

Indigenous Peoples Planning Framework

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CURRENCY EQUIVALENTS

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Currency unit	–	Indian Rupees (₹)
₹1.00	=	\$0.01562
\$1.00	=	₹64.04000

ABBREVIATIONS

ADB	-	Asian Development Bank
BRT	-	bus rapid transit
CDTA	-	capacity development technical assistance
DSC	-	design and supervision consultant
GDD	-	Guwahati Development Department
GRC	-	grievance redress committee
IPPF	-	indigenous peoples planning framework
IPPs	-	indigenous peoples plans
JICA	-	Japan International Cooperation Agency
JNNURM	-	Jawaharlal Nehru National Urban Renewal Mission
MFF	-	multitranches financing facility
NGO	-	nongovernment organization
PIU	-	project implementation unit
PMU	-	project management unit
SIA	-	social impact assessment
SPS	-	Safeguard Policy Statement

WEIGHTS AND MEASURES

dB	-	decibel
ha	-	hectare
km	-	kilometer
km ²	-	square kilometer
l	-	liter
m	-	meter
m ²	-	square meter
m ³	-	cubic meter
MT	-	metric tons
MTD	-	metric tons per day

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I. INTRODUCTION

1. The Assam Urban Infrastructure Investment Program is a key urban infrastructure initiative of the Government of Assam. The impact of the investment program will be an improved access to water supply, sanitation,¹ and urban infrastructure facilities² by urban population in Guwahati and Dibrugarh. The expected outcome will be improved and sustainable water supply, sanitation, and urban transport system in Guwahati and Dibrugarh. The project uses a multitranche financing facility (MFF) modality and, in accordance with ADB's Safeguard Policy Statement (SPS, 2009), all MFF programs require the preparation of an indigenous peoples planning framework.³

2. As this is an urban investment program within urban areas, impacts on indigenous people are not anticipated. However, the indigenous peoples planning framework (IPPF) aims to provide guidance on any impacts to indigenous people that may arise during implementation and guide impact screening, assessment, institutional arrangements, and processes to be followed for subprojects, where design takes place after Board approval. Tranche 1 of the MFF was classified as category C for indigenous people, as no impacts are anticipated.⁴ The same would be anticipated for tranche 2, as most facilities will be located within urban areas, where indigenous people are characterized as primarily rural migrants living outside their ancestral territories and maintaining modern livelihoods. The resettlement framework includes additional entitlements for vulnerable persons, including scheduled tribes, namely: (i) additional one-time lump sum assistance of ₹10,000 per vulnerable household, and (ii) priority in employment as labor in the project construction activities.

3. The major outputs of the project include: (i) for Guwahati, improved water supply and sanitation, and (ii) for Dibrugarh, improved drainage resulting in the reduction of economic losses due to flooding, and comprehensive solid waste management. The MFF was designed support the Government of India's 11th Five-Year Plan (April 2007–March 2012), which recognized infrastructure bottlenecks and lack of long-term funds for infrastructure investment as the binding constraint for achieving its goals.

4. This IPPF has been formulated to guide the preparation of subproject indigenous peoples plans (IPPs) for this and subsequent phases during loan implementation, if required. In India, scheduled tribes are recognized as the populations to which ADB SPS, 2009 applies. The IPPF has been updated to include the provisions of the Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act (RFCTLARRA,2013).

5. The executing agency endorsed the IPPF. The implementing agency will be responsible for conducting the social assessment and formulating IPPs for subsequent tranches, if needed, as per procedure outlined in this IPPF. The draft IPPs will be formulated in consultation with affected tribal communities.

¹ The project will also contribute to achieving Sustainable Development Goal, Target 6 and 11.

² Solid waste management (SWM) and drainage infrastructure improvement.

³ The preparation of safeguard frameworks aims to clarify safeguard principles and requirements governing screening and categorization, social assessment, and preparation and implementation of resettlement plans of subprojects prepared after MFF approval.

⁴ A total of seven scheduled tribe households were identified as affected under the Dibrugarh solid waste management subproject under tranche 1. The affected scheduled tribes are non-titled households cultivating portions of private land for subsistence agriculture. They are rural migrants and are tea workers on local plantations. There are no impacts to their ancestral way of life or lands. Additional assistance will be provided to them under the resettlement plan.

6. **Scope of indigenous people impacts.** This is an urban development project to improve basic service delivery within the two biggest cities of Assam. Limited impacts to indigenous people under the proposed MFF are envisioned, as the project will develop infrastructure in urban areas and their outskirts where indigenous people, if present, do not maintain social and cultural identities unique from the general population, which would make them distinctly vulnerable from other poor or vulnerable groups. The project will have positive (and equal) impacts on the beneficiary population.

7. However, in the event that scheduled tribes are found in future subproject locations and would experience impacts (e.g., land acquisition of ancestral or customary lands), this IPPF will guide the screening and preparation of the necessary IPPs which aim to address any relevant development issues, taking into consideration the marginal and vulnerable status of affected tribal communities.

II. OBJECTIVES AND POLICY FRAMEWORK

8. The IPPF seeks to ensure that indigenous people and tribal communities are informed, consulted, and mobilized to participate in the subproject preparation. The IPPF is intended to guide selection and preparation of additional subprojects under this MFF, where impacts on tribal people are identified to ensure better distribution of project benefits and promote development of the indigenous peoples in the project areas. The framework is prepared in accordance with national laws and policy, as well as ADB's procedures for MFF as presented in ADB SPS, 2009.

A. Legal Framework in India

9. Article 366 refers to scheduled tribes as those communities who are scheduled in accordance with Article 342 of the Constitution. According to this article, scheduled tribes are the tribes or tribal communities, or groups within these tribes and tribal communities, which have been declared as such by the President through a public notification. Identification of tribes is a state subject.

10. Recognizing the special needs of the scheduled tribes, the Constitution of India made certain special safeguards to protect these communities from all possible exploitation. While Article 14 confers equal rights and opportunities on all, Article 15 prohibits discrimination against any citizen on the grounds of sex, religion, race, caste, etc., Article 15 (4) enjoins the state to make special provisions for the advancement of any socially and educationally backward classes. Article 16 (4) empowers the state to make provisions for reservation in appointments or posts in favor of any backward class of citizens, which in the opinion of the state is not adequately represented in services under the state. Article 46 enjoins the state to promote with special care the educational and economic interests of the weaker sectors of the people and, in particular, the scheduled tribes, and promises to protect them from social injustice and all forms of exploitation. Further, while Article 275 (1) promises aid for promoting the welfare of scheduled tribes and for raising the level of administration of the scheduled areas, Articles 330, 332, and 335 stipulate the reservation of seats for scheduled tribes in the *Lok Sabha*, in the State Legislative Assemblies, and in services. Finally, the Constitution also empowers the state to appoint a commission to investigate the conditions of the socially and educationally backward classes (Article 340), and to specify those tribes or tribal communities deemed as scheduled tribes (Article 342). The constitutional commitment prompted the policymakers and the planners to accord high priority to

the welfare and development of scheduled tribes from the beginning of the country's developmental planning.

11. The Government of India recognizes and seeks to protect the rights of scheduled tribes, principally through the following Acts/policies:

- (i) the Scheduled Tribes and other Traditional Forest Dwellers (Recognition of Forest Rights (RoFR) Act, 2006 and the Rules, which came into force from 1 January, 2008. The Act recognizes and records the rights of forest dwellers who have been residing and depending on the forest for generations for their Bonafide livelihood needs, without any recorded rights. The act (RoFR 2006), is triggered if projects impact Scheduