

Indigenous Peoples Planning Framework

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ABBREVIATIONS

ADB	–	Asian Development Bank
CBO	–	Community Based Organization
DSC	–	Design and Supervision Consultant
GRC	–	Grievance Redress Committee
GRM	–	Grievance Redress Mechanism
IPPF	–	Indigenous People Planning Framework
MPCLG	–	Ministry of Provincial Councils and Local Government
NGO	–	Non-Governmental Organization
PMC	–	Project Management Consultant
PMU	–	Project Management Unit
SPCU	–	Subproject Coordinating Unit
SPS	–	Safeguard Policy Statement
SIA	–	Social Impact Assessment

NOTE

In this report - \$ refers to US dollars.

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I. INTRODUCTION

1. The proposed Local Government Enhancement Sector Project (the Project) aims to improve the effective delivery of local infrastructure and services by local authorities in less-developed areas of Sri Lanka. Participating local authorities will implement subprojects in the areas of roads and bridges, water supply and sanitation, drainage, solid waste management, and other basic facilities including health centers and public markets. The project also aims augmenting and/or improving water supply systems in areas affected by chronic kidney diseases with a view of providing safe water to these local authorities. Funds for these subprojects will be obtained as grants from the Ministry of a Provincial Councils and Local Governments (MPCLG). The list of the subproject currently proposed to be implemented is given in Appendix 1.

2. The physical work associated with subprojects will take place primarily in geographic locations outside areas where most indigenous peoples live (Uva and Eastern Provinces). The project will not locate any major subproject interventions in locations where identified indigenous people reside. An Indigenous Peoples Planning Framework (IPPF) which is a policy and procedural framework has been prepared for future use to screen subprojects and minimize any negative impacts of subprojects on indigenous people in local authorities that may be included in the project. Initial field consultations and/or observations in local authorities and subprojects sites did not identify the presence of any indigenous peoples in the subproject sites. However, since the project will use a sector approach and most subprojects will be prepared after project appraisal, the IPPF applies to future subprojects prepared by local authorities which apply for funding.

II. OBJECTIVES AND POLICY FRAMEWORK

3. The IPPF specifies requirements that will be followed with regard to subproject selection, screening and categorization, assessment, and preparation and implementation of Indigenous Peoples Plans (IPP). Subprojects consistent with the IPPF will ensure design and implementation of subprojects and foster full respect of indigenous peoples identity, dignity, human rights, livelihood systems, and cultural uniqueness so that they (i) receive culturally appropriate social and economic benefits; (ii) do not suffer from adverse impacts as a result of subprojects; and (iii) can participate actively in subprojects that affect them. This is consistent with the Asian Development Bank's (ADB) Safeguards Policy Statement (SPS), 2009. IPPF forms the basis of the preparation of IPPs if any subproject affects indigenous peoples and ensure compliance with government laws, policies, regulations on indigenous peoples, and ADB's SPS.

4. There is no specific legislative provision available to protect the rights of indigenous people that can be directly compared to the SPS and applied to subprojects. Indigenous peoples have maintained a distinct lifestyle and their way of life has brought up verbal systems from generation to generation which is not being obstructed by contemporary successive governments. For example, even at present, the Constitution of Sri Lanka provides that all citizens are equal before the law, but activities of indigenous people in their traditional areas such as hunting in jungles are not penalized, whereas other citizens are punished through the courts for such activities. The government's approach in safeguarding the rights of indigenous peoples is largely issue-based and it adopts resolutions when issues related to indigenous people arise.

5. After 1948, Sri Lanka established "The Backward Communities Welfare Board." This Board facilitated the Government's plan to move and mainstream indigenous people, but naturally, some were reluctant to embrace these changes.

6. Though there is no specific law to safeguard the rights of indigenous people, various parliament statements and regulations have been put forward by the government from time to time. Such statements and regulations recognize the culture and rights for access to natural resources by the indigenous people. Some of these apply to the project and provide necessary guidelines to mitigate resettlement impacts as a result of subproject implementation. These are also largely consistent with indigenous peoples safeguard measures. A comparison of these with SPS is provided in Appendix 2. This IPPF bridges the gap between these existing statements and regulations and the SPS.

7. The IPPF will ensure that subprojects undertaken are consistent with ADB requirements. Table 1 shows how the IPPF will be made consistent with ADB's identification of indigenous peoples and preparation of IPPs.

Table 1: ADB Requirements and IPPF Actions for the Project

	ADB Requirement	Actions to be Taken
Identification of Indigenous people.	Indigenous peoples refer to a distinct, vulnerable, social and cultural group with the following characteristics in varying degrees: (i) self-identification as members of a distinct indigenous cultural group and recognition of this identity by others; (ii) collective attachment to geographically distinct habitats or ancestral territories in the project area and to the natural resources in these habitats and territories; (iii) customary cultural, economic, social or political institutions that are separate from those of the dominant society and culture; and (iv) a distinct language often different from the official language of the country or region.	The screening of Indigenous Peoples Planning Framework would include a detailed identification, if the area has an indigenous people and whether they are affected by the subprojects of the project. Subprojects that have indigenous peoples as beneficiaries or affected persons will be consulted to ensure their need and issues will be incorporated during the design stage to avoid or minimize impacts.
Assessment, preparation and implementation of IPPs.	The indigenous peoples safeguards are triggered if a project directly or indirectly affects the dignity, human rights, livelihood systems, culture of indigenous peoples or affect the territories or natural or cultural resources that indigenous peoples own, use, occupy, or claim as an ancestral domain or asset. The Asian Development Bank Safeguard Policy Statement, 2009 has policy principles for indigenous people that ensure (i) screening; (ii) social impact assessment; (iii) consultation; (iv) consent for specific activities; (v) avoidance of physical displacement; (vi) preparation of indigenous peoples plan; (vii) disclosure; (viii) legal recognition of specific projects; and (ix) monitoring.	Policy principles of the Safeguard Policy Statement will be followed during subproject preparation. No IPPs have been prepared for sample subprojects because in the initial subproject screening, consultations, and field visits indicated no indigenous peoples identified in the sample subproject sites. For future subprojects under the sector loan, an indigenous peoples plan will be prepared if screening and social impact assessment shows impacts (negative or positive) on indigenous peoples.

8. The subproject selection criteria incorporates screening for indigenous people impacts prior to selection, and subprojects which will cause significant impact, thus categorized as "A"

for indigenous people impacts, to Indigenous People will be excluded under the project financing. The significant impacts to indigenous people communities are defined as (i) involving commercial development of the cultural resources and knowledge of indigenous peoples; (ii) causing physical displacement from traditional or customary lands; and (iii) designing commercial development of natural resources within customary lands under use of indigenous people that would impact the livelihoods or the cultural, ceremonial, or spiritual uses that define the identity and community of indigenous peoples. Subprojects under the project will exclude components that impact forest rights and occupation in forest land for forest dwelling indigenous peoples and other traditional forest dwellers (who have been residing in such forests for generations but whose rights are not recorded). Displacement of indigenous peoples will be avoided during subproject design. If unavoidable, land for land provisions and other assistance will be in accordance with ADB and government policies.

III. IDENTIFICATION OF AFFECTED INDIGENOUS PEOPLES

9. Consistent with ADB's definition of indigenous peoples, the project identifies indigenous peoples as those having a distinct, vulnerable, social, and cultural group (with characteristics as enumerated in Table 1). In Sri Lanka, *Veddas* retain social and cultural traditions, and distinct economic activities such as group hunting, food gathering, and fishing. Cultural assimilation of *Veddas* has been occurring for a long time. Since the government does not have specific policies to assist *Veddas* preserve traditional identities as indigenous peoples, it is difficult to obtain information regarding their population, location, livelihood, and other socio-economic characteristics. According to historic data, *Veddas* inhabited Sri Lanka long before other ethnic groups in the country. They were later confined to certain areas from Hunnasgiriya hills and lowlands spreading through Mahiyanganaya, Alutnuwara, Vellassa, Bintenne, Digamadulla, Vasgamuwa, Dimbilagala, Manampitiya, Nilagala, Toppigala, Panama, Dambana (Uva, Eastern, and some parts of the Central Province). Analysis during project preparation shows that their current number is declining and only around 2,000 *Veddas* reside in Mahiyaganane, Bibile, and Damabana in the Eastern and Uva Provinces. The project will ensure to avoid any negative impacts to the *Veddas*. Efforts will be made that their way of life are protected and improvement can be made their quality of life, as needed.

