

policy principles and scope of environmental safeguards evolved from an initial focus on undertaking technical assessment and mitigation measures to an emphasis on developing and implementing a comprehensive environmental management plan (EMP). Key elements of EMPs are mitigation measures, monitoring programs, cost estimates, budgets, and institutional arrangements for implementation. In addition, the

environmental assessment process emphasizes public consultation, information disclosure, and consideration of alternatives. While procedural compliance has improved over time, the substantive aspects of compliance—integration of findings and recommendations of environmental assessment into project design, borrower/client ownership of EMPs, and effective implementation of EMPs—remain challenging.

20. The 2006 Operations Evaluation Department (OED) *Special Evaluation Study (SES) on Environmental Safeguards*¹⁸ concluded that the safeguard element of ADB's environmental policy is relevant and has been effective in avoiding major adverse environmental impacts from ADB-financed projects, although its transaction costs have decreased the efficiency of project processing. The study recommended revision of the *Environment Policy* to (i) refocus efforts "from front-end loan processing and approval to results delivery," (ii) better integrate and align country systems and procedures with the policy for environmental assessment, (iii) broaden the focus of policy application from the project to capacity building, and (iv) better integrate environmental and social safeguards for a stronger focus on sustainable development. The study also recommended that ADB consider (i) strengthening the environmental expertise of resident missions; (ii) giving nongovernment organizations (NGOs) a greater role in monitoring; (iii) reviewing the application of the environmentally sensitive category B project classification and the 120-day disclosure rule for category A projects; (iv) strengthening country systems; and (v) developing an action plan for implementing the revised environment policy, including paying specific attention to ensuring an appropriate match between ADB's capacity and policy based on the World Bank's policy on involuntary resettlement. As ADB-financed projects became more complex, they had to address their impacts on property, assets, and loss of livelihood without physical relocation, particularly in urban areas, where many informal settlers live. Experience with implementation of this policy suggests that many of its aspects could be improved, including (i) treatment of those without clear land titles (for example, squatters or other informal settlers); (ii) scope of resettlement compensation covering appropriate replacement costs, restoration and/or rehabilitation, and livelihoods; (iii) unambiguous definition of affected versus displaced persons; and (iv) capacity development of DMCs for impact assessment and resettlement planning and implementation.

22. The 2006 OED SES on involuntary resettlement safeguards¹⁹ concluded that the *Involuntary Resettlement Policy* has been broadly effective in achieving outcomes for affected persons and creating resettlement capacity in many DMCs. However, its inputs and processes were assessed as being less than efficient and the current policy approach was assessed as less likely to be sustainable given the transaction costs to ADB and its borrowers/clients. Consequently, the SES recommends that during the SPU, ADB should (i) reconcile the differences between the 1995 *Involuntary Resettlement Policy* and the *Operations Manual* and clarify whether the scope of the policy covers both physical and economic displacement;

(ii) clarify ambiguous key terms and implementation modalities, including replacement costs, compensation and relocation assistance, entitlements of squatters, and land acquisition procedures; (iii) develop a results-based framework with a set of performance standards; (iv) increase DMCs' capacity and reliance on country systems for land acquisition and resettlement safeguards; and (v) provide clear guidelines and procedures for involuntary resettlement operations. The SES also identified a mismatch between policy requirements and available staff resources and recommended that the SPU include a policy implementation plan.

23. Indigenous Peoples. ADB adopted its *Policy on Indigenous Peoples* in 1998. The broad definition of Indigenous Peoples in the policy follows the international consensus that has been emerging in recent decades, the general classification of Indigenous Peoples by international institutions such as the United Nations and the International Labor Organization, and the status of Indigenous Peoples as recognized by international law. Application of the policy poses particular challenges in the region because of the huge variation in countries' history, cultures, ideologies, economic resources, demography, and politico-institutional frameworks. Countries' national legislation and definitions of Indigenous Peoples, if any, are seldom fully aligned with ADB's policy. Experience with policy implementation has been mixed and key challenges remain, including the following: (I) recognition of Indigenous Peoples' cultural identity and rights to their ancestral lands and resources, (ii) fair sharing of development benefits among affected Indigenous Peoples communities and the rest of society, and (iii) meaningful and culturally appropriate consultation with Indigenous Peoples communities in planning and implementing projects that are likely to affect their lives.

24. The 2007 OED SES on Indigenous Peoples safeguards²⁰ concludes that the policy is relevant to ADB and its borrowers/clients, but is less effective. ADB-financed projects have generally avoided or mitigated any adverse impacts, but this has largely been a result of implementation of resettlement plans and environmental management plans rather than of Indigenous Peoples plans. According to the SES, the lack of value added of Indigenous Peoples plans when other safeguard plans exist makes the current policy approach less efficient and less likely to be sustainable given the transaction costs to ADB and its borrowers/clients. The SES recommends that during the SPU, ADB (I) clarify those areas in the *Policy on Indigenous Peoples* that are misunderstood or ambiguous, including the definition of Indigenous Peoples;

(ii) integrate Indigenous Peoples' issues in resettlement plans or EMPs where risks to Indigenous Peoples are primarily related to resettlement or to environmental damage; (iii) clarify requirements regarding the consultation process during project preparation and implementation; (iv) develop a sequential approach for capacity building in the application of the Indigenous Peoples safeguard; and (v) develop a plan for implementing the safeguard policy on Indigenous Peoples. Responses by ADB management and recommendations by the Board's Development Effectiveness Committee to the special evaluation study on Indigenous Peoples safeguards, as well as to the evaluation studies on environment and involuntary resettlement safeguards, are posted on ADB's website.²¹

25. Crosscutting Issues. In recent years, internal reviews of the implementation of ADB environmental and social safeguard policy have also highlighted the need for improved performance. Issues relevant to project preparation and processing include (I) quality of consultation and disclosure, (ii) adequate assessment of DMCs' frameworks and capacities, (iii) optimal sequencing of safeguard planning during the project cycle, and (iv) variable quality of safeguard documents. Also critically important is the adequacy of budgetary allocations for safeguards. Implementation issues have centered on (I) budgeting for safeguard requirements (design changes, compensation payments, and the like); (ii) implementing mitigation measures; (iii) ensuring that safeguard plans are updated based on detailed engineering design and changes in scope; (iv) improving agency oversight at the contractor level; and (v) ensuring adequate ADB supervision and compliance monitoring, especially oversight on the ground

Day.6.

Session: III

1. Topic: Key Policy Issues and Considerations.

Time: 1 hr.30 Mins.

2. Learning Objectives: After completing this session the participants will be able to;

- Improving Clarity, Consistency, and Coherence.
- Distinguishing Safeguards from Inspirational Development Objectives.
- Addressing Environmental Safeguard Elements in Other Policies and Strategies and Responding to Changing Client Requirements and Long-Term Sustainability of Safeguard Systems

Required materials: hand outs on the topics of discussion, masking tape or blue tack, markers, white board, LCD projector, Meta cards, flip chart.

3. Delivery approach:

S.N.	Contents	Methodology	Time
1	Formation of group and instructing to the group for presentation as per their responsibilities. Group: I -A. Policy Articulation and Scope Group: II-B. Policy Application and Delivery Issues Group: III- C. Responding to Changing Client Requirements and Long-Term Sustainability of Safeguard Systems	Instruction/lecture	10
2	Reading and Presentation preparation:	Practical	30
3	Presentation of the topics	Lecture/ question answer	40
4	Wrap up of the session with major learning aspects and evaluation	Lecture	10

4. Evaluation:

1. Responding to Changing Client Requirements and Long-Term Sustainability of Safeguard Systems: What major aspects did you find in this topics? Mention all of them.
2. Long term sustainability is one of the major aspect of safeguard policy. How do you see it on the prospective of Nepal context ? Give your view.
3. Safeguard is required explain on the area of protecting the right of indigenous people ?

Day: 6

Hand Out: III

IV. KEY POLICY ISSUES AND CONSIDERATIONS

A. Policy Articulation and Scope

26. **Improving Clarity, Consistency, and Coherence.** Even though the three safeguard policies share common elements and principles, some ambiguity, duplication, and inconsistency is apparent. For example, (i) the coverage of social elements in environmental assessment needs to be clarified; (ii) some elements of the *Policy on Indigenous Peoples* are also covered in the *Involuntary Resettlement Policy*; (iii) all three policies require disclosure and consultation, but the requirements and processes are not aligned; (iv) the extent to which the policies cover different lending instruments and the procedural responses they prescribe differ; (v) procedural requirements are currently mixed in with key policy principles, sometimes giving undue emphasis to compliance with procedures that are not necessarily critical to achieving the objectives of the policies; and (vi) the current policies and operational procedures also mix instructions to ADB staff with requirements for borrowers/clients in one place, often making the boundaries of responsibilities and accountabilities unclear. Greater coherence among the safeguard policies and full clarity of their policy principles, requirements for borrowers/clients, and internal implementation procedures would help ADB staff and borrowers/clients better understand what needs to be done to achieve the objectives of safeguard policies, as well as their differentiated roles and responsibilities in enhancing the quality of development outcomes.

27. **Distinguishing Safeguards from Aspiration of Development Objectives.** Safeguard “do no harm” elements are currently mixed with inspirational development objectives to varying extents in the three safeguard policies. For instance, ADB’s *Environment Policy* contains five main elements: (i) promoting environmental interventions to reduce poverty, (ii) mainstreaming environmental considerations into economic growth, (iii) maintaining global and regional life support systems, (iv) building partnerships, and (v) integrating environmental safeguards into ADB operations. However, the first four elements deal with ADB’s corporate environment strategy and only the fifth element addresses environmental safeguard issues and assessment at the project level. Separating cross-cutting, thematic environmental issues of an inspirational nature from the safeguard requirements would allow each issue to be addressed in a way that enhances the focus on and attention to appropriate implementation. In parallel, the aspiration elements of the *Environment Policy* would be delivered through a corporate-level environment strategy. Similarly, addressing the developmental aspirations of the *Policy on Indigenous Peoples* at a wider strategic level would be more effective than doing so in the more limited context of safeguard compliance. The SPS’s specific focus on safeguards, and not broader aspiration objectives, is therefore considered appropriate.

28. Addressing Environmental Safeguard Elements in Other Policies and Strategies.

Several safeguard requirements addressing environment-related issues are currently scattered across several ADB sector and thematic policies and strategies.²² In relation to these other policies and strategies, safeguard requirements are dealt with in a piecemeal fashion and rely partly on the implementation processes of ADB's *Environment Policy*. The resulting compartmentalization reduces opportunities for a holistic understanding of project impacts. In addition, the safeguard component of the existing *Environment Policy* focuses on principles and procedures of environmental assessment. The policy does not explicitly set out policy principles and requirements addressing project impacts and risks in relation to pollution prevention and abatement (including greenhouse gas emissions), biodiversity and natural resource management, and physical cultural resources. Environmental assessments of projects address these issues in an ad hoc manner. Therefore ADB should consolidate environmental safeguard

elements currently covered by other ADB sector policies and strategies. The environmental safeguard principles and requirements need to be articulated explicitly to include sectoral issues and cover (i) environmental assessment, (ii) pollution prevention and abatement, (iii) biodiversity and natural resource management, (iv) occupational and community health and safety, and (v) physical cultural resources.

29. Incorporation of Social Dimensions such as Core Labor Standards and Gender Issues. Some stakeholders have called for the introduction of policy provisions on core labor standards and gender issues as part of the safeguard policy statement. Core labor standards and broader social protection issues are already included in ADB's *Social Protection Strategy* (2001). Social dimensions are also handled through *Operations Manual* section on incorporation of social dimensions into ADB operations.²³ Gender issues already receive specific and focused attention in ADB operations through the implementation of ADB's *Policy on Gender and Development* (1998) and the accompanying *Operations Manual* section on gender and development.²⁴ However, it is recognized that gender considerations need to be reflected also in the safeguard policies where these are specifically related to safeguard aspects.

30. Improving the Clarity of Policy Scope and Triggers. ADB's experience with implementing the *Involuntary Resettlement Policy* and the *Policy on Indigenous Peoples* indicates that further clarification of the scope and triggers of each policy is needed. As pointed out by the special evaluation study (footnote 19), clarification is needed to explain that the *Involuntary Resettlement Policy* is triggered by involuntary acquisition of land and land-based assets, restrictions on land use, and restrictions on access to legally designated protected areas.

Clarification is also needed to explain that the current policy covers both physical and economic displacement, and these terms need to be clearly defined. Projects can sometimes lead to restricted access to natural resources, such as loss of access to downstream fishing grounds, and decreasing water supply. The safeguard policies need to cover such impacts that may not arise from land acquisition. There is a need to clarify that these impacts will be avoided, minimized, mitigated, or compensated.

31. In its current form, the *Policy on Indigenous Peoples* does not provide a clear operational definition of Indigenous Peoples. The complexities involved in identifying Indigenous Peoples for the purposes of policy application are exacerbated by the need for situational analysis and by different perceptions among indigenous communities regarding their ancestral domain and communal rights, thus the characteristics used to identify Indigenous Peoples need to be clarified. In addition, the triggers of the policy need to be identified as impacts on Indigenous Peoples' dignity; human rights; livelihood systems; culture; ancestral domains; communal assets; and territorial, natural, and cultural resources.

32. Enhancing Consultation and Participation. Consultation and participation are central to the achievement of safeguard policy objectives. ADB's existing safeguard policies have varying consultation requirements. They all imply the need for prior and informed consultation with affected persons and communities in the context of safeguard planning and for continued consultation during project implementation to identify and help address safeguard issues that may arise. ADB needs to be explicit that it will require the borrower/client to carry out meaningful consultation with affected persons and communities in the implementation of all three safeguard policies. In addition, ADB needs to clarify what "meaningful consultation" means. For policy application, it would refer to a process that (i) begins early in the project preparation stage and is carried out on an ongoing basis

throughout the project cycle; (ii) provides timely disclosure of relevant and adequate information that is understandable and readily accessible to affected people; (iii) is undertaken in an atmosphere free of intimidation or coercion; (iv) is gender inclusive and responsive, and tailored to the needs of disadvantaged and vulnerable groups; and (v) enables the incorporation of all relevant views of affected people and other stakeholders into decision making, such as project design, mitigation measures, the sharing of development benefits and opportunities, and implementation issues.

33. In September 2007, the United Nations 61st General Assembly adopted the United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP), which refers to “obtaining Indigenous communities’ free, prior, and informed consent prior to the approval of any project affecting them.” This non-binding declaration was supported by many countries in Asia and the Pacific. In recognition of the rights of Indigenous Peoples to direct the course of their own development, and taking into account discussion by ADB Board, ADB’s safeguard policy should include the following: Ascertain the consent of affected Indigenous Peoples communities to the following project activities where Indigenous Peoples groups are deemed to be particularly vulnerable: (i) commercial development of the cultural resources and knowledge of Indigenous Peoples; (ii) physical relocation of Indigenous Peoples from traditional or customary lands; and (iii) commercial development of natural resources within customary lands under use that would impact the livelihoods or on cultural, ceremonial, or spiritual uses of the lands that define the identity and community of Indigenous Peoples. For the purposes of policy application, it is proposed that consent of affected Indigenous Peoples communities refers to a collective expression by the affected Indigenous Peoples communities, through individuals and/or their recognized representatives, of broad community support for the project activities. Such broad

B. Policy Application and Delivery Issues

34. Balancing Front-Loaded Procedural Requirements with Implementation. The current safeguard policies place considerable emphasis on meeting procedural requirements and milestones during project processing. The policies pay less attention to supervision and to achieving results during project implementation. The timing and sequencing of front-loaded procedural requirements are not always optimal, and simply achieving these requirements does not ensure satisfactory safeguard outcomes. For instance, during project processing and before project appraisal, significant effort is expended to prepare draft resettlement plans on the basis of project feasibility reports, but the most important resettlement planning and implementation activities might need to be done as part of detailed design activities that may take place later during project implementation. Similarly, significant staff input is expended on preparing draft summary environmental impact assessment reports to satisfy disclosure procedures for environmentally sensitive projects, but the finalization and implementation of robust EMPs, which are the basis for project implementation, receive substantially less attention. ADB’s experience with safeguard implementation and the recent OED SEs have observed that substantially more attention needs to be paid to safeguards during project implementation. Policy requirements should include provisions on increased supervision by safeguard specialists, establishment of local grievance redress mechanisms, use of external experts for verification of monitoring reports, and use of independent advisory panels.

35. Strengthening Safeguard Frameworks. Safeguard frameworks as currently applied to sector loans and MFFs (namely, the environmental assessment and review framework, the resettlement framework, and the Indigenous Peoples planning framework) provide guidance on safeguard screening, assessment, institutional arrangements, and processes to be followed for subprojects or subsequent tranches that are prepared after Board approval. Safeguard frameworks also specify the criteria for eligibility that ensure that quality subprojects are identified and delivered. However, the current *Involuntary Resettlement Policy* and *Policy on Indigenous Peoples* do not have explicit provisions on the use of frameworks, while none of the safeguard policies address MFF requirements. In addition, there are no formal provisions for the use of frameworks for non-sensitive components of projects, where detailed design takes place after Board approval. These policy gaps have been addressed in the policy update. In addition, a key issue related to this approach is to ensure that borrowers/clients will apply the safeguard frameworks properly when preparing and implementing safeguard plans to subprojects after Board approval. To ensure that the safeguard frameworks are effectively implemented, greater attention is needed in relation to

assessments of the institutional capacity of borrowers/clients, and mechanisms and measures for capacity building need to be developed and integrated into project design. Furthermore, more attention needs to be paid to monitoring and supervising subprojects to avoid the risk of noncompliance with safeguard policies.

36. Managing Environmental and Social Risks in Financial Intermediation. ADB has a growing portfolio of projects with financial intermediaries, mainly in the context of its privatesector operations. Financial intermediation projects present special challenges from a safeguard perspective: ADB does not have direct oversight of or strong leverage in relation to subprojects, because subprojects are often unknown when a financial intermediary (FI) is appraised and funds are dispersed widely to many subprojects and financial intermediation financing can entail several layers of intermediation that complicate social and environmental risk management. While the current *Environment Policy* does have some provisions on financial intermediation, and the FI client. It would be desirable to tailor requirements for financial intermediaries based on potential social and environmental impacts and/or risks. This will require strengthened ADB due diligence and review of financial intermediaries' business activities and their capacity for social and environmental management. In addition, financial intermediaries may consider an integrated environmental and social management system (ESMS) to be more useful than three separate systems. Finally, although ADB does not currently require a prohibited investment list, it would be useful to introduce such a requirement.

