

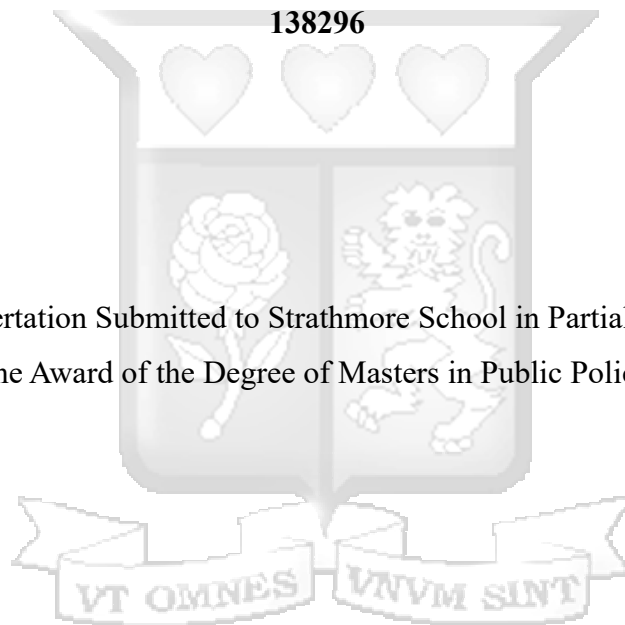
**EVALUATING THE EFFICACY OF THE WORLD BANK'S OP 4.12 POLICY IN  
RESETTLEMENT ACTION PLANS: A CASE STUDY OF THE MWACHE DAM  
PROJECT**

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Requirements for the Award of the Degree of Masters in Public Policy and Management



**May 2025**

## DECLARATION

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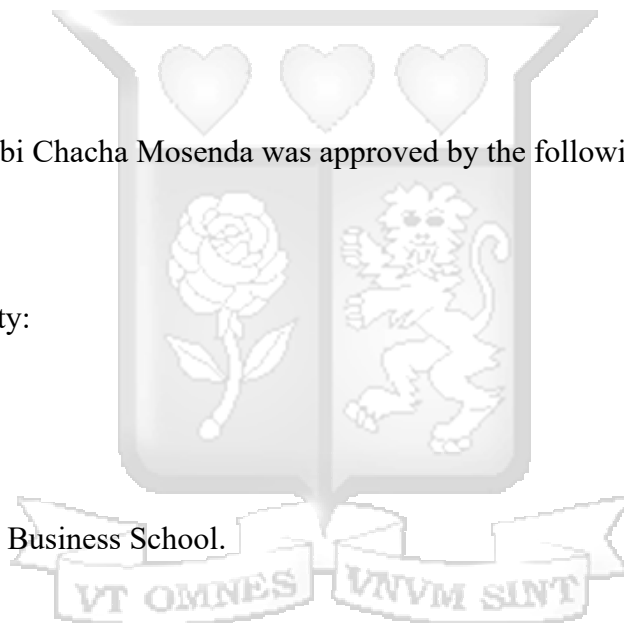
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## ABSTRACT

The World Bank's OP 4.12 policy provides procedural protections for project-affected persons (PAPs) displaced by development projects. Grounded in the theories of social justice, impoverished risks and reconstruction model, and implicit bias theory, the research undertaken sought to evaluate the efficacy of the OP 4.12 policy by focusing on its implementation in resettlement action plans (RAPs), for the Mwache Dam Project in Kenya. The research adopted a correlational research design and quantitative methods approach, with particular emphasis on gender dynamics and family structure, livelihood restoration and social well-being, and challenges encountered by government institutions and associated stakeholders. Data were collected from affected households and analysed using quantitative techniques to assess patterns and relationships. The findings revealed inadequacies in the efficacy of the OP 4.12 policy in the implementation of RAPs, with projects showing little to no compliance with the policy framework in the execution of RAPs. There were significant gaps in the application of the policy concerning gender dynamics and family structures, with the compensation process disproportionately favouring male-headed households as compared to female-headed households. Resettlement impacts PAPs significantly, especially regarding poor alignment with the OP 4.12 policy, undermining livelihood restoration and social well-being. Finally, government institutions and stakeholders encountered challenges, such as inadequate communication, insufficient stakeholder engagement, and gaps between national and international resettlement standards when implementing RAPs aligned with the OP 4.12 policy. Based on these findings, it is recommended that the World Bank consider deploying agents or representatives during project resettlement to ensure strict enforcement of the OP 4.12 policy and adherence to its guidelines, that governments align national resettlement legislations with international best practices, and that project managers address inadequate national standards by including international best practices to improve effectiveness in the implementation of RAPs.

**Keywords:** *Involuntary Resettlement, Resettlement Action Plan, Compensation, Project-Affected Persons, World Bank.*

## TABLE OF CONTENTS

<b>DECLARATION.....</b>	<b>II</b>
<b>ABSTRACT.....</b>	<b>III</b>
<b>TABLE OF CONTENTS.....</b>	<b>IV</b>
<b>LIST OF FIGURES .....</b>	<b>VII</b>
<b>LIST OF TABLES.....</b>	<b>VIII</b>
<b>LIST OF ABBREVIATIONS AND ACRONYMS .....</b>	<b>IX</b>
<b>DEFINITION OF TERMS.....</b>	<b>X</b>
<b>CHAPTER ONE - INTRODUCTION.....</b>	<b>1</b>
1.1    INTRODUCTION .....	1
1.2    BACKGROUND OF THE STUDY .....	1
1.2.1    World Banks Role and OP 4.12 Policy .....	3
1.2.2    The Role of the Government in Implementing OP 4.12 and Related Challenges..	4
1.2.3    Mwache Dan Project .....	5
1.2.4    Mwache Dam Project Resettlement Action Plans.....	6
1.3    PROBLEM STATEMENT.....	7
1.4    RESEARCH OBJECTIVES .....	9
1.4.1    Specific Objectives.....	9
1.5    RESEARCH QUESTIONS .....	9
1.6    SIGNIFICANCE OF THE STUDY.....	10
1.7    SCOPE OF THE STUDY.....	11
1.8    CHAPTER SUMMARY .....	11
<b>CHAPTER TWO – LITERATURE REVIEW .....</b>	<b>13</b>
2.1    INTRODUCTION .....	13
2.2    THEORETICAL REVIEW.....	13
2.2.1    Theory of Social Justice.....	14
2.2.2    Impoverished Risks and Reconstruction Model.....	15
2.2.3    Implicit Bias Theory.....	18
2.3    EMPIRICAL LITERATURE REVIEW .....	19
2.3.1    The Efficacy of the OP 4.12 Policy in the Implementation of Resettlement Action Plans (RAPs).....	19
2.3.2    The Gaps in the Application of OP 4.12 Policy Concerning Gender Dynamics and Family Structures.....	21

2.3.3	<i>The Impact of Resettlement on Project-Affected Persons (PAPs) in Terms of Livelihood Restoration and Social Wellbeing</i> .....	23
2.3.4	<i>The Challenges Faced by Government and Institutions in Implementing Resettlement Action Plans Aligned with OP 4.12</i> .....	25
2.4	RESEARCH GAPS.....	26
2.5	CONCEPTUAL FRAMEWORK.....	41
2.6	CHAPTER SUMMARY.....	44
<b>CHAPTER THREE – METHODOLOGY.....</b>		<b>46</b>
3.1	INTRODUCTION.....	46
3.2	RESEARCH PHILOSOPHY.....	46
3.3	RESEARCH DESIGN.....	46
3.4	TARGET POPULATION AND SAMPLING.....	47
3.4.1	<i>Target Population</i> .....	47
3.4.2	<i>Sample Design</i> .....	47
3.5	DATA COLLECTION METHODS AND TOOLS.....	48
3.6	RESEARCH QUALITY.....	48
3.6.1	<i>Research Reliability</i> .....	48
3.6.2	<i>Research Validity</i> .....	49
3.7	DATA ANALYSIS.....	50
3.8	DATA PRESENTATION.....	51
3.9	ETHICAL CONSIDERATIONS.....	51
3.10	CHAPTER SUMMARY.....	52
<b>CHAPTER FOUR: PRESENTATION OF FINDINGS.....</b>		<b>53</b>
4.1	INTRODUCTION.....	53
4.2	RESPONSE RATE.....	53
4.3	DEMOGRAPHIC INFORMATION.....	53
4.4	THE EFFICACY OF OP 4.12.....	56
4.5	GAPS BASED ON GENDER DYNAMICS AND FAMILY STRUCTURE.....	61
4.6	LIVELIHOOD RESTORATION AND SOCIAL WELL-BEING.....	65
4.7	INFERENCE STATISTICS.....	66
4.7.1	<i>Correlation Analysis</i> .....	66
4.7.2	<i>Regression Analysis</i> .....	67
4.8	CHAPTER SUMMARY.....	70
<b>CHAPTER FIVE – DISCUSSION, CONCLUSION, AND RECOMMENDATIONS....</b>		<b>71</b>

5.1	INTRODUCTION .....	71
5.2	SUMMARY OF THE KEY FINDINGS .....	71
5.3	DISCUSSION OF THE FINDINGS .....	73
5.3.1	<i>The Efficacy of the OP 4.12 Policy in the Implementation of Resettlement Action Plans (RAPs)</i> .....	73
5.3.2	<i>The Gaps in the Application of OP 4.12 Policy Concerning Gender Dynamics and Family Structures</i> .....	76
5.3.3	<i>The Impact of Resettlement on Project-Affected Persons (PAPs) in Terms of Livelihood Restoration and Social Wellbeing</i> .....	77
5.3.4	<i>The Challenges Faced by Government and Institutions in Implementing Resettlement Action Plans Aligned with OP 4.12</i> .....	79
5.4	CONCLUSION.....	81
5.5	RECOMMENDATIONS .....	82
5.6	IMPLICATIONS FOR ACADEMIA AND RESEARCH.....	83
5.7	LIMITATIONS OF THE STUDY.....	84
	<b>REFERENCES.....</b>	<b>85</b>
	<b>APPENDICES.....</b>	<b>100</b>
	APPENDIX I: QUESTIONNAIRE EXPLANATION.....	100
	APPENDIX II: STUDY TOOL .....	103
	SECTION A: DEMOGRAPHIC INFORMATION .....	103
	<i>Sehemu A: Taarifa za Kidemografia</i> .....	103
	SECTION B: IMPLEMENTATION OF OP 4.12.....	104
	<i>Sehemu B: Utekelezaji wa OP 4.12</i> .....	104
	SECTION C: LIVELIHOOD RESTORATION AND SOCIAL WELL-BEING .....	105
	<i>Sehemu C: Urejeshaji wa Maisha na Ustawi wa Kijamii</i> .....	105
	SECTION D: GENDER DYNAMICS AND FAMILY STRUCTURES .....	105
	<i>Sehemu D: Mabadiliko ya Kijinsia na Miundo ya Familia</i> .....	105
	APPENDIX III: INSTITUTIONAL ETHICAL REVIEW LETTER.....	107
	APPENDIX IV: NACOSTI RESEARCH PERMIT.....	108

## LIST OF FIGURES

Figure 2.1: Conceptual Framework .....42



## LIST OF TABLES

Table 2.1: Summary of Empirical Literature and Research Gaps .....	28
Table 3.1: Reliability Test Summary.....	49
Table 3.2: Validity Test Summary .....	49
Table 4.1: Respondents Profile .....	54
Table 4.2: Summary Descriptives Statistics on the Efficacy of OP 4.12.....	57
Table 4.3: Land Ownership Based on Gender Dynamics and Family Structure .....	61
Table 4.4: Involvement in Negotiation Based on Gender Dynamics and Family Structure....	62
Table 4.5: Satisfaction with the Compensation Process Based on Gender Dynamics and Family Structure.....	63
Table 4.6: Impact of Resettlement on Decision-Making Within Households Based on Gender Dynamics and Family Structure.....	63
Table 4.7: Impact of Resettlement on Roles of Women Based on Gender Dynamics and Family Structure.....	64
Table 4.8: Impact of Resettlement on Roles of Men Based on Gender Dynamics and Family Structure.....	65
Table 4.9: Impact on Household Income Stability Based on Gender Dynamics and Family Structure.....	66
Table 4.10: Pearson Correlation Analysis.....	67
Table 4.11: Regression Model Summary.....	68
Table 4.12: ANOVA Summary.....	68
Table 4.13: Regression Coefficient.....	70

## LIST OF ABBREVIATIONS AND ACRONYMS

<b>OP 4.12</b>	The World Bank Operational Policy on Involuntary Resettlement
<b>TT</b>	Task Teams
<b>UNTDIP</b>	United Nations Development Programme
<b>SGR</b>	Standard Gauge Railway
<b>DBFOT</b>	Design-Build-Finance-Operate Transfer
<b>IRR</b>	Impoverished Risk and Resettlement
<b>DFDR</b>	Development-Forced-Displacement and Resettlement
<b>RAP</b>	Resettlement Action Plan
<b>PAPs</b>	Project-Affected Persons
<b>PAHs</b>	Project-Affected Households
<b>KDRDIP</b>	Kenya Development Response to Displacements Impacts Project
<b>KISIP II</b>	Kenya Informal Settlements Improvement Project II
<b>NACOSTI</b>	National Commission for Science, Technology and Innovation



## DEFINITION OF TERMS

**Compensation:** Refers to the amount of money given to the land owner once their property has been acquired by project developers or the state for a development project (European Bank for Reconstruction and Development, 2014; Symth et al., 2015).

**Land Acquisition:** Refers to the taking over of land by project developers and the government or its agency for public use without the owner's consent or private negotiations, but with fair compensation (European Bank for Reconstruction and Development, 2014; World Bank, 2019).

**Involvement:** Being a part of a negotiation for compensation of assets or property lost during land acquisition (*Involuntary Resettlement Sourcebook*, 2004).

**Land Owners:** People who legitimately own land and are formally and legally acknowledged.

**Project-Affected Area:** An area that is expected to change due to the construction of a project or due to operational activities related to project development (European Bank for Reconstruction and Development, 2014).

**Project-Affected Persons (PAP):** People who are relocated to create way for project development and end up losing their right to own or use land (agricultural, residential, or pasture), annual or perennial crops and trees, or any other fixed or moveable asset either temporarily or permanently (European Bank for Reconstruction and Development, 2014).

**Physical Displacement:** Refers to the loss of assets and shelter following a land acquisition for project development purposes (Vanclay, 2017).

**Resettlement Assistance:** Refers to the support given to project-affected persons (European Bank for Reconstruction and Development, 2014).

**Vulnerable Groups** refer to individuals who, by their age, ethnicity, gender, physical or mental disability, economic disadvantage, or social status, may be more drastically affected by resettlement than their counterparts and who may be limited in their capacity to claim or take advantage of resettlement assistance and associated compensation (*Involuntary Resettlement Sourcebook*, 2004).

**Resettlement and Compensation Plan:** The Resettlement Plan or Resettlement Action Plan is a relocation report or instrument prepared when the locations a project will pass are identified (European Bank for Reconstruction and Development, 2014).

**Replacement Cost:** Refers to the replacement of property with an amount equivalent to cover the total cost of lost assets. It is often calculated as the market value of the property plus the

transaction costs (taxes, stamp duties, legal and registration fees, relocation costs) related to reinstating such property (European Bank for Reconstruction and Development, 2014).

**Involuntary Resettlement** refers to the relocation of people without their informed consent to facilitate project development (World Bank Group, 2015).



## **CHAPTER ONE - INTRODUCTION**

### **1.1 Introduction**

This chapter establishes and provides a background of the study to create context and a foundation. The background includes an analysis of current resettlement practices and challenges, focusing on the broader context of involuntary resettlement in development projects globally, primarily in Sub-Saharan Africa. It also reviews the World Bank's role while assessing its OP 4.12 policy. The chapter also clarifies the problem statement, research objectives, and questions. It also highlights the study's significance and the scope it covers.

### **1.2 Background of the Study**

The world is witnessing an unprecedented surge in large infrastructure investments, with countries across the globe, including Sub-Saharan Africa, striving to modernise. These megaprojects, such as new airports, railways, highways, power lines, and dams, play a crucial role in advancing development but often come with significant social and economic costs (Vanclay, 2017). A key issue arising from such projects is the need for extensive land acquisition, which often leads to the involuntary displacement of entire communities (Mathur, 2011a; Reddy et al., 2015).

Involuntary resettlement caused by development projects, presents significant challenges, especially to project affected persons. Resettlement Action Plans (RAPs) are designed to mitigate these challenges, yet the process remains highly complex, involving multiple stakeholders, dimensions, and levels of governance (Tan, 2008; Terminski, 2015). A notable example is the construction of the Three Gorges Dam in China, which displaced over 1.2 million people (Tan, 2008). Closer to home, Kenya's Nairobi Expressway displaced approximately 40,000 residents, primarily from informal settlements like Mukuru Kwa Njenga (Ram, 2021).

While development-induced resettlement is a global phenomenon, its adverse impacts are particularly severe in Africa. Governments often fail to provide adequate assistance to affected communities, resulting in violations of their rights to essential services, housing, and livelihoods (Kahangirwe & Vanclay, 2024). For example, the Tanzanian government, following the expansion of Julius Nyerere International Airport, delayed compensating and resettling affected individuals, despite legal recognition of their land rights (Mteki et al., 2017).

The World Bank's Operational Policy 4.12 (OP 4.12) on Involuntary Resettlement is a safeguard designed to protect displaced persons, ensuring fair compensation, livelihood restoration, and the provision of adequate housing. However, the effectiveness of OP 4.12 in

achieving these objectives has been questioned. For instance, Bugalski et al. (2013) highlight that the policy has not consistently been effective in mitigating and preventing adverse impacts and human rights violations related to displacement across its funded projects worldwide. According to Bugalski et al. (2013), the OP 4.12 core goal of conceiving and executing resettlements as sustainable development initiatives is often not achieved, with complaints and concerns about involuntary resettlement being a frequent issue.

The Inspection Panel (2016) on project-induced involuntary resettlement has also expressed similar concerns as those highlighted by Bugalski et al. (2013). According to the Panel, the sum of project activities does not adequately satisfy the World Bank's OP 4.12 goal due to the lack of a deliberate approach to resettlement. Contrary to the OP 4.12 policy, project developers occasionally perceive PAPs who require involuntary resettlement as an obstacle to the project. The OP 4.12 policy emphasises the need for project developers to engage in meaningful consultations that are gender-inclusive and responsive, tailored to the needs of disadvantaged and vulnerable groups. However, current practices are considered remarkably ineffective since they do not adequately meet the declarations of the OP 4.12 policy. The weaknesses in the current resettlement practices and the policy objective of treating relocation as a sustainable development programme point to the need for a new approach to engaging PAPs. The Inspection Panel (2016) emphasises the need for project developers or financiers to shift beyond the notion of merely consulting PAPs to providing independent advice and technical assistance, giving PAPs greater control over decision-making related to resettlement. According to the Inspection Panel (2016) report, this shift should also address the issue of inclusion, as current practices do not meet policy standards in terms of incorporating proactive efforts to elevate the degree of control in decision-making exercised by women. This move is essential in alleviating the disproportionate impacts of evictions and displacement that women face.

Current practice also does not align with the OP 4.12 goal of integrating proactive efforts to elevate the welfare of families. The complexities of the traditional land tenure system, where large extended families control land and the heads distribute user rights among family members, are not adequately considered (Bugalski et al., 2013; The Inspection Panel, 2016). Furthermore, the adverse impacts of resettlement induce stress, especially when compensation is inadequate, affecting families and causing disintegration. In the Mwache Dam Project in Kenya, for instance, resettlement challenges, such as delays in compensation and the exclusion of women from decision-making, have raised concerns about the policy's implementation and

exposed the negative effects of resettlement beyond merely causing disintegration among families (Omar, 2021).

### **1.2.1 World Banks Role and OP 4.12 Policy**

The World Bank has played a pivotal role in international development financing for decades, with a strong commitment to reducing poverty and promoting sustainable development. A significant portion of its financing is directed toward large-scale infrastructure projects, which often result in involuntary resettlement, where people are forced to relocate due to development activities (World Bank Group, 2015). Recognising the social and economic challenges associated with such displacement, the World Bank introduced Operational Policy 4.12 (OP 4.12), a safeguard policy designed to protect displaced persons by offering a framework for compensation, resettlement, and livelihood restoration (*Involuntary Resettlement Sourcebook*, 2004).

The primary goals of OP 4.12 are to minimize involuntary resettlement whenever possible and to ensure that displaced persons are compensated for their losses and are assisted in improving or, at the very least, restoring their livelihoods and living standards (*Involuntary Resettlement Sourcebook*, 2004; World Bank Group, 2015; World Bank, 2019; World Bank, 2021). Additionally, the policy seeks to support individuals without formal legal rights to land—such as renters, agricultural workers, and those with traditional land-use rights—who might otherwise be excluded from compensation frameworks (*Involuntary Resettlement Sourcebook*, 2004; World Bank Group, 2015; World Bank, 2019; World Bank, 2021). The policy mandates the preparation of Resettlement Action Plans (RAPs), which detail the steps and processes for addressing the impacts of resettlement (World Bank Group, 2015; World Bank, 2019; World Bank, 2021). These plans must follow a participatory approach, ensuring that project-affected persons (PAPs) are consulted and involved in decision-making, particularly concerning compensation, relocation, and livelihood restoration measures.

While OP 4.12 is lauded for providing a comprehensive framework for managing involuntary resettlement, challenges persist in its implementation. Common issues such as delayed compensation, insufficient stakeholder engagement, and gender disparities in decision-making frequently undermine the effectiveness of resettlement processes (Vanclay, 2017). For example, women, who are often responsible for household livelihoods, are frequently excluded from discussions regarding compensation, which reduces their capacity to participate meaningfully in resettlement planning (European Bank for Reconstruction and Development, 2014).

In Kenya, OP 4.12 has been applied in several major projects, including the Nairobi Expressway and the Mwache Dam Project, both of which involved the displacement of PAPs to accommodate development initiatives. Although RAPs were designed for these projects, implementation challenges, such as delayed compensation and the lack of meaningful involvement of women in decision-making processes, have sparked criticism of the policy's efficacy. In the Mwache Dam Project, for instance, women were often excluded from key discussions surrounding compensation, a pattern that has been observed in other resettlement projects across Africa (World Bank, 2019).