10. Because of the locations of subprojects,¹ and the subproject selection criteria which excludes subprojects with significant adverse impacts on indigenous peoples; significant impacts on indigenous peoples as a result of implementing subprojects is not anticipated. The project will improve infrastructure and services to residents of the local authorities. The IPPF will guide the preparation of subprojects if there are indigenous persons identified in the subproject areas and to be affected, either positive or negative, by the project activities. They will have opportunities to participate and benefit equally from the subprojects through the preparation of an IPP.²

IV. APPROACH TO IPP PREPARATION

11. An IPPF is a policy and procedural framework for IPPs that are developed for subprojects and that are to be approved during project implementation. Further, an IPPF sets out the indigenous people's policy together with the screening and planning procedures.

¹ Subprojects will be located in mostly built-up areas and the subproject selection criteria prioritize rehabilitation over new construction to avoid displacement.

² Base on ADB SPS SR 3, such subproject will be categorized as "B" on indigenous people impacts.

12. The need for a formulation of an IPP, under this project will be established if the subprojects to be funded under the project are screened as Category 'B' subprojects. Consequently category 'B' subprojects envisage limited positive and/or negative impacts on indigenous peoples living in the subproject areas, if any. The limited impacts on indigenous people defines as when the subproject activities will not (i) affect their customary rights of use and access to land and natural resource; (ii) significantly change their socio-economic status; (iii) affect their cultural and communal integrity; (iv) affect their health, education, livelihood and social security status; or (v) alter or undermine the recognition of indigenous knowledge.

13. This will include additional assistance for indigenous peoples as vulnerable groups in the resettlement plan, if such resettlement plan is prepared for the subproject. This would ensure appropriate mitigation of adverse project impacts on indigenous peoples and enhancement of project benefits for indigenous peoples.

14. The IPPF is based on the overall local and national development strategies and ADB SPS, 2009. The principal objectives are to:

- (i) ensure indigenous peoples affected by any subproject will benefit from the project;
- (ii) ensure indigenous peoples inclusion in the entire process of preparation, implementation, and monitoring of project activities;
- (iii) ensure benefits of subprojects are available to indigenous peoples more than or at least equal to other affected groups; this may require giving preference to indigenous peoples as vulnerable groups over others on certain benefits under the project; and
- (iv) provide a base for indigenous peoples in the area to receive adequate development attention.

15. An IPP addresses the aspirations, needs and preferred options of the affected indigenous peoples taking into consideration the marginality status of tribal community and offers them development options while respecting their socio-cultural distinctiveness. The IPP³ aims at strengthening the existing capacity of the affected tribal community to participate and benefit from project interventions. The key elements in an IPP include: (i) all development plans for indigenous people should be based on full consideration of the options and approaches that best meet the interests of individuals and communities affected by the project; (ii) scope and impact of adverse effects be assessed and appropriate mitigation measures are identified; (iii) project should take into account the social and cultural context of affected peoples, and their skills and knowledge relating to local resource management; (iv) during project preparation, formation, and strengthening of indigenous peoples organization and communication to facilitate their participation in project identification, planning, execution and evaluation should be promoted; (v) where previous experience and knowledge of working successfully with indigenous peoples is lacking, pilot scale operations should be carried out and evaluated prior to the execution of full-scale efforts; (vi) experienced community organizers/organizations, and consultants will be hired to prepare IPP; (vii) responsible agency will formulate IPP implementation schedule, which will be periodically monitored by local authority an subproject coordinating unit (SPCU) officials as well as independent/external monitoring agency; and (viii)

³ As per the ADB's F1/OP (2013), screening process categorizes projects by the significance of their impacts on indigenous peoples. It is recommended that for (i) Category 'A' projects: Impacts should be significant that require IPP; (ii) Category 'B' projects: Impacts are limited that require IPP; and (iii) Category 'C' projects: No impacts on indigenous peoples that require no special provision for them. Subproject with category A impact will be excluded in the financing under this project.

responsible agency will also prepare a budget for IPP implementation and a financing plan to ensure smooth progress.

16. The IPP will consist of a number of activities and will include mitigation measures of potentially negative impacts, modification of project design, and development assistance. Where there is land acquisition in indigenous people communities, the project will ensure their rights will not be violated and that they will be compensated for the use of any part of their land in a manner that is culturally acceptable to the affected indigenous peoples.⁴ The IPP will include:

- (i) Baseline data,
- (ii) Land tenure information,
- (iii) Local participation,
- (iv) Technical identification of development or mitigation activities,
- (v) Institutional arrangement,
- (vi) Implementation schedule,
- (vii) Monitoring and evaluation, and
- (viii) Cost estimate and financing plan.

V. STEPS FOR FORMULATING AN IPP

17. The IPPF seeks to ensure that indigenous peoples are informed, consulted, and mobilized to participate in the subprojects during IPP preparation and ensure equitable sharing of project benefits. Participation can provide benefits with more certainty, and protect them from any potential adverse impacts of the subproject. The main features of IPP will be a preliminary screening process, a social impact assessment to determine the degree and nature of impact of each subproject, and an action plan developed, if warranted. Meaningful consultations with and participation of indigenous people communities, their leaders, and local government representatives will be an integral part of the overall IPP.

A. Preliminary Screening

18. The designated officer for social safeguards of the SPCU will study all indigenous people communities and villages within the vicinity of the proposed subproject area. The SPCU will arrange public meetings at selected communities to provide information regarding the proposed subproject. During these meetings, community leaders and other participants will be given an opportunity to present their views and concerns.

19. An initial screening will check for the following:

- (i) Name(s) of indigenous people community group(s) in the area;
- (ii) Total number of indigenous people community groups in the area;
- (iii) Percentage of indigenous people community population in the area compared with the total population; and
- (iv) Number and percentage of indigenous people households to be affected by the subproject site.

20. An indigenous people assessment checklist will be prepared. If the results of the preliminary screening (reviewed with assistance from the project consultants) show that there are indigenous people households in the proposed subproject area, a social impact assessment (SIA) will be conducted to capture indigenous people issues and development opportunities that

⁴ Compensation will be consistent with the resettlement framework for the program.

exist in the area. (a checklist for screening of indigenous peoples in the sample sub projects is in Appendix 3).

B. Social Impact Assessment and IPP for Subprojects

21. The SPCU of each province will screen for impacts of a proposed subproject on indigenous peoples. Following ADB SPS, the screening will be undertaken through a field visit to the subproject area and the completion of an indigenous people's checklist (Appendix 3). During the field visit and completion of the checklist, the SPCU will conduct public meetings in communities and villages to provide information on the proposed subproject and determine the presence of indigenous peoples. Key information to be obtained includes the information given in paragraph 19 above.

22. When screening indicates likely impacts on indigenous peoples, a field-based SIA will be conducted to capture indigenous people issues and development opportunities that exist in the area. Screening and SIA will be carried out in a culturally appropriate and gender sensitive manner, by qualified and experienced experts. The SIA will cover the following aspects: (i) legal and institutional framework; (ii) baseline information on the affected indigenous peoples; (iii) stakeholder consultations with the indigenous peoples; (iv) potential adverse and positive impacts of the subproject; (v) assessment of the indigenous people perceptions on subproject; and (vi) recommendation of measures to avoid adverse impacts and minimize/mitigate impacts and ensure that indigenous peoples receive culturally appropriate benefits under the subproject.

23. Where an SIA confirms subproject impacts positive or negative impacts on indigenous peoples, an IPP will be prepared involving meaningful consultation with indigenous peoples. The IPP preparation will ensure:

- (i) indigenous peoples affected by any subproject will benefit from the subproject;
- (ii) indigenous peoples inclusion in the entire process of preparation, implementation, and monitoring of subproject activities;
- (iii) benefits of subprojects are available to indigenous peoples more than or at least equal to other affected groups—this may require giving preference to indigenous peoples as vulnerable groups over others on certain benefits under the subproject; and
- (iv) providing a base for indigenous peoples in the subproject area to receive adequate development attention.

24. IPPs will be consistent with policy principles of ADB's SPS. The IPP will commensurate with the assessed impacts. It will consist of a number of activities and will include mitigation measures of potentially negative impacts, modification of project design, and development assistance. Where there is land acquisition affecting indigenous peoples, the executing agency will ensure indigenous people rights will not be violated and that they will be compensated for the use of any part of their land in a manner that is culturally acceptable to the affected indigenous peoples.⁵ The recommended outline of IPP is in Appendix 4 of this framework.

25. If indigenous peoples are affected by land acquisition, traditional land rights will be honored and the absence of land titles will not be a bar for receiving compensation and alternate land. Entitlements are in the resettlement framework and additional entitlements as indigenous peoples are provided. This includes (i) land for land compensation: (ii) additional

⁵ Compensation will be consistent with the resettlement framework for the project.

allowances for loss of land or structures; (iii) additional livelihood rehabilitation assistance and allowance; and (iv) prioritization in subproject employment.

C. Mitigation Measures

26. All affected indigenous households will be provided with assistance, which would help them to improve their living standards without exposing their communities to disintegration. As vulnerable groups, they are entitled to receive special assistance not only to restore and improve their income and livelihood, but also to maintain their distinct cultural identity.

27. As indigenous peoples, they will have traditional land rights and these will be honored and the absence of land titles will not be a bar for receiving compensation and alternate land. Their compensation entitlements will be the same that are listed in the approved Resettlement Framework of the project. The resettlement framework defines indigenous peoples as vulnerable people and/or households.

28. If the subproject impacts to the indigenous people are limited/insignificant, and if they could be addressed by resettlement plans that will be prepared according to the agreed resettlement framework, 'specific actions' could be built into resettlement plans to safeguard their entitlements and a combined resettlement plan and IPP could be prepared. This decision will depend on the severity of impacts on them. Such 'specific actions' are outlined in the resettlement framework.

29. The SPCU/project management unit (PMU) could decide to prepare a 'specific action' to address the indigenous people issues as part of preparing IPP. This decision will depend on the severity of impacts on them. A 'specific action' could take the form of a common community action plan where the indigenous peoples groups live with non-indigenous peoples in the same subproject location.

D. Monitoring

30. Monitoring and evaluation help solve problems faced by project implementing agencies and develop solutions without delay. IPP includes a set of monitoring indicators, for periodic assessment of planned activities, which will be reviewed during IPP implementation. The community organizers will periodically report the assessment under these indicators and reports will be sent to the PMU/SPCU. The PMU after initial review will send these reports to ADB for final evaluation.

VI. CONSULTATION AND PARTICIPATION

31. Meaningful consultations and information disclosure will be undertaken to ensure that needs, priorities and preferences of indigenous peoples are adequately dealt with. The consultation with the indigenous people will be undertaken in a culturally appropriate manner by experienced experts. The strategy of IPP therefore would be to promote participation of the indigenous peoples, initiating and identifying people's need, priorities and preferences through participatory approaches. Meaningful consultations with and participation of indigenous people communities, their leaders, local authorities/line agencies (National Water Supply and Drainage Board) and SPCU representatives hence will be an integral part of the overall IPP.

32. The affected indigenous peoples will be informed and consulted in preparing IPP. Their participation in planning will enable them to benefit from the project and to protect them from

any potential adverse impacts of the project. The IPP prepared in consultation with affected indigenous peoples will be translated into local language of indigenous peoples and made available to them before implementation with the assistance of community organizers (the community organizers appointed for conducting Community Development and Participation activities will implement the IPP). The PMU will ensure that adequate funds will be made available for consultation and facilitation. Indigenous peoples may be particularly vulnerable when project activities include (i) commercial development of the cultural resources and knowledge of indigenous peoples; (ii) physical displacement from traditional or customary lands; and (iii) commercial development of natural resources within customary lands under use that would impact the livelihoods or the cultural, ceremonial, or spiritual uses that define the identity and community of Indigenous Peoples. In deciding whether to proceed with a project involving such project activities, the borrower/client will seek the consent of affected Indigenous Peoples communities.

33. In the following paragraphs, a broad strategy for inclusion of indigenous peoples' issues and information disclosure has been formulated.

A. Activities for inclusion of Indigenous Peoples' Issues

34. Involvement of indigenous peoples/groups in problem identification and design of solutions has to be ensured through the entire cycle of project interventions. Table 2 presents the activities to be undertaken by the implementation agency to ensure inclusion of indigenous issues in the main project.

Table 2: Activities and Indicators for inclusion of indigenous Peoples Issues

Project Stage	Procedures	Process and Outcome Indicators	Remarks
Design Stage	Identify locations of dominant indigenous population in the subproject sites.	Indigenous people screening checklist and eligibility status for project financing.	To be carried out by subproject coordination unit with assistance from design and supervision consultant.
	Identification of Indigenous community stakeholders at site.	List of all indigenous communities in the project areas.	
	Sensitization of meaningful consultations through focus group discussions with indigenous communities.	Documentation on number of discussions and minutes of the meetings.	
	Identification of environmental and social issues of the indigenous population and possible impacts as a result of the project.	Documentation of the issues.	
	Meaningful consultations to establish existing concerns related to: 1. Land availability and tenure	Justification for preparing indigenous peoples plan. List of spatial and non-	

Project Stage	Procedures	Process and Outcome Indicators	Remarks
	<ol style="list-style-type: none"> 2. Access to urban infrastructure 3. Dependency on minor forest produce and common property resources 4. Participation in Local Government Service activities 5. Representation in community-based organizations 6. Existing government. support systems. <p>Discussions on possible intervention measures, through the project their likely impacts and safeguard measures (mitigation and monitoring) to be incorporated into the project activities.</p> <ol style="list-style-type: none"> 1. Loss of agricultural and homestead land. 2. Loss of structure and immovable assets. 3. Loss of livelihood 4. Loss of common property resources. 	<p>spatial issues.</p> <p>Enlistment of project impacts.</p>	
	<p>Meaningful consultations with indigenous groups for further suggestions. Participatory approach to be taken up to involve indigenous people in finalizing the subprojects components, resettlement plan and indigenous peoples plan, etc.</p> <p>Disbursement of entitlements as per resettlement plan / IPP/ framework</p>	<p>List of safeguard measures in the draft plan Measures to be taken in complying with frameworks prepared for resettlement plan and indigenous peoples plan.</p> <p>Measures undertaken as suggested as suggested in resettlement plan/indigenous peoples plan frame work.</p>	
Implementation Stage	Implementation of safeguards as per indigenous peoples plan and/or resettlement plan	Measures undertaken as prepared in the final resettlement plan/indigenous peoples plan/safeguard frame works.	Subproject engaged community organizers for implementing consultation and participation plan.
Post Implementation Stage	Evaluation of the success of programs and safeguard measures undertaken	Indicators developed for evaluation for project impacts	Consultants engaged for impact evaluation study.

Project Stage	Procedures	Process and Outcome Indicators	Remarks
	Follow up activities based on lessons learnt	Listing of modified programs to be implemented for uplifting affected indigenous communities	

35. Consultation and information disclosure will be undertaken to ensure that needs, priorities and preferences of indigenous peoples are adequately reflected. The IPP will promote participation of indigenous peoples in and around the subproject area, and identify indigenous people needs, priorities, and preferences through participatory approaches. Consultations with and participation of indigenous people groups, their leaders, rights groups,⁶ community-based organizations (CBOs), line agencies, and SPCU representatives will be an integral part of the IPP.

VII. DISCLOSURE

36. The PMU will submit the following documents for disclosure on ADB's website: (i) IPPFs; (ii) IPPs; and (iii) social safeguards monitoring reports. These documents will also be disclosed in the project website.

37. The SPCU offices will provide information to all indigenous peoples in selected subproject locations on indigenous peoples principles (and will be distributed during consultations such as those undertaken during screening, and during the conduct of the SIA) and features of the IPP. Basic information in the IPPs will be presented in the form of a brochure that will be circulated among affected indigenous peoples/indigenous peoples groups. Posters designed to present the basic tenets of the IPPs will be displayed at suitable locations such as *Pradeshiya Sabhas'* offices for generating mass awareness.