C. Responding to Changing Client Requirements and Long-Term Sustainability of Safeguard Systems

37. Strengthening and Use of Country Safeguard Systems. Consultations undertaken in the context of ADB's efforts to enhance support to OCR borrowers have shown that many borrowers/clients believe that the transaction costs of complying with ADB's safeguards policy are excessive, and representatives of middle-income countries believe that shared safeguard principles could be upheld better through their own country systems than through ADB's procedures. They believe that ADB's procedures and approaches could be improved to better reflect different clients' needs and DMCs' widely divergent capacities to implement safeguards. ADB has recognized that DMCs have their own systems for delivering safeguards and that supporting DMCs' efforts to strengthen and use their own systems would enhance country ownership, extend development impacts, and reduce transaction costs. This is also in line with the increasing trend toward country ownership and greater alignment with country systems under the Paris Declaration on Aid Effectiveness and the Accra Agenda for Action. ADB needs to develop its approach toward strengthening country safeguard systems (CSS) and using them in ADB projects, taking into account the World Bank's experience in piloting the use of CSS. There is a need to ensure that ADB's safeguard principles are not compromised and that risks associated with CSS are managed. The approach would therefore be gradual and would include the following attributes: (i) conditions for applying CSS, (ii) methodology of CSS assessments, (iii) consultation and validation processes, (iv) ADB's and borrowers' roles and responsibilities, (v) procedures and other related requirements such as gap filling, and (vi) resource implications.

38. Harmonizing with Other MFIs' Safeguard Policies. Over the last 5 years or so, a number of other MFIs have updated their safeguard policies or are currently doing so. The policy advances made and the best practices adopted by these institutions are relevant to ADB operations. Harmonizing ADB's safeguard policy principles and requirements with those of other MFIs is also required to enhance development impacts, reduce transaction costs, and encourage collaborative behavior. MFIs have made some progress in defining a common framework of principles for environmental assessment ²⁵ and continued harmonization of safeguard practices across MFIs is needed. ADB believes that it should harmonize its safeguard policies with those of other MFIs, especially in relation to key policy principles, whereas procedures across MFIs need to cater to a variety of clients and situations. Therefore the SPU has ensured that policy principles and requirements on the environment, involuntary resettlement, and Indigenous Peoples are articulated in a manner consistent with the policies of other MFIs, in particular, the World Bank, IFC, and the EBRD.

39. Working with Private Sector Clients. ADB's private sector investment program has expanded rapidly over the last 5 years. Private sector clients are a diverse group with varying environmental and social awareness and

capabilities, and the projects they finance can vary renewable energy enterprises to large companies in extractive industries, energy, and infrastructure. The operation cycle is typically much shorter than that for public sector projects, and safeguard due diligence typically needs to be undertaken within tight time frames. Complex financing structures, such as special purpose vehicles for securitization or multitier financial intermediation, raise difficult questions pertaining to how ADB safeguards should be applied. While existing safeguard procedures remain relevant for traditional infrastructure finance, the ever-changing business environment, the availability of diversified financial products, and the increasing complexity of ADB interventions in the financial sector and capital markets may require different approaches. The safeguard policy principles should apply equally to public and private sector projects, while recognizing that project processing procedures may differ.

40. Developing ADB's Capacity and Optimizing Resource Allocation. Improvements in safeguard effectiveness will require enhanced ADB capacity, in particular, devoting greater efforts to project implementation, CSS assessment, and capacity development in DMCs. This will require building ADB's capacity to better understand DMCs' own safeguard frameworks, monitor safeguard implementation, and engage with borrowers/clients in addressing the realities of safeguard implementation. In particular, project teams must have a firm grasp of the objectives and principles of the safeguard policies, as they are on the front line in ensuring that policies are applied. For the past several years, ADB has provided staff training programs on all three safeguard policies, and such training needs to continue both at headquarters and in resident missions. At the same time, staff resources for safeguard implementation in operations departments and the Regional and Sustainable Development Department need to be optimized to ensure that adequate attention is paid to project implementation and supervision while also dealing with project processing needs and due diligence requirements. A critical need is to ensure that resident missions are properly equipped with relevant safeguard expertise, especially in DMCs with extensive portfolios of complex and sensitive projects. Optimal allocation of resources to policy implementation and monitoring will remain central to improved safeguard delivery.

41. Reducing Transaction Costs. While the effectiveness of ADB-supported projects has substantially improved as a result of attention to safeguard policies, some borrowers/clients have questioned whether the transaction cost to comply with ADB's safeguard policies has become too high, or unnecessary costs have been introduced because of parallel requirements of ADB and host countries. Studies examining the costs and benefits of implementing safeguard policies have concluded that these policies are constructive instruments for ensuring project sustainability.²⁶ Where the implementation of safeguard policies has been ineffective and has generated unnecessary costs, this is caused primarily by (i) requirements being introduced that are beyond the capacity of the borrower to implement, (ii) ambiguity in key policy requirements, (iii) indecision and delay in approving safeguard plans, (iv) rigidity in application ("legalistic" policy interpretation rather than professional judgment), and (v) capacity depletion (arising from a "ring-fenced" approach). Recommendations have centered on a more strategic approach to enhance the development impact of the policies and to reduce the costs by (i) clarifying responsibilities between MFI and borrower, with special attention to high-risk operations; (ii) addressing ambiguities in policies; (iii) harmonizing policies with other MFIs to reduce confusion; (iv) ensuring adequate resources for internal skill enhancement and expanded project supervision; (v) providing incentives to move safeguard analysis upstream; and (v) building borrower capacity and using of country systems. Similar findings and recommendations were provided in OED's special evaluation studies on ADB's safeguard policies. These Considerations have been taken into account in the SPU, and have been addressed through

Day.6.
Session: IV

1. Topic: Policy principles:**Time 1 hr.****2. Learning Objectives:** After completing this session the participants will be able to;

- Explain the Overarching Statement on ADB's Commitment and Policy Principles of ADB.
- Environmental Safeguards, Involuntary Resettlement Safeguards, Indigenous Peoples Safeguards
- Check the project proposals on safeguard policy whether it is compatible to ADB safeguard policies.

Required materials: hand outs on the topics of discussion, masking tape or blue tack, markers, white board, LCD projector, Meta cards, flip chart.

3. Delivery approach:

S.N.	Contents	Methodology	Time
1	Formation of group and instructing to the group for presentation as per their responsibilities. Group: I –Environmental Safe guard Group: II-involuntarily resettlement. Group: III- Indigenous peoples safe guards	Instruction/lecture	10
2	Reading and Presentation preparation:	Practical	30
3	Presentation of the topics	Lecture/ question answer	40
6	Wrap up of the session with major learning aspects and evaluation	Lecture	10

4. Evaluation:

1. Explain the major aspects of environmental safe guard policy of ADB

2. Explain the major aspects of involuntarily safe guard policy of ADB.
3. What are the major aspects of indigenous peoples safeguard policies of ADB ? Explain.
4. How do you explain triggering point of policies?

Day : 6
Session : IV
Hand Out : 4

V. SAFEGUARD POLICY STATEMENT

A. Overarching Statement on ADB's Commitment and Policy Principles

42. ADB affirms that environmental and social sustainability is a cornerstone of economic growth and poverty reduction in Asia and the Pacific. ADB's Strategy 2020 therefore emphasizes assisting DMCs to pursue environmentally sustainable and inclusive economic growth. In addition, ADB is committed to ensuring the social and environmental sustainability of the projects it supports. In this context, the goal of the SPS is to promote the sustainability of project outcomes by protecting the environment and people from projects' potential adverse impacts.

43. The objectives of ADB's safeguards are to:

- (i) avoid adverse impacts of projects on the environment and affected people, where possible;
- (ii) minimize, mitigate, and/or compensate for adverse project impacts on the environment and affected people when avoidance is not possible; and
- (iii) help borrowers/clients to strengthen their safeguard systems and develop the capacity to manage environmental and social risks.

44. ADB adheres to the objectives of the safeguards and their delivery. ADB assumes the responsibility for conducting due diligence and for reviewing, monitoring, and supervising projects throughout the ADB's project cycle in conformity with the principles and requirements embodied in the SPS. By adhering to its social and environmental safeguards, ADB enhances the predictability, transparency, and accountability of its actions and decision making; helps borrowers/clients manage social and environmental impacts and risks; and promotes the long-term sustainability of investments. Transforming this commitment into results on the ground depends on shared, but differentiated, efforts by ADB and its borrowers/clients.

45. ADB's SPS sets out the policy objectives, scope and triggers, and principles for three

Key safeguards areas:

- (i) Environmental safeguards,**
- (ii) Involuntary resettlement safeguards, and**
- (iii) Indigenous Peoples safeguards.**

46. To achieve the policy objectives and deliver the policy principles, ADB carries out the actions described in the following subsection ("B. Policy Delivery Process"). To help borrowers/clients and their projects achieve the desired outcomes, ADB adopts a set of specific safeguard requirements that borrowers/clients are required to meet in addressing environmental and social impacts and risks. ADB staff, through their due diligence, review, and supervision, will ensure that borrowers/clients comply with these requirements during project preparation and implementation. These safeguard requirements are as follows:

- (i) Safeguard Requirements 1: Environment (Appendix 1),**
- (ii) Safeguard Requirements 2: Involuntary Resettlement (Appendix 2),**
- (iii) Safeguard Requirements 3: Indigenous Peoples (Appendix 3), and**
- (iv) Safeguard Requirements 4: Special Requirements for Different Finance Modalities (Appendix 4).**

Environmental Safeguards

Objectives: To ensure the environmental soundness and sustainability of projects and to support the integration of environmental considerations into the project decision-making process.

Scope and Triggers: Environmental safeguards are triggered if a project is likely to have potential environmental risks and impacts.

Policy Principles:

1. Use a screening process for each proposed project, as early as possible, to determine the appropriate extent and type of environmental assessment so that appropriate studies are undertaken commensurate with the significance of potential impacts and risks.
2. Conduct an environmental assessment for each proposed project to identify potential direct, indirect, cumulative, and induced impacts and risks to physical, biological, socioeconomic (including impacts on livelihood through environmental media, health and safety, vulnerable groups, and gender issues), and physical cultural resources in the context of the project's area of influence. Assess potential transboundary and global impacts, including climate change. Use strategic environmental assessment where appropriate.
3. Examine alternatives to the project's location, design, technology, and components and their potential environmental and social impacts and document the rationale for selecting the particular alternative proposed. Also consider the no project alternative.

4. Avoid, and where avoidance is not possible, minimize, mitigate, and/or offset adverse impacts and enhance positive impacts by means of environmental planning and management. Prepare an environmental management plan (EMP) that includes the proposed mitigation measures, environmental monitoring and reporting requirements, related institutional or organizational arrangements, capacity development and training measures, implementation schedule, cost estimates, and performance indicators. Key considerations for EMP preparation include mitigation of potential adverse impacts to the level of no significant harm to third parties, and the polluter pays principle.
5. Carry out meaningful consultation with affected people and facilitate their informed participation. Ensure women's participation in consultation. Involve stakeholders, including affected people and concerned nongovernment organizations, early in the project preparation process and ensure that their views and concerns are made known to and understood by decision makers and taken into account. Continue consultations with stakeholders throughout project implementation as necessary to address issues related to environmental assessment. Establish a grievance redress mechanism to receive and facilitate resolution of the affected people's concerns and grievances regarding the project's environmental performance.
6. Disclose a draft environmental assessment (including the EMP) in a timely manner, before project appraisal, in an accessible place and in a form and language(s) understandable to affected people and other stakeholders. Disclose the final environmental assessment, and its updates if any, to affected people and other stakeholders.
7. Implement the EMP and monitor its effectiveness. Document monitoring results, including the development and implementation of corrective actions, and disclose monitoring reports.
8. Do not implement project activities in areas of critical habitats, unless (i) there are no measurable adverse impacts on the critical habitat that could impair its ability to function, (ii) there is no reduction in the population of any recognized endangered or critically endangered species, and (iii) any lesser impacts are mitigated. If a project is located within a legally protected area, implement additional programs to promote and enhance the conservation aims of the protected area. In an area of natural habitats, there must be no significant conversion or degradation, unless (i) alternatives are not available, (ii) the overall benefits from the project substantially outweigh the environmental costs, and (iii) any conversion or degradation is appropriately mitigated. Use a precautionary approach to the use, development, and management of renewable natural resources.
9. Apply pollution prevention and control technologies and practices consistent with international good practices as reflected in internationally recognized standards such as the World Bank Group's Environmental, Health and Safety Guidelines. Adopt cleaner production processes and good energy efficiency practices. Avoid pollution, or, when avoidance is not possible, minimize or control the intensity or load of pollutant emissions and discharges, including direct and indirect greenhouse gases emissions, waste generation, and release of hazardous materials from their production, transportation, handling, and storage. Avoid the use of hazardous materials subject to international bans or phase outs. Purchase, use, and manage pesticides based on integrated pest management approaches and reduce reliance on synthetic chemical pesticides.
10. Provide workers with safe and healthy working conditions and prevent accidents, injuries, and disease. Establish preventive and emergency preparedness and response measures to avoid, and where avoidance is not possible, to minimize, adverse impacts and risks to the health and safety of local communities.

11. Conserve physical cultural resources and avoid destroying or damaging them by using field-based surveys that employ qualified and experienced experts during environmental assessment. Provide for the use of “chance find” procedures that include a pre-approved management and conservation approach for materials that may be discovered during project implementation.

Involuntary Resettlement Safeguards

Objectives: To avoid involuntary resettlement wherever possible; to minimize involuntary resettlement by exploring project and design alternatives; to enhance, or at least restore, the livelihoods of all displaced persons in real terms relative to pre-project levels; and to improve the standards of living of the displaced poor and other vulnerable groups.

Scope and Triggers: The involuntary resettlement safeguards covers physical displacement (relocation, loss of residential land, or loss of shelter) and economic displacement (loss of land, assets, access to assets, income sources, or means of livelihoods) as a result of (i) involuntary acquisition of land, or (ii) involuntary restrictions on land use or on access to legally designated parks and protected areas. It covers them whether such losses and involuntary restrictions are full or partial, permanent or temporary.

Policy Principles:

1. Screen the project early on to identify past, present, and future involuntary resettlement impacts and risks. Determine the scope of resettlement planning through a survey and/or census of displaced persons, including a gender analysis, specifically related to resettlement impacts and risks.
2. Carry out meaningful consultations with affected persons, host communities, and concerned nongovernment organizations. Inform all displaced persons of their entitlements and resettlement options. Ensure their participation in planning, implementation, and monitoring and evaluation of resettlement programs. Pay particular attention to the needs of vulnerable groups, especially those below the poverty line, the landless, the elderly, women and children, and Indigenous Peoples, and those without legal title to land, and ensure their participation in consultations. Establish a grievance redress mechanism to receive and facilitate resolution of the affected persons’ concerns. Support the social and cultural institutions of displaced persons and their host population. Where involuntary resettlement impacts and risks are highly complex and sensitive, compensation and resettlement decisions should be preceded by a social preparation phase.
3. Improve, or at least restore, the livelihoods of all displaced persons through (i) land-based resettlement

strategies when affected livelihoods are land based where possible or cash compensation at replacement value for land when the loss of land does not undermine livelihoods, (ii) prompt replacement of assets with

access to assets of equal or higher value, (iii) prompt compensation at full replacement cost for assets that cannot be restored, and (iv) additional revenues and services through benefit sharing schemes where possible.

4. Provide physically and economically displaced persons with needed assistance, including the following:

(i) if there is relocation, secured tenure to relocation land, better housing at resettlement sites with comparable access to employment and production opportunities, integration of resettled persons economically and socially into their host communities, and extension of project benefits to host communities; (ii) transitional support and development assistance, such as land development, credit facilities, training, or employment opportunities; and

(iii) civic infrastructure and community services, as required.

5. Improve the standards of living of the displaced poor and other vulnerable groups, including women, to at least

national minimum standards. In rural areas provide them with legal and affordable access to land and resources, and in urban areas provide them with appropriate income sources and legal and affordable access

to adequate housing.

6. Develop procedures in a transparent, consistent, and equitable manner if land acquisition is through negotiated settlement to ensure that those people who enter into negotiated settlements will maintain the same or better income and livelihood status.

7. Ensure that displaced persons without titles to land or any recognizable legal rights to land are eligible for resettlement assistance and compensation for loss of non land assets.

8. Prepare a resettlement plan elaborating on displaced persons' entitlements, the income and livelihood restoration strategy, institutional arrangements, monitoring and reporting framework, budget, and time-bound implementation schedule.

9. Disclose a draft resettlement plan, including documentation of the consultation process in a timely manner, before project appraisal, in an accessible place and a form and language(s) understandable to affected persons and other stakeholders. Disclose the final resettlement plan and its updates to affected persons and other stakeholders.

10. Conceive and execute involuntary resettlement as part of a development project or program. Include the full costs of resettlement in the presentation of project's costs and benefits. For a project with significant

Involuntary resettlement impacts, consider implementing the involuntary resettlement component of the project as a stand-alone operation.

11. Pay compensation and provide other resettlement entitlements before physical

3. Indigenous Peoples Safeguards

Objectives: To design and implement projects in a way that fosters full respect for Indigenous Peoples' identity, dignity, human rights, livelihood systems, and cultural uniqueness as defined by the Indigenous

Peoples themselves so that they (i) receive culturally appropriate social and economic benefits, (ii) do not suffer adverse impacts as a result of projects, and (iii) can participate actively in projects that affect them.

Scope and Triggers: The Indigenous Peoples safeguards are triggered if a project directly or indirectly affects the dignity, human rights, livelihood systems, or culture of Indigenous Peoples or affects the territories or natural or cultural resources that Indigenous Peoples own, use, occupy, or claim as an ancestral domain or asset. The term Indigenous Peoples is used in a generic sense to refer to a distinct, vulnerable, social and cultural group possessing the following characteristics in varying degrees: (i) self-identification as members of a distinct indigenous cultural group and recognition of this identity by others; (ii) collective attachment to geographically distinct habitats or ancestral territories in the project area and to the natural resources in these habitats and territories; (iii) customary cultural, economic, social, or political institutions that are separate from those of the dominant society and culture; and (iv) a distinct language, often different from the official language of the country or region. In considering these characteristics, national legislation, customary law, and any international conventions to which the country is a party will be taken into account. A group that has lost collective attachment to geographically distinct habitats or ancestral territories in the project area because of forced severance remains eligible for coverage under this policy.