By using the Mwache Dam Project as a case study, this research seeks to evaluate the efficacy of OP 4.12, with a particular focus on gender dynamics and family structures. The analysis will offer insights into whether the policy's objectives are being met and will highlight the existing gaps in practice, especially concerning the equitable inclusion of all affected individuals in resettlement processes.

### **1.2.2 The Role of the Government in Implementing OP 4.12 and Related Challenges**

Governments play a critical role in implementing the World Bank's OP 4.12 policy, which focuses on resettlement planning, compensation, and livelihood restoration for project-affected persons (PAPs). While the World Bank sets the guidelines through OP 4.12, the actual responsibility for implementation on the ground falls primarily on national governments. This involves ensuring that Resettlement Action Plans (RAPs) are properly designed, aligned with local laws, and compliant with OP 4.12 standards.

Governments are tasked with several key responsibilities. First, they must assess and strengthen their legal frameworks to align with international standards. This means updating resettlement policies to ensure they not only protect landowners but also provide support for vulnerable groups such as tenants, informal settlers, and individuals with customary land rights (Vanclay, 2017). Second, governments are responsible for building institutional capacity. This includes ensuring that the relevant agencies have adequate staffing, financial resources, and technical expertise to oversee compensation and livelihood restoration processes (World Bank, 2019). Third, governments must monitor and provide oversight throughout the implementation of RAPs, ensuring that PAPs receive fair compensation and that their resettlement supports sustainable livelihood restoration.

Despite these responsibilities, many governments—particularly in developing countries—face significant challenges in fulfilling these roles. One major issue is the lack of adequate national legislation that supports resettlement and livelihood restoration. This often results in a

misalignment between local policies and the stricter requirements of OP 4.12, making it difficult to effectively implement RAPs (Smyth et al., 2015). Inadequate legal frameworks can leave local governments without the necessary authority or capacity to enforce World Bank standards.

Another challenge is the preference for cash compensation over land-for-land replacement, which often fails to restore the livelihoods of PAPs, especially in rural areas where access to land is critical for economic survival (Muchoki, 2016). Governments may also face pressure from project developers to keep compensation costs low, which can lead to conflicts between the needs of affected communities and project budgets. Furthermore, the resettlement process is often politicised, with politicians sometimes intervening to influence compensation rates, either for political gain or to appease lobby groups. This interference can further complicate the resettlement process and delay project implementation (Owuor, 2022).

Additionally, developers' reluctance to fully comply with OP 4.12 standards presents another obstacle. Developers may opt to follow less stringent local regulations or alternative standards, such as those of the International Finance Corporation (IFC), which may allow for shortcuts in the resettlement process. This reluctance often stems from the higher costs and stricter requirements associated with OP 4.12, making it difficult for governments to enforce compliance without robust regulatory frameworks (Smyth et al., 2015).

### **1.2.3 Mwache Dan Project**

The Mwache Dam development project is a flagship initiative under Kenya's Vision 2030, aimed at enhancing water security and promoting economic growth in the coastal counties of Kwale and Mombasa. This partnership between the Kenyan government and the World Bank is managed by the Ministry of Water, Sanitation, and Irrigation. Located in Fulugani village, 26 km west of Mombasa, the dam will stand at 87.5 meters and is designed to hold 230 million litres of water daily (Andeso, 2024). The project's goal is to provide a sustainable and long-term water supply solution to the two counties, which face chronic water shortages.

Initiated in 2013, the project faced significant delays, with the foundation stone being laid only on April 6, 2023, despite initial plans for construction to begin in 2018 (Anderson, 2024). Once completed, the dam is expected to benefit over 1.6 million residents, with projections rising to 2 million by 2030. Additionally, it will irrigate 7,000 acres of land, boosting agricultural production and employment, thereby reducing food insecurity and contributing to economic growth in the region.

The Mwache Dam Project is highly relevant to this research as a case study for evaluating the efficacy of the World Bank's OP 4.12 policy on involuntary resettlement. The project was partially funded by the World Bank, with the Kenyan government securing a Ksh. 20 billion deal in 2015 under the Paris Pact Flagship Project, which aims to build resilient water systems in urban areas (Anderson, 2024). As a recent World Bank-funded project, the Mwache Dam offers an ideal context to assess improvements in the implementation of OP 4.12, particularly concerning resettlement.

The project's scale of displacement is significant, affecting 12,000 residents and 3,220 households, who were required to relocate (Omar, 2021). The resettlement process, however, has been marred by compensation disputes between the government and landowners, delaying the project by over a decade (Kinyanjui, 2023; Anderson, 2024). Many landowners, supported by local leaders, opposed the government's compensation terms, particularly the low compensation rates, and demanded a minimum of Ksh. 1 million per acre (Anderson, 2024). Additionally, the relocation of communal resources, such as pipelines, the Mwache Bridge, Nunguni ECDE Centres, Fulugani Primary School, graves, and shrines, further delayed construction.

Given the recent commencement of construction in April 2023, the Mwache Dam project provides a timely and pertinent context to evaluate compliance with OP 4.12. It also offers insights into whether governments and institutions are effectively designing and implementing Resettlement Action Plans (RAPs) in alignment with the policy's objectives.

#### **1.2.4 Mwache Dam Project Resettlement Action Plans**

The Mwache Dam project involved multiple RAPs, with each RAP focusing on specific resettlement arrangements and measures to mitigate the impacts of the project. RAP 1 was divided in 1a and 1b, with RAP 1a covering works areas like the lower check dam site and quarry site areas, main dam site and some operational areas, part of main dam operational and reservoir areas, main dam impoundment areas, lower check dam reservoir areas – silt pile, and access roads, and RAP 1b focusing on the rest of the main dam and reservoir areas. RAP 2 covered all resettlement activities associated with the upper check dam and pilot irrigation scheme areas. RAP 3 covered all the remaining roads, which needed additional land for expansion.

All the four RAP reports indicate that the RAPs were designed following all the relevant legislation pertaining to the Constitution of Kenya (CoK), The Land Act, National Land Commission Act, Land Registration Act, Community Land Act, Traffic Act, Roads Act, Water

Act as well as the World Bank Involuntary Resettlement Policy OP 4.12 and Indigenous Peoples Policy OP 4.10. The CoK 2010 and local land laws require that there should be just compensation for PAPs but it is not clear on the specifics of what constitutes just compensation. Such unclarity tends to create loopholes that project developers exploit rather than adhering to international best practice as outlined in the OP 4.12. In terms of compensation, OP 4.12 is specific, requiring the project developer to provide full replacement cost, unlike the CoK 2010 and Kenyan Land Laws.

All four RAPs for the Mwache dam project mandated project developers to pay full replacement cost as compensation to all the PAPs and PAHs for land to be acquired, for structures, and other developments to be affected by the project, as clarified by the OP 4.12 and OP 4.10. While the RAPs were designed per all the relevant local legislations as well as the World Bank OP 4.12 and OP 4.10, concerns and dissatisfaction have been expressed by PAPs/PAHs, local leaders, human rights or activist groups on how the resettlement practice was conducted. Allegedly, the actual resettlement process did not meet the standards outlined in the RAP documents or reports. As of 2021, most PAPs had not been compensated despite RAPs being designed as early as 2014 (Abdullahi, 2021). The project had faced delays in implementation due to compensation and livelihood restoration demands from local communities (Gongo, 2024). Such issues emerging from the actual resettlement process strongly point to a gap in policy implementation and practice, with project developers not activating OP 4.12 and OP 4.10 policies during the actual resettlement practice but instead leaning towards local legislations, which are not as strict compared to OP 4.12 and 4.10.

### **1.3 Problem Statement**

The World Bank estimates that large-scale development projects have displaced at least 200 million people globally during the last two decades of the 20th century (Forced Migration Review, 2024). This trend has accelerated, and today, development projects displace an estimated 15 million people globally each year (Forced Migration Review, 2024). Development-induced resettlement is a significant part of the broader global crisis of internal displacement, particularly affecting regions in the Global South, including Sub-Saharan Africa, where government support and relocation efforts for project-affected persons (PAPs) are often inadequate or not prioritised (Forced Migration Review, 2024; Oriri, 2024).

In Kenya, tens of thousands of people have been impacted by involuntary resettlement resulting from development projects aimed at modernisation and economic growth. For example, Omar (2021) documented that the construction of the Mwache Dam affected 12,000 residents and

3,220 households, forcing them to relocate. Despite four RAPs being designed to facilitate the resettlement for Mwache Dam project, the process and practice was wrecked with various challenges due to ineffective execution of the RAPs.

Development-induced resettlement poses significant challenges for affected populations, especially when the process is not properly executed. Kahangirwe and Vanclay (2024) highlight growing concerns among local communities about the social impacts of such projects. Typically, development projects are implemented on land that people depend on for housing and livelihoods. As such, land is a critical resource for PAPs. However, recent reports emphasise the ongoing plight of displaced persons who are often removed from their land without adequate compensation, pushing them into poverty in the short term (Mchome & Nzoya, 2023; Forced Migration Review, 2024; Oriri, 2024; Kahangirwe & Vanclay, 2024).

The impacts of involuntary resettlement vary by demographic group, with women, in particular, facing heightened vulnerability. Women often bear the brunt of livelihood disruptions as they are typically responsible for household food security and other essential activities (Mchome & Nzoya, 2023). Reports indicate that women are frequently marginalised in resettlement negotiations, sidelined due to traditional gender roles that assume men are better equipped to handle land market transactions (Mchome & Nzoya, 2023; Kahangirwe & Vanclay, 2024). As a result, women's access to land and livelihoods is disproportionately threatened. Furthermore, a 2023 report by the International Finance Corporation notes that many women are left impoverished post-resettlement due to a lack of understanding of gender differences in production systems (International Finance Corporation, 2023). These post-resettlement challenges significantly undermine women's ability to restore their lives to pre-relocation conditions.

The difficulties faced by women following resettlement, as reported in recent studies (Mchome & Nzoya, 2023; Kahangirwe & Vanclay, 2024; International Finance Corporation, 2023), suggest a gap in aligning Resettlement Action Plans (RAPs) with the World Bank's OP 4.12 policy. Despite the unique challenges posed by different projects, the impoverishing consequences of displacement are often similar across various contexts. Global efforts to protect the human rights of PAPs have increased, but assessments of recent projects suggest that current resettlement policies inadequately address the human rights dimensions of development-caused relocations (Mchome & Nzoya, 2023; Kahangirwe & Vanclay, 2024; International Finance Corporation, 2023).

While OP 4.12 outlines protections for displaced persons, Kahangirwe and Vanclay (2024) argue that many large-scale projects continue to bypass these standards in favour of domestic

laws, which may not meet international best practices. OP 4.12 has stricter requirements than many local laws governing land access and resettlement (World Bank Panel, 2019; Mchome & Nzoya, 2023; Kahangirwe & Vanclay, 2024). This discrepancy leads project developers to opt for weaker domestic legislation, avoiding the more rigorous standards required by OP 4.12. The absence of national legislation supporting livelihood restoration, coupled with government inaction in establishing effective programs, exacerbates the vulnerabilities of PAPs, leaving them in precarious situations post-resettlement.

Thus, this study sought to evaluate the efficacy of the OP 4.12 policy by focusing on its implementation in Kenya, using the Mwache Dam project as a case study. The research aimed to identify gaps in the policy and proposed recommendations to strengthen its capacity to ensure effective livelihood restoration for PAPs.

#### **1.4 Research Objectives**

The general objective of this study is to assess the efficacy of the World Bank's OP 4.12 policy, identify gaps in its application, and propose recommendations to strengthen the policy and enhance its effectiveness in ensuring the well-being of project-affected persons (PAPs).

##### **1.4.1 Specific Objectives**

- i. To evaluate the efficacy of the World Bank's OP 4.12 policy in the implementation of Resettlement Action Plans (RAPs) in the Mwache Dam Project.
- ii. To identify and analyse gaps in the application of the OP 4.12 policy with respect to gender dynamics and family structures in resettlement processes.
- iii. To assess the impact of resettlement on project-affected persons (PAPs) in terms of livelihood restoration and social well-being.
- iv. To examine the challenges faced by government institutions and stakeholders in implementing Resettlement Action Plans in alignment with OP 4.12.

#### **1.5 Research Questions**

The study was guided by the following research questions.

- i. How effective was the World Bank's OP 4.12 policy in the implementation of RAPs in the Mwache Dam project?
- ii. What are the underlying gaps in the application of the OP 4.12 policy with respect to gender dynamics and family structures in the resettlement process?
- iii. What is the impact of resettlement on project-affected persons (PAPs) in terms of livelihood restoration and social wellbeing?

- iv. What challenges do government institutions and stakeholders face in implementing RAPs aligned with the OP 4.12 policy?

## **1.6 Significance of the Study**

This study holds considerable significance for several stakeholders, including policymakers, governments, project developers, affected communities, and financial institutions, particularly private banks that provide funding for development projects.

First, the findings are of critical importance to policymakers. The identification of inadequacies in the World Bank's OP 4.12 policy provides insights into future revisions and improvements of the framework, ensuring its effectiveness in addressing the challenges associated with involuntary resettlement. Additionally, by analysing gaps and proposing recommendations, this study guides the Kenyan government in aligning its domestic legal framework for resettlement with international best practices. This alignment will promote fair, transparent, and rights-based resettlement measures that uphold human rights as mandated by international law.

The study also has significant implications for project developers. Understanding the gaps in the current implementation of OP 4.12 enables developers to devise more equitable and inclusive criteria for identifying and compensating beneficiaries. Insights gained from this study support the creation of effective livelihood restoration plans and programs, ensuring that project-affected persons (PAPs) can fully restore their livelihoods and improve their well-being post-resettlement.

For affected communities, this study fosters greater understanding of how resettlement programs are structured and how compensation is determined. By clarifying these processes, the study can empower PAPs to participate actively in development projects, enhancing transparency and reducing misinformation. To ensure fair access to the research findings, a summary of the study's key findings will be publicly disseminated, particularly through local human rights organisations such as Human Rights Agenda (HURIA) and Haki Yetu. These organisations, which have been actively supporting the communities affected by the Mwache Dam project, can use the research to advocate for fair compensation, livelihood restoration, and stronger policy protections for displaced persons. This collaboration will also help translate the research into meaningful policy recommendations and community-led advocacy efforts.

Financial institutions, especially private banks that fund development projects, can also benefit from this study. By assessing the efficacy of OP 4.12, the study provides valuable insights into how financial institutions can ensure that the projects they support uphold fairness, inclusivity, and transparency in resettlement and compensation processes. This knowledge can help

banks mitigate reputational risks and support the development of socially responsible investment practices.

Overall, this research contributes to a deeper understanding of how to improve involuntary resettlement practices in ways that protect human rights, as dictated by international law and the World Bank's safeguard policies. By ensuring that findings are accessible to affected communities and local advocacy groups, the study bridges the gap between research, policy, and practice, promoting a more humane, equitable, and sustainable approach to development-induced displacement.

### **1.7 Scope of the Study**

This study adopted a focused approach to assessing the efficacy of the World Bank's OP 4.12 policy, identifying potential gaps in its implementation, and proposing measures to address these inadequacies. The scope of this research was limited to the Mwache Dam Project—one of Kenya's most recent large-scale development projects. The Mwache Dam project, a Ksh. 20 billion multipurpose dam is located in Kwale County, and construction began in February 2022. The project has displaced approximately 12,000 people and 3,220 households (Omar, 2021; Suche & Zaka, 2022). Beyond the displacement of individuals and families, the project has also significantly affected their livelihoods, including their access to economic and natural resources.

The Mwache Dam Project serves as an ideal case study for evaluating the effectiveness of OP 4.12, given the large-scale displacement and the corresponding challenges faced by affected populations. The project provides a representative microcosm for assessing how well OP 4.12 has been implemented in safeguarding the rights and welfare of project-affected persons (PAPs).

The study primarily relied on primary data collected through direct interactions with a selected sample of Mwache Dam PAPs. These individuals were considered for their first-hand experience with development-induced displacement, eviction, or resettlement and are, therefore, well-positioned to provide relevant and accurate information. This population was critical to understanding the efficacy of OP 4.12 in addressing the challenges associated with involuntary resettlement due to large-scale development projects.

### **1.8 Chapter Summary**

This chapter introduces the proposed study, providing a background and establishing the context for analysing involuntary resettlement and the World Bank's OP 4.12 policy. It also presents the Mwache Dam Project as the critical case study, highlighting its relevance to the

research. Furthermore, the chapter clarifies the problem statement, outlines the research objectives and questions, and discusses the significance and scope of the study. These foundational elements set the stage for evaluating the efficacy of OP 4.12 in resettlement processes and identifying gaps for improvement.



## CHAPTER TWO – LITERATURE REVIEW

### 2.1 Introduction

This chapter provides a critical assessment of relevant literature, sources, and up-to-date findings related to the study. It includes a theoretical review, which identifies and explains the theories underpinning the research and their connection to the variables being studied. The chapter also analyses the key variables and explores their relationship to the dependent variable. Additionally, it presents earlier research findings related to the factors under investigation. A summary of the literature review is provided, highlighting existing research gaps that this study aims to address. Furthermore, the chapter introduces the conceptual framework, linking the independent and dependent variables in the context of this research.

### 2.2 Theoretical Review

Ndlovu et al. (2022) define a theory as a system of statements that describe, explain, and predict the occurrence of real-world phenomena. Stewart et al. (2011) further explain that a theory provides insights into why things are the way they are. The purpose of theory is fourfold: to describe by setting forth what exists, to explain by accounting for how it functions, to predict by outlining the conditions under which a phenomenon occurs, and to prescribe by identifying the conditions under which a phenomenon should occur (Dwivedi et al., 2009). In essence, theories serve to describe, explain, predict, and prescribe phenomena in the real world. This theoretical review presents the key theories that underpin this study.

This research adopts a multi-theoretical framework, an approach that integrates multiple theories to offer a comprehensive and holistic understanding of the concept under investigation. According to the “Multi-theoretical Explanation” (2022), incorporating two or more theories is often recognised as providing a more thorough perspective, as it allows the researcher to address the limitations of relying on a single theory. While a single theoretical model may fall short of fully explaining complex phenomena, a multi-theoretical approach offers the advantage of drawing from multiple viewpoints and methods of analysis, thereby enhancing the depth of the study.

The use of a multi-theoretical framework is particularly appropriate for this study, as it allows the researcher to explore areas of potential conflict among theories and develop a more refined understanding of involuntary resettlement. By leveraging different theoretical perspectives, the researcher can examine the findings from various angles, offering a more objective and robust analysis of the variables under investigation. Ultimately, a multi-theoretical approach

strengthens the study's conclusions by enabling a more nuanced and comprehensive evaluation of the subject matter.

### **2.2.1 Theory of Social Justice**

The theory of social justice, proposed by John Rawls (1971), posits that every individual has an equal right to fundamental liberties and opportunities, comparable to others of similar abilities (Rawls & Blocker, 1976; Blocker & Smith, 1980; Raphael et al., 1982; Rawls, 2005; Rawls, 2009). Rawls' theory emphasises that resources should be distributed equitably, favouring equal access over utilitarian ideologies, which prioritise the greatest good for the greatest number (Rawls & Blocker, 1976; Blocker & Smith, 1980; Raphael et al., 1982; Rawls, 2005; Rawls, 2009). This framework supports the fair treatment of individuals, advocating for equal rights and opportunities and ensuring the greatest possible benefits for impoverished and vulnerable groups in society (Rawls, 2005; Rawls, 2009).

Rawls' model is built on social contract theory, where fairness is the product of joint decisions made under agreed-upon rules and standards (Rawls & Blocker, 1976). The theory emphasises that society is a cooperative system offering mutual benefits to its members, but it is often marked by disagreements stemming from diverse interests (Bala, 2008). Rawls argues that in a just society, individuals would make choices behind a "veil of ignorance," meaning they are unaware of their social status, ensuring unbiased decision-making that guarantees equal rights and opportunities (Rawls, 2009).

The Principle of Equal Liberty, the first that Rawls formulated, argues that all individuals should enjoy equal fundamental rights, including freedom of speech, association, and democratic participation (Ekmekci & Arda, 2015). Rawls also emphasises the right to own property but distinguishes this from unlimited ownership, asserting that fundamental freedoms should not be compromised by economic inequalities (Rawls & Blocker, 1976). However, Rawls acknowledges that obstacles such as poverty and ignorance can hinder individuals' ability to fully exercise these liberties, underscoring the importance of a just social structure that addresses these barriers (Rawls, 2005; Rawls, 2009).

The Principle of Equality focuses on organising economic systems to ensure that the least advantaged in society benefit the most, and that all individuals have equal opportunities, regardless of their background (Rawls & Blocker, 1976; Raphael et al., 1982; Bala, 2008). This principle highlights the importance of distributive justice, which is particularly relevant to resettlement processes, where displaced individuals must be compensated and supported to restore their livelihoods.

Development projects in low- and middle-income countries often lead to displacement and resettlement, resulting in new forms of poverty. Rawls' social justice theory is particularly significant in the context of involuntary resettlement, as it questions whether development projects that displace large populations for the benefit of the majority are justifiable (Rawls, 2009). Critics of such projects argue that, despite the intended "greater good," the displacement caused by these initiatives frequently leads to the impoverishment of affected individuals (Bala, 2008).

Rawls' theory critiques the utilitarian rationale often used to justify large-scale development projects. According to this theory, displacement due to development projects creates inequalities by depriving individuals of their land, livelihoods, and social standing. Even though compensation mechanisms are typically put in place, they often fall short of meeting Rawls' standard of justice, which requires that the displaced population's condition be improved, not merely compensated in financial terms (Rawls, 2005).

Pertaining to this study, Rawls' theory of social justice serves as a foundational framework for assessing whether the World Bank's OP 4.12 is effective in its mandate of ensuring fairness and inclusivity in the resettlement process. Thus, the theory anchors the study's objective on identifying and analysing the gaps in the application of the OP 4.12 policy with respect to gender dynamics and family structures in the resettlement process. The theory is particularly relevant to the evaluation of the gender and family dynamics affected by the implementation of OP 4.12, providing a lens through which to examine the fairness of compensation, inclusion in decision-making, and the long-term well-being of project-affected persons (PAPs).

### **2.2.2 Impoverished Risks and Reconstruction Model**

The Impoverished Risks and Reconstruction (IRR) Model, developed by Michael Cernea in 1997, is a widely cited framework that conceptualises the risks associated with involuntary resettlement. The model focuses on three key concepts—risk, impoverishment, and reconstruction—which are essential in understanding the challenges faced by displaced populations. Cernea designed the IRR model as a diagnostic tool to predict, address, and guide development-forced displacement and resettlement (DFDR) projects. His experience as a senior social policy specialist at the World Bank, where he observed the severe impoverishment and social disruption caused by such projects, informed the creation of this model (Cernea, 2008; Andnet, 2017; Wilmsen et al., 2018).

One of the most critical impoverishment risks identified by the IRR model is landlessness. Removing people from their land for development projects deprives them of their primary

productive resource, which often results in the loss of livelihoods. This disruption extends beyond the loss of natural resources, affecting people's commercial activities and subsistence opportunities (Dalton-Greyling & Greyling, 2007). As a result, displaced individuals frequently face financial instability, which can drive them into poverty (Wilmsen et al., 2018).

The model also highlights joblessness as a significant risk. Displacement often leads to the loss of employment, and finding new job opportunities in resettlement areas can be difficult, especially for those without access to capital. Many displaced individuals lack the skills required for employment in their new locations, further complicating their economic recovery (Cernea, 2008). Consequently, joblessness is a persistent problem that exacerbates the economic marginalisation of displaced populations (Liang, 2021).

Another crucial risk is homelessness. Although the loss of housing is sometimes temporary, it often leads to deteriorating living conditions for displaced families. In some cases, the displaced are unable to secure homes that meet their previous standards, resulting in long-term social and psychological impacts (Dalton-Greyling & Greyling, 2007). Furthermore, displacement disrupts community ties, as families lose access to familiar cultural and social spaces, leading to feelings of isolation and deprivation (Cernea, 2008).

The marginalisation of displaced populations is another significant concern. When people are uprooted from their homes and relocated, they frequently lose the economic and social status they previously held. Many cannot apply their existing skills in the new environment, and their human capital becomes less valuable, leading to social and psychological marginalisation (Wilmsen et al., 2018). This marginalisation manifests in a diminished social status, contributing to a sense of disenfranchisement among displaced individuals (Dalton-Greyling & Greyling, 2007).

Food insecurity is another impoverishment risk identified by the IRR model. Displacement often leads to a reduction in food security, as displaced populations lose access to land and resources necessary for food production. Cernea (2008) describes this risk as the displacement-induced decline in caloric and protein intake, which can result in temporary or chronic undernourishment. The disruption of food production systems is especially detrimental to rural populations that rely heavily on land for subsistence farming (Liang, 2021).

The risk of increased morbidity and mortality is also central to the IRR model. Displacement exposes populations to health risks, including the spread of infectious diseases and psychological trauma. Poor living conditions in resettlement areas, combined with a lack of access to healthcare services, often result in increased rates of illness and mortality (Dalton-Greyling & Greyling, 2007). Vulnerable groups such as children, women, and the elderly are

particularly susceptible to these health risks, further exacerbating the challenges faced by displaced communities (Wilmsen et al., 2018).

Loss of access to common property resources, such as forests, water bodies, and grazing lands, is another significant risk. These resources are crucial for the livelihoods of many displaced populations, particularly in rural areas. The IRR model highlights the fact that displaced individuals often lose access to communal resources, which can severely impact their income and overall well-being (Cernea, 2008). Additionally, public services such as education and healthcare facilities are often difficult to access in resettlement areas, further contributing to the marginalisation of displaced populations (Dalton-Greyling & Greyling, 2007).

Finally, the IRR model emphasises the risk of social disintegration. Displacement disrupts established social networks and structures, including families, community associations, and support systems. This disintegration often results in the breakdown of community cohesion and the loss of social capital, which is crucial for the well-being of displaced individuals (Cernea, 2008). Displacement not only affects physical assets but also the social fabric of communities, making it difficult for individuals to rebuild their lives after resettlement (Wilmsen et al., 2018). These eight impoverishment risks are interconnected and often force displaced populations to contend with multiple challenges simultaneously. The IRR model suggests that addressing these risks requires targeted strategies for risk reversal, such as land-based resettlement, employment generation, and the restoration of access to communal resources. These strategies must be accompanied by adequate financing and policy support to ensure that displaced populations can recover from the impacts of development-induced displacement (Wilmsen et al., 2018).

The IRR model aligns with this study's focus on involuntary resettlement by providing a framework to understand the risks faced by displaced populations. As such, it supports the study's objective of assessing the impacts of resettlement on PAPs in terms of livelihood restoration and social well-being. The model acknowledges that PAPs face significant risks, providing a foundation for evaluating PAPs livelihood and social well-being post resettlement. Even though the model offers strategic directions for mitigating resettlement risks, it is also a valuable tool for assessing the efficacy of the OP 4.12 policy, especially in ensuring that the resettlement process aligns with international best practice. The model also provides a framework for understanding the challenges different stakeholders, including government institutions, encounter in actualising RAPs that adequately meet the OP 4.12 standards.

### 2.2.3 Implicit Bias Theory

The implicit bias theory was coined and popularised by psychologists Mahzarin Banaji and Anthony Greenwald in 1995 (Greenwald & Banaji, 1995; Bilderback, 2025). The theory posits that unconscious biases automatically influence people's judgements and actions, perpetuating ethical fading, allowing those in leadership or superior positions to unknowingly engage in behaviours that erode fairness and inclusivity (Bilderback, 2025). On gender, the implicit bias theory postulates that gender biases, often unconscious, influence social phenomena and decision-making processes, propagating unfairness and marginalisation concerning gender. Hass et al. (2017) emphasise that implicit bias manifests through memories or mental associations that form without conscious awareness, yet these biases can significantly impact behaviour and decisions. In the context of gender, these implicit biases are shaped by culture, traditions, norms, values, and personal experiences. These mental associations, although automatic and unintentional, infiltrate decision-making processes, leading to judgments and actions influenced by gender stereotypes.

In the realm of development-induced displacement and compensation, implicit gender bias becomes particularly evident. Studies have shown that compensation processes tend to disproportionately favour men, who are often regarded as household heads and land-title holders (Bisht, 2009; Sahoo & Mishra, 2016; Nghi et al., 2021; Melketo et al., 2023). This bias results in men being the primary recipients of compensation for displaced households, with land titles and replacement assets, such as structures and plots, being registered in their names. Women, on the other hand, are frequently excluded from these processes, despite being integral to household management and livelihood restoration (Nghi et al., 2021).

The implicit gender bias theory explains how these practices are perpetuated through automatic associations formed by cultural norms and societal expectations. For instance, Bisht (2009) and Sahoo & Mishra (2016) observed that women are rarely involved in compensation negotiations or decision-making processes, even though they are responsible for managing household finances and ensuring the well-being of the family. Often, women are not even present during meetings where compensation funds are distributed, reinforcing their exclusion from economic decision-making (Melketo et al., 2023). This exclusion limits their ability to directly control compensation funds, further restricting their capacity to restore family living standards and livelihoods after resettlement.

This gendered approach to compensation can be deeply damaging, as women are denied the financial means to support their households effectively. Without access to compensation funds,

they struggle to rebuild their lives, further exacerbating the social and economic inequalities that development-induced displacement creates (Nghie et al., 2021). Implicit gender bias thus perpetuates a cycle of marginalisation, as women are systematically sidelined in resettlement processes, with decision-making power remaining in the hands of men.

The implicit bias theory aligns with this study's objective to identify gaps in the World Bank's OP 4.12 policy on involuntary resettlement, particularly concerning its impact on gender and family dynamics. Previous research has shown that women face disproportionate challenges during resettlement compared to men (Sahoo & Mishra, 2016; Nghie et al., 2021; Melketo et al., 2023). By examining these dynamics, this theory provides a foundation for understanding how implicit gender biases influence compensation processes, ultimately leading to worse outcomes for women. The theory helps frame the inquiry into whether OP 4.12 adequately addresses gender inequalities in resettlement and compensation, offering a critical lens through which to assess its effectiveness.

### **2.3 Empirical Literature Review**

This section includes a review of empirical literature based on the objectives of the study.

#### **2.3.1 The Efficacy of the OP 4.12 Policy in the Implementation of Resettlement Action Plans (RAPs)**

Not so many studies have examined the efficacy of the OP 4.12 policy in the implementation of RAPs. Available literature on the subject has only highlighted the importance of the OP 4.12 rather than critically exploring the topic to understand whether the OP 4.12 policy is adequately adopted and applied in the implementation of RAPs. While there are few government reports on the subject, they overly focus on the application of the policies in the design of RAPs.

Kieti (2021) sought to identify the gaps between Kenyan laws and international safeguard policies on involuntary resettlement. Using Key Informant Interviews (KIIs) and a desktop review approach involving texts and policy documents prepared for project implementation in Kenya and a review of existing Kenya and international laws and regulations on resettlement, including the World Bank's Operational Policy 4.12, Kieti (2021) found that there are minimal gaps between Kenya laws and international safeguard policies. Kenya's resettlement laws and regulations are less stringent, and as a result, project developers exploit them rather than comply with international best practice as specified by international safeguard policies (Kieti, 2021). Htet (2021) equally underscores the importance of international safeguard policies on resettlement, including the World Bank OP 4.12, in the implementation of RAPs.

Htet (2021) evaluated resettlement work plans of the Thilawa Special Economic Zone (SEZ), Yangon, Myanmar, highlighting the critical role of involuntary resettlement safeguard policies. Adopting a qualitative research approach involving document analysis and content analysis to explore the resettlement plans of Thilawa SEZ, Htet (2021) found evidence of substantial inadequacies in several resettlement areas, especially in the application of international guidelines for resettlement, including the OP 4.12 policy. Typically, Htet (2021) noted that the agency involved in the project failed in its mandate to provide resettlement sites desired by PAPs and offer essential information on the pre-resettlement conditions of the PAHs, relocation site, and new housing provision. According to the researcher, the agency equally failed to restore agricultural livelihoods for PAPs, offer support for alternative and sustainable livelihoods, and provide development opportunities from the SEZ to the PAPs/PAHs. Htet (2021) also observed major shortcomings in cut-off dates and census data, land compensation, consideration of vulnerable groups and gender, public participation, and the provision of community infrastructure, further highlighting the inadequacies in the application of international guidelines for resettlement, such as the OP 4.12 policy during the implementation of RAPs. Dobra (2021) highlights the disruptive and stressful nature of resettlement for relocatees, suggesting that adhering to international resettlement frameworks such as the OP 4.12 ensures that resettlements are planned and implemented effectively, alleviating adverse social, cultural, and economic impacts.

Iganga (2007) likewise underscored the critical value of international safeguard policies for resettlement in ensuring the swift relocation of PAPs. According to Siganga (2007), local or national policies do not adequately specify the institutional arrangements and procedures for the relocation and resettlement of informal settlements. As a result, there is mismanagement of the relocation and resettlement process, such that it is never carried out optimally. Okello (2014) has also stressed the suitability of the international guidelines for resettlement such as the OP 4.12, advancing that they are stringent enough to alleviate the performance gaps of fair and full compensation, engagement and active involvement of PAPs, grievance redress on compensation and valuation matters, which are more rampant when local legislations are prioritized. Otsuki et al. (2022) further advance that misaligning RAPs with involuntary resettlement guidelines undermines proper and swift relocation.

Ty et al. (2013) alike affirmed the critical value of resettlement international regulations while acknowledging the issues in implementation. Even though improvements have been made in resettlement policy frameworks, such as those made in the OP 4.12 in 2013, poor implementation measures remain an obstacle that continues to expose relocatees to adverse

impacts (Ty et al., 2013). For instance, Ty et al. (2013) further emphasise ineffective compensation measures and a lack of production land and livelihood alternatives as still rampant despite the improvements. Similarly, the researchers noted that close alliances between local governments and project developers further lead to the ignorance of the benefits of relocatees with the compulsory land acquisition process outlined by international resettlement guidelines. Otsuki (2021) also ascertains that local rules limit PAPs to one-time beneficiaries, which does not meet international best practice and standards for involuntary relocation.

### **2.3.2 The Gaps in the Application of OP 4.12 Policy Concerning Gender Dynamics and Family Structures.**

Several studies and project assessments have highlighted significant gaps in the application of the OP 4.12 policy, particularly in addressing gender dynamics and the impact on family structures. These reports reveal that while involuntary resettlement imposes severe social consequences on project-affected persons (PAPs), the OP 4.12 policy has been insufficient in alleviating the specific challenges faced by women. Displacement places women at a higher risk than men due to their dual social and economic roles. Win (2019) notes that women often lose informal jobs, such as street vending or home-based businesses, when displaced from their homes and economic bases, making them vulnerable to exploitation and, in some cases, sexual violence in the relocated areas. Furthermore, Anwar (2021) underscores that women face increased household responsibilities after resettlement, particularly in regions lacking essential amenities like clean water and sanitation. These added burdens contribute to chronic physical and mental health issues among displaced women, stemming from the emotional toll of displacement and the loss of livelihoods.

Gender disparities in accessing compensation and resources are also a major issue undermining the effective implementation of OP 4.12. Basu (2016) examined the aftermath of India's Sardar Sarovar Dam project and found that men often receive more compensation and resources due to patriarchal beliefs that restrict land ownership and property rights to males. In this project, household heads, typically men, were compensated, while women were excluded from the process, exacerbating their vulnerability. Without compensation or livelihood restoration programs, women struggle to secure housing, feed their families, or invest in businesses, leading to a cycle of dependence and poverty. Similarly, Zaman (2021) highlights that in South Asia, women's ability to access compensation is severely limited by cultural and legal barriers, particularly in regions where land tenure systems do not recognise women's property rights.

The entrenched social norms that marginalise women from critical financial decision-making further compound this issue.

Addressing these gaps requires involving women in resettlement negotiations and planning to ensure their concerns are adequately addressed. Sharp et al. (2019) found that women's participation in community-level consultations and decision-making forums remained low in many resettlement projects in Sub-Saharan Africa. This exclusion is often reinforced by traditional beliefs that women lack the decision-making power men possess. However, a 2021 World Bank report emphasises that including women in project implementation helps mitigate the adverse effects of resettlement by incorporating gender-specific needs into livelihood restoration strategies. Wan et al. (2022) also argue that women's participation in compensation meetings improves project outcomes, as it ensures that their distinct needs are prioritised, ultimately reducing the negative impact of resettlement on family dynamics.

Resettlement also leads to significant changes in family roles and responsibilities, disrupting established family structures. Hailemariam (2011) found that in Ethiopia, resettlement projects reshuffled family roles, with women increasingly taking on economic responsibilities to support their families. The loss of male-headed agricultural livelihoods forced women into small trading businesses or casual labour to assist their husbands in sustaining the household. This shift in responsibilities often placed undue pressure on women, leading to mental strain and stress, which in turn exacerbated household conflicts and, in some cases, resulted in domestic violence and family breakdowns.

Displacement disrupts not only economic roles but also established family routines, leading to emotional and psychological distress. Yusuf (2021), in a study of resettlement in South Africa, highlighted how families struggled to maintain cohesion in the face of new economic and social challenges. The disorientation experienced by families after moving from familiar environments to unfamiliar conditions often fragments extended families, who traditionally provided crucial social and economic support. The erosion of these support systems, as a result of resettlement, further strained the affected families, deepening their sense of loss and disconnection from their communities.

In conclusion, the application of OP 4.12 in addressing gender dynamics and family structures remains inadequate. The policy has not fully accounted for the disproportionate impacts of resettlement on women, who often face greater challenges in coping with post-relocation economic and social disruptions. Further research and policy reform are needed to address these gaps and ensure that resettlement processes are equitable and inclusive, particularly for women and vulnerable family members.

### **2.3.3 The Impact of Resettlement on Project-Affected Persons (PAPs) in Terms of Livelihood Restoration and Social Wellbeing.**

Documented reports and studies show that resettlement processes have significant effects on the livelihoods and social well-being of PAPs (Herath et al., 2017; Bose, 2018; Gebreyesus & Tadesse, 2019; Nikuze et al., 2019; Liphoto, 2020; Thiyagarajan & Khudrathullah, 2020; Atobatele et al., 2023). Resettlement often disrupts PAPs' livelihoods by forcing them to abandon key income sources, such as agriculture and small businesses. Gebreyesus and Tadesse (2019) highlighted that PAPs experience severe economic disruptions due to the loss of productive assets like land, livestock, and business establishments. Despite policies aimed at compensating for these losses, livelihood restoration programs are frequently inadequate or poorly implemented, leading to impoverishment. Gai et al. (2022) observed that the Maasai resettled from Olkaria due to a geothermal project were left in poverty as a result of insufficient compensation and poorly executed livelihood restoration measures.

The failure of livelihood restoration programs is often attributed to gaps in planning and execution. Thiyagarajan and Khudrathullah (2020) noted that while some projects provide compensation for lost assets, this does not adequately replace the long-term income-generating opportunities that are often lost during displacement. This problem is especially pronounced in rural areas, where land is a critical livelihood base. The study found that fewer than 35 per cent of resettled PAPs achieve economic stability within five years of relocation, illustrating the persistent challenges associated with livelihood restoration (Thiyagarajan & Khudrathullah, 2020).

The agricultural productivity of resettled farming communities in sub-Saharan Africa has been particularly affected. Nikuze (2019) found that PAPs frequently suffer from reduced agricultural output due to poor-quality land and water shortages in resettlement sites. The lack of support for transitioning to alternative employment exacerbates economic vulnerability for farming communities. Studies have shown that livelihood restoration programs are more successful when PAPs are actively involved in compensation negotiations and decision-making processes. For example, Bose (2018) highlighted the importance of vocational training and financial support in India, where some projects provided PAPs with skills and resources to rebuild their lives. According to Thiyagarajan and Khudrathullah (2020), such programs help PAPs secure alternative employment, enabling them to sustain their families after displacement.

In addition to economic challenges, resettlement also has profound social consequences for PAPs. Emotional and psychological distress are common, largely due to the breakdown of social networks and the dislocation from familiar communities. Liphoto (2020) found that many PAPs experience a sense of isolation and detachment, which diminishes their sense of belonging in new environments. This social dislocation is further compounded by the fragmentation of communities, as families and friends are often relocated to different areas. Gebreyesus and Tadesse (2019) acknowledged that the disintegration of social networks leads to feelings of alienation, making it difficult for PAPs to rebuild their social capital in unfamiliar settings.

Access to essential services such as healthcare, education, and infrastructure also plays a crucial role in the social well-being of PAPs. Many resettlement sites are located in rural or remote areas, limiting access to quality services. Gai et al. (2022) noted that PAPs resettled in Olkaria faced inadequate access to water and land, while Atobatele et al. (2023) emphasised the barriers that resettled communities encounter when trying to access basic services. This lack of access often results in long-term social exclusion, as PAPs are unable to fully integrate into their new communities. Atobatele et al. (2023) found that approximately 60 per cent of resettled PAPs had inadequate access to primary healthcare, leading to poor health outcomes and reduced social mobility.

However, there are examples of improved social well-being in projects where RAPs align with international best practices. Herath et al. (2017) found that resettlement programs involving meaningful participation and careful coordination had positive social outcomes for PAPs. These findings align with Gai et al. (2022), who observed that resettlement projects offering quality land and involving PAPs in decision-making were more likely to achieve higher levels of satisfaction. Kieti (2021) and Atobatele et al. (2023) also emphasised the importance of consultation and participation in addressing the challenges PAPs face during resettlement.

Ultimately, the effectiveness of resettlement programs in restoring livelihoods and improving social well-being depends on the policies governing these processes. Herath et al. (2017), Bose (2018), and Gebreyesus & Tadesse (2019) underscore the importance of well-designed policies that address the economic, psychological, and social dimensions of resettlement. Comprehensive programs that integrate these dimensions are essential to ensuring that PAPs can rebuild their lives and improve their overall well-being after displacement. Lessons from past projects must inform future resettlement efforts to prevent the recurrence of common pitfalls and to safeguard the livelihoods and social well-being of displaced populations.

### **2.3.4 The Challenges Faced by Government and Institutions in Implementing Resettlement Action Plans Aligned with OP 4.12.**

The literature highlights several challenges that governments and institutions face in implementing Resettlement Action Plans (RAPs) aligned with the OP 4.12 policy. According to Smyth et al. (2015) and Muchoki (2016), the lack of appropriate governance systems and an inadequate institutional environment contribute to many setbacks in managing development-induced displacement. Smyth et al. (2015) note that the absence of national legislation for livelihood restoration often undermines governments' capacity to implement RAPs that fully comply with OP 4.12. For instance, Muchoki (2016) observed that in resettlement projects in Kenya and Nigeria, the absence of national policies aligned with international standards, such as OP 4.12, weakened the government's ability to ensure effective implementation of RAPs.

One key issue is the prevalence of cash compensation in resettlement projects. Muchoki (2016) argues that both governments and PAPs tend to prefer cash compensation, which often complicates the resettlement process. Governments are reluctant to offer generous compensation rates, fearing that doing so may set an unsustainable precedent, while civil society organisations and PAPs often lobby for higher rates. Besides, they do not make efforts to monitor the post-relocation state and progress of PAPs. Downing et al. (2021) maintain that governments downplay post-relocation actions, exposing relocatees to adverse impacts. Post-relocation measures are necessary to support PAPs in restoring pre-resettlement living standards and adapting to new social routines and economic arrangements to improve their well-being.

Saleem et al. (2023) establish that governments and other funding agencies do not adequately and efficiently play their role in mitigating post-resettlement risks for PAPs. The researchers also note that by failing to play their role sufficiently, they expose themselves to challenges in the mainstream society. For instance, activism resulting from undercompensation or unsatisfying resettlement propositions further delays project implementation, inflating project costs that are often transferred to the government. Saleem et al. (2023) also highlight that governments underestimate consultations, choosing not to send representatives to manage these meetings. Kieti (2021) further observed that resettlement projects often fail to engage all relevant stakeholders, sometimes concluding agreements with community leaders who do not adequately represent PAPs. This lack of meaningful stakeholder engagement reduces transparency, increases disputes, and often results in litigation, which delays project implementation and inflates costs.