VIII. GRIEVANCE REDRESS MECHANISM

38. The project will have a three tier Grievance Redress Mechanism (GRM) for redressing the grievances of the affected persons, with emphasis on vulnerable communities including indigenous peoples.

39. A project-specific GRM has been established to receive, evaluate, and facilitate the resolution of affected person's concerns, complaints and grievances about the social and environmental performance of LGESP. The GRM of the project has been prepared and accepted by ADB and disclosed in the project website. The GRM chart providing information on receipt of complaints and levels of redressal is displayed in all subproject sites, local authorities' offices, SPCU offices and other important places. The SPCU records all grievances received and address them on priority. To date all grievances are addressed at the stage of first tier.

40. The GRM aims to provide a time-bound and transparent mechanism to voice and resolve social and environmental concerns linked to the project. The GRM is project specific and not intended to bypass the government's own redress process; rather it is intended to address affected people's concerns and complaints promptly, making it readily accessible to all segments of the affected people and is scaled to the risks and impacts of the project.

⁶ There are local and international rights groups such as — Cultural Survival, II based in the United Kingdom, engaged in advocacy and publishing rights and cultural traditions of *Veddas*.

41. The PMU and SPCUs will make the public aware of the GRM through public awareness campaigns. Grievances can be filed in writing using the Complaint Register and Complaint Forms or by phone with any member of the PMU or SPCU. The contact details of the respective SPCUs will serve as a main avenue for complaints and will be publicized through display on notice boards outside their offices and at construction sites. The safeguard documents made available to the public in an accessible version will include information on the GRM and will be widely disseminated throughout the corridor by the safeguards officers in the PMU and SPCUs.

42. **First tier of GRM.** The SPCU is the first tier of GRM which offers the fastest and most accessible mechanism for resolution of grievances. The Safeguards Manager – Social and Gender in the SPCU will be designated as the key officer for grievance redress. Resolution of complaints will be done at the earliest. Investigation of grievances will involve site visits and consultations with relevant parties (e.g., affected indigenous people/persons, contractors, traffic police, etc.). The Community Development Officer of the local authority, or in the absence of Community Development Officer any officer who is given the responsibility of this, would coordinate with the safeguards and gender manager of SPCU in redressing the grievances. Grievances will be documented and personal details (name, address, date of complaint, etc.), will be included unless anonymity is requested. A tracking number will be assigned for each grievance, including the following elements:

- (i) Complaint Register and Complaint Forms (including the description of the grievance) with an acknowledgement of receipt given to the complainant when the complaint is registered;
- (ii) Grievance monitoring sheet with actions taken (investigation, corrective measures); and
- (iii) Closure sheet (Result of Grievance Redressal), one copy of which will be handed to the complainant after he/she has agreed to the resolution and signed-off.

43. The updated register of grievances and complaints will be available to the public at the SPCU office, construction sites, and other key public offices. Shall the grievance remain unresolved it will be escalated to the second tier. The sample of GRC form is attached in Appendix 5.

44. **Second Tier of GRM.** The Social Safeguards and Gender Manager of SPCU will activate the second tier of GRM⁷ by referring the unresolved issue (with written documentation). The GRC will be established before commencement of site works. A hearing will be called with the GRC, if necessary, where the affected person can present his/her concern and/or issues. The process will facilitate resolution through mediation. This local GRC will meet as necessary when there are grievances to be addressed. The local GRC will suggest corrective measures at the field level and assign clear responsibilities for implementing its decision at the earliest. The contractor will have observer status on GRC.

⁷ The GRC will consist of the following persons (i) Commissioner of Local Government of the Province as Chairman, (ii) Divisional Secretary of the area; (iii) Chairman of the respective *Pradeshhiya Sabha*; (iv) representative of nongovernment organization/CBO working in the area as nominated by CLG; (v) Member of clergy of *Pradeshhiya Sabha* area; (vi) Chairman of Samatha mandal; (vii) Grama Niladhari of the area; (viii) Social Safeguard and Gender Manager - as Member Secretary of the GRC; and (ix) nongovernment organization/ representative of the affected indigenous people communities. The functions of the local GRC are as follows: (i) resolve problems quickly and provide support to affected persons arising from various issues including environmental and social issues.

45. The safeguards and gender manager of SPCUs will be responsible for processing and placing all papers before the GRC, maintaining database of complaints, recording decisions, issuing minutes of the meetings and monitoring to see that formal orders are issued and the decisions carried out.

46. **Third tier of GRM.** In the event that a grievance cannot be resolved directly by the SPCUs (first tier) or GRC (second tier), the affected person can seek redress through third tier at the central level. The third tier - Central Grievance Redressal Committee consists of (i) Project Director as Chairman; (ii) Legal Officer of MPCLG as member; and (iii) Social Safeguard and Gender Officer of PMU as Member Secretary.

47. In case the grievance is not solved at this level, then the complainant can refer the same to the court of law.

48. The detailed GRM is posted in the project website. The GRM chart is given in Appendix 6.

49. In the event that the established GRM is not in a position to resolve the issue, the affected person can also use the ADB Accountability Mechanism.⁸ The affected indigenous people may directly contact (in writing) the Complaint Receiving Officer (CRO) at ADB headquarters or the ADB Sri Lanka Residence Mission. The complaint can be submitted in any of the official languages of ADB's developing member countries. The ADB Accountability Mechanism information will be included in the project-relevant information to be distributed to the affected communities, as part of the project GRM.

50. **Recordkeeping.** Records of all grievances received, including contact details of complainant, date the complaint was received, nature of grievance, agreed corrective actions and the date these were effected and final outcome will be kept by PMU and SPCUs. The number of grievances recorded and resolved and the outcomes will be displayed/disclosed in the SPCU offices, and on the project website.

IX. INSTITUTIONAL AND IMPLEMENTATION ARRANGEMENTS

51. The MPCLG is the executing agency of the project, while respective local authorities will be supported by SPCUs to implement subprojects under the project. The PMU headed by a Project Director will be responsible for overall project implementation, monitoring, and supervision. The PMU, staffed by a full time Social Safeguards/Gender Officer, will support the Project Director in addressing all safeguards issues of the project. The officer will be supported by project management consultants who will include a Safeguards Expert. The PMU Officer with the assistance of the SPCU will be responsible for implementing the IPP. The SPCU will include a Social Safeguards Manager who will ensure IPPs are prepared in accordance with the IPPF. The manager will be supported by DSCs who will include a Social Safeguards Expert (as necessary). The Manager will take care of redressing grievances and mitigating negative impacts caused by subprojects on affected people including indigenous peoples. The institutional arrangements build on the previous project where capacity in social safeguards assessment has been built. Further capacity will be built through consultants/specialists engaged to assist the executing agency and implementing agencies. Table 3 defines the institutional roles and responsibilities for the preparation and implementation of IPPs.

⁸ For further information see: <http://compliance.adb.org/>.

Table 3: Institutional Roles and Responsibilities

SI. NO	Activities	MPCLG	PMU	NGOs	ADB	IP Community Involvement
1	Finalization of sites/alignments for subprojects.	Identify and finalize sites/alignments for subproject components.	PMU with support from PMC will confirm sites/alignments.			
2	Preliminary Screening					
a	Collecting and analyzing required information and preparation of <i>pradeshhiya sabha</i> report.		PMU with support from PMC shall carry out the preliminary screening.			Cooperation and active participation of indigenous peoples is anticipated in IPP activities.
b	SIA recommendation.		Based on <i>Pradeshhiya Sabha</i> report, and in compliance with ADB policy, PMU will recommend SIA.			
3	SIA					
a	Collecting and analyzing required information.	Designated staff will monitor SIA activities.				Indigenous peoples will be responsible for giving information to and participate with concerned officials.
b	Preparation of SIA report.					
c	Recommendation for IPP preparation.		Based on SIA report, and in compliance with the ADB policy, PMU will recommend IPP preparation.			
4	Preparation of IPP					
a	Formulation of mitigation measures and development of action plan.	Designated staff will monitor IPP preparation activities and will provide required help to SPCU.	PMU with DSC will prepare IPP in consultation with affected indigenous peoples/community leaders.			Affected indigenous peoples, leaders, CBOs will participate in formulation of mitigation measures and development of action plan. Affected indigenous peoples, leaders will participate and approve IPP.
b	Disclosure of IPP.	Designated staff will participate in information disclosure meetings to finalize IPP at community level.	PMU staff will participate in information disclosure meetings to finalize IPP at community level.	Local nongovernment organizations can be invited to bring transparency in information disclosure.		
c	Preparation of budget and financing plan.	Designated staff will provide necessary help to SPCU.				

SI. NO	Activities	MPCLG	PMU	NGOs	ADB	IP Community Involvement
d	IPP approval from ADB		PMU after scrutinizing IPP for compliance with ADB policy and will submit it to ADB.		ADB staff to review and approve.	
5	IPP implementation	PMU will appoint nongovernment organization/CBO for IPP implementation.	PMU will monitor IPP implementation and provide ADB with semi-annual monitoring report for disclosure.		ADB will review monitoring report.	

ADB = Asian Development Bank, CBO = community-based organization, DSC = design and supervision consultant, IPP = indigenous peoples Plan, PMC = project management consultant, PMU = project management unit, SIA = social impact assessment, SPCU = subproject coordinating unit.

X. MONITORING AND REPORTING ARRANGEMENTS

52. Implementation of the IPPs will be monitored regularly. The PMU will establish a quarterly monitoring system involving the staff of the SPCU, representative of affected indigenous people groups, nongovernment organizations, and CBOs and ensure the use of qualified and experienced experts and adopt a participatory monitoring approach. A set of monitoring indicators will be determined during IPP implementation. The PMU will prepare appropriate monitoring formats for effective monitoring and reporting requirements. Monitoring reports will be prepared twice a year during project implementation. These reports will be submitted to the executing agency and ADB for review, approval, and disclosure. The PMU will be responsible for determining if any follow-up actions are necessary and ensuring any necessary actions are taken regarding the implementation of IPPs.

53. The SPCU will carry out monitoring and evaluation activities. The SPCU safeguards staff will be trained in undertaking these activities by the Social Development Specialist of the PMU. The mid-term and end-term impact evaluation may be outsourced to an agency, nongovernment organization, or academic institution. IPP implementation will be closely monitored to provide the PMU with an effective basis for assessing IPP progress and identifying potential difficulties and problem areas. Results of monitoring will be reported to the executing agency on a quarterly basis. Monitoring will involve the following tasks:

- (i) Administrative monitoring to ensure that implementation is on schedule and problems are dealt with on a timely basis;
- (ii) Socio-economic monitoring during and after indigenous people plan implementation utilizing the baseline information established by the socio-economic survey of indigenous peoples undertaken during subproject preparation to ensure that impacts on indigenous peoples are mitigated and benefits reach indigenous peoples; and
- (iii) Overall monitoring.

54. The institutional framework of monitoring is given in Appendix 7.

55. Data from the baseline socio-economic surveys undertaken during the project preparation stage will provide the benchmark for the monitoring process to assess the progress and success of the IPP. The monitoring process will also include the following:

- (i) Communication to and noting reactions of indigenous peoples;
- (ii) Information from indigenous peoples on impacts and benefits received;
- (iii) Socio, cultural and economic condition of the affected indigenous people;
- (iv) Usage of GRM; and
- (v) Disbursement of compensation amounts and delivery of assistance.

56. **Monitoring Indicators.** the Social Safeguards/Gender Officer of PMU will carry out monitoring. The indicators for achievement of objectives under the IPP are of three kinds as stated below:

- (i) Process Indicators – Indicating project inputs, expenditure, staff deployment, etc.;
- (ii) Output Indicators – Indicating results in terms of numbers of affected indigenous peoples, assistance provided, benefits gained, etc.; and
- (iii) Results-based indicators – Indicating IPP objectives and outcomes are achieved.

57. **Reporting.** Reporting and monitoring formats will be prepared for an effective internal and external monitoring. These reports will be regularly submitted to ADB for review and comments.⁹ Each IPP will be submitted by executing agency to ADB for review and approval.

58. The support of community organizers/CBOs of the areas are sought in preparation, implementation and monitoring of the IPP and the terms of reference is as given in Appendix 8.

XI. BUDGET AND FINANCING

59. Each indigenous people plan will have its own budget. The executing agency will provide sufficient resources to formulate an IPP for each subproject that will have impacts on indigenous peoples. A detailed budget will be prepared by the SPCU taking into account all activities associated with the formulation and implementation of the IPP. Such budgets will be an integral part of the subproject cost, and will be made available during subproject implementation. Total incremental administration for social safeguards – excluding land acquisition and government staff to be provided through government counterpart financing, and consulting services to be provided under the project – is estimated at \$50,000.

⁹ The monitoring report can be included in the semiannual social safeguard report.

LIST OF SUBPROJECTS AND AREA COVERED

Component 1: Water Supply Schemes in Chronic-Kidney Disease Affected Areas

Province	Sl. No	Project Proposal (Priority Basis)	Covered DS Divisions	Presence of Indigenous People/Community (The Veddahs) Yes/No/Unknown
Central	1	Water Supply Extension to Supply Pipe-born Water to Sigiriya, Kandalama and Kithulhitiyava rural areas. (extension pipe length 160 km)	Dambulla	Not Known
	2	Water Supply Extension to Supply Pipe-born Water to Galewela, Inamaluwa and Dambulla rural areas (extension pipe length 153 km)	Dambulla	Not Known
	3	Renovation and Augmentation of Existing Treatment Plant Dambulla.	Dambulla	Not Known
	4	Construction of Borehole, Pump-house, Chlorinators - New schemes (3 nos)	Matale	No
North Central	5	Extension to Uththupitiya from Kekirawa Water Supply Scheme	Thirappane	No
	6	Extension to Elagamuwa from Greater Dambulla Water Supply Scheme (Extension Main line length -15 km)	Kekirawa	No
	7	Extension to Thirappane - surrounding area from Kekirawa WSS (Extension length -16 km)	Thirappane	No
	8	Extension to Mahailukpallama from Kekirawa WSS (Extension length -12 km)	Kekirawa	No
	9	Extension to Bendiwewa from Polonnaruwa WSS (Extension length -18 km)	Thamankaduwa	No
	10	Capacity Improvements to Minneriya WTP.	Hingurakgoda	No
	11	Capacity improvements to Nuwarawewa WTP	Mihinthale, Nuwaragampalatha East and Central	No
	12	Extension to Elagamuwa from Greater Dambulla - 1	Kekirawa	No
	13	Improvement Works to Ipalogama Treatment Plant (Kekirawa WSS)	Kekirawa	No
	14	Extension of Sewagama Canel -3 form Polonnaruwa Water Supply Scheme (Extension length – 7.5 km)	Thamankaduwa	No
	15	Pipe Line Extension – Up to Thambala and Development of existing WSS.	Thamankaduwa / Lankapura	No
	16	Extension and distribution improvement works in Minneriya -	Hingurakgoda	No
	17	Capacity Improvement works to Thissawewa WSS and Treatment Plant.	Nuwaragampalatha Central	No
	18	Uruwewa WSS	Padaviya	No
	19	Abeyapura WSS	Padaviya	No
	20	Thibiriwewa WSS	Kebithigollawa	No
North Western	21	Completion work of Existing Ibbagamuwa WSS	Ibbagamuwa	No
	22	Extension of Existing Nikaweratiya WSS To Nikaweratiya/Ambanpola - (Approximate pipe length 62.5 km)	Nikaweratiya / Ambanpola	No
	23	Extension of Existing Galgamuwa WSS (Approximate pipe length 28 km)	Galgamuwa	No
	24	Construction of WSS at Karuwlagaswewa.	Murukkuwattawana, Kudamadawachchiya, Kaurwalagaswewa	No

Province	Sl. No	Project Proposal (Priority Basis)	Covered DS Divisions	Presence of Indigenous People/Community (The Veddahs) Yes/No/Unknown
			Tabbowa	
Uva	25	Diwulapalassa New scheme	Mahiyanganaya	Not Known
	26	New WSS to supply water for rural villages of Tahnamalvila and Hambagamuwa.	Thanamalvila	Not Known
	27	Rahathangama, Kumaragama, and Kukurampola pipe line Extension from Buttala WSS	Buttala	Not Known
	28	Kumaragama Extension from Buttala WSS (Total extension by No 3 and 4 is 69 km)		Not Known
	29	Extension to Belaganwewa from Giradurukotte WSS (Extension length 47 km)	Mahiyanganaya	Not Known
	30	Rideemaliyadda New Schemes	Rideemaliyadda	Not Known

km = kilometer, WSS = water supply scheme; WTP = water treatment plant.

Component 2: Civil Works (Water Supply, Drainage, Roads, Weekly fair, Social Infrastructure, Solid Waste Management etc.) in the following towns

Sl. No.	Name of Pradeshiya Sabha	Presence of Indigenous Community (Yes/No/Unknown)
1	Kundasale PS	Not Known
2	Udunuwara PS	Not Known
3	Matale PS	No
4	Pallepola PS	Not Known
5	Nuwareliya PS	No
6	Kurunagela PS	No
7	Naramalla PS	No
8	Polgahawela PS	No
9	Nattandiya PS	No
10	Puttalam PS	No
11	Ambalangoda PS	No
12	Baddegama PS	No
13	Balapitiya PS	No
14	Bentota PS	No
15	Habaraduwa PS	No
16	Rathgama PS	No
17	Matara PS	No
18	Weligama PS	No
19	Tangalle PS	No
20	Passara PS	No
21	Homogama PS	No
22	Ja Ela PS	No
23	Katana PS	No
24	Kelaniya PS	No
25	Mahara PS	No
26	Wattala PS	No
27	Beruwela PS	No
28	Kalutara PS	No
29	Panadura PS	No

COMPARISON BETWEEN THE GOVERNMENT OF SRI LANKA AND ADB POLICY ON INDIGENOUS PEOPLES

Aspect	Government Policies and Regulations	ADB Policies	Policies of Other Donor Agencies	Measures to Bridge the Gap
Recognition to Indigenous People	Doesn't obstruct their traditional way of life. Recognizes their rights. Encourages change.	Recognize the rights.	United Nations/ World Bank recognize the rights.	There is no such gap.
Laws/ Regulations and policies	Laws/ regulations nonexistent. Only traditional way of life which government does not obstruct.	Safeguards have been introduced by ADB safeguard policy statement of 2009 June.	Indigenous people's rights Act of 1997 – United Nations United Nations 1 st international decade of the world's indigenous people 1995 – 2004 United Nations 2 nd international decade of the world's indigenous people 2006- 2015	Though laws/ regulations are nonexistent, indigenous people's rights are protected as ancestral domains.
Consultation	Government consults indigenous people.	ADB requires under the Social Screening and Social Impact Assessment Process and indigenous peoples' planning.	Similar thinking and policies as ADB.	Consultation should take place closely. Need further encouragement by offering various facilities.
Information Disclosure	NIRP principles espouse participatory methods which should include disclosure of information to all those affected.	ADB requires under indigenous peoples planning process.	All donor agencies have similar policies.	Government should support disclosure of information.
Grievance Redress	The NIRP principles include: vulnerable groups should be identified and be given appropriate assistance to substantially improve their income and living standards.	ADB requires under indigenous peoples screening and planning process.	Similar policies.	Presently, the Indigenous people can even go to the highest levels of political and executive authorities. This process should continue.
Ancestral Domains/ Lands Related Natural Resources	Government encourages to change in the light of development	Require borrower/ client to make special requirements.	Other donor agencies have similar policies to protect the rights of the indigenous people.	There is an area which has disparities in the light of development. It is always the responsibility of the decision makers to balance this and protect the ancestral domains/ lands and related natural resources of indigenous people.

ADB = Asian Development Bank, NIRP = National Involuntary Resettlement Policy.

INDIGENOUS PEOPLE IMPACT - SCREENING CHECKLISTS

A. Introduction

1. Each project/subproject/component needs to be screen for any indigenous people impacts which will occur or already occurred. This screening determines the necessary action to be done by the project team.

B. Information on project/subproject/component:

- a. District/ Administrative Name: _____
 - b. Location (km): _____
 - c. Civil work dates (proposed): _____
 - d. Technical Description: _____
- _____
- _____

C. Screening Questions for Indigenous People Impact

KEY CONCERNS (Please provide elaborations on the Remarks column)	YES	NO	NOT KNOWN	Remarks
A. Indigenous Peoples Identification				
1. Are there socio-cultural groups present in or use the project area who may be considered as "tribes" (hill tribes, scheduled tribes, tribal peoples), "minorities" (ethnic or national minorities), or "indigenous communities" in the project area?				
2. Are there national or local laws or policies as well as anthropological researches/studies that consider these groups present in or using the project area as belonging to "ethnic minorities", scheduled tribes, tribal peoples, national minorities, or cultural communities?				
3. Do such groups self-identify as being part of a distinct social and cultural group?				
4. Do such groups maintain collective attachments to distinct habitats or ancestral territories and/or to the natural resources in these habitats and territories?				
5. Do such groups maintain cultural, economic, social, and political institutions distinct from the dominant society and culture?				
6. Do such groups speak a distinct language or dialect?				
7. Has such groups been historically, socially and economically marginalized, disempowered, excluded, and/or discriminated against?				
8. Are such groups represented as "Indigenous Peoples" or as "ethnic minorities" or "scheduled tribes" or "tribal populations" in any formal decision-making bodies at the national or local levels?				
B. Identification of Potential Impacts				
9. Will the project directly or indirectly benefit or target Indigenous Peoples?				
10. Will the project directly or indirectly affect Indigenous Peoples' traditional socio-cultural and belief practices? (e.g. child-rearing, health, education, arts, and governance)				
11. Will the project affect the livelihood systems of Indigenous Peoples? (e.g., food production system, natural resource management, crafts and trade, employment status)				

KEY CONCERNS (Please provide elaborations on the Remarks column)	YES	NO	NOT KNOWN	Remarks
12. Will the project be in an area (land or territory) occupied, owned, or used by Indigenous Peoples, and/or claimed as ancestral domain?				
C. Identification of Special Requirements <i>Will the project activities include:</i>				
13. Commercial development of the cultural resources and knowledge of Indigenous Peoples?				If the answer is "yes" the subproject will be categorized as "A" and ineligible for project financing
14. Physical displacement from traditional or customary lands?				
15. Commercial development of natural resources (such as minerals, hydrocarbons, forests, water, hunting or fishing grounds) within customary lands under use that would impact the livelihoods or the cultural, ceremonial, spiritual uses that define the identity and community of Indigenous Peoples?				
16. Establishing legal recognition of rights to lands and territories that are traditionally owned or customarily used, occupied or claimed by indigenous peoples?				
17. Acquisition of lands that are traditionally owned or customarily used, occupied or claimed by indigenous peoples?				

D. Indigenous People Impact

2. After reviewing the answers above, project management unit/subproject coordination unit safeguard manager/officer confirms that the proposed subsection/ section/ subproject/component (tick as appropriate):

- Has significant indigenous people impact, the subproject is ineligible for project financing
- Has limited indigenous people impact, an indigenous people plan (or specific indigenous people action plan) is required
- Has No indigenous people impact, no indigenous people plan/specific action plan is required.

Prepared By:	Verified by:
Signature:	Signature:
Name:	Name:
Position:	Position:
Date:	Date:

OUTLINE OF AN INDIGENOUS PEOPLES PLAN

1. This outline is part of the Safeguard Requirements 3. An indigenous peoples plan (IPP) is required for all projects with impacts on indigenous peoples. Its level of detail and comprehensiveness is commensurate with the significance of potential impacts on indigenous peoples. The substantive aspects of this outline will guide the preparation of IPPs, although not necessarily in the order shown.

A. Executive Summary of the IPP

2. This section concisely describes the critical facts, significant findings, and recommended actions.

B. Description of the Project

3. This section provides a general description of the project; discusses project components and activities that may bring impacts on indigenous peoples; and identify project area.