Policy Principles:

1. Screen early on to determine (i) whether Indigenous Peoples are present in, or have collective attachment to, the project area; and (ii) whether project impacts on Indigenous Peoples are likely.
2. Undertake a culturally appropriate and gender-sensitive social impact assessment or use similar methods to assess potential project impacts, both positive and adverse, on Indigenous Peoples. Give full consideration to options the affected Indigenous Peoples prefer in relation to the provision of project benefits and the design of mitigation measures. Identify social and economic benefits for affected Indigenous Peoples that are culturally appropriate and gender and inclusive and develop measures to avoid, minimize, and/or mitigate adverse impacts on Indigenous Peoples.
3. Undertake meaningful consultations with affected Indigenous Peoples communities and concerned Indigenous Peoples organizations to solicit their participation (i) in designing, implementing, and monitoring measures to avoid adverse impacts or, when avoidance is not possible, to minimize, mitigate, or compensate for such effects; and (ii) in tailoring project benefits for affected Indigenous Peoples communities in a culturally appropriate manner. To enhance Indigenous Peoples' active participation, projects affecting them will provide for culturally appropriate and gender inclusive capacity development. Establish a culturally appropriate and gender inclusive grievance mechanism to receive and facilitate resolution of the Indigenous Peoples' concerns.
4. Ascertain the consent of affected Indigenous Peoples communities to the following project activities: (i) commercial development of the cultural resources and knowledge of Indigenous Peoples; (ii) physical displacement from traditional or customary lands; and (iii) commercial development of natural resources within customary lands under use that would impact the livelihoods or the cultural, ceremonial, or spiritual uses that define the identity and community of Indigenous Peoples. For the purposes of policy application, the consent of affected Indigenous Peoples communities refers to a collective expression by the affected Indigenous Peoples communities, through individuals and/or their recognized representatives, of broad community support for such project activities. Broad community support may exist even if some individuals or groups object to the project activities.

5. Avoid, to the maximum extent possible, any restricted access to and physical displacement from protected areas and natural resources. Where avoidance is not possible, ensure that the affected Indigenous Peoples communities participate in the design, implementation, and monitoring and evaluation of management arrangements for such areas and natural resources and that their benefits are equitably shared.
6. Prepare an Indigenous Peoples plan (IPP) that is based on the social impact assessment with the assistance of qualified and experienced experts and that draw on indigenous knowledge and participation by the affected Indigenous Peoples communities. The IPP includes a framework for continued consultation with the affected Indigenous Peoples communities during project implementation; specifies measures to ensure that Indigenous Peoples receive culturally appropriate benefits; identifies measures to avoid, minimize, mitigate, or compensate for any adverse project impacts; and includes culturally appropriate grievance procedures, monitoring and evaluation arrangements, and a budget and time-bound actions for implementing the planned measures.
7. Disclose a draft IPP, including documentation of the consultation process and the results of the social impact assessment in a timely manner, before project appraisal, in an accessible place and in a form and language(s) understandable to affected Indigenous Peoples communities and other stakeholders. The final IPP and its updates will also be disclosed to the affected Indigenous Peoples communities and other stakeholders.
8. Prepare an action plan for legal recognition of customary rights to lands and territories or ancestral domains when the project involves (i) activities that are contingent on establishing legally recognized rights to lands and territories that Indigenous Peoples have traditionally owned or customarily used or occupied, or (ii) involuntary acquisition of such lands.
9. Monitor implementation of the IPP using qualified and experienced experts; adopt a participatory motivation taking into account into base line condition, and the results of IPP monitoring. Disclose monitoring reports.

Day.6.
Session: V.

1. Topic: ADB Policy delivery process.

Time: 1 hr.

2. Learning Objectives: After completing this session the participants will be able to;

- Able to deliver the policy properly.
- Explain the Environment Categorization of the project.
- Use of the policy for consultation and participation.

Required materials: hand outs on the topics of discussion, masking tape or blue tack, markers, white board, LCD projector, Meta cards, flip chart.

3. Delivery approach:

S.N.	Contents	Methodology	Time
1	Formation of group and instructing to the group for presentation as per their responsibilities. Group: I - General policy delivery process. Group: II - Special requirement process.	Instruction/lecture	5
2	Reading and Presentation preparation: The presentation should be prepared with objectives and delivery mechanism.	Practical/	20
3	Presentation of the topics	Lecture/ question answer	30
4	Wrap up of the session with major learning aspects and evaluation	Lecture	5

4. Evaluation:

1. Mention the categories of the projects.
2. How the grievances are addressed.
3. How the information should be disclosed? Mentioned the methods of information disclosure.

Day: 6
Session V
Hand Out V
B. Policy Delivery Process

1. General Requirements

49. **Screening and Categorization.** ADB will carry out project screening and categorization at the earliest stage of project preparation when sufficient information is available for this purpose. Screening and categorization is undertaken to (i) reflect the significance of potential impacts or risks that a project might present; (ii) identify the level of assessment and institutional resources required for the safeguard measures; and (iii) determine disclosure requirements.

50. **Environment Categorization.** ADB uses a classification system to reflect the significance of a project's potential environmental impacts. A project's category is determined by the category of its most environmentally sensitive component, including direct, indirect, cumulative, and induced impacts in the

project's area of influence. Each proposed project is scrutinized as to its type, location, scale, and sensitivity and the magnitude of its potential environmental impacts. Projects are assigned to one of the following four categories:

(i) **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. An environmental impact assessment is required.

(ii) **Category B.** A proposed project is classified as category B if its potential adverse environmental impacts are less adverse than those of category A projects. These impacts are site-specific, few if any of them are irreversible, and in most cases mitigation measures can be designed more readily than for category A projects. An initial environmental examination is required.

(iii) **Category C.** A proposed project is classified as category C if it is likely to have minimal or no adverse environmental impacts. No environmental assessment is required although environmental implications need to be reviewed.

(iv) **Category FI.** A proposed project is classified as category FI if it involves investment of ADB funds to or through a FI (para. 65-67).

51. Involuntary Resettlement. ADB will screen all projects to determine whether or not they involve involuntary resettlement. For a project involving involuntary resettlement, a resettlement plan will be prepared that is commensurate with the extent and degree of the impacts. The degree of impacts shall be determined by (i) the scope of physical and economic displacement, and (ii) the vulnerability of the affected persons. For FI projects, see paras. 65-67.

52. Indigenous Peoples. ADB will screen all projects to determine whether or not they have potential impacts on Indigenous Peoples. For projects with impacts on Indigenous Peoples, an Indigenous Peoples plan will be prepared. The plan's level of detail and comprehensiveness will be commensurate with the degree of impacts. The degree of impacts is determined by evaluating (i) the magnitude of the impact on Indigenous Peoples' customary rights of use and access to land and natural resources; socioeconomic status; cultural and communal integrity; health, education, livelihood systems, and social security status; or indigenous knowledge; and (ii) the vulnerability of the affected Indigenous Peoples. For FI projects, see paras. 65-67.

53. Information Disclosure. In line with ADB's Public Communications Policy, ADB is committed to working with the borrower/client to ensure that relevant information (whether positive or negative) about social and environmental safeguard issues is made available in a timely manner, in an accessible place, and in a form and language(s) understandable to affected people and to other stakeholders, including the general public, so they can provide meaningful inputs into project design and implementation. ADB will post the following safeguard documents on its website:

(i) For environment category A projects, draft environmental impact assessment reports at least 120 days before Board consideration;

(ii) Draft environmental assessment and review framework, draft resettlement frameworks and/or plans, and draft Indigenous Peoples planning frameworks and/or plans before project appraisal;

(iii) Final or updated environmental impact assessments and/or initial environmental examinations, resettlement plans, and Indigenous Peoples plans upon receipt;

(iv) Environmental, involuntary resettlement, and Indigenous Peoples monitoring reports submitted by borrowers/clients during project implementation upon receipt.

54. Consultation and Participation. ADB is committed to working with borrowers/clients to put meaningful consultation processes into practice. For policy application, meaningful consultation is a process that (i) begins early in the project preparation stage and is carried out on an ongoing basis throughout the project cycle; (ii) provides timely disclosure of relevant and adequate information that is understandable and readily accessible to affected people; (iii) is undertaken in an atmosphere free of intimidation or coercion; (iv) is gender inclusive and responsive, and tailored to the needs of disadvantaged and vulnerable groups; and (v) enables the incorporation of all relevant views of affected people and other stakeholders into decision making, such as project design, mitigation measures, the sharing of development benefits and opportunities, and implementation issues. ADB will require borrowers/clients to engage with communities, groups, or people affected by proposed projects, and with civil society through information disclosure, consultation, and informed participation in a manner commensurate with the risks to and impacts on affected communities. For projects with significant adverse environmental, involuntary resettlement, or Indigenous Peoples impacts, ADB project teams will participate in consultation activities to understand the concerns of affected people and ensure that such concerns are addressed in project design and safeguard plans.

55. In addition, ADB recognizes that Indigenous Peoples may be particularly vulnerable in certain project circumstances. Therefore, consent of affected Indigenous Peoples communities, through meaningful consultation, will be ascertained for the following project activities: (i) commercial development of the cultural resources and knowledge of Indigenous Peoples; (ii) physical relocation from traditional or customary lands; and (iii) commercial development of natural resources within customary lands under use that would impact the livelihoods or cultural, ceremonial, or spiritual uses that define the identity and community of Indigenous Peoples. For the purposes of policy application, consent of affected Indigenous Peoples communities refers to a collective expression by the affected Indigenous Peoples communities, through individuals and/or their recognized representatives, of broad community support for such project activities. Broad community support may exist even if some individuals or groups object to the project activities. The borrower/client will ascertain whether the affected Indigenous Peoples communities provide their broad support to the project activities, and where such broad community support exists, the IPP will clearly document the consultation process. ADB will review the borrower's/client's documentation of the engagement process, and in addition, through its own investigation, will assure itself that broad community support for the project activities has been demonstrated by the affected Indigenous Peoples communities. ADB will not finance the project if such broad community support does not exist.