Another major challenge is the reluctance to comply with international standards, including OP 4.12. Cherunya et al. (2020), Kieti (2021), and Gai et al. (2022) note that developers and governments frequently prefer to adhere to less stringent national standards rather than the more comprehensive international guidelines. National laws often lack the robust safeguards for livelihood restoration found in OP 4.12, and this misalignment hampers the effectiveness of RAPs. Yang et al. (2024) mention that while some countries like China have managed to align local resettlement policies with the OP 4.12 standards, challenges remain in balancing development with the rights of relocatees. According to Symth et al. (2015), PAPs cannot often fully understand the impacts of resettlement and their rights under these policies, creating further obstacles to informed agreement on compensation and relocation measures. Civil society organisations attempting to bridge this gap through community education and capacity-building efforts are often constrained by financial limitations (Cherunya et al., 2020; Kieti, 2021).

The gap between national and international standards is further exacerbated by the challenge of finding affordable resettlement land of sufficient quality. Cherunya et al. (2020) and Gai et al. (2022) highlight the increasing costs of land, which present a significant obstacle to governments, particularly in resource-constrained contexts. The difficulty of securing quality land at reasonable prices. Ty et al. (2013) identify the lack of productive or arable land as a major challenge that governments face during project-induced resettlement. Htet (2021) further underscored that governments fail to provide resettlement sites desired by PAPs due to high land costs. Yang et al. (2024) also identify that balancing development with the rights of PAPs remains a challenge that governments face during the resettlement process.

In conclusion, governments and institutions face multiple challenges in implementing RAPs aligned with OP 4.12. These challenges include the lack of national legislation aligned with international standards, the preference for cash compensation, insufficient stakeholder engagement, gaps between national and international standards, and the difficulty of securing affordable, quality resettlement land. Addressing these obstacles will require stronger institutional frameworks, better alignment between national and international policies, and increased resources to ensure that resettlement projects meet the comprehensive safeguards established by OP 4.12.

## **2.4 Research Gaps**

A review of recent literature on the efficacy of the OP 4.12 policy reveals significant knowledge, methodological, and contextual gaps. Although OP 4.12 is designed to ensure the

effective implementation of Resettlement Action Plans (RAPs), alleviate impoverishment risks, and improve the long-term livelihoods of project-affected persons (PAPs), several studies suggest conflicting findings regarding its application and efficacy. This highlights a knowledge gap in understanding the policy's actual impact on resettlement outcomes (Win, 2019; Anwar, 2021; Basu, 2016; Zaman, 2021). The existing literature lacks sufficient research on the overall effectiveness of OP 4.12, underscoring the need for a more thorough investigation into how well the policy achieves its intended goals. Available studies have primarily focused on the application rather than on assessing its efficacy in the implementation of RAPs. Therefore, the current study seeks to address this gap in research.

In addition to the knowledge gap, there is a methodological gap in the literature. Most studies on OP 4.12 have primarily employed qualitative methods, mainly desktop review, content analysis, text analysis, and document analysis, while a few have attempted to integrate both approaches. This has resulted in an incomplete picture of how the policy operates in different resettlement contexts. To address this, the current study will employ a mixed-methods approach, combining both quantitative and qualitative data collection and analysis. This approach will provide a more comprehensive understanding of the policy's efficacy by bridging the methodological gap and offering a robust, nuanced analysis of OP 4.12's implementation. A contextual gap also exists, as much of the research on OP 4.12 focuses on specific regions or countries, often outside of Kenya. For instance, studies by the World Bank (2021) and Hailemariam (2011) are limited to Ethiopia, while Nkwor et al. (2024) examine the policy's application in Nigeria. Owuor (2020) and Muchoki (2016) provide insights into the Kenyan and Nigerian contexts, but they do not offer a comprehensive assessment of how OP 4.12 is applied in Kenya. Furthermore, other researchers have primarily focused on South Asia and Latin American nations (Mahmood & Dalal, 2019; Sikka, 2020; Mushtaq et al., 2015; Shrestha, 2017; Baruah, 2023; Calvi et al., 2020; Atkinson, 2019; Tellez, 2018; Koops, 2024). While these studies indicate efforts to comply with OP 4.12, they often overlook the specific challenges and effectiveness of the policy in Kenya.

Given that the literature on OP 4.12's efficacy in Kenya remains shallow and lacks detailed analysis, this study seeks to fill the contextual gap by focusing specifically on the Kenyan context. By doing so, it will provide a more in-depth understanding of how the policy is applied in Kenyan resettlement projects and its effectiveness in meeting the needs of PAPs.

**Table 0-1: Summary of Empirical Literature and Research Gaps**

Authors & Year	Objective/ Focus	Key Findings	Research Gaps	How the current study addresses the gaps
Kieti (2021)	To examine the resettlement laws in Kenya to identify the gaps that exist between the Kenyan laws and the international safeguard policies on involuntary resettlement.	There are minimal gaps between Kenyan laws and international safeguard policies.	Conceptual: Focused on identifying gaps between Kenyan laws and international safeguard policies on involuntary resettlement. Methodological: Used a desktop review and interviews	This study focused on evaluating the efficacy of the OP 4.12 in the implementation of RAPs using a correlational research design involving a quantitative research approach.
Otsuki (2021)	To rethink the current resettlement planning that largely objectifies justice through consultations about the distribution of benefits.	Material benefits present unjust situations where the pursuit of justice gives way to technical fixes and the redressment of grievances.	Conceptual: Focused on making justice the subject of	This study focused on identifying and analysing gaps in the application of the OP 4.12 concerning gender and family dynamics within the Kenyan

	To reimagine justice as the subject of planning through a focus on concrete experiences in post-resettlement lives.	Infrastructure embodies the limitation of trying to achieve justice through good procedures and recognition.	resettlement planning Methodological: Used qualitative field research Contextual: Conducted in Mozambique	context using the Mwache Dam Project case study and employing a quantitative research approach.
Otsuki, Steel, & Panquene (2022)	To explore synergies between the 2030 Agenda for Sustainable Development, comprised of 17 Sustainable Development Goals (SDGs) as its roadmap, and existing involuntary resettlement guidelines.	There is a misalignment between how SDGs are used to evaluate a development project and how involuntary resettlement guidelines are applied to the same project.	Conceptual: Focused possibilities to establish synergies between the SDGs and involuntary resettlement Contextual: Conducted in Mozambique Methodology: Used a qualitative	This study focused on assessing the efficacy of the OP 4.12 policy on RAP implementations within the Kenyan context using a quantitative approach.

			approach; interviews, and participatory observation	
Htet (2021)	To study the discrepancies in urban resettlement planning projects, and examine how they can be improved through planning and public policies.	Substantial insufficiencies in several areas of resettlement.	Conceptual: Focused on discrepancies in urban resettlement planning Contextual: Conducted in Myanmar Methodological: Used qualitative methods	This study focuses on evaluating the efficacy of the OP 4.12 policy in the implementation of RAPs within the Kenyan context using quantitative methods.
Ty, Westen, & Zoomers (2013)	To investigate issues generated by hydropower dam construction and displacement, or more specifically by resettlement and compensation schemes associated with hydro dams, and to examine the root causes of these problems.	Many improvements in land acquisition policies have been made, but poor implementation measures largely cannot prevent or even mitigate the adverse impacts on displaced persons.	Conceptual: Focused on issues related to resettlement and compensation schemes	This study focused on assessing the efficacy of the OP 4.12 within the Kenyan context using the quantitative method.

			<p>associated with hydro dams</p> <p>Contextual:</p> <p>Conducted in Vietnam</p> <p>Methodological:</p> <p>Use a mixed methods approach.</p>	
Siganga (2007)	To develop a framework for managing the process of relocation and resettlement to ensure that those affected by the relocation and resettlement benefit from the exercise.	There was no plan in place before the relocation and resettlement of Kaburini Informal settlement started, nor were community involved in the decision-making process resulting in unnecessary hardships for the community.	<p>Conceptual:</p> <p>Focused on managing the process of relocation and resettlement of informal settlements in Urban areas of Africa</p>	This study focuses on the efficacy of the OP 4.12 in the implementation of resettlement action plans using a quantitative approach.

			Contextual: Conducted in Kenya Methodological: Used a mixed methods approach	
Okello (2014)	To examine the socio-economic impacts of the Eastern Electricity Highway Project and public perception.	Both project implementers and the community face unique challenges.	Conceptual: Focused on the socio-economic impacts of involuntary resettlement. Methodological: Used a mixed methods approach	This study assesses the impact of resettlement on PAPs in terms of livelihood restoration and social well-being using the quantitative method.
Win (2019)	To examine the resettlement effects on women living at the resettlement site through a gender lens and to address resettlement issues through a gender perspective.	Resettlement had more negative consequences to women in terms of more economic dependence on their husband, less capability to support their family with basic food supply, less say on	Conceptual: Focused on resettlement effects on women	The study focuses on identifying and analysing gaps in the application of the OP 4.12 policy with respect to gender and family dynamics within the

		household decision-making and indebtedness.	Contextual: Conducted in Myanmar Methodological: Used a descriptive method involving a qualitative approach.	Kenyan context using a quantitative approach.
Anwar, Anjum, Rizvi, Saleem, & Toheed (2021)	To understand how land is governed and acquired for infrastructure and urban development projects, how land displacements impact people's lives and their communities, and how people resist displacement in metropolises.	Displacements have severe consequences: loss of home, livelihoods, community, and social networks; engendering a permanent state of anxiety and uncertainty; increasing physical, social, and environmental vulnerabilities; compounding gender inequalities; and irrevocably damaging social and economic mobility.	Conceptual: Focused on land governance and acquisition, and gendered politics of displacement Contextual: Conducted in Pakistan Methodological: Used an embedded, triangulated	The study focuses on identifying and analysing the application of the OP 4.12 policy based on gender and family dynamics, as well as determining the impact of resettlement on PAPs in terms of livelihood restoration and social well-being. It focuses on the Kenyan context, adopting a quantitative method.

			approach involving qualitative methods.	
Zaman, Nair & Guoqing (2021)	To examine land acquisition and resettlement experience.	Land acquisition and resettlement pose significant challenges and struggles associated with social and resettlement risk assessments, the social and cultural exclusion of indigenous/vulnerable groups in some countries, and the lack of institutional capacity to adequately deal with resettlement management and administration.	Conceptual: Focuses on land acquisition and resettlement experiences Contextual: Focuses on Asia Methodology: Qualitative methods – case studies and comparative analyses	The study focuses on the impacts of resettlement on PAPs, focusing on livelihood restoration and social well-being within the Kenyan context using the quantitative approach.
Sharp, Le Billon, & Zerriffi (2019)	To examine the factors influencing household participation in and withdrawal from a World Bank-funded voluntary resettlement scheme	Lack of access to land and conflict over land in the area of origin are salient participation factors in resettlement.	Conceptual: Focused on factors influencing	The study focuses on identifying and analysing gaps in the application of the OP 4.12 policy based on gender and

			involvement in resettlement negotiations Contextual: Conducted in Malawi Methodological: Qualitative methods – focus groups and in-depth interviews	family dynamics while also assessing the impacts of resettlement on PAPs' livelihood restoration and social well-being. It focuses on the Kenyan context using a quantitative method.
Wan, Wang, Wang, Deng, Zhou, Yi, & Du et al. (2022)	To explore the impacts of development projects as reflected in online public opinion	Public sentiment was significantly affected by project-related major events.	Contextual: Conducted in China Methodological: Qualitative methods	The study assesses the impact of resettlement on PAPs, focusing on livelihood restoration and social well-being. It focuses on the Kenyan context using a quantitative approach.
Hailemariam (2011)	To examine these controversial issues, the causes and consequences of these challenges, and highlight the impact of	Participation of stakeholders particularly during the process of the environmental and social	Conceptual: Focuses on the controversial	The study focuses on the impact of resettlement on livelihood restoration and the social well-

	development projects on livelihoods in local communities and on the environment.	impact assessments and the coordination between the project owner and pertinent government institutions was limited.	issues, the causes, and the consequences of these challenges. Contextual: Conducted in Ethiopia Methodological: Used qualitative methods	being of PAPs. It focuses on the Kenyan context and adopts a quantitative approach.
Herath, Lakshman, & Ekanayake (2017)	To determine how resettlement and associated social, cultural, and economic transformations impact on beneficiaries' sense of wellbeing in the medium term.	Material well-being improves for some PAPs and not for others.	Contextual: Conducted in South Africa	The study focuses on the impact of resettlement on livelihood restoration and social well-being of PAPs, focusing on the Kenyan context.
Gebreyesus & Tadesse, 2019	To assess the livelihood impacts of development-induced displacements on PAPs.	Development-induced displacements pose negative impacts on the livelihoods of PAPs.	Methodological: Mixed methods approach – qualitative and quantitative.	The study assesses the impact of resettlement on PAPs, focusing on livelihood restoration. It focuses on the Kenyan context and adopts a quantitative approach.

			Contextual: Conducted in East Africa	
Nikuze, Sliuzas, Flacke, van Maarseveen (2019)	To discuss the livelihood impacts of urban redevelopment and disaster risk mitigation induced resettlement projects on affected informal settlement households.	Most displaced informal households endure several adverse impacts on their physical, financial, social, and human livelihood assets.	Conceptual: Focuses on the impacts of urban redevelopment Contextual: Conducted in Rwanda Methodological: Used qualitative methods.	The study assesses resettlement impacts on PAPs livelihood restoration and social well-being in the Kenyan context using a quantitative approach.
Liphoto, 2020	To explore and understand the socio-economic impacts experienced by PAPs.	PAPs experience negative and positive impacts owing to compensation.	Contextual: conducted in Lesotho Methodological: Used qualitative approaches	The study assesses resettlement impacts on PAPs' livelihood restoration and social well-being. It focuses on the Kenyan context and adopts a quantitative approach.

Thiyagarajan & Khudrathullah, 2020	To discuss the challenge faced by the inner-city poor, living in unofficial settlements of a global south city, when they undergo development-induced resettlement.	PAPs are exposed to immense socioeconomic aspects.	Contextual: Conducted in India Methodological: Used a qualitative approach	The study assesses resettlement impacts on PAPs' livelihood restoration and social well-being, focusing on the Kenyan context, and adopts a quantitative approach.
Atobatele, Oluwaseun, & Moliki (2023)	To explore the perceptions of PAPs in the activities of governments regarding project-induced displacement.	The lack of confidence in government, coupled with a high rate of illiteracy, is responsible for the negative reaction of PAPs.	Conceptual: Focused on perceptions of PAPs. Contextual: Conducted in Nigeria Methodological: Adopted qualitative methods	The study examines the challenges faced by government institutions and stakeholders in implementing RAPs aligned with the OP 4.12 policy. It focuses on the Kenyan context and adopts a quantitative approach.
Smyth, Steyn, Esteves, Franks & Vaz (2015)	To explore key issues of resettlement and livelihoods.	Resettlement poses immense challenges to diverse stakeholders, including communities and governments.	Conceptual: Focused on the key issues of resettlement	The study assesses the challenges that government institutions and stakeholders face in implementing RAPs

			<p>Methodological: Used a qualitative approach</p> <p>Contextual: Focused on several different countries, Kenya not included.</p>	aligned with the OP 4.12. It focuses on the Kenyan context and adopts a quantitative approach.
Muchoki (2016)	To establish the effect of involuntary resettlement on the quality of life of PAPs.	Resettlement improves the quality of life for some PAPs and not others.	<p>Conceptual: Focused on the resettlement impact on the quality of life of PAPs.</p> <p>Methodological: Adopted a mixed methods approach.</p>	This study assesses the impact of resettlement on PAPs' livelihood restoration and social well-being using a quantitative approach.
Owuor (2022)	To explore the biological and social consequences of dam construction on	Displaced and non-displaced women experience worse health,	<p>Conceptual: Focuses on the</p>	This study identifies and analyses gaps in the application

	women using a biosocial approach – explore the experiences and expectations of women affected by development projects using ethnographic techniques.	environment, and social effects from development projects.	experiences and expectations of women PAPs. Methodological: Adopted qualitative methods	of the OP 4.12 policy based on gender dynamics and family structure. It adopts a quantitative method.
Cherunya, Truffer, Samuel, & Luthi (2020)	To examine the challenges of livelihood reconstruction in the context of informal settlement upgrading	Inadequate understanding and consideration of livelihoods reconstruction reduces legitimacy of the initiative, resulting in rapid deterioration of physical amenities and relegation of the alleged ‘beneficiaries’ deeper into poverty.	Conceptual: Focused on the challenges obstructing livelihood restoration Methodological: Qualitative methods	The study assesses resettlement impact on livelihood restoration and social well-being, as well as challenges government institutions encounter in implementing RAPs aligned with the OP 4.12 policy. It adopts a quantitative approach.
Gai et al. (2022)	To examine the impact of involuntary resettlement on livestock production and performance among the Maasai pastoralists	The relocation affected livestock production and performance among the resettled Maasai pastoral communities through reduced livestock populations	Methodological: Used a mixed methods approach.	The study examines the impact of resettlement on livelihood restoration and social well-being of PAPs using a quantitative approach.

		and milk production, affecting household food and nutrition security.		
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Source: Researcher (2025)



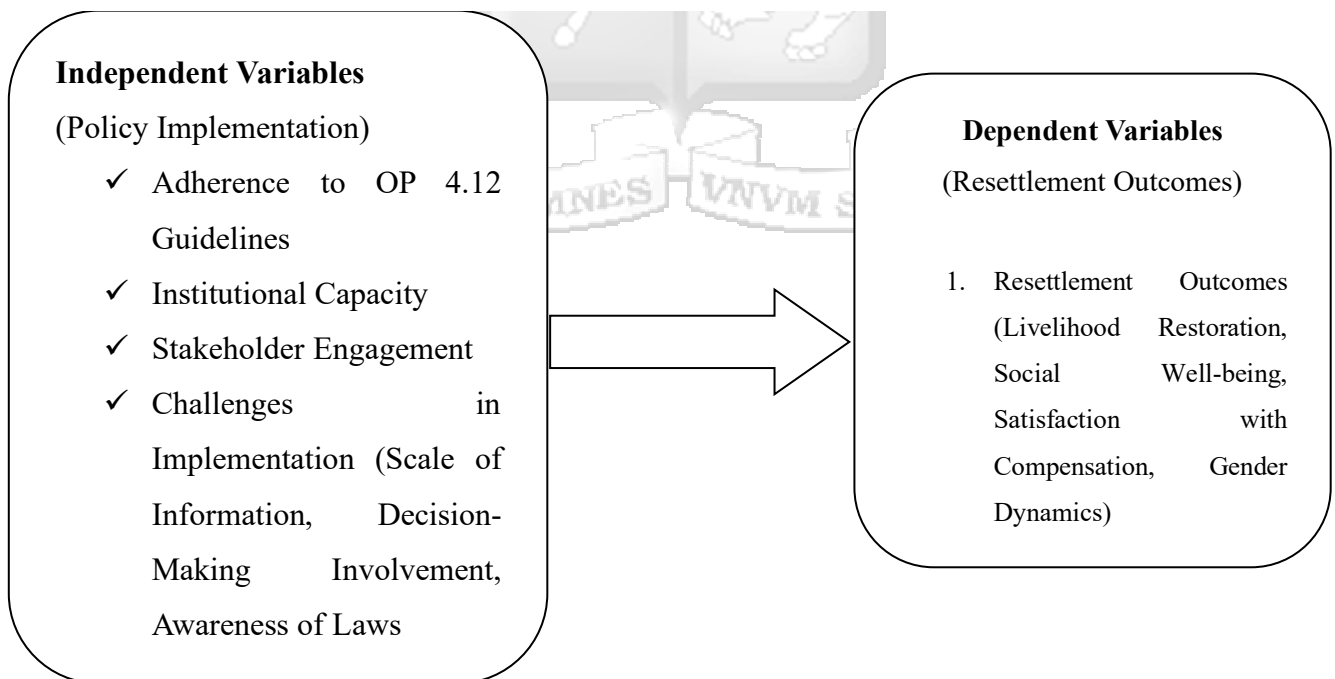
## 2.5 Conceptual Framework

This study seeks to evaluate the efficacy of the OP 4.12 policy in the implementation of resettlement action plans (RAPs), with a particular focus on the Mwache Dam project. The research explores the dynamics between several key factors: the implementation of RAPs, gender dynamics and family structures, challenges faced by government and institutions, and the restoration of livelihoods and social well-being. Ultimately, the aim is to offer recommendations for strengthening the OP 4.12 framework based on identified gaps and challenges.

The literature has highlighted that misalignments between RAPs and OP 4.12 often undermine the policy's ability to achieve successful resettlement outcomes. Specifically, challenges such as inadequate attention to gender dynamics, livelihood restoration, and social well-being remain prevalent, while governments and institutions also face significant obstacles in implementing RAPs. The conceptual framework for this study provides a visual representation of the interactions between key variables, guiding the inquiry into their effects on the resettlement process.

The conceptual framework of the study is presented in Figure 2.4.1 below

**Figure 0.1: Conceptual Framework**



Source: Researcher (2025)

The conceptual framework of this study is based on a multi-theoretical approach that draws on social justice theories, the Impoverished Risks and Reconstruction (IRR) Model, and implicit gender bias. It builds on existing research regarding the operation and implementation of the OP 4.12 policy and is structured around two categories of variables: independent variables, dependent variables.

In this study, the independent variable is policy implementation, which is assessed in the context of the Mwache Dam project. This evaluation considers four key indicators: adherence to OP 4.12 guidelines, institutional capacity, stakeholder engagement, and challenges in implementation. Adherence to OP 4.12 examines how closely the resettlement process aligns with the policy's guidelines. Institutional capacity assesses the ability of government bodies and institutions to effectively implement the policy. Stakeholder engagement evaluates the involvement of affected communities, local institutions, and other stakeholders in the resettlement process, while challenges in implementation focus on the scale of information provided to PAPs, involvement in the resettlement decision-making process, and their awareness of resettlement laws.

The dependent variable is resettlement outcomes. Resettlement outcomes are further assessed through four specific variables: livelihood restoration, social well-being, satisfaction with compensation, and gender dynamics. Livelihood restoration evaluates whether the economic status of project-affected persons (PAPs) has been restored or improved post-resettlement. Social well-being examines the impact of resettlement on the social fabric and mental health of PAPs. Satisfaction with compensation measures the PAPs' level of contentment regarding the compensation process, including its timeliness and adequacy. Finally, gender dynamics assess how the resettlement process has affected gender roles and relations within households. This conceptual framework offers a structured approach to examining the relationships between policy implementation, challenges, and outcomes. By investigating the independent and dependent variables, the study assesses the overall efficacy of OP 4.12 and its capacity to deliver successful resettlement outcomes. The findings from this research will provide valuable insights into how OP 4.12 operates in practice and how its implementation can be enhanced to better serve the needs of project-affected persons.

**Table 0-2: Operationalisation of Variables**

<b>Variable</b>	<b>Variable Type</b>	<b>Indicator</b>	<b>Measurement Scale</b>	<b>Supporting Literature</b>
<b>Resettlement Outcomes</b>	<b>Dependent Variable</b>	<ul style="list-style-type: none"> <li>▪ Livelihood Restoration</li> <li>▪ Social Well-being</li> <li>▪ Satisfaction with Compensation</li> <li>▪ Gender Dynamics</li> </ul>	Interval	Herath et al., 2017; Bose, 2018; Gebreyesus & Tadesse, 2019; Nikuze et al., 2019; Liphoto, 2020; Thiyagarajan & Khudrathullah, 2020; Atobatele et al., 2023
<b>Policy Implementation</b>	<b>Independent Variable</b>	<ul style="list-style-type: none"> <li>▪ Adherence to OP 4.12 Guidelines</li> <li>▪ Institutional Capacity</li> <li>▪ Stakeholder Engagement</li> <li>▪ Challenges in Implementation</li> </ul>	Interval	Kieti, 2021; Htet, 2021; Dobra, 2021; Iganga, 2007; Siganga, 2007; Okello, 2014; Otsuki et al., 2022; Ty et al., 2013; Otsuki, 2021

Source: Researcher (2025)

## 2.6 Chapter Summary

This chapter provides a comprehensive analysis of the available academic literature, reports, and scholarly articles relevant to the current study. It begins with a theoretical review, focusing on three key theories: the Theory of Social Justice, the Impoverished Risks and Reconstruction (IRR) Model, and Implicit Bias Theory. These theories form the foundation of the study's theoretical framework and establish its academic positioning. The chapter then moves to an empirical review, which identifies gaps in existing knowledge, specifically concerning the efficacy of the OP 4.12 policy in resettlement processes.

The empirical review is closely aligned with the study's objectives and research questions, offering insights into previous research on the implementation of resettlement action plans (RAPs), gender dynamics, and the challenges faced by governments and institutions. Through this analysis, the chapter highlights significant knowledge and methodological gaps that justify the need for the current study. The chapter concludes with the presentation of a conceptual

framework, which illustrates the relationships between key variables and guides the operationalisation of the study. This framework provides a clear structure for evaluating the effectiveness of OP 4.12 in the context of resettlement, contributing to a more comprehensive understanding of the policy's impact.



## CHAPTER THREE – METHODOLOGY

### 3.1 Introduction

This chapter discusses the study's methodological approach, which comprises the research philosophy, research design, population and sampling, data collection procedure, data analysis methods, data presentation, and ethical considerations.

### 3.2 Research Philosophy

This study adopts a positivist research philosophy, which serves as a foundational approach to understanding the nature of research knowledge (Saunders et al., 2003). Cohen et al. (2002) describe a research philosophy as a comprehensive theoretical and practical framework that guides the effective management and execution of research. A research philosophy provides a thoughtful approach that researchers can leverage to align research objectives and questions with appropriate, justified methodologies.

A positivist research philosophy is appropriate as it emphasises objectivity, which is central to the research aims. According to Cooper and Owen (2007), the positivist paradigm focuses on achieving objectivity in the social sciences, requiring researchers to set aside personal biases and values in favour of observable facts and objective truths. The positivist approach facilitates the collection of generalisable data from larger samples, enabling researchers to identify patterns and trends that are not influenced by subjective perceptions. Additionally, it relies on experiments and observations to produce measurable data, allowing for the hypothesis that singular truths exist independently of human bias and can be objectively quantified using standardised procedures.

This philosophy is well-suited to the current study, as it aligns with the objective to investigate the implementation of OP 4.12 in the Mwache Dam project in an unbiased and empirical manner. By adhering to the principles of positivism, the study ensures that its findings are both reliable and valid, grounded in observable data rather than personal interpretations.

### 3.3 Research Design

Research design refers to the overall plan used to conduct research in a study. The suitability of a research design depends on the study's objectives and research questions, as well as the type of data that will be used (Walliman, 2022). For this study, a correlational research design is employed. This design allows the researcher to explore relationships between variables without manipulating or controlling them (Walliman, 2022). The correlation research design is particularly useful for determining the degree of association between the variables under investigation by using statistical data. Through this approach, relationships between and among

various facts can be explored and interpreted. The large population under consideration and the complexity of observing the characteristics of each individual further justify the use of this design in this study. Thus, the correlation design enabled the collection of statistical data to quantify relationships between variables, with the qualitative parameters allowing comprehensive exploration of participants' experiences to gain deeper insight into the impact of the resettlement.

### 3.4 Target Population and Sampling

#### 3.4.1 Target Population

The target population refers to the group of individuals that a study focuses on due to shared characteristics, from which sample units are selected. For this study, the target population comprises the 7,541 (PAPs) who were physically and economically displaced due to the development of the Mwache Multipurpose Dam Project (World Bank, 2019). This population is appropriate for the study because these individuals have firsthand experience with project-induced displacement and are, therefore, well-suited to provide the data necessary to evaluate the efficacy of the OP 4.12 policy. Their experiences help in identifying gaps in the policy and in formulating recommendations to enhance the policy's effectiveness in future resettlement processes.

#### 3.4.2 Sample Design

The sample size for the study is obtained using Slovin's formula (see below).

Slovin's Formula (Ryan, 2013)

$$n = \frac{N}{1+N(e^2)}$$

Where;

n = Sample Size,

N = Population Size, and

e = Margin of Error, which is 0.005 since the study maintains a confidence level of 95 per cent.

The Mwache Dam project displaced 7541 PAPs, the study's target population (N) (World Bank, 2019). Using Slovin's Formula, an ideal sample size can be obtained.

$$n = \frac{7541}{1+7541(0.005^2)}$$

$$n = 379.85$$

Substituting N with 7541 and e with 0.005, a sample size (n) of 380 PAPs.

The study employed a random sampling technique to select participants. Thompson (2013) describes this technique as a probability sampling method whereby a simple random sample is used as a representative of the entire population and involves researchers randomly selecting individuals from target population without any consideration. This approach was selected since it was considered simple, unbiased, and ideal for generalising to the entire target population as compared to other available options.

To streamline the participant selection process, the researcher visited the project site in Fulugani Village, Kwale County. This direct engagement facilitated the identification and selection of participants who met the specific criteria required for this study.

### **3.5 Data Collection Methods and Tools**

The study utilised primary data, which was gathered through a combination of surveys and direct field observations. The primary data collection focuses on gathering information from the selected sample population using a structured questionnaire and personal interviews. Data for this study were collected by administering or distributing questionnaires to the selected respondents. The questionnaire included both closed-ended and open-ended questions. The closed-ended questions provided quantifiable data, while the open-ended questions allowed respondents to elaborate on their experiences, giving deeper insight into the impact of the resettlement.

Furthermore, the researcher conducted direct field observations within the resettlement areas. These observations focus on evaluating the quality of life of the displaced persons after resettlement. The researcher personally visited the resettlement sites to observe living conditions, infrastructure, and access to basic services. This hands-on approach complemented the data obtained from the questionnaires and interviews, offering a comprehensive view of the current status of the PAPs.

### **3.6 Research Quality**

#### **3.6.1 Research Reliability**

Reliability refers to the consistency and stability of a research instrument in measuring constructs over time. Behjati (2015) describes reliability as a measure of how consistently the research instrument produces the same results when measuring the same constructs. Datasets for this study were subjected to reliability tests before further analyses were executed. The reliability of the research instruments was assessed using the Cronbach alpha coefficient to measure the internal consistency of the instruments. Taber (2018) highlights that a Cronbach alpha coefficient of  $\alpha = 0.70$  and above is an adequate indicator of reliability. For this study,

the Cronbach alpha value ranged from 0.798 for challenges in (policy) implementation to 0.979 for outcomes of resettlement. Since the Cronbach's alpha for the variables was above the recommended value of 0.7, it was conclusive that the questionnaire was reliable.

**Table 0-1: Reliability Test Summary**

Variables (Constructs)	Number of Items	Cronbach Alpha
Policy Implementation	3	.973
Outcomes of Resettlement	2	.979
Challenges in Implementation	8	.791
Overall	13	.914

Source: Researcher (2025)

### 3.6.2 Research Validity

Validity refers to the degree to which a research instrument accurately measures the intended constructs (Behjati, 2015). In this study, validity was ensured through the use of appropriate sampling methods to select respondents. Clearly defining the target population and ensuring that a sufficient number of respondents are included in the sample helped to minimise sampling and selection bias, thereby increasing the validity of the findings. Proper instrument design and piloting were also considered to contribute to the accuracy of the measures.

The Kaiser-Meyer-Olkin (KMO) test and Bartlett's Test of Sphericity were further adopted to assess the suitability of the study's datasets for factor analysis by measuring the sampling adequacy of the items used to measure the research variables. Often, the KMO test entails values ranging between 0 and 1, with 0 indicating an inadequate number of items, and 1 representing perfection in that the number of items is adequate to measure the respective variables. Wu et al. (2023), in their analysis, recommended a KMO value of at least 0.5 as a suitable and valid indicator of sampling adequacy. For this study, the KMO value ranged from 0.500 for outcomes of resettlement to 0.744 for policy implementation. Since the values were at least 0.5, the datasets were certainly valid.

**Table 0-2: Validity Test Summary**

Variables (Constructs)	Number of Items	Kaiser-Meyer-Olkin Measure of Sampling Adequacy.	Bartlett's Test of Sphericity		
			Approximate Chi-Square	df	Sig.
Policy Implementation	3	.744	1481.107	3	0.000
Outcomes of Resettlement	2	.500	999.374	1	0.001

<b>Challenges</b>	<b>in</b>	8	.611	1164.838	28	0.001
<b>Implementation</b>						

Source: Researcher (2025)

### 3.7 Data Analysis

Quantitative data analysis techniques were employed in this study. The quantitative data collected in this study were primarily obtained from closed-ended questions, such as those with Likert scales, multiple-choice responses, and other numerical data. The data collected was first sorted, edited, and cleaned to ensure completeness, legibility, and consistency.

The analysis began with descriptive statistics, which involved summarising and describing the main features of the data. This includes calculating frequencies and percentages for categorical variables such as gender, age, marital status, and satisfaction with compensation (Schoonenboom, 2023). These descriptive measures provided an initial overview of the sample characteristics and trends within the data. Additionally, measures of central tendency, including the mean, were used to summarise responses from Likert scale questions, providing insight into the consensus of the participants. Measures of dispersion, such as standard deviation and variance, will be used to assess the variability in responses, particularly for questions related to economic stability and social well-being.

Cross-tabulation was used to explore relationships between two or more categorical variables. This technique allowed the study to examine associations, such as the relationship between gender and satisfaction with the resettlement process, or between educational level and understanding of the resettlement process. Cross-tabulation tables helped to identify patterns and differences in responses across different demographic groups, highlighting significant trends and interconnections within the data.

The study also employs inferential statistics to test hypotheses and generalise findings from the sample to the broader population. Several statistical tests were applied, including Pearson Correlation Analysis and Regression Analysis. The Chi-Square Test was used to determine whether there is a significant association between categorical variables, such as gender and involvement in decision-making. ANOVA or T-Tests were used to compare means between different groups, such as comparing the average satisfaction levels between male-headed and female-headed households, to determine whether the differences are statistically significant.

Correlation analysis assessed the strength and direction of relationships between continuous variables, such as the relationship between the scale of information provided to PAPS and their understanding of the resettlement process, or the relationship between the length of time since displacement and economic stability. Finally, Regression Analysis was applied to predict the

value of dependent variables based on one or more independent variables. For instance, multiple regression analysis was conducted using the Statistical Package for Social Sciences (SPSS) to assess the impact of several factors, such as adherence to OP 4.12, stakeholder engagement, and gender, on outcomes like livelihood restoration and social well-being. This comprehensive approach to quantitative data analysis ensured a robust understanding of the relationships between the variables under study.

### **3.8 Data Presentation**

The presentation of data involved the use of tables and graphs to visually display the quantitative findings in an accessible format. Bar charts, pie charts, and histograms were employed to show the distribution of responses and highlight significant trends within the data. Cross-tabulation tables were used to present the relationships between different variables, providing a clear representation of associations and critical statistical results.

### **3.9 Ethical Considerations**

Ethics in research refers to the activities, practices, rules, and values that determine whether an action is morally right or wrong. Key ethical considerations in research include informed consent, which ensures that participants provide their consent knowingly, intelligently, and voluntarily before participating in the study. Beneficence, another critical principle, requires researchers to ensure that no harm, whether mental or physical, comes to the respondents.

Additional ethical considerations include anonymity, where the identity of participants is protected, and confidentiality, ensuring that sensitive data or information about respondents remains private. Respect for privacy further mandates that respondents have the right to control the information they choose to share.

This study strictly adhered to these ethical principles. Informed and voluntary consent was obtained from all participants before administering the questionnaire. Recognising that some participants may be illiterate or not proficient in English, the consent forms and study tools were translated into Kiswahili, the primary language spoken in the project-affected communities. To ensure inclusivity, enumerators read through the consent form for participants who cannot read and document consent through verbal confirmation, the use of a finger signature, or consent by proxy (a trusted representative or guardian in cases of extreme incapacity).

No respondent was subjected to mental or physical harm, and anonymity, confidentiality, and privacy were safeguarded by not collecting personal identifiers such as names or addresses.

The study also adhered to ethical guidelines concerning vulnerable groups, ensuring that minors were only interviewed with parental or guardian permission.

To uphold ethical standards, the researcher sought approval from relevant regulatory bodies, including Strathmore University's Institutional Scientific and Ethical Review Committee (SU-ISERC) and the National Commission for Science, Technology and Innovation (NACOSTI), which is responsible for research regulation in Kenya. Additionally, the study complied with General Data Protection Regulation (GDPR) guidelines, ensuring data protection for all respondents.

As part of the participant engagement and feedback process, the findings of this research are to be shared with affected communities through collaborations with Human Rights Agenda and Haki Yetu, two local human rights organisations that have been actively involved in advocating for displaced communities affected by the Mwache Dam Project. These organisations will facilitate the dissemination of research findings, ensuring that participants are informed about the study's outcomes and its role in advocacy efforts for their rights and well-being.

### **3.10 Chapter Summary**

This chapter has outlined the research methodology applied in the study. It has presented the research philosophy, the research design, the target population, the sampling techniques, and the sample size. The data collection methods and data analysis procedures have also been discussed. Furthermore, the chapter has addressed issues related to research quality, focusing on reliability and validity. Lastly, the chapter has examined the potential ethical considerations of the study, ensuring that all research activities will be conducted in a manner that respects the rights and well-being of participants.

## CHAPTER FOUR: PRESENTATION OF FINDINGS

### 4.1 Introduction

This chapter presents the results from the survey conducted to assess the effectiveness of the World Bank's OP 4.12 policy in Resettlement Action Plans (RAPs) within the context of the Mwache Multipurpose Dam Project in Kenya. The chapter includes descriptive statistics, reliability and validity analyses, correlation assessments, and inferential statistics.

### 4.2 Response Rate

The study primarily focused on Project-Affected Persons (PAPs) who were physically and economically displaced due to the Mwache Dam project. To ensure the reliability and robustness of the findings, the study set a target response rate of 60%. According to Sataloff and Vontela (2021), a 60% response rate is generally considered sufficient for obtaining reliable and valid results. Although researchers often aim for higher response rates, Sataloff and Vontela (2021) argue that a 60% rate helps mitigate the risk of errors and provides a sound basis for analysis. In line with this proposition, the study targeted a sample of 380 PAPs, and ultimately, 231 responses were collected, yielding a response rate of 60.79%, which aligns with the established goal and ensures the representativeness of the data.

Consistent with the study sample, 380 questionnaires were administered or distributed. The expectation was 100% response rate, which evidently was not realised. Logistical issues primarily contributed to this underperformance. Notably, the platform used to distribute the survey questionnaire and the communication method greatly affected the distribution as well as the response rates. Local organisations who had direct contact with the relocatees were reluctant linking the researchers to the affected communities. As such, it was challenging tracing all the PAPs to achieve the 100% response rate.

### 4.3 Demographic Information

This section provides essential contextual information about the respondents, which is critical for understanding the background of the study participants. The demographic data collected serves as a foundation for analysing the impact of the resettlement process on various demographic groups. This information is vital for categorising the responses based on variables such as gender, age, education level, and occupation. By examining these categories, the study aims to explore how different groups are affected by the resettlement process and whether the impacts differ across demographic characteristics.

**Table 0-1: Respondents Profile**

		Count	N %
Gender	Other/ Prefer not to say	40	17.3%
	Female	104	45.0%
	Male	87	37.7%
	<b>Total</b>	<b>231</b>	<b>100%</b>
Age	18 - 30	2	0.9%
	31 - 45	107	46.3%
	46 - 60	110	47.6%
	61 and above	12	5.2%
	<b>Total</b>	<b>231</b>	<b>100%</b>
Marital Status	Other/Prefer not to say	65	28.1%
	Widowed	39	16.9%
	Unmarried	16	6.9%
	Married	111	48.1%
	<b>Total</b>	<b>231</b>	<b>100%</b>
Household Size	1	19	8.2%
	2	17	7.4%
	3	50	21.6%
	4	61	26.4%
	5	66	28.6%
	6	17	7.4%
	7	1	0.4%
	<b>Total</b>	<b>231</b>	<b>100%</b>
	Education Level	Tertiary (College/University)	89
Secondary Level		61	26.4%
Primary Level		20	8.7%
Cannot Read & Write		25	10.8%
Can Read & Write		36	15.6%
<b>Total</b>		<b>231</b>	<b>100%</b>
Primary Occupation Before Displacement	Casual Labourer	1	0.4%
	Agriculture	106	45.9%

	Business/Trade	72	31.2%
	Casual work	1	0.4%
	Civil Service	19	8.2%
	Retired	25	10.8%
	Unemployed	7	3.0%
	<b>Total</b>	<b>231</b>	<b>100%</b>
Primary Occupation (Current)	Agriculture	103	44.6%
	Business/Trade	72	31.2%
	Casual labourer	1	0.4%
	Civil Service	18	7.8%
	Retired	21	9.1%
	Unemployed	16	6.9%
	<b>Total</b>	<b>231</b>	<b>100%</b>
Land Ownership Status	Owner	153	66.2%
	Tenant	78	33.8%
	<b>Total</b>	<b>231</b>	<b>100%</b>

Source: Researcher (2025)

Table 4.1 above includes a summary of the respondents. As indicated in the table, 45.0% (104) of the respondents identified as female, 37.7% (87) as male, and 17.3% (40) either identified as "other" or preferred not to disclose their gender.

As also indicated in the table, 0.9% (2) identified as aged between 18 to 30 years, 46.3% (107) as aged between 31 to 45 years, 47.6% (107) as aged between 46 to 60 years, and 5.2% (12) as aged above 60 years. Accordingly, most of PAPs fell in the 31 to 45 and 46 to 60 age categories. As further shown in the table, 48.1% (111) of the respondents indicated that they were married, 28.1% (65) indicated others or preferred not to say, 6.9% (16) said they were unmarried, and 16.9% (39) specified that they were widowed.

Additionally, the table includes summary frequencies of household size of the respondents: typically identifies the number of family members for the participants in the study. As shown in the table, 8.2% (19) of the respondents indicated that they have a household size of 1, 7.4% (17) specified that they have a household size of 2, 21.6% (50) said they have a household size of 3, 26.4% (61) designated that they has a household size of 4, 28.6% (66) pointed out that they have a household size of 5, 7.4% (17) denoted that they have a household size of 6, and

0.4% (1) revealed that they have a household size of 7. Overall, most of the PAPs from the Mwache Multipurpose Dam project have a household size of 3 to 5 members.

Moreover, the table indicates that 26.4% (61) of the respondents proclaimed that they can read and write. Additionally, 10.8% (25) revealed that they cannot read and write, while 8.7% (20) alluded that their highest level of education was primary certification. Moreover, 33.5% (89) stated that secondary certification was their highest level of education, whereas 15.6% (36) declared that they had reached tertiary, with college or university certifications.

Furthermore, the tables acknowledge that 45.9% (106) of respondents acknowledged that their primary occupation before resettlement was agriculture. Subsequently, 31.2% (72) affirmed that their primary occupation before displacement was business or trade, 0.9% (2) mentioned that they worked as casual workers, while 8.2% (19) noted that before the displacement, their primary occupation was civil services. The table further reveals that 10.8% (25) were retired and 3.0% (7) were unemployed.

Likewise, the table reveals that 44.6% (103) of the PAPs had resorted to agriculture as their primary occupation following the resettlement. The table also shows that 31.2% (72) opted for business or trade to earn a living, 0.4% (1) work as a casual labourer, 7.8% (18) work in the civil service, 9.1% (21) are retired, and 6.9% (16) are unemployed.

Finally, the table demonstrates that 66.2% of the respondents stated that they were the owners of the land that was acquired for the dam project. As further indicated, 33.8% (78) were only tenants – they had rented the land acquired from them to facilitate the dam construction.

#### **4.4 The Efficacy of OP 4.12**

In alignment with the first research objective, respondents were asked a series of predetermined questions to assess the effectiveness of the World Bank's OP 4.12 policy in the implementation of Resettlement Action Plans (RAPs) in the Mwache Multipurpose Dam Project. The data collected for this objective focuses on how well the policy was communicated, its implementation, and the level of satisfaction respondents had with the resettlement process. The analysis is anchored on the Policy Implementation variable, which measures the extent to which the resettlement process adhered to OP 4.12 guidelines, the level of stakeholder engagement, and the challenges encountered during policy implementation.

Respondents were asked a range of questions regarding the efficacy of OP 4.12, and the descriptive statistics related to these responses are presented below.

**Table 0-2: Summary Descriptives Statistics on the Efficacy of OP 4.12**

	Label	Count	N %	Mean	Maximum	Minimum	Std. Deviation
Were you informed about the laws governing involuntary resettlement (OP 4.12)?	No	143	61.9%	0.38 (19%)	1	0	0.487
	Yes	88	38.1%				
	<b>Total</b>	<b>231</b>	<b>100.0%</b>	<b>0</b>	<b>1</b>	<b>0</b>	<b>0</b>
How well did you understand the resettlement process?	Not at all	104	45.0%	1.91 (47.75%)	4	1	0.789
	Somewhat	89	38.5%				
	Moderately Well	37	16.0%				
	Very Well	1	0.4%				
	<b>Total</b>	<b>231</b>	<b>100.0%</b>				
How long was it between the notice to vacate and the actual displacement?	Less than 6 Months	0	0.0%				
	6 Months to 1 Year	200	86.6%				
	1 to 2 Years	31	13.4%				
	More than 2 Years	0	0.0%				
	<b>Total</b>	<b>231</b>	<b>100.0%</b>				
Compensation Assessment	Not at all	197	85.3%	1.31	4	1	0.83
	Somewhat	12	5.2%				
	Moderate	6	2.6%				
	Very much	16	6.9%				
	<b>Total</b>	<b>231</b>	<b>100.0%</b>				
Payment Schedule	Not at all	215	93.1%	1.15	4	1	0.586
	Somewhat	5	2.2%				
	Moderate	4	1.7%				
	Very much	7	3.0%				

	Total	231	<b>100.0%</b>				
Resettlement Plans	Not at all	209	90.5%	1.23	4	1	0.79
	Somewhat	8	3.5%				
	Moderate	4	1.7%				
	Very much	10	4.3%				
	Total	231	<b>100.0%</b>	1	4	1	1
Timetable of the Resettlement Process	Not at all	215	93.1%	1.14	4	1	0.57
	Somewhat	7	3.0%				
	Moderate	2	0.9%				
	Very much	7	3.0%				
	Total	231	<b>100.0%</b>				
Were you involved in the negotiation or decision-making process regarding resettlement?	No	143	61.9%	0.38	1	0	0.49
	Yes	88	38.1%				
	Total	231		0	1	0	0
Were people without land titles compensated?	No	231	100.0%	0.00	1	0	0.00
	Yes	0	0.0%				
	Total	231	<b>100.0%</b>				
How satisfied were you with the compensation process?	Not Satisfied	191	82.7%	1.18	3	1	0.394
	Somewhat Satisfied	39	16.9%				
	Moderately Satisfied	1	0.4%				
	Very Satisfied	0	0.0%				
	Total	231	<b>100.0%</b>	1	3	1	0

Source: Researcher (2025)

Table 4.2 above includes summary statistics on the efficacy of the OP 4.12 policy. As shown in the table, 61.9% (143) of respondents reported not being informed about the policies governing involuntary resettlement (OP 4.12) and 38.1% (88) indicated that they were informed about these policies. The table also reveals that respondents were generally dissatisfied with how they were informed about these policies, with a mean score of 0.38, indicating a low level of satisfaction with the communication of these policies. This finding suggests that the OP 4.12 policy is not adequately applied in the implementation of RAPs, as relocatees are not sufficiently informed about the policies regulating involuntary resettlement.

Table 4.2 also includes statistics on respondents' understanding of the resettlement process. As shown in the table, only 0.4% (1) of the respondents understood the process very well, 25.5% (59) understood it moderately well, 38.5% (89) somewhat understood it, and 35.5% (82) did not understand the process at all. On average, respondents somewhat understood the process, with a mean score of 1.91, indicating a moderate level of understanding. This finding ascertains that project developers do not adequately apply the OP 4.12 policy in the implementation of RAPs, as the framework's requirement of ensuring that PAPs sufficiently understand the resettlement process is moderately realised.

Table 4.2 further includes a summary of descriptive statistics on the period between the notice to vacate and the actual displacement. As shown in the table, 86.6% (200) of the respondents noted that the period between the vacation notice and displacement was between 6 months to 1 year. A smaller proportion, 13.4% (31), indicated that the notice-to-vacate period was 1 to 2 years. This finding suggests miscommunication regarding the period between the notice to vacate and actual displacement, as PAPs are not given the same timelines.

Table 4.2 also includes summary descriptive statistics on the scale of information provided in regards to compensation assessment, payment schedule, resettlement plans, and timetable for the resettlement process.

As shown in the table, 85.3% (197) of the respondents were not provided with any information on the compensation assessment. A smaller percentage, 5.2% (12), received minimal information, 2.6% (6) were provided with moderate details, and 6.9% (16) received adequate information. The average mean score of 1.31 suggests that, generally, the participants were not provided with sufficient information about the compensation assessment process. This finding suggests that the OP 4.12 policy is not effectively applied in the implementation of RAPs, as its mandate of ensuring that PAPs are adequately informed of the compensation assessment process is insufficiently satisfied.

Additionally, the table demonstrates that 93.1% (215) of respondents were not informed about the payment schedule. Only 2.2% (5) received minimal details, 1.7% (4) received moderate information, and 3.0% (7) were provided with adequate details. The mean score of 1.15 indicates that, on average, respondents had very little information about the payment schedule. This finding alike implies to that of the OP 4.12 policy is not efficiently applied in the implementation of RAPS, as its directive of ensuring that relocates are sufficiently informed of the compensation or payment schedule is inadequately realised.

As further indicated in the table, 90.5% (209) of the respondents did not receive any information regarding the resettlement plans. A small percentage, 3.9% (9), received minimal information, 1.3% (3) received moderate details, and 4.3% (10) were provided with adequate information. On average, respondents had very little access to information regarding the resettlement plans, as indicated by the mean score of 1.23. This finding raises questions on the efficacy of the OP 4.12 in the implementation of RAPS, as the policy's mandate of ensuring that PAPs have adequate access to information on resettlement plans is underachieved.

Moreover, the table indicates that 93.1% (215) of the respondents did not receive any information on the timetable for the resettlement process. A small proportion, 3.0% (7), received very little information, and 0.9% (2) received moderate details, while 3.0% (7) were provided with adequate information. The mean score of 1.14 suggests that, on average, respondents had access to very little information regarding the timetable. This finding suggests that the OP 4.12 policy is not efficiently applied in the implementation of RAPS, as its requirement of ensuring that the relocated have sufficient access to information on the timetable of the resettlement process is unfulfilled.

Furthermore, the table shows that 61.9% (143) of the respondents reported that they were not involved in the negotiation or decision-making process regarding resettlement. Conversely, 38.1% (88) stated they were involved in the negotiations. The average mean score of 0.38 indicates that, overall, respondents were largely not involved in the decision-making process. This finding raises concerns on the efficacy of the OP 4.12 policy in the implementation of RAPS, as it ascertains that the framework's mandate of ensuring all PAPs are adequately involved in negotiations, decision-making processes, and meaningful consultations about the resettlement and compensation is insufficiently realised.

Table 4.2 also demonstrates that 100.0% (231) of the respondents reported that people without land titles were not compensated, highlighting a significant gap in the resettlement process for landless individuals. This finding alike raises questions on the efficacy of the OP 4.12 policy as its requirement of compensation for PAPs who do not have formal legal rights to land and

those who do not have recognisable legal right or claim to the land, they are occupying is mostly disregarded.

Lastly, the table below presents descriptive statistics regarding respondents' satisfaction with the compensation process. As shown in the table, 0.4% (1) of the respondents were moderately satisfied with the compensation process, 16.9% (39) were somewhat satisfied, and 82.7% (191) were not satisfied with the process. On average, the respondents were generally dissatisfied, with a mean score of 1.18, indicating that the majority found the compensation process unsatisfactory. This finding similarly raises questions on the efficacy of the OP 4.12 policy in the implementation of RAPs, as its requirement of ensuring that PAPs are adequately satisfied with the compensation process is never realised.

#### 4.5 Gaps Based on Gender Dynamics and Family Structure

Consistent with the second research objective, respondents were asked a series of predetermined questions to identify and analyse gaps in the application of the OP 4.12 policy, particularly concerning gender dynamics and family structures in the resettlement process. The data to address this objective is anchored on the Outcome of Resettlement variable. The relevant descriptive statistics for this section are presented below.

**Table 0-3: Land Ownership Based on Gender Dynamics and Family Structure**

<b>Gender Dynamics/Family Structure * Were you the owner or tenant of the land that was acquired? Crosstabulation</b>							
		Were you the owner or tenant of the land that was acquired				Total	
		Owner		Tenant			
		N	%	N	%	N	%
Gender Dynamics/Family Structure	Female-Headed	25	20.0%	9	25.0%	34	21.1%
	Male-Headed	100	80.0%	27	75.0%	127	78.9%
Total		125	100.0%	36	100.0%	161	100.0%

Source: Researcher (2025)

Table 4.3 above includes a summary of descriptive statistics involving a crosstabulation between gender dynamics/family structure and land ownership status. As shown in the table, 20.0% (25) of female-headed households indicated that they were landowners pre-resettlement, while 25.0% (9) were tenants. The table also shows that 80.0% of male-headed households

were landowners of the land acquired, while 75.0% (27) were tenants. These findings suggest that the proportion of men owning land is higher than that of women, implying a gap in land ownership based on gender dynamics.

**Table 0-4: Involvement in Negotiation Based on Gender Dynamics and Family Structure**

<b>Gender Dynamics/Family Structure * Were you involved in the negotiation or decision-making process regarding resettlement? Crosstabulation</b>							
		Were you involved in the negotiation or decision-making process regarding resettlement?				Total	
		No		Yes			
		N	%	N	%	N	%
Gender Dynamics/Family Structure	Female-Headed	19	19.4%	15	23.8%	34	21.1%
	Male-Headed	79	80.6%	48	76.2%	127	78.9%
Total		98	100.0%	63	100.0%	161	100.0%

Source: Researcher (2025)

Table 4.4 above includes a summary of descriptive statistics on involvement in the negotiation or decision-making process regarding resettlement based on gender dynamics and family structure. As shown in the table, 23.8% (15) of female-headed households were involved in negotiations or the decision-making process regarding resettlement, while 19.4% (19) were not. The table also indicates that 76.2% (48) male-headed households were involved in the negotiations or decision-making process regarding resettlement, while 80.6% (79) were not. The findings suggest that while women (female-led households) are disproportionately represented in negotiations or the decision-making process regarding compensation, as compared to men (male households). Besides, the table reveals that men are not adequately represented in resettlement and compensation negotiations or the decision-making process. These findings further raise questions on the effectiveness of the OP 4.12 in ensuring PAPs are adequately involved and consulted during the implementation of RAPs.

**Table 0-5: Satisfaction with the Compensation Process Based on Gender Dynamics and Family Structure**

<b>Gender Dynamics/Family Structure * How satisfied were you with the compensation process? Crosstabulation</b>							
		How satisfied were you with the compensation process?				Total	
		Not Satisfied		Somewhat Satisfied			
		N	%	N	%	N	%
Gender Dynamics/Family Structure	Female-Headed	29	22.5%	5	15.6%	34	21.1%
	Male-Headed	100	77.5%	27	84.4%	127	78.9%
Total		129	100.0%	32	100.0%	161	100.0%

Source: Researcher (2025)

Table 4.5 above includes summary statistics on satisfaction with the compensation process based on gender dynamics and family structure. As shown in the table, 22.5% (29) of female-headed households were not satisfied as compared to 77.5% (100) of male-headed households. The table also indicates that 15.6% (5) of female-headed households were somewhat satisfied with the compensation process as compared to 84.4% (27) of male-headed households. Overall, the rate of dissatisfaction is high across both genders, indicating that the OP 4.12 mandate of ensuring adequate satisfaction with the compensation process is hardly realised.

**Table 0-6: Impact of Resettlement on Decision-Making Within Households Based on Gender Dynamics and Family Structure**

<b>Gender Dynamics/Family Structure * How has the resettlement impacted decision-making within your household? Crosstabulation</b>									
		How has the resettlement impacted decision-making within your household?				Total			
		No Change		Less Inclusive				More Inclusive	
		N	%	N	%	N	%	N	%
Family Structure	Female-Headed	34	21.7%	0	0.0%	0	0.0%	34	21.1%

	Male-Headed	123	78.3%	3	100.0%	1	100.0%	127	78.9%
Total		157	100.0%	3	100.0%	1	100.0%	161	100.0%

Source: Researcher (2025)

Table 4.6 above includes summary descriptive statistics on the impact of the resettlement on household decision-making based on gender dynamics and family structure. As shown in the table, 78.3% (123) of male-headed households reported that the resettlement had not impacted decision-making in their households as compared to 21.7% of female-headed households. The findings further show that 100% (3) of male-headed households noted that the resettlement had made decision-making in their households less inclusive, while 100% (1) stated that it had made decision-making more inclusive. These findings suggested that the role of decision-making in households had mostly remained the same post-resettlement for both male-headed and female-headed households.

**Table 0-7: Impact of Resettlement on Roles of Women Based on Gender Dynamics and Family Structure**

<b>Gender Dynamics/Family Structure * How has the resettlement impacted the roles of women in your household? Crosstabulation</b>									
		How has the resettlement impacted the roles of women in your household?				Total			
		No Change		Less Inclusive		N		%	
		N	%	N	%				
Gender Dynamics/Family Structure	Female-Headed	3	5.1%	31	30.4%	34	21.1%		
	Male-Headed	56	94.9%	71	69.6%	127	78.9%		
Total		59	100.0%	102	100.0%	161	100.0%		

Source: Researcher (2025)

Table 4.7 above includes a summary of descriptive statistics on how the resettlement has impacted the roles of women in households. As shown in the table, 5.1% (3) of female-headed households reported that the resettlement had not led to any change in women's roles in their household, while 30.4% (31) noted that it had made women's roles less inclusive. The table also uncovers that 94.6% (56) of male-headed households declared that the resettlement had not led to changes in women's roles in their households, while 69.6% (71) maintained that it

had made women’s roles less inclusive. These findings suggest that women are disproportionately affected by the resettlement as compared to men, since their roles in the household become less inclusive post-resettlement.

**Table 0-8: Impact of Resettlement on Roles of Men Based on Gender Dynamics and Family Structure**

<b>Family Structure * How has the resettlement impacted the roles of men in your household? Crosstabulation</b>									
		How has the resettlement impacted the roles of men in your household?						Total	
		No Change		Less Inclusive		More Inclusive			
		N	%	N	%	N	%	N	%
Family Structure	Female-Headed	14	18.9%	8	17.0%	12	30.0%	34	21.1%
	Male-Headed	60	81.1%	39	83.0%	28	70.0%	127	78.9%
Total		74	100.0%	47	100.0%	40	100.0%	161	100.0%

Source: Researcher (2025)

Table 4.8 above includes summary descriptive statistics on the impact of the resettlement on men’s roles in households. As shown in the table, 18.9% (14) of female-headed households reported that the resettlement had not changed men’s roles in households, 17.0% (8) said it had made men’s roles less inclusive, and 30.0% (12) suggested that it had made men’s roles more inclusive. The table also shows that 81.1% (60) of male-headed households ascertained that the resettlement had not led to changes in men’s roles, 83.0% (39) said it had made men’s roles less inclusive, and 70.0% (28) sustained that it had made men’s roles more inclusive. Overall, the findings reveal that rather than improving men’s roles, the resettlement had, for the most part, not led to any changes and further declines instead.

#### **4.6 Livelihood Restoration and Social Well-Being**

Consistent with objective three, respondents were asked a series of predetermined questions to assess the impact of resettlement on project-affected persons in terms of livelihood restoration and social well-being. The data used to address this objective is anchored on the Outcome of Resettlement variable, and the relevant descriptive statistics are presented below.

**Table 0-9: Impact on Household Income Stability Based on Gender Dynamics and Family Structure**

<b>Gender Dynamics/Family Structure * How has the resettlement impacted your household's economic stability compared to before? Crosstabulation</b>							
		How has the resettlement impacted your household's economic stability compared to before?				Total	
		Declined		Stayed the Same			
		N	%	N	%	N	%
Gender Dynamics/Family Structure	Female-Headed	31	19.7%	3	75.0%	34	21.1%
	Male-Headed	126	80.3%	1	25.0%	127	78.9%
Total		157	100.0%	4	100.0%	161	100.0%

Source: Researcher (2025)

Table 4.6 above includes summary descriptive statistics on how the resettlement impacted households' income stability based on gender dynamics and family structure. As shown in the table, 19.7% (31) of female-headed households reported that the resettlement had led to a decline in household income stability, while 75.0% (3) indicated that they had not experienced or observed any changes. The table also reveals that 80.3% (126) of male-headed households indicated that the resettlement had caused declines in household income stability, while 25% (1) said that their economic stability had remained the same. These findings suggest that the OP 4.12 policy has not been effective in ensuring that RAPs adequately satisfy the mandate of livelihood restoration during implementation. They suggest that a large proportion of male-headed and female-headed households face significant financial hardships post-resettlement as compared to pre-resettlement.

#### **4.7 Inferential Statistics**

##### **4.7.1 Correlation Analysis**

Another inferential analysis that the study employed is the Pearson correlation analysis, which was used to assess the strength and direction of relationships between continuous variables. Specifically, this analysis aimed to examine the relationship between the scale of information provided to project-affected persons (PAPs) and their understanding of the resettlement process.

The findings, presented in Table 4.6-10, indicate a Pearson correlation coefficient of 0.204, which is statistically significant at  $p < 0.002$ . According to Schober et al. (2018), Pearson correlation coefficients range from -1 to +1, with 0 indicating no linear relationship between the variables. A correlation coefficient approaching  $\pm 1$  signifies a stronger linear relationship. In this case, the positive correlation of 0.204 suggests a weak but significant positive relationship between the scale of information provided to PAPs and their understanding of the resettlement process.

Thus, it can be concluded that the more information provided to PAPs, the better their understanding of the resettlement process, although the strength of this relationship remains weak.

**Table 0-10: Pearson Correlation Analysis**

		Scale of Information Provided to PAPs
Understanding of the resettlement process	Pearson Correlation	.204**
	Sig. (2-tailed)	.002
	N	231
<b>**.</b> Correlation is significant at the 0.01 level (2-tailed).		

Source: Researcher (2025)

#### 4.7.2 Regression Analysis

Regression analysis represents the final category of inferential statistics utilised in this study. This technique was employed to predict the value of the dependent variable based on multiple independent variables. Specifically, a multiple regression analysis was conducted to examine the impact of several factors—such as the efficacy of OP 4.12 (Policy Implementation variable), adherence to OP 4.12 guidelines, stakeholder engagement, gender dynamics, the scale of information provided to project-affected persons (PAPs), and understanding of the resettlement process—on the outcomes of resettlement, with a focus on livelihood restoration and social well-being. The regression analysis results are presented in Tables 4.6-11, 4.6-12, and 4.6-13.

Table 4.6-11 provides a model summary of the regression analysis. The most relevant and significant statistics in this context are the R-square and adjusted R-square, as they offer valuable insights into the explanatory power and goodness-of-fit of the model. The R-squared value in this case is 0.998, indicating that the independent variables in the model explain 99.8% of the variance in the dependent variable. This shows an exceptionally strong relationship between the predictors and the outcome variable.

The adjusted R-squared value, which adjusts the R-squared value for the number of predictors in the model, is also 0.998. The adjusted R-squared is a more accurate measure of the model fit, especially when multiple predictors are involved, as it accounts for the potential overfitting of the model. A value of 0.998 suggests that the model provides an excellent fit, with the predictors reliably predicting the outcome variable, making it a highly effective regression model.

**Table 0-11: Regression Model Summary**

Model Summary				
Model	R	R Square	Adjusted R Square	Std. Error of the Estimate
1	.999 <sup>a</sup>	.998	.998	.01519
a. Predictors: (Constant), Understanding of the Resettlement Process, Gender Dynamics, Scale of Information Provided to PAPs, Adherence to OP4.12 Guidelines, Stakeholder Engagement, Policy Implementation				

Source: Researcher (2025)

Table 4.6-12 presents the ANOVA summary of the regression model, which tests the overall significance of the model. The F-statistic and p-value provide critical insights into the statistical significance of the regression model as a whole. As illustrated in the table, the F-statistic is 18471.672, a remarkably high value, and the p-value is < 0.000, which is significantly smaller than the common significance level of  $\alpha = 0.05$ . This suggests that the multiple regression model is statistically significant, meaning that the predictors included in the model (such as understanding of the resettlement process, gender dynamics, scale of information provided to PAPs, adherence to OP 4.12 guidelines, stakeholder engagement, and policy implementation) collectively have a significant impact on the outcome variable, which in this case is the Outcome of Resettlement.

The F-statistic helps assess whether the independent variables, taken together, explain a significant amount of the variance in the dependent variable. The high F-statistic in this model indicates a strong overall fit.

**Table 0-12: ANOVA Summary**

ANOVA <sup>a</sup>						
Model		Sum of Squares	df	Mean Square	F	Sig.
1	Regression	25.573	6	4.262	18471.672	.000 <sup>b</sup>
	Residual	.052	224	.000		
	Total	25.624	230			
a. Dependent Variable: Outcome of Resettlement						

b. Predictors: (Constant), Understanding of the Resettlement Process, Gender Dynamics, Scale of Information Provided to PAPs, Adherence to OP4.12 Guidelines, Stakeholder Engagement, Policy Implementation

Source: Researcher (2025)

Table 4.6-13 provides a summary of the regression outputs for the independent and dependent variables, focusing on the standardised beta coefficients and p-values, which are crucial for understanding the strength, direction, and significance of relationships between the predictors (independent variables) and the outcome variable (dependent variable). The standardised beta coefficients illustrate the strength and direction of the relationship, while the p-values indicate the statistical significance of each relationship.

As shown in the table, policy implementation has a standardised beta coefficient of 0.209, suggesting that as policy implementation improves, the outcomes of resettlement, including livelihood restoration and social well-being, also improve. The corresponding p-value is 0.047, which is below the threshold of 0.05, indicating that the relationship between policy implementation and outcomes of resettlement is statistically significant.

Similarly, adherence to OP 4.12 guidelines has a positive standardised beta coefficient of 0.321, indicating that improvements in adherence to OP 4.12 guidelines lead to better resettlement outcomes. The p-value for this variable is 0.000, confirming the statistical significance of this relationship.

Stakeholder engagement also shows a positive relationship with resettlement outcomes, with a standardised beta coefficient of 0.246. This suggests that increased stakeholder engagement enhances the outcomes of resettlement. The corresponding p-value is 0.000, which further affirms the statistical significance of this relationship.

Gender dynamics has an exceptionally high standardised beta coefficient of 0.999, demonstrating that as the consideration of gender dynamics improves, resettlement outcomes significantly improve. The p-value for this variable is 0.000, indicating a highly significant relationship.

The scale of information provided to PAPs has a standardized beta coefficient of 0.167, indicating that an improvement in the amount of information provided to affected persons improves resettlement outcomes. The p-value of 0.000 confirms the statistical significance of this relationship.

Finally, understanding of the resettlement process has a standardized beta coefficient of 0.053, indicating a positive but comparatively weaker relationship with resettlement outcomes. The p-value for this variable is 0.000, confirming that the relationship is statistically significant.

**Table 0-13: Regression Coefficient**

Coefficients <sup>a</sup>						
Model		Unstandardized Coefficients		Standardized Coefficients	t	Sig.
		B	Std. Error	Beta		
1	(Constant)	.125	.004		29.919	.000
	Policy Implementation	.162	.081	.209	1.994	.047
	Adherence to OP 4.12 Guidelines	.245	.056	.321	4.350	.000
	Stakeholder Engagement	.158	.040	.246	3.951	.000
	Gender Dynamics	.880	.003	.999	318.686	.000
	Scale of Information Provided to PAPs	.092	.016	.167	5.724	.000
	Understanding of the Resettlement process	.022	.004	.053	5.200	.000
a. Dependent Variable: Outcome of Resettlement						

Source: Researcher (2025)

#### 4.8 Chapter Summary

This chapter presents the research findings, providing a comprehensive analysis of the data collected for the study. It begins by detailing the background information on the respondents, offering key characteristics and demographic data that set the context for the analysis. The chapter further explores the descriptive statistics, which summarise the central tendencies and distribution of variables related to the respondents' experiences and perspectives. The chapter also includes the inferential statistical analysis, including regression and moderation analyses were conducted to assess the impact of various factors on the outcomes of resettlement, specifically focusing on livelihood restoration and social well-being. Overall, the chapter provides a comprehensive overview of the findings, presenting a thorough examination of the research questions.

## **CHAPTER FIVE – DISCUSSION, CONCLUSION, AND RECOMMENDATIONS**

### **5.1 Introduction**

This chapter includes a summary of the key findings, relevant discussions on these findings, conclusions and recommendations. It also includes the implications of the study, the limitations, and directions for future research.

### **5.2 Summary of the Key Findings**

The findings from the data analysis, presented in Chapter 4, provide valuable insights into the parameters under investigation and offer responses to the research questions and study objectives.

The study achieved a response rate of 60% (231 PAPs), which was considered adequate based on Sataloff and Vontela's (2021) recommendation that a 60% response rate is sufficient for yielding reliable and valid results. This response rate is crucial as it indicates a robust sample size, which enhances the reliability of the conclusions drawn. Logistical challenges primarily contributed to missing the expected response rate of 100%. Notably, the platform used to distribute the survey questionnaire and the communication method greatly affected the distribution as well as the response rates. Local organisations that had direct contact with the relocatees were reluctant to link the researchers to the affected communities. As such, it was challenging to trace all the PAPs to achieve the 100% response rate.

Demographically, the findings indicated a greater representation of female participants compared to male participants. The study also revealed that participants aged between 46 and 60 years constituted the largest group, followed closely by those aged 31 to 45 years. Respondents aged 61 and above, and 18 to 30 years, followed in that order. Marital status further revealed that married participants were the predominant group, surpassing unmarried, widowed, and "Other/Prefer not to say" groups. In terms of family size, most participants had at least three family members.

Regarding the occupational background of participants, most were farmers before displacement, with only a few engaging in business, civil service, or casual labour. A small number were retirees or unemployed. The resettlement process had moderate impacts on the primary occupations of PAPs, with only a few experiencing a change in profession. Furthermore, a significant number of PAPs were landowners before displacement.

The study also found that a significant proportion of PAPs were inadequately informed about the laws governing involuntary resettlement (OP 4.12), and a smaller percentage demonstrated adequate understanding of the resettlement process. The findings highlighted that most PAPs

were given a notice of 6 months to 1 year between the notification to vacate and the actual displacement.

In terms of compensation, participants were provided with very little information on compensation assessment, payment schedules, resettlement plans, and the resettlement timetable. This indicates that the scale of information provided to PAPs was insufficient, leading to dissatisfaction with the compensation process.

Regarding participation, the study found that a limited number of PAPs were involved in the negotiations or decision-making processes related to resettlement and compensation. Additionally, the study revealed concerns about the compensation criteria, specifically regarding land ownership, since PAPs without land titles did not receive compensation.

The study further uncovered significant disparities in land ownership between male-headed and female-headed households, with more male-headed households owning land as compared to female-headed households. This finding suggested that the proportion of male-headed households owning land is more as compared to female-headed households, inferring a gap in land ownership based on gender dynamics and family structure.

The findings likewise revealed significant variations in involvement in resettlement negotiations or decision-making processes, with more male-headed households being involved in negotiations or decision-making processes regarding resettlement and compensation as compared to female-headed households. This finding ascertains that the proportion of male-headed households involved in resettlement and negotiations for compensation is higher than that of female-headed households, implying a gap in involvement in negotiations based on gender dynamics and family structure, whereby female-headed households are disproportionately represented.

Additionally, the findings revealed that satisfaction with the compensation process was generally low, with both male-headed and female-headed households expressing dissatisfaction with the compensation process. This finding suggested that the OP 4.12 mandate of ensuring adequate satisfaction with the compensation process is hardly realised.

Moreover, the findings revealed that men and women roles in both male-headed and female-headed households mostly declined or become less inclusive following the resettlement. They also revealed that some households experienced slight improvements in men's roles.

Regarding livelihood restoration and social well-being, the findings revealed that resettlement had lowered the economic stability of a greater proportion of both male-headed and female-headed households as compared to pre-resettlement and that a small percentage had not experienced any changes. These findings suggest that the OP 4.12 policy has not been effective

in ensuring that RAPs adequately satisfy the mandate of livelihood restoration during implementation, implying that a large proportion of male-headed and female-headed households face significant financial hardships post-resettlement as compared to pre-resettlement.

The Pearson correlation analysis revealed that the scale of information provided to PAPs had a weak but significant positive correlation with the understanding of the resettlement process.

Regression analysis showed that the model could explain 99.8% of the variance in the dependent variable, with significant predictors such as policy implementation, adherence to OP 4.12 guidelines, stakeholder engagement, gender dynamics, the scale of information provided to PAPs, and understanding of the resettlement process. The overall regression model was statistically significant, further reinforcing the impact of these predictors on the outcomes of resettlement.

In summary, the findings highlight key challenges in the implementation of OP 4.12, particularly regarding the access to information and participation of women, which have significant impacts on the success of resettlement efforts and the restoration of livelihoods.

### **5.3 Discussion of the Findings**

This section discusses the findings of the study.

#### **5.3.1 The Efficacy of the OP 4.12 Policy in the Implementation of Resettlement Action Plans (RAPs)**

This study aimed to evaluate the efficacy of the OP 4.12 policy in the implementation of resettlement action plans (RAPs), particularly in the context of the Mwache Dam project. The findings revealed that the OP 4.12 policy is ineffectively adopted in the implementation of RAPs as most of its requirements are insufficiently met, exposing relocatees to adverse resettlement risks. The findings from the regression analysis further emphasised the need for adhering to OP 4.12 requirements as they shape resettlement outcomes.

These findings are consistent with the theory of social justice and the IRR model, which emphasise that the ineffective application of the OP 4.12 policy during the implementation of RAPs exposes PAPs to immense and hostile resettlement risks (Rawls, 2009; Bala, 2008; Cernea, 2008; Andnet, 2017; Wilmsen et al., 2018). Despite the adoption of the OP 4.12 policy for the Mwache Dam project, significant gaps in its application in the implementation of RAPs were identified, establishing ineffectiveness in the policy. The OP 4.12 policy mandates that PAPs receive timely and relevant information regarding the resettlement process (Para. 13[a]). However, the study found that only a small number of PAPs were adequately informed about

the laws governing involuntary resettlement, the resettlement process, or their rights as outlined by OP 4.12. Additionally, key information such as compensation assessments, payment schedules, resettlement plans, and the resettlement timetable was insufficiently communicated to PAPs. This lack of adequate communication created information asymmetries, which hindered the successful and smooth transition for PAPs, exposing them to resettlement risks, including impoverishment.

These findings are also consistent with Kieti (2021), Htet (2021), Dobra (2021), Iganga (2007), Siganga (2007), Okello (2014), Otsuki et al. (2022), Otsuki (2021) and Ty et al. (2013). Kieti (2021) attributed the ineffectiveness of the OP 4.12 in the implementation of RAPs to less stringent national legislations on resettlement, which project developers exploit rather than adhere to international best practice as outlined by the World Bank's international safeguard policies on involuntary relocation. The findings of the current study suggested that the requirements of OP 4.12 are mostly disregarded during the actual implementation of RAPs. Notably, they established that most PAPs are not sufficiently informed about the laws governing involuntary resettlement, the resettlement process, or their rights as specified by the OP 4.12 policy. Besides, the findings recognised that the scale of information provided to relocatees regarding compensation assessment, payment schedule and resettlement plan and timetable is insufficient. Additionally, they revealed miscommunications regarding the period between the notice to vacate and actual displacement, inadequate involvement of PAPs in resettlement negotiations or decision-making processes, and lack of meaningful consultations. These inefficiencies in the OP 4.12 policy often create information irregularities, undermining the effective understanding of the resettlement process, hindering successful and swift resettlement transition for PAPs, and further exacerbating their susceptibility to resettlement risks, including impoverishment uncertainties.

Consistent with Kieti (2021) and the current study's findings, Htet (2021) equally emphasised the inefficacy of the OP 4.12 in the implementation of RAPs. Htet (2021) attributed the inadequacies in resettlement areas to the inefficiencies in the OP 4.12 during the implementation of RAPs and the relocation practice. Similar to the current study's findings, Htet (2021) underscored that project developers often fail in their mandate to provide resettlement sites desired by PAPs and offer essential information on the pre-resettlement conditions of the PAHs, relocation site, new housing provision, and land compensation. Project developers also fail to provide clear communication on the cut-off date and census data, and further overlook vulnerable groups, gender considerations, public participation, and provision

of community infrastructure. Such consistencies in findings suggest potential inefficiencies in the application of OP 4.12 policy in the implementation of RAPs.

Similar to the findings of the current study, Ty et al. (2013) acknowledged the issues in the implementation of involuntary relocation while also reaffirming the importance of adhering to international regulations for project-induced resettlement. Primarily, poor implementation measures remain an impediment to the realisation of the OP 4.12 guidelines. Problems of ineffective compensation and lack of adequate livelihood restoration alternatives, including production land, are still widespread in project-induced resettlements. Project developers often ignore the benefits relocatees are entitled to as specified by the OP 4.12 framework. Okello (2014) attributes this ignorance to lenient national laws on resettlement, which, as compared to international best practice, inadequately address the performance gaps of fair and full compensation, insufficiently support meaningful consultations (active engagement and involvement of PAPs), and inefficiently encourage grievance redress on compensation and valuation matters. Without strict enforcement measures, these issues are bound to persist and further complicate large-scale project developments.

The findings of the current study stress that adhering to international safeguard policies on resettlement, such as the OP 4.12 policy, can mitigate resettlement risks that PAPs are exposed to. Dobra (2021), likewise, emphasises that complying with international resettlement frameworks such as the OP 4.12 policy ensures that project-induced relocations are planned and implemented effectively to address the adverse social, cultural, and economic impacts of resettlement as well as mitigate the disruptive and stressful nature of relocation. Iganga (2007) likewise underscored the critical value of international safeguard policies for resettlement, such as the OP 4.12, in ensuring swift relocation of PAPS, as project developers underestimate such frameworks; thus, mismanaging the resettlement process and failing to execute it properly. Otsuki (2021) and Otsuki et al. (2022) similarly reiterated that misaligning RAPs with international involuntary resettlement guidelines undermines proper and efficient relocation and further limits PAPs to one-time beneficiaries, exposing them to adverse resettlement impacts.

In essence, the current study establishes that while the OP 4.12 guidelines were adopted in the design and drafting of RAPs for the Mwache Dam project, these guidelines were not adequately applied during the implementation phase. This gap in implementation resulted in significant challenges for PAPs, including inadequate compensation, insufficient communication, and limited participation in decision-making processes. The inadequacy and associated risks have also been highlighted by previous studies, indicating that the issue has been rampant. The strict

enforcement of the OP 4.12 policy guidelines during the implementation of RAPs can, however, mitigate these risks and ensure the effective resettlement of affected persons.

### **5.3.2 The Gaps in the Application of OP 4.12 Policy Concerning Gender Dynamics and Family Structures**

This study also explored the gaps and challenges in the application of the OP 4.12 policy concerning gender dynamics and family structures. The findings of the current study revealed significant gaps and challenges in the application of the OP 4.12 based on gender dynamics and family structure. The regression analysis further ascertained that these gaps and challenges concerning gender dynamics significantly affect resettlement outcomes.

These findings align with the theory of social justice and the implicit bias theory. The theory of social justice emphasises the principles of Equal Liberty and Equality, highlighting that all individuals should enjoy equal fundamental rights, including freedom of democratic participation and the right to own property and equal opportunities, notwithstanding economic inequalities (Rawls & Blocker, 1976; Ekmekci & Arda, 2015). The implicit bias theory reinforces gendered disparities, postulating how gender biases, which are often unconscious, influence social phenomena and decision-making processes. Consistent with these theories, the current study reveals violations of these fundamental rights, with these abuses primarily resulting from culturally and socially perpetuated gender biases. Typically, the compensation processes disproportionately favour men as they are culturally and socially considered household heads and land-title holders. Cultural and social norms recognise men as the primary recipients of compensation in project-induced resettlement since land titles and replacement assets, including structures and plots, are registered in their names. Women, despite being integral to household management, are often excluded, with the exclusion significantly exposing them to adverse resettlement risks as compared to men.

The findings of the current study are also consistent with Basu (2016), Sharp et al. (2019), Win (2019), Anwar (2021) and Zaman (2021). The OP 4.12 policy requires that project sponsors pay special attention to the needs of vulnerable groups, including women and female-headed households. Previous studies (Basu, 2016; Sharp et al., 2019; Win, 2019; Anwar, 2021; Zaman, 2021) have emphasised this provision as they have found that women-headed households are disproportionately affected compared to male-headed households. Women heads-of-household often shoulder multiple responsibilities, and are therefore entitled to compensation for properties lost during resettlement to adequately caution themselves from associated risks. Resettlement planners should assess the specific concerns of women and the extent of the

impact on their roles in the household and community while ensuring they have sufficient access to opportunities and privileges that men are given.

Findings from this study revealed a significant gap in land ownership between male-headed and female-headed households, with men generally having higher rates of land ownership. This aligns with Basu's (2016) assertion that patriarchal structures often prioritise men in matters of land ownership and property rights. In Kenya, these patriarchal beliefs limit women's access to land and property, which consequently undermines their ability to claim compensation during resettlement (Gaafar, 2014). This inability to claim compensation as their male counterparts lowers their roles in the household and community and also exposes them to hostile resettlement risks. This study confirms that female PAPs, particularly those without formal land rights, are more vulnerable during the resettlement process due to the unequal treatment they receive in the application of OP 4.12 guidelines.

Overall, the gaps in the application of the OP 4.12 policy concerning gender dynamics and family structures reveal significant inequalities. Women are disproportionately excluded from resettlement processes, as they are less likely to be involved in decision-making and are not provided with adequate information about the resettlement and compensation processes. These findings highlight the persistent influence of socio-cultural beliefs, which favour patriarchal structures and marginalise women. This marginalisation not only exacerbates the gender disparity but also aligns with the social justice and implicit bias theories, which suggest that women are systematically excluded from processes and opportunities. Furthermore, these disparities underscore the need for a more robust application of the OP 4.12 policy, consistent with the principles of social justice, to eliminate such inequalities and ensure a fair resettlement process for all PAPs.

### **5.3.3 The Impact of Resettlement on Project-Affected Persons (PAPs) in Terms of Livelihood Restoration and Social Wellbeing**

The study also sought to assess the impact of resettlement on project-affected persons (PAPs) concerning livelihood restoration and social well-being. Findings from the study indicate that the implementation of the OP 4.12 policy significantly influences resettlement outcomes, especially livelihood restoration and social well-being. This finding is consistent with the IRR model, which emphasises that poorly executed RAPS, especially those where project developers fail to adequately comply with the requirements of the OP 4.12 policy, expose PAPs to severe impoverishment risks and social disruption (Cernea, 2008; Andnet, 2017; Wilmsen et al., 2018). The study establishes that when project sponsors adhere to the OP 4.12 policy,

engage stakeholders effectively, consider gender dynamics, provide adequate information to PAPs, and ensure their understanding of the resettlement process, better outcomes in terms of livelihood restoration and social well-being are generally achieved.

The findings of the current study are also consistent with Gebreyesus and Tadesse (2019), Gai et al. (2022), Thiyagarajan and Khudrathullah (2020), and Herath et al. (2017). The study found that PAPs are significantly impacted by resettlement, with the process contributing to a significant reduction in their economic stability. This aligns with the work of Gebreyesus and Tadesse (2019), who observed that project-induced displacement often leads to severe disruptions in livelihood sources. Resettlement forces PAPs to abandon their primary income-generating activities, leaving them vulnerable unless robust livelihood restoration programs are implemented. Unfortunately, the study found that the Mwache dam project demonstrated inadequacies in its livelihood restoration programs, which led to greater economic hardships for the PAPs.

Resettlement plans that fail to account for the full restoration of livelihoods expose PAPs to risks of poverty and social disintegration. Gai et al. (2022) argue that poorly implemented livelihood restoration strategies not only undermine the economic stability of PAPs but also lead to increased poverty levels. In the case of the Mwache dam project, findings indicated that the project's failure to meet OP 4.12 guidelines exacerbated these risks. Issues such as insufficient compensation, poorly executed livelihood restoration initiatives, and the failure to provide adequate alternative livelihoods led to a significant decline in the economic security of PAPs, particularly in rural areas where land is a vital asset for survival.

In rural settings like those affected by the Mwache dam project, where land plays a key role in supporting livelihoods, inadequate compensation for land lost during resettlement contributes to deeper economic challenges. Thiyagarajan and Khudrathullah (2020) note that when compensation fails to restore long-term income-generating opportunities, such as through farming or small business, it creates a cycle of poverty that is difficult to break. Additionally, the poor implementation of RAPS in these areas often means that PAPs struggle to transition into alternative forms of employment, which further exacerbates their vulnerability to impoverishment.

The study also established that resettlement negatively affected inclusivity in household decision-making, reducing the roles of both men and women in the process. These gaps in inclusivity, coupled with economic hardship, contributed to adverse effects on the social well-being of PAPs. The lack of inclusivity in decision-making often leads to emotional and psychological distress, which can heighten tension and even provoke domestic violence in the

worst cases. Herath et al. (2017) emphasise that when resettlement plans adhere to international best practices, like those outlined in OP 4.12, the social well-being of PAPs can be significantly improved.

In summary, the study found that the effectiveness of RAP implementation plays a critical role in determining the success of livelihood restoration and social well-being for PAPs. Where RAPs align with international best practices, such as those stipulated by OP 4.12, better outcomes in these areas are achieved. However, where RAPs fail to adhere to OP 4.12 guidelines, as evidenced in the Mwache dam project, poor outcomes in terms of livelihood restoration and social well-being are inevitable. These findings corroborate the Impoverished Risks and Reconstruction (IRR) model, which stresses that failure to implement resettlement plans according to internationally recognised standards, such as OP 4.12, guarantees negative consequences for displaced populations, including joblessness, landlessness, and social disintegration.

#### **5.3.4 The Challenges Faced by Government and Institutions in Implementing Resettlement Action Plans Aligned with OP 4.12**

The study also aimed to examine the challenges encountered by governments and institutions in effectively implementing Resettlement Action Plans (RAPs) aligned with the World Bank's OP 4.12 policy. Findings from the study suggest that these challenges play a significant role in shaping the outcomes of resettlement processes. This finding equally aligns with the IRR model, which recognises the adverse resettlement outcomes PAPs are exposed to, especially when resettlement plans are problematic – fail to sufficiently adhere to OP 4.12 requirements (Cernea, 2008; Andnet, 2017; Wilmsen et al., 2018). The challenges identified in the study largely centre around issues such as inadequate information dissemination, poor stakeholder engagement, misalignment between national and international legislation, and the difficulty of acquiring affordable resettlement land. These challenges undermine the implementation of RAPs and the overall effectiveness of the resettlement process.

A key challenge highlighted by the study is the inadequate provision of information and the insufficient understanding of the resettlement process by Project-Affected Persons (PAPs). The study found that project developers often fail to provide PAPs with adequate information to fully comprehend the resettlement process. This finding is consistent with Symth et al.'s (2015) discovery that information asymmetries significantly undermine effective resettlement amidst project-induced displacement. Failing to provide relocatees with sufficient information is an issue that is particularly prevalent in rural areas, where many PAPs are illiterate and unable to

understand RAPs written in English. Best practices, as outlined by the OP 4.12 policy, suggest that project developers should ensure that RAPs are translated into local languages or offer interpretation services to facilitate understanding. Unfortunately, the findings from the Mwache Dam project suggest that such practices were not implemented. As a result, many PAPs were not sufficiently informed about their rights or the resettlement process, leading to confusion and disagreements about compensation and relocation measures (Symth et al., 2015). This lack of transparency is a significant gap in the OP 4.12 policy's application, as it hinders informed agreement and participation in the resettlement process.

Poor stakeholder engagement was also identified as a critical challenge. Muchoki (2016) highlighted that this issue mostly originates from an inadequate institutional environment that fails in its obligation to plan meaningful consultations and negotiations with PAPs. In the case of the Mwache Dam project, the resettlement process suffered from insufficient engagement with PAPs, with many expressing dissatisfactions about the lack of information on the laws governing involuntary resettlement (OP 4.12 Policy), understanding of the resettlement process, and their exclusion from negotiations or decision-making processes. These findings highlight a significant gap in the implementation of the OP 4.12 policy, as stakeholder engagement is crucial for ensuring that PAPs are involved in the process and that their needs and concerns are addressed. Kieti (2021) underscored that the failure to engage PAPs adequately, especially when consultations are limited to community leaders who may not represent PAPs fully, exacerbates the risk of disputes and delays in the resettlement process. Owuor (2022) further affirmed that inadequate stakeholder engagement not only undermines transparency but also increases the likelihood of litigation, further delaying project implementation and inflating costs for governments.

The study establishes that another challenge faced by governments and institutions is the misalignment between national resettlement laws and the more robust and comprehensive international guidelines provided by the OP 4.12 policy. Siganga (2007) stressed this finding, affirming that local or national policies do not adequately specify the institutional arrangements and procedures for the relocation and resettlement of informal settlements. The current study suggests that national laws often fall short in providing the same level of protection or support for PAPs, particularly in terms of livelihood restoration, compensation, and resettlement alternatives. The findings of the Mwache Dam project illustrate this misalignment, as national standards were prioritised over the more stringent OP 4.12 guidelines. National laws often do not include sufficient safeguards for livelihood restoration, which are crucial for ensuring that PAPs can regain or improve their pre-displacement living standards (Siganga, 2007; Otsuki,

2021). This gap in policy enforcement hampers the effectiveness of RAPs, exposing PAPs to heightened risks of economic hardship and social disintegration.

Overall, the study highlights several key challenges that governments and institutions face in implementing RAPs aligned with OP 4.12 policy. The findings indicate that the lack of adequate information dissemination, insufficient stakeholder engagement, misalignment of national and international laws, and challenges in acquiring resettlement land all contribute to poor resettlement outcomes. These challenges prevent the effective realisation of the policy's objectives, such as the restoration of livelihoods and social well-being for PAPs. Addressing these challenges is crucial for improving the implementation of RAPs and ensuring that the OP 4.12 policy can fulfil its intended role in protecting the rights and welfare of displaced persons.

#### **5.4 Conclusion**

The study aimed to evaluate the efficacy of the World Bank's OP 4.12 policy in the implementation of Resettlement Action Plans (RAPs) within the context of the Mwache Dam project. The findings suggest that while the OP 4.12 policy framework was referenced in the design and drafting of the RAPs, its guidelines were not adequately actualised or applied during their implementation. In practice, project developers and sponsors recognised the policy's guidelines on paper but failed to implement them fully. This gap in the application of the OP 4.12 policy resulted in a significant undermining of the effectiveness of the RAPs and, by extension, the resettlement process.

Furthermore, the study sought to identify and analyse gaps in the application of the OP 4.12 policy, particularly concerning gender dynamics and family structures. The findings revealed significant gaps, especially in the treatment of marginalised or minority groups, including women, unmarried individuals, and widows. These groups were disproportionately excluded from key resettlement activities, such as participation in resettlement and compensation negotiations and decision-making processes. This exclusion exposes them to heightened risks, including joblessness, landlessness, homelessness, food insecurity, marginalisation, and increased morbidity. These findings highlight systemic socio-cultural barriers that favour men over women, thereby limiting women's participation and exposure to the full benefits of the resettlement process.

Additionally, the study assessed the impact of resettlement on project-affected persons (PAPs), specifically regarding livelihood restoration and social well-being. Findings show that when RAPs are not effectively implemented in line with international best practices, such as those outlined in OP 4.12, they have a detrimental impact on PAPs. In particular, inadequate

communication, insufficient stakeholder engagement, and poorly executed livelihood restoration programs worsen the risks of impoverishment for PAPs. These deficiencies hinder the smooth transition and restoration of livelihoods, leaving many PAPs vulnerable to long-term socio-economic hardships.

Finally, the study examined the challenges faced by government institutions and stakeholders in implementing RAPs that align with OP 4.12 policy. The findings identified several key challenges: inadequate communication and information, poor stakeholder engagement, misalignment between national resettlement laws and the OP 4.12 policy and reluctance from governments to offer adequate compensation. These challenges undermine the successful implementation of RAPs, preventing PAPs from receiving fair compensation and adequate support for livelihood restoration.

In conclusion, the study underscores the need for greater adherence to OP 4.12 policy guidelines during the implementation phase of RAPs. It highlights the importance of addressing the identified gaps and challenges to ensure more effective and equitable resettlement outcomes. Strengthening stakeholder engagement, improving communication, aligning national laws with international standards, and ensuring fair compensation for all PAPs, particularly marginalised groups, will be essential in achieving the policy's objectives of restoring livelihoods and improving the social well-being of displaced populations.

## **5.5 Recommendations**

Based on the findings of this study, several recommendations have been proposed to enhance the efficacy of the OP 4.12 policy and address the identified gaps and challenges in its implementation.

One key recommendation is for the World Bank to tighten financial support and borrowing regulations for project developers and sponsors to encourage greater adherence to the OP 4.12 policy. The study revealed that while project developers or sponsors recognise the OP 4.12 policy guidelines in theory, they often fail to fully implement them in practice, leading to discrepancies between policy design and execution. Tightening financial regulations could incentivise compliance by linking financial support to the successful application of OP 4.12 guidelines. Furthermore, the World Bank should consider deploying agents or representatives to serve as part of committees or commissions on project resettlement planning. These representatives would be tasked with monitoring the resettlement process and ensuring it adheres to the required standards. If a project developer fails to meet these standards, penalties such as increased interest rates on borrowed funds or blacklisting from future financial support

should be imposed. This would encourage developers to prioritise compliance with OP 4.12, ensuring better outcomes for project-affected persons (PAPs).

Another significant recommendation is the alignment of national resettlement standards with international best practices, particularly the OP 4.12 policy. The study found that national resettlement standards are often less stringent and lack the comprehensiveness of international standards. This discrepancy results in project developers favouring national regulations or alternative protocols, such as those set by the International Finance Corporation (IFC), which may allow for shortcuts during the resettlement process. Although project developers and governments often express concerns about the higher costs and stricter requirements of OP 4.12, the policy offers the best framework for ensuring that the livelihoods and social well-being of PAPs are restored and improved.

Moreover, the OP 4.12 policy promotes transparency throughout the resettlement process, which can help mitigate litigation risks that typically inflate project costs and cause delays. When projects face legal challenges, cost overruns often occur, and the financial burden of these overruns is typically passed on to taxpayers. This creates a negative feedback loop: taxpayers become frustrated, local governments lose trust, and future public engagement in development projects becomes more challenging. Strict adherence to OP 4.12 standards would alleviate such risks, protecting both governments and affected communities. Therefore, it is crucial for governments, relevant institutions, and stakeholders to ensure that resettlement activities adhere to international best practices. In cases where national standards fall short, they should be supplemented with the more robust guidelines of OP 4.12. Aligning national standards with OP 4.12 would effectively address the gaps and challenges identified in the Mwache dam project and ensure better resettlement outcomes.

## **5.6 Implications for Academia and Research**

This study holds significant implications for both academia and research, contributing to the body of knowledge on the efficacy of the World Bank's OP 4.12 policy in the implementation of Resettlement Action Plans (RAPs). The findings fill an important gap in the existing literature, particularly regarding the effectiveness of OP 4.12 in the post-resettlement phase. While previous studies and reports have primarily focused on the application of OP 4.12 during the planning and initial stages of RAP implementation, this research expands the scope by evaluating how well the policy performs during the actual implementation and post-resettlement phases. This focus on post-resettlement outcomes such as livelihood restoration

and social well-being provides a more comprehensive understanding of the policy's overall efficacy.

Moreover, the study significantly contributes to the field of resettlement practice by identifying the gaps and challenges faced by project developers and other stakeholders in the implementation of RAPs. These insights are crucial for improving resettlement practices, particularly in ensuring smooth transitions for project-affected persons (PAPs), restoring their livelihoods, and enhancing their social well-being. The study highlights practical shortcomings, such as inadequate communication, insufficient stakeholder engagement, and issues in providing adequate compensation, that hinder successful resettlement outcomes.

In terms of policy implications, the study identifies specific challenges in the application of OP 4.12, offering concrete recommendations for refining the policy framework. These recommendations aim to enhance the effectiveness of the OP 4.12 policy in achieving its goals, particularly in terms of providing fair compensation, facilitating livelihood restoration, and ensuring equitable treatment for all affected groups. By addressing the gaps and challenges revealed through this research, the policy can be better aligned with its intended objectives, thereby ensuring more successful and sustainable resettlement outcomes.

### **5.7 Limitations of the Study**

One notable limitation of this study was the issue of data availability. Several local non-governmental organizations (NGOs) were reluctant to share information about the location of project-affected persons (PAPs) from the Mwache Dam project, making it challenging to obtain the necessary data. Consequently, costly and time-consuming measures, such as traveling to the location to physically trace the PAPs, were employed to facilitate the data collection process. This issue not only increased the operational costs but also posed challenges in terms of time constraints.

Additionally, the sample size of the study was relatively small, particularly when considering that over 12,000 individuals were displaced by the project. While the sample size of 231 PAPs provided useful insights, a larger sample would have enhanced the reliability and generalizability of the findings. A more representative sample could have provided a more comprehensive understanding of the impacts of the resettlement process and could have further strengthened the study's conclusions, particularly with regard to policy implications. A larger sample would also have allowed for more nuanced findings that can adequately inform policy modifications and provide stronger evidence for improving resettlement practices.

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## APPENDICES

### Appendix I: Questionnaire Explanation

#### Section A: Demographic Information

**Purpose:**

**Objective:** Provides contextual information that is essential for understanding the background of the respondents, which is crucial when analysing the impact of resettlement on different demographic groups.

**Conceptual Framework:** This section helps in categorizing the data based on demographic variables like gender, age, education level, and occupation. These categories are necessary to explore how different groups are affected by the resettlement process.

**Variables Addressed:**

**Gender Dynamics:** Understanding the gender of respondents is key to analysing how men and women are differently impacted by resettlement.

**Economic Stability:** The primary occupation before and after resettlement helps in assessing the impact on livelihood restoration.

#### Section B: Implementation of OP 4.12

**Purpose:**

**Objective:** Directly addresses the efficacy of the World Bank's OP 4.12 policy in implementing Resettlement Action Plans (RAPs). This section examines whether the policy was adequately communicated and whether stakeholders were meaningfully involved in resettlement.

**Conceptual Framework:** This section corresponds to the "Policy Implementation" component. It measures the extent to which the resettlement process adhered to OP 4.12 guidelines and the level of stakeholder engagement.

**Variables Addressed:**

**Adherence to OP 4.12 Guidelines:** Questions about being informed of laws, understanding the process, and involvement in decision-making reflect how well the policy was implemented.

**Stakeholder Engagement:** Questions about participation in negotiations and complaints mechanisms relate to the involvement of PAPs in the resettlement process.

**Challenges in Implementation:** Satisfaction with the compensation process and handling complaints highlight potential challenges and gaps in policy execution.

#### Section C: Livelihood Restoration and Social Wellbeing

**Purpose:**

**Objective:** This section is designed to assess the impact of resettlement on the economic stability and social well-being of the affected households, which is a critical measure of the success of the resettlement process.

**Conceptual Framework:** These questions are linked to the "Outcomes of Resettlement" component. They measure the success of the resettlement in restoring or improving the livelihoods and social networks of the displaced individuals.

**Variables Addressed:**

**Livelihood Restoration:** Questions on economic stability, source of income, and overall impact on well-being assess whether the resettlement has succeeded in maintaining or improving the livelihoods of PAPs.

**Social Wellbeing:** Changes in social support networks and overall family well-being are key indicators of the resettlement's impact on the community's social fabric.

**Section D: Gender Dynamics and Family Structures**

**Purpose:**

**Objective:** This section focuses on understanding how resettlement has affected gender roles and family dynamics, addressing the objective related to the impact of resettlement on gender dynamics and family structures.

**Conceptual Framework:** This section corresponds to the "Gender Dynamics" variable within the "Outcomes of Resettlement" component. It specifically examines how resettlement has altered family roles, decision-making processes, and individuals' psychological well-being.

**Variables Addressed:**

**Gender Roles:** Questions about changes in decision-making and the roles of men and women address how resettlement has impacted gender dynamics within households.

**Family Structures:** To understand changes in family structures, the impact on family roles and responsibilities, as well as any conflicts arising from compensation, are explored.

**Psychological Wellbeing:** Questions about emotional or psychological impacts assess the broader social and mental health outcomes of resettlement.

**How the Questionnaire Addresses Research Objectives:**

1. **Evaluating the Efficacy of OP 4.12:** The questionnaire includes questions on how well the policy was communicated and implemented (Section B) and how satisfied the respondents were with the process (Sections B and C).

**2. Identifying Gaps and Challenges:** Questions in Sections B and C specifically address gaps in the resettlement process, such as inadequate communication, poor stakeholder engagement, and the impact of compensation practices.

**3. Assessing Impact on Livelihood and Wellbeing:** Section C directly examines the impact on economic stability and social networks, providing data to evaluate whether the resettlement improved or harmed the well-being of affected individuals.

**4. Exploring Gender Dynamics and Family Structures:** Section D is focused entirely on gender roles and family dynamics, aligning with the objective of understanding how resettlement impacts these areas.

**5. Proposing Recommendations:** The data collected from these sections will provide the evidence needed to make informed recommendations on improving the OP 4.12 policy and its implementation, especially in addressing gender-specific needs and overcoming challenges.



## Appendix II: Study Tool

### Questionnaire for Project-Affected Households (PAHs) and Project-Affected Persons (PAPs)

#### Maswali kwa Nyumba Zilizothiriwa na Mradi (PAHs) na Watu Walioathiriwa na Mradi (PAPs)

#### Purpose | Lengo

To collect data for evaluating the efficacy of the World Bank's OP 4.12 policy in resettlement processes, focusing on the Mwache Dam Project.

Kukusanya data ili kutathmini ufanisi wa sera ya OP 4.12 ya Benki ya Dunia katika michakato ya uhamishaji, kwa kuzingatia Mradi wa Bwawa la Mwache.

#### Section A: Demographic Information

##### Sehemu A: Taarifa za Kidemografia

1. **Gender | Jinsia:**
  - Male | Mwanaume
  - Female | Mwanamke
  - Other/Prefer not to say | Nyingine/Ningependa kutoeleza
2. **Age | Umri:**
  - 18–30
  - 31–45
  - 46–60
  - 61 and above | 61 na zaidi
3. **Marital Status | Hali ya Ndoa:**
  - Married | Nimeoa/Nimeolewa
  - Unmarried | Sijaoa/Sijaolewa
  - Widowed | Mjane
  - Other/Prefer not to say | Nyingine/Ningependa kutoeleza
4. **Household Size | Ukubwa wa Kaya:** \_\_\_\_\_
5. **Education Level | Kiwango cha Elimu:**
  - Can Read & Write | Ninaweza Kusoma na Kuandika
  - Cannot Read & Write | Siwezi Kusoma na Kuandika
  - Primary Level | Shule ya Msingi
  - Secondary Level | Shule ya Sekondari
  - Tertiary (College/University) | Chuo/Chuo Kikuu
6. **Primary Occupation (Before Displacement) | Kazi Kuu (Kabla ya Uhamisho):**
  - Agriculture | Kilimo

- Business/Trade | Biashara
  - Civil Service | Utumishi wa Umma
  - Retired | Mstaafu
  - Unemployed | Sina Ajira
  - Other: \_\_\_\_\_ | Nyingine: \_\_\_\_\_
7. **Primary Occupation (Current) | Kazi Kuu (Sasa):**
- Agriculture | Kilimo
  - Business/Trade | Biashara
  - Civil Service | Utumishi wa Umma
  - Retired | Mstaafu
  - Unemployed | Sina Ajira
  - Other: \_\_\_\_\_ | Nyingine: \_\_\_\_\_
8. **Were you the owner or tenant of the land that was acquired? | Je, ulikuwa mmiliki au mpangaji wa ardhi iliyochukuliwa?**
- Owner | Mmiliki
  - Tenant | Mpangaji

## Section B: Implementation of OP 4.12

### Sehemu B: Utekelezaji wa OP 4.12

9. **Were you informed about the laws governing involuntary resettlement (OP 4.12)? | Je, ulipewa taarifa kuhusu sheria zinazodhibiti uhamishaji wa lazima (OP 4.12)?**
- Yes | Ndiyo
  - No | Hapana
10. **How well did you understand the resettlement process? | Uliielewa vipi mchakato wa uhamishaji?**
- Very well | Vizuri sana
  - Moderately well | Kiasi cha wastani
  - Somewhat | Kidogo
  - Not at all | Sikuielewa kabisa
11. **How long was it between the notice to vacate and the actual displacement? | Ni muda gani ulipita kati ya taarifa ya kuhama na uhamisho halisi?**
- Less than 6 months | Chini ya miezi 6
  - 6 months to 1 year | Miezi 6 hadi mwaka 1
  - 1 to 2 years | Mwaka 1 hadi miaka 2
  - More than 2 years | Zaidi ya miaka 2
12. **How much information were you provided about the following? (Rate on a scale: Very Much, Moderate, Somewhat, Not at all) | Ulipata taarifa kiasi gani kuhusu yafuatayo? (Pima kwa kiwango: Nyingi sana, Wastani, Kidogo, Hakuna kabisa)**
- Compensation Assessment | Tathmini ya Fidilia
  - Payment Schedule | Ratiba ya Malipo

- Resettlement Plans | Mipango ya Uhamishaji
- Timetable of the Resettlement Process | Ratiba ya Mchakato wa Uhamishaji
13. **Were you involved in the negotiation or decision-making process regarding resettlement? | Je, ulihusika katika majadiliano au maamuzi kuhusu uhamisho wako?**
- Yes | Ndiyo
- No | Hapana
14. **Were people without land titles compensated? | Je, watu wasio na hati miliki walilipwa fidia?**
- Yes | Ndiyo
- No | Hapana
15. **How satisfied were you with the compensation process? | Umeridhika vipi na mchakato wa fidia?**
- Very satisfied | Nimeridhika sana
- Moderately satisfied | Nimeridhika kiasi
- Somewhat satisfied | Nimeridhika kidogo
- Not satisfied | Sijaridhika

### **Section C: Livelihood Restoration and Social Well-being**

#### **Sehemu C: Urejeshaji wa Maisha na Ustawi wa Kijamii**

18. **How has the resettlement impacted your household's economic stability compared to before? | Uhamishaji umeathiri vipi uthabiti wa kiuchumi wa kaya yako ukilinganisha na awali?**
- Improved | Umeimarika
- Stayed the same | Haujabadilika
- Declined | Umeshuka
19. **What was your main source of income before resettlement? | Chanzo chako kikuu cha kipato kilikuwa kipi kabla ya uhamisho?**
- Agriculture | Kilimo
- Business/Trade | Biashara
- Employment | Ajira
- Other: \_\_\_\_\_ | Nyingine: \_\_\_\_\_

### **Section D: Gender Dynamics and Family Structures**

#### **Sehemu D: Mabadiliko ya Kijinsia na Miundo ya Familia**

23. **How has the resettlement impacted decision-making within your household? | Uhamishaji umeathiri vipi maamuzi ndani ya kaya yako?**
- No change | Hakuna mabadiliko

- More inclusive | Maamuzi yanajumuisha zaidi
  - Less inclusive | Maamuzi yamepunguzwa kwa wengine
24. **How has the resettlement impacted the roles of women in your household? | Uhamishaji umeathiri vipi majukumu ya wanawake katika familia yako?**
- Empowered women | Umeimarisha wanawake
  - Reduced women's roles | Umefanya majukumu ya wanawake kupungua
  - No change | Hakuna mabadiliko
25. **How has the resettlement impacted the roles of men in your household? | Uhamishaji umeathiri vipi majukumu ya wanaume katika familia yako?**
- Empowered men | Umeimarisha wanaume
  - Reduced men's roles | Umefanya majukumu ya wanaume kupungua
  - No change | Hakuna mabadiliko



## Appendix III: Institutional Ethical Review Letter



18<sup>th</sup> February 2025

Mr Mosenda Robi,  
robi.mosenda@strathmore.edu

Dear Mr Mosenda,

**RE: Evaluating the Efficacy of The World Bank's OP 4.12 Policy in Resettlement Action Plans: A Case Study of the Mwache Dam Project with a Focus on Gender Dynamics and Family Structures**

This is to inform you that SU-ISERC has reviewed and **approved** your above **SU-masters** proposal. Your application reference number is **SU-ISERC2485/24**. The approval period is from **18<sup>th</sup> February 2025 to 17<sup>th</sup> February 2026**.

This approval is subject to compliance with the following requirements:






- i. Only approved documents including (informed consents, study instruments, MTA) will be used.
- ii. All changes including (amendments, deviations, and violations) are submitted for review and approval by SU-ISERC.
- iii. Death and life-threatening problems and serious adverse events or unexpected adverse events whether related or unrelated to the study must be reported to SU-ISERC within 72 hours of notification.
- iv. Any changes anticipated or otherwise that may increase the risks or affected safety or welfare of study participants and others or affect the integrity of the research must be reported to SU-ISERC within 72 hours.
- v. Clearance for the export of biological specimens must be obtained from relevant institutions.
- vi. Submission of a request for renewal of approval at least 60 days prior to the expiry of the approval period. Attach a comprehensive progress report to support the renewal.
- vii. Submission of an executive summary report within 90 days of completion of the study to SU-ISERC.

Before commencing your study, you will be expected to obtain a research license from National Commission for Science, Technology, and Innovation (NACOSTI) <https://research-portal.nacosti.go.ke/> and obtain other clearances needed.

Yours sincerely,

**Mr Ambrose Rachier,  
Chairperson; SU-ISERC**

## Appendix IV: NACOSTI Research Permit

 <b>REPUBLIC OF KENYA</b>	 <b>NATIONAL COMMISSION FOR SCIENCE, TECHNOLOGY &amp; INNOVATION</b>
Ref No: <b>897276</b>	Date of Issue: <b>25/February/2025</b>
<b>RESEARCH LICENSE</b>	
	
<b>This is to Certify that Mr.. Robi Chacha Mosenda of Strathmore University, has been licensed to conduct research as per the provision of the Science, Technology and Innovation Act, 2013 (Rev.2014) in Kwale on the topic: Evaluating the Efficacy of The World Bank's OP 4.12 Policy in Resettlement Action Plans: A Case Study of the Mwache Dam Project with a Focus on Gender Dynamics and Family Structures for the period ending : 25/February/2026.</b>	
License No: <b>NACOSTI/P/25/416314</b>	
<b>897276</b> Applicant Identification Number	 Director General <b>NATIONAL COMMISSION FOR SCIENCE, TECHNOLOGY &amp; INNOVATION</b>
Verification QR Code	
	
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