C. Social Impact Assessment

4. This section:

- (i) reviews the legal and institutional framework applicable to indigenous peoples in project context.
- (ii) provides baseline information on the demographic, social, cultural, and political characteristics of the affected indigenous peoples communities; the land and territories that they have traditionally owned or customarily used or occupied; and the natural resources on which they depend.
- (iii) identifies key project stakeholders and elaborate a culturally appropriate and gender-sensitive process for meaningful consultation with indigenous peoples at each stage of project preparation and implementation, taking the review and baseline information into account.
- (iv) assesses, based on meaningful consultation with the affected indigenous peoples communities, the potential adverse and positive effects of the project.
- (v) Critical to the determination of potential adverse impacts is a gender-sensitive analysis of the relative vulnerability of, and risks to, the affected indigenous peoples communities given their particular circumstances and close ties to land and natural resources, as well as their lack of access to opportunities relative to those available to other social groups in the communities, regions, or national societies in which they live.
- (vi) includes a gender-sensitive assessment of the affected indigenous peoples' perceptions about the project and its impact on their social, economic, and cultural status
- (vii) identifies and recommends, based on meaningful consultation with the affected indigenous peoples communities, the measures necessary to avoid adverse effects or, if such measures are not possible,
- (viii) identifies measures to minimize, mitigate, and/or compensate for such effects and to ensure that the indigenous peoples receive culturally appropriate benefits under the project.

D. Information Disclosure, Consultation and Participation

5. This section:

- (i) describes the information disclosure, consultation and participation process with the affected Indigenous Peoples communities that was carried out during project preparation;
- (ii) summarizes their comments on the results of the social impact assessment and identifies concerns raised during consultation and how these have been addressed in project design;
- (iii) in the case of project activities requiring broad community support, documents the process and outcome of consultations with affected Indigenous Peoples communities and any agreement resulting from such consultations for the project activities and safeguard measures addressing the impacts of such activities;
- (iv) describes consultation and participation mechanisms to be used during implementation to ensure indigenous peoples participation during implementation; and
- (v) confirms disclosure of the draft and final IPP to the affected indigenous peoples communities.

E. Beneficial Measures

6. This section specifies the measures to ensure that the indigenous peoples receive social and economic benefits that are culturally appropriate, and gender responsive.

F. Mitigating Measures

7. This section specifies the measures to avoid adverse impacts on indigenous peoples; and where the avoidance is impossible, specifies the measures to minimize mitigate and compensate for identified unavoidable adverse impacts for each affected indigenous peoples groups.

G. Capacity Building

8. This section provides measures to strengthen the social, legal, and technical capabilities of (i) government institutions to address indigenous peoples issues in the project area; and (ii) indigenous peoples organizations in the project area to enable them to represent the affected indigenous peoples more effectively.

H. Grievance Redress Mechanism

9. This section describes the procedures to redress grievances by affected indigenous peoples communities. It also explains how the procedures are accessible to indigenous peoples and culturally appropriate and gender sensitive.

I. Monitoring, Reporting and Evaluation

10. This section describes the mechanisms and benchmarks appropriate to the project for monitoring, and evaluating the implementation of the IPP. It also specifies arrangements for participation of affected indigenous peoples in the preparation and validation of monitoring, and evaluation reports

J. Institutional Arrangement

11. This section describes institutional arrangement responsibilities and mechanisms for carrying out the various measures of the IPP. It also describes the process of including relevant local organizations and nongovernment organizations in carrying out the measures of the IPP.

K. Budget and Financing

12. This section provides an itemized budget for all activities described in the IPP.

GRIEVANCE INFORMATION FORM
PURANEGUMA – LOCAL GOVERNMENT ENHANCEMENT SECTOR PROJECT (LGESP)

Subproject: Local Authority: District:
 Province:.....

Date: (yyyy/mm/dd) Place of Registration: Registration
 No.: ...

Contact details of the complainant

Name: Age: Gender:

Address:

Phone No. Email Address:

Location related to the complaint / issue

Village/Town: Grama Niladhari Division:
 DS Division District:

Category of complainant

- Affected person
- Mediator for affected person
- Civil organization / Service Organization
- Indigenous Peoples
- Other (specify)

Summary of grievance:

.....

(Attach letter or a petition/documents as submitted)

Sl. No.	Category	Tick	Sl. No.	Category	Tick
1	Damage to Property		8	Safety Issues	
2	Damage to Crop		9	Problems during Material Transport	
3	Block access roads		10	Impact on Indigenous People	
4	Land acquisitions		11	Noise	
5	Blasting		12	Vibration	
6	Water quality & quantity		13	Soil Erosion	
7	Dust		14	Smell	
15	Others (Specify) -				

Source of complaint: (To be ticked):

<input type="checkbox"/>	Letter	<input type="checkbox"/>	Telephone	<input type="checkbox"/>	Fax	<input type="checkbox"/>	Email	<input type="checkbox"/>	Verbal	<input type="checkbox"/>	Complaint box	<input type="checkbox"/>	Other (specify)
--------------------------	--------	--------------------------	-----------	--------------------------	-----	--------------------------	-------	--------------------------	--------	--------------------------	---------------	--------------------------	--------------------

Attachments:

- 1) _____
- 2) _____
- 3) _____

Prepared by:.....

Date: (dd/mm/yyyy)

Disclosure Results

Subproject: Local Authority: District:
..... Province:

Result of Grievance Redressal

1. Registration No.
2. Name of Complainant:
3. Date of Complaint:
4. Summary of the Complaint:
5. Summary of Resolution:
6. Resolved at First Tier/Second Tier/Third Tier (Use appropriately)
7. Date of Redressal of the Grievance: *(dd- mm – yyyy)*

Signature of the Complainant in acceptance of the Solution to his /her Grievance _____