56. Due Diligence and Review. For projects proposed for financing, ADB will conduct safeguard reviews, including reviews of the borrower's/client's safeguard documents, as part of its overall due diligence. ADB's safeguard due diligence and review emphasizes environmental and social impact assessments and the planning process, in addition to safeguard documentation. Due diligence and review involves field visits as well as desk reviews. Through such due diligence and review, ADB will confirm (i) that all key potential social and environmental impacts and risks of a project are identified; (ii) that effective measures to avoid, minimize, mitigate, or compensate for the adverse impacts are incorporated into the safeguard

plans and project design; (iii) that the borrower/client understands ADB's safeguard policy principles and requirements as laid out in Safeguard Requirements 1–4 and has the necessary commitment and capacity to manage social and environmental impacts and/or risks adequately;

(iv) that the role of third parties is appropriately defined in the safeguard plans; and (v) that consultations with affected people are conducted in accordance with ADB's requirements. In cases where the assessment and planning process, or the safeguard documents, do not meet ADB's safeguard requirements, the borrower/client will be required to undertake additional assessment and/or improve the safeguard plans. When the borrower/client has inadequate capacity to carry out safeguard plans for a proposed project, the project will include component(s) to strengthen that capacity. For projects that are deemed by ADB to be highly complex and sensitive, 27 ADB will require the borrower/client to engage an independent advisory panel during project preparation and implementation.

57. Monitoring and Reporting. Both the borrower/client and ADB have their own separate monitoring responsibilities. The extent of monitoring activities, including their scope and periodicity, will be commensurate with the project's risks and impacts. Borrowers/clients are required to implement safeguard measures and relevant safeguard plans, as provided in the legal agreements, and to submit periodic monitoring reports on their implementation performance. ADB will require borrowers/clients to:

- (i) Establish and maintain procedures to monitor the progress of implementation of safeguard plans,
- (ii) Verify the compliance with safeguard measures and their progress toward intended outcomes,
- (iii) Document and disclose monitoring results and identify necessary corrective and preventive actions in the periodic monitoring reports,
- (iv) Follow up on these actions to ensure progress toward the desired outcomes,
- (v) Retain qualified and experienced external experts²⁸ or qualified NGOs to verify monitoring information for projects with significant impacts and risks,

(vi) Use independent advisory panels to monitor project implementation for highly complex and sensitive projects, and

(vii) Submit periodic monitoring reports on safeguard measures as agreed with ADB.

58. ADB reviews project performance against borrowers'/clients' commitments as agreed in the legal documents. The extent of ADB's monitoring and supervision activities will be commensurate with the project's risks and impacts. Monitoring and supervising of social and environmental safeguards is integrated into the project performance management system. ADB will monitor projects on an ongoing basis until a project completion report is issued. ADB will carry out the following monitoring actions to supervise project implementation:

- (i) conduct periodic site visits for projects with adverse environmental or social impacts;
- (ii) conduct supervision missions with detailed review by ADB's safeguard specialists/officers or consultants for projects with significant adverse social or environmental impacts;
- (iii) review the periodic monitoring reports submitted by borrowers/clients to ensure that adverse impacts and risks are mitigated as planned and as agreed with ADB;
- (iv) work with borrowers/clients to rectify to the extent possible any failures to comply with their safeguard commitments, as covenanted in the legal agreements, and exercise remedies to reestablish compliance as appropriate; and

(v) prepare a project completion report that assesses whether the objective and desired outcomes of the safeguard plans have been achieved, taking into account the baseline conditions and the results of monitoring.

59. Local Grievance Redress Mechanism. ADB requires that the borrower/client establish and maintain a grievance redress mechanism to receive and facilitate resolution of affected peoples' concerns and grievances about the borrower's/client's social and environmental performance at project level. The grievance redress mechanism should be scaled to the risks and impacts of the project. It should address affected people's concerns and complaints promptly, using an understandable and transparent process that is gender responsive, culturally appropriate, and readily accessible to all segments of the affected people.

60. Accountability Mechanism. Project-affected people can also submit complaints to ADB's Accountability Mechanism. The Accountability Mechanism provides an independent forum and process whereby people adversely affected by ADB-financed projects can voice, and seek a resolution of their problems, as well as report alleged violations of ADB's operational policies and procedures. The Accountability Mechanism comprises two separate, but related, phases, namely: (i) a consultation phase, led by ADB's special project facilitator who reports directly to the ADB President, to assist project-affected people in finding solutions to their problems; and (ii) a compliance review phase, led by a three-member panel that reports to the Board of Directors. The Compliance Review Panel investigates alleged violations of ADB's operational policies and procedures, as defined by the Board of Directors, including safeguard policies that have resulted or are likely to result in direct adverse and material harm to project affected people and recommends how to ensure project compliance with those policies and procedures.

2. Special Requirements

61. In addition to standard project loans that follow the general requirements stipulated in paras. 49–60, a number of specific cases require tailored approaches to address social and environmental impacts and risks. Appendix 4 specifies additional requirements for program lending, sector lending, multi tranche financing facilities, emergency assistance loans, existing facilities, financial intermediaries, and general corporate finance. If and when new lending modalities are developed, Appendix 4 will be updated to address these.

a. Safeguard Frameworks

62. Safeguard frameworks apply to projects delivered through sector loans, MFFs, emergency assistance loans or other lending modalities including projects where subprojects or project components are prepared after Board approval. The purpose of a safeguard framework is to ensure that the subprojects or project components implemented under the framework comply with ADB safeguard objectives, principles and requirements. Safeguard frameworks (including environmental assessment and review frameworks, resettlement frameworks, and Indigenous Peoples planning frameworks) need to be in place prior to project approval to provide guidance on screening and categorization, assessment, planning, institutional arrangements, and processes to be followed for subprojects and/or components that are prepared after Board approval. Impact assessments and safeguard plans are prepared during subproject or component preparation in conformity with the safeguard frameworks agreed to by ADB and the borrower/client. Safeguard frameworks will not be used for highly complex and sensitive subprojects of sector loans or of sector loan tranches of MFFs.

63. Safeguard frameworks will be prepared for each safeguard area and will: (i) reflect fully the policy objectives and relevant policy principles and safeguard requirements governing preparation and implementation of subprojects and/or components;

(ii) Explain the general anticipated impacts of the subprojects and/or components to be financed under the proposed project;

(iii) specify the requirements that will be followed for subproject screening and categorization, assessment, and planning, including arrangements for information disclosure, meaningful consultation with measures to involve vulnerable groups including women, grievance redress mechanism, and where applicable, safeguard criteria that are to be used in selecting subprojects and/or components;

(iv) describe implementation procedures, including budgets, institutional arrangements, and capacity development requirements;

(v) specify monitoring and reporting requirements; and

(vi) specify the responsibilities and authorities of the borrower/client, ADB, and relevant government agencies in relation to the preparation, submission, review, and clearance of subproject safeguard documents, and monitoring and supervision of safeguard plan implementation.

64. To determine whether the application of safeguard frameworks is appropriate, ADB will assess the borrower's/client's capacity to manage environmental and social impacts and risks and to implement national laws and ADB's requirements. If gaps exist between ADB's requirements and countries' laws, or where gaps in borrowers' capacity are apparent, the safeguard frameworks should include the details of the specific gap-filling requirements to ensure that policy principles and safeguard requirements are achieved.

b. Financial Intermediaries

65. For projects involving investment of ADB funds to or through financial intermediaries (FI), ADB conducts safeguard due diligence to assess the potential environmental and social impacts and risks associated with the FI's existing and likely future portfolio, and its commitment and capacity in social and environmental management. All FIs will ensure that their investments are in compliance with applicable national laws and regulations and will apply the prohibited investment activities list (Appendix 5) to subprojects financed by ADB. Where the FI's Investments have minimal or no adverse environmental or social risks, the FI project will be treated as category C project and need not apply any other specific requirements. All other FIs will be required to have in place or establish an appropriate environmental and social management system (ESMS) commensurate with the nature and risks of the FI's likely future (ii) screening, categorization, and review procedure; (iii) organizational structure and staffing including skills and competencies in environmental and social areas; (iv) training requirements; and (v) monitoring and reporting. The system will be documented and agreed upon by ADB and the FI. Where the FI's subprojects to be funded by ADB, either through credit-line, other loans, equity, guarantee, or other financing instruments, have potential for significant environmental or social impacts, the FI will be required to ensure that such subprojects meet ADB's safeguard policy requirements, including those specified in Safeguard Requirements 1-3. ADB may also set additional requirements for the FI's activities more generally depending on the FI's portfolio and the host countries safeguard systems. ADB will monitor the FI's performance on the basis of its environment and social management system.

67. ADB will assess the adequacy of the FI's capacity to manage environment and social impacts and risks. Where there are gaps in the FI's capacity, the ADB and FI will establish a time-bound plan to address identified gaps. ADB will work with clients to improve their overall capacity to address environmental and social risks more generally.

1. Topic: Report Writing**Time:** 1 hr. 30 minutes**2. Learning Objectives:** After completing this session the participants will be able to;

- Define report writing and identify the main body of the reports.
- Explain what should be in the report as per the subject/areas of the work.

Required materials: hand outs on the topics of discussion, masking tape or blue tack, markers, white board, LCD projector, Meta cards, flip chart.

3. Delivery approach:

S.N.	Contents	Methodology	Time
1	Definition of report and types of report. <ul style="list-style-type: none"> • A report is a text that originated in the business world in order to analyses and present information in a structured way. • <i>A report is a statement of the results of an investigation or of any matter on which definite information is required.</i> (Oxford English Dictionary) 	Lecture/Discussion	20
2	Differentiation of report from essay and other writing	Discussion with PowerPoint	20
3	Types of reports and their Characters : Business, Executive	Discussion/power point presentation	20
4	Technical Research Progress Report	Lecture	20
5	Wrap up of the session with major learning including the session evaluation.		10

4. Evaluation:

1. How do you define reports?
2. How do you differentiate report from essay?.
3. A report should be prepared with proper study? Justify it.

1. Understanding of report:

- ★ A report is a text that originated in the business world in order to analyses and present information in a structured way.
- ★ *A report is a statement of the results of an investigation or of any matter on which definite information is required.* (Oxford English Dictionary)
- ★ Reports are a highly structured form of writing often following conventions that have been laid down to produce a common format. Structure and convention in written reports stress the process by which the information was gathered as much as the information itself.
- ★ A report is a systematic, well organized document which defines and analyses a subject or problem, and which may include:
 - ★ the record of a sequence of events
 - ★ interpretation of the significance of these events or facts
 - ★ evaluation of the facts or results of research presented
 - ★ discussion of the outcomes of a decision or course of action
 - ★ conclusions
 - ★ recommendations

A Report should be:

- ★
 - ★ accurate
 - ★ concise
 - ★ clear
 - ★ well structured

2. Differentiation between Essay and Report.

Reports	Essays
Are usually written in paragraph form with full sentences, but may include bullet points to list items.	Must be written in paragraph form with full sentences.
Have headings and sub-headings for sections which are numbered	Generally do not have headings other than the title of the essay (unless advised otherwise in your Course Profile or by your tutor)
May include material such as tables and figures. If the tables/figures are not too large (less than 1/2 of a page) they can be included in the 'Discussion'/'Main Body' section of the report. Alternatively if large, include in the appendices at the end of the report.	Do not contain tables or figures

3. Types of reports

Depending on the nature of the course and the topic being covered, you may be asked to write many different types of reports. These will depend on the nature of the course and the topic being covered. Table 2 outlines some of the common types of reports you may be asked to write. Please note the key differences are in the *content*.

Business Report	A standard report, including most, if not all, the sections outlined in this guide.
Executive Report	A very detailed and analytical report, with very specific requirements.
Technical Report	A technical report (as suggested) generally requires the inclusion of technical specifications.
Research Report	<p>A research report involves you conducting some primary research of your own (e.g. conducting a survey/questionnaire/interview) as well as a literature review.</p> <p>Generally speaking, the body should include:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Introduction <input type="checkbox"/> Methodology <input type="checkbox"/> Literature Review <input type="checkbox"/> Discussion (Results) <input type="checkbox"/> Conclusion <input type="checkbox"/> Recommendation <p>The format and content of a research report is quite specific.</p>
Progress Report	<p>This includes the series of work carried out up the date of reporting.</p> <ul style="list-style-type: none"> ◆ Introduction ◆ Project time line ◆ Progress in different section ◆ Challenges ◆ Mitigation approach applied. ◆ Human resources involved. ◆ Project remaining works. ◆ Conclusion ◆ Recommendation

Session II

1. Topic: Structure of a report**Time: 1 hr 30 Minute****2. Learning Objectives:** After completing this session the participants will be able to;

- Identify the structure of a report.
- Formulate report according to the guideline of the report.

Required materials: hand outs on the topics of discussion, masking tape or blue tack, markers, white board, LCD projector, Meta cards, flip chart.

3. Delivery approach:

S.N.	Contents	Methodology	Time
1	Structure of the report: Preliminary section, body section and supplementary materials.	Lecture /Discussion	20
2	Body of the report: this is known as main parts of the report. Executive summary, table of contents, list of tables and figure, 1. introduction: This incorporates: a. Background, b. Aims and Objectives, c. Scope, 2. Discussion: Headings and sub headings of discussions. it depends as per the projects. (Technical report should include : Technical data, references, human resource, materials, working details, problems, mitigation, time frame, additional support required, financial management, quality control approach, quality of the materials, equipment required and if not available alternative approaches to accomplish the task etc.) 3. Conclusion 4 Recommendations. C. Supplementary Materials : Reference materials, appendices	Discussion with PowerPoint	30
3	Discussion on reports: Types and writing style.	Discussion/power point presentation	20
4	6. Monitoring and evaluation Arrangements, Review Panel and policy update.	Discussion/power point presentation	10
6	Wrap up of the session with major learning aspects and evaluation	Lecture	10

4. Evaluation:

1. Explain main body of a report.
2. What are the major aspects of Land acquisition act? Explain.
3. Which section of the law is about negotiation to acquire land?

Structure of a report

When writing a report, the structure will depend on the type of the report, it need to determine during the time of organizing a report. The following is an overview of the key sections that are generally included in a business report.

- If you are instructed to write a 'short report' it should be written accordingly as required including the short discussion without losing its main features.
- It may not be necessary to include all of these sections in your report - check with your organization about the requirements of all sections marked '**as requested**'.
- Reports can generally be seen to include three key sections as outlined in table 3.

Report Sections (These are not headings)

Preliminary Section	This section includes all the initial information required before the actual discussion takes place. See details below.
Body of Report	This is where the main discussion takes place. It begins with the introduction and ends after the conclusion and recommendations.
Supplementary material	This section includes additional information that supports the discussion and is referred to in the body of the report. See details below.

Main parts of a report:

A.I. Executive Summary (see example,).

This is an overall summary of the entire report. It should:

- a) Introduce the topic of your report
- b) Indicate the main subjects (major findings) examined in the discussion section of your report
- c) State your conclusions
- d) State your recommendations.

The executive summary is always on a separate page. Remember this is a summary of the entire report so you cannot write it until you have completed the report (you cannot summarise a report you have not yet written)! Even though it appears first, the Executive Summary is one of the last things you will write. (Note: Do not write the Executive Summary in the future tense).

II. Table of Contents (see example,).

This is an ordered list of the different sections and subsections of your report. It must include numbered section headings and subheadings, with their relevant pages. This indicates to your reader where various sections of your discussion can be found. Use MS Word to automatically generate the Table of Contents. Note: Table of contents should also be on a separate page.

III. List of Tables & Figures (see example,).

Like the table of contents, the list of tables and figures provides the reader with a guide to finding information that is presented in the form of diagrams and tables. It should include the table/figure numbers, titles and page location of each table and figure. Note if the report does not include any tables/figures then obviously this list is not necessary.

Note: List of Tables and Figures should also be on a separate page.

IV. Acknowledgements (as requested)

Acknowledgements are used to draw attention to, thank or recognize significant input of other people. It is not the reference list. This section should be used as required and note that its position can also vary. Please confirm this with your tutor.

(Note: These are not given as main pages. Page no should be given as i, ii,iii.iv etc.)

B BODY OF THE REPORT

The body of the report starts with the Introduction and continues to following sections with only two line spaces between each section. Do not start a new page for each section.

1. Introduction (see example p. 12).

The introduction should generally include three key types of information.

a) Background

This section sets the context for the report and provides the (brief) background information required for the reader to understand the report. For example, it may briefly outline the issue faced by the organization. Tell the reader something about the history/origin of the report. When was it requested? Why is it important? Who was involved and how?

b) Aims/ objectives

This tells the reader what the aims/objectives of the report are. It indicates what key questions the report is trying to answer and what it is trying to achieve. Why was it written?

c) Scope

This section tells the reader exactly what areas/ideas are covered in the report. It also helps to explain how the report is organised. Look at your plan and consider your headings and sub-headings.

Please be aware that sometimes course profiles/tutors may use different formatting for the introduction. The model introduction shown on p. 12 uses sub-headings for these sections but your tutor may prefer it to be presented as one paragraph (depending on the length of the assignment). Always check with your tutor if uncertain.

2. Discussion (Approximately 60% of the word count)

This section is where information relevant to the topic is presented. It is similar to the 'body' section of an essay. It must be fully *referenced* throughout, using various resources to support ideas. It should be organized logically, using topic headings, sub-headings and minor subheadings to break it into sections and sub-sections based on the ideas being discussed. *All* headings must be numbered sequentially. (See examples on p. 12-13).

3. Conclusion (approximately 5-10% of word count) (See example p. 14).

The purpose of the conclusion is to provide a summary of the major findings. It effectively attempts to answer the key questions posed in the introduction. When writing a conclusion it may be useful to consider the following:

- What has been learnt or proved from doing this research?
- On the basis of the research, what conclusions can be drawn?
- Consider the key questions and objectives set out in the introduction - what are the answers/conclusions you came to?
- Consider each of the key sections of your report - what was the main point made in each section?
- No new information should be introduced.
- Direct quotations are not necessary

4. Recommendations (see example p. 14).

Often when writing a report specific recommendations for future actions are requested. These can be included as a separate section before or after the conclusion or even as a part of the conclusion (using a sub-heading).

Recommendations should state what actions should be implemented based on the findings of the report. You may list these in bullet points or small paragraphs.

C. Supplementary Material

1. Reference List (see examples).

This list includes the full publication details of all books, articles, websites and other sources referred to in the report.

2. Appendices

This is where other information which has been referred to in the main part of your report is attached. This information is relevant but not necessarily essential and larger than 1/2 of a page. The main body of a report can include text, figures/tables and some calculations. However, long or repetitive calculations or data charts should be placed in the Appendices along with larger diagrams.