Name: _____

National ID number: _____

Signature of Social safeguards and Gender manager/SPCU: _____

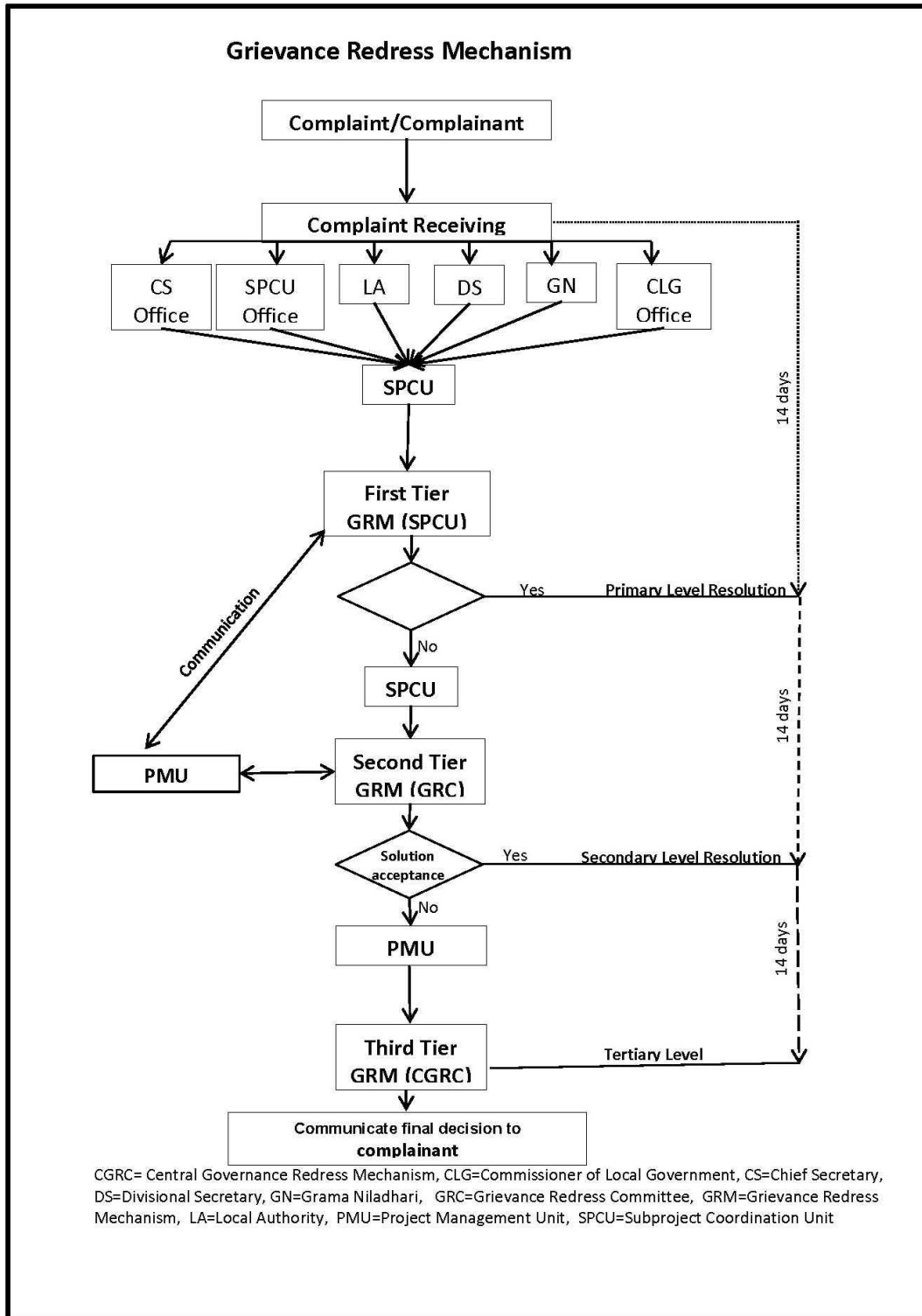
Name: _____

Place (SPCU): _____

Date: *(dd –mm – yyyy)*

(Note: copies to be sent to complainant and PMU)

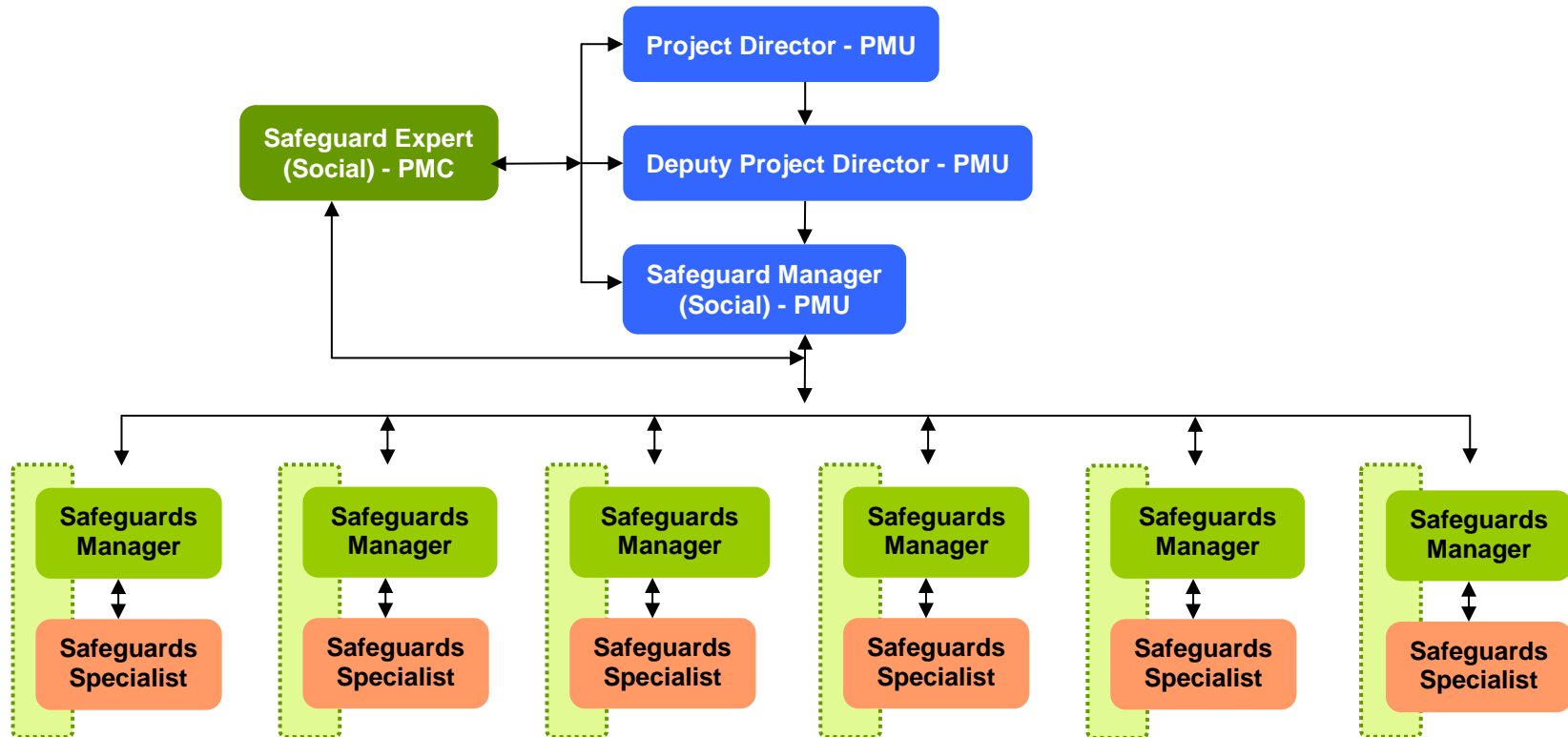
GRIEVANCE REDRESS MECHANISM CHART



INSTITUTIONAL FRAMEWORK OF MONITORING

Local Government Enhancement Sector Project

Monitoring Framework – Social Safeguards



TERMS OF REFERENCE FOR COMMUNITY ORGANIZERS/COMMUNITY-BASED ORGANIZATIONS IN PREPARATION, IMPLEMENTATION AND MONITORING OF INDIGENOUS PEOPLES PLAN

A. Background

1. Local government Infrastructure Improvement Project (LGESP) which has commenced its implementation from November 2011 is being planned to extend to further the interventions in local authorities on improving service delivery through provision of priority infrastructure and building the capacity of these authorities in urban management/local governance.

2. The additional financing component of the project which originally supported infrastructure improvement and capacity building in 108 *Pradeshiya Sabhas* across seven provinces of Sri Lanka (except North and Eastern province) would now additionally cover:

- (i) Implementation of water supply schemes to provide safe drinking water for areas affected by chronic kidney diseases in provinces of Central, North Central, North Western and UVA Provinces.
- (ii) Covering additional 29 local authorities (*Pradeshiya Sabhas*) in the project for provision of priority infrastructure and capacity building
- (iii) Capacity building of the project local authorities, local government staff of provincial councils and the authorities of Ministry of Provincial Councils and Local Government.

3. The project proposes to prepare an Indigenous Peoples Plan (IPP) for the affected indigenous peoples in _____ local authority (*insert name of local authority which is implementing the project*) which is implementing _____ (*insert the name of the subproject*) under the project.

B. Scope of Work

4. The scope of work is but not limited to the following:

- (i) Review the initial screening check list and confirm the details of the indigenous people;
- (ii) Assist the subproject coordination unit (SPCU) in preparation of indigenous peoples plan (IPP);
- (iii) Assist in translation of IPP to the local language;
- (iv) Assist the SPCU in all consultation process with the indigenous peoples
- (v) Identify their problems, impacts of development interventions, discuss with the representatives of the group and advise SPCU on mitigation and compensation measures to impacts of the subproject;
- (vi) Assist in SPCUs in consultations with the indigenous peoples;
- (vii) Report on grievances (if any) and assist SPCU in solving them;
- (viii) Assist SPCU in implementing the IPP;
- (ix) Assist in preparation of resettlement plan (if any) in respect of the resettlement framework;
- (x) Prepare progress reports regularly on progress on implementation; and
- (xi) Any other work as required for implementation of IPP.

C. Deliverables

- (i) **Status Report:** to include
 - Demographic, Socio-Economic Survey report of the Indigenous People affected
 - Impact Report on subproject implementation on Indigenous People

- (ii) **Indigenous Peoples Plan:** to include
 - Baseline data,
 - Land tenure information,
 - Local participation,
 - Technical identification of development or mitigation activities,
 - Institutional arrangement,
 - Implementation schedule,
 - Monitoring and evaluation, and
 - Cost estimate and financing plan.

- (iii) **Translations of the IPP in local language**

- (iv) **Progress Report on indicators of IPP (Quarterly)**