Appendices may include the following items:

- Questionnaires /Answers to questionnaires
- Interview transcripts
- Consent forms
- Maps

- Articles/clippings
- Data
- Charts/Tables
- Some diagrams
- Pamphlets
- Specifications

All appendices must be separated, labelled and referenced (where appropriate).

General tips about writing reports

Note: NEVER attempt to write a report without conducting the necessary research and planning first. Always brainstorm (concept map), research then develop a plan. Your plan should reflect the key headings and sub-headings that you intend to use to organize your discussion. Work out what you plan to discuss and when - this will allow you to then focus more carefully on expression.

Make sure your writing flows. Even though it is acceptable to use headings, reports should still follow a logical order. Once you have written a draft of the report, check that headings and paragraphs are ordered in a logical way so that the reader can follow the discussion.

Some useful tips while preparing a report.

- ✪ Be concise but avoid using too many lists or sentences/phrases separated with bullet points. If an assignment is simply made up of a series of lists it will not flow very well. It will be disjointed and is likely to lack sufficient content.
- ✪ Remember to always reference correctly and consider the nature of your resources. You may need to consult a combination of primary and secondary sources ranging from textbooks and journal articles to published market data, statistics, policy or law.
- ✪ Always write in the third person. Do not use personal pronouns such as I, my_i, you_i, _iyour_i, _i we_i or _iour_i!
- ✪ Use the present tense when you are writing about other people_i's work. E.g. _iJohnson (2001) points out that_i K_i or Studies indicate that K.
- ✪ Do not start paragraphs with quotations. Write your own topic sentences and use quotations as supporting evidences.
- ✪ Always use gender non-specific language he/she or _itheir_i.
- ✪ Use formal language: do not use words such as _ithings_i! or abbreviations such as etc. Be specific.
- ✪ Begin numbering your pages from the introduction. Pages with preliminary or supplementary information are usually numbered using a different system to clearly tell them apart, such as i, ii, iii, iv_i”.
- ✪ A good report offers evidence of original thinking and creative thought.

- Use objective analysis.
- Format your report consistently.

Day 7
Session III

1. Topic: Practical Session.

Time: 1 hr.30 Mins.

2. Learning Objectives: After completing this session the participants will be able to;

- Formulate report on the given topics such as rehabilitation and their condition.
- Provide recommendations on the basis of their finding.

Required materials: hand outs on the topics of discussion, masking tape or blue tack, markers, white board, LCD projector, Meta cards, flip chart.

3. Delivery approach:

S.N.	Contents	Methodology	Time
1	Individual: The participants will make a report on rehabilitation in their area or in some areas with the tentative 50 displaced people by an hydro power project/ drinking water project/ irrigation project/ high way project which ever they are familiar with.	Lecture/Discussion	60
2	Report Presentation: Selected any two :	Discussion with PowerPoint	20
6	Wrap up of the session with major learning aspects and evaluation	Lecture	10

4. Evaluation:

1. How do you find the report writing?
2. What was the most important part while preparing a report.
3. How have you identified the recommendation?

1. Title Page

EXECUTIVE SUMMARY

This report aims to examine the effectiveness of web-based material within the language classroom by evaluating the website ‘www.rong-chang.com’. It will evaluate the effectiveness of www.rong-chang.com (Learning Oral English Online) by reviewing the content, the pedagogical approach to which the content applies and the practical considerations in terms of costs associated with the web-based software, as well as layout and design.

The findings reveal the important relationship between content and learning objectives. The developer of the website has considered the relationship between the learner and the content, as well as the degree of pre-existing linguistic knowledge. However the web-based material does not provide the learner or teachers with the objectives for any units provided; therefore making it difficult to determine the educational aim of the resources.

It is clear that www.rong-chang.com would be an ideal choice for the language classroom. The material is user-friendly, even for first time Internet users. The learner can easily return to the main menu, as the text-based navigation tools are always displayed. Due to the simple and consistent format of the web page the teacher can easily navigate the learners through the web page, even by using the whiteboard. The content is American based, however it can be adapted for use in any language classroom.

The following recommendations have been made:

- The material needs to be more interactive and needs to provide the learner with feedback.
- The quality of the material can be improved by generating authentic situations, which the learner can relate to.
- The content can be improved by making it universal not just relating to the learners in America.
- Generate an awareness of the difference associated with pronunciation.

The first paragraph is based on the introduction.

The second paragraph comes from the body. It is a summary of the key findings or situational analysis.

The third paragraph is a summary of the conclusions.

The final paragraph outlines the recommendations. This can be done using a

Lists of Tables and figures

Preliminary

Section- page
numbers in Roman
numerals

Table of Contents

Title Page
Executive Summary ii
Table of Contents iii

List of Tables and Figures :	iv
1.0 Introduction.	1
1.1 Background	1
1.2 Aim	1
1.3 Scope	1
2.0 Historical Background (There are other contents)	1
Appendix A – ESL Questionnaire	15
Appendix B – Alternative Listening Activities	16

6. Lists of Tables and figures

Tables	
Table 1: Major Information Sources that can be accessed Via the CQU Library Website	3
Table 2: Advantages and disadvantages of using web-based material	7
Figures	
Figure 1: Screenshot www.rong-chang.com homepage	2
Figure 2: Level of improvement in 2003	7

7. Main Body

1.0 Introduction

1.1 Background

In recent years, the Internet has become a teaching tool as useful and as viable as textbooks, chalkboards and in many cases teachers themselves. However, as is the case with any medium, online resources have a range of advantages and disadvantages. As such it is necessary to carefully examine and evaluate web-based resources before choosing to use them.

1.2 Aims

The purpose of this report is to evaluate the effectiveness of web-based material within the context of a language classroom. It focuses on the www.rong-chang.com site in order to determine the educational value and cost effectiveness of using online material as a teaching and learning tool.

1.3 Scope

Although the website is divided into several sections, the paper focuses on listening and speaking activities. These links were selected as the material is the result of collaboration between the author and several linguistic teachers.

2.0 Historical Background:

2.1 The internet

This section discusses the historical background of the internet.

6.0 Conclusion

Although the web-based material for LOEO has its limitations, the activities are educational. The material is user-friendly, even for first-time internet users. The learner can easily return to the main menu as the text-based navigation tools are always displayed. Due to the simple and consistent format of the web page the teacher can easily navigate the learners through the web page, even by using the whiteboard. The content is American based; however it can be implemented into any language classroom. The only limitations are one's creativity.

7.0 Recommendations

Based on the findings, several recommendations can be made. The material needs to be more interactive and needs to provide the learner with feedback. If the material is more interactive it will motivate the students and will not resemble a textbook. It is easier to purchase a copy of a textbook rather than buy a computer and use this material. The content can be improved by making it universal and not just relating to learners in America. Also, the teacher has to generate awareness of the differences associated with pronunciation. The full potential of CALL has not been realized by the developer of the web site. Although the material is helpful it fails to be effective. The positive aspects of using a web site should be considered in order to generate authentic situations, which the learner can

The end

Reference list. Remember to list all sources you refer to in-text in the DO NOT number or use bullet points. Simply place all sources in *alphabetical order* according to the author's family name.

All appendices must be numbered and labeled.

Appendix 1

Topic: Evaluation.

Objectives: In this session, a questionnaire will be distributed as follow.

Questions:

Management:

1. Do you have any suggestion on the duration of the TOT? Please give your suggestion.

.....

2. Please give any suggestion to Improve the training Venue? What should be added to make it more interesting as Physical feature?

.....
.....

3. Do you have any suggestion to improve the quality of the accommodation ? Please give your suggestion.

.....

4. What is your suggestion to the food and other arrangement such as tea, etc ?

.....

Content:

1. What is view on the overall content on training facilitation part? Please give some suggestion to improve the contents

.....

2. Is there anything on the part of policies to improve the content?

.....

3. Do you think the report writing is a required content in the TOT training?

.....

4. Please give your suggestions to improve the contents of the training?

Delivery:

1. Have you enjoyed the training sessions?

Yes/No

If yes which areas of delivery you liked the most ?

Please mention it:.....

2. Have you applied facilitation skills in the facilitation practices?

Please mention your experience gained during facilitation sessions.

.....

3. Were hand outs provided as required?

Yes or No

4. Please rate the training program as follow.

Very good	Good	Satisfactory	poor

5. If you have any suggestions to improve in delivery of the content mention your suggestion in the space provided below.

.....
.....
.....

Competency level:

1. Do you have any problem in creating specific objectives?

Yes No

2. Mention the major areas where you have efficiency in delivery the content ?

.....

3. Why do you think that adult learning should be considered in facilitation to the community?

Mention it

4. Why do you think that body language is important part in felicitation?

.....

**5. What are the major aspects should be considered while preparing a report on resettlement ?
Please give your Idea on the basis of your experience and learning?**

.....

6. What are the major areas of social safe guard system ?

.....

Recommendations:

1. What are your recommendations on developing facilitation skills?

.....
.....

2. is the duration of TOT is adequate or it should be added or subtracted? Please mention it .

.....

3. What should be done to make it more fruitful and applicable in future?

Time: 40 minutes.

Master ceremony: Selection from a participant

After completion of this session the trainees will be able to;

- Organize closing session.
- Design the closing ceremony
- Conduct the closing ceremony.

Closing of the program.

1. Views from representative of the participants on the training program.
2. Views from the Facilitator.
3. Certificate distribution:
4. Closing remarks from the team leader.

Departure.

The end

References:

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7. Land Use policy: 2069
8. Malcolm S. Knowles: Adult Learning, the ASTD Training & Development Handbook: A Guide to Human Resource Development, Robert L. Craig, editor, 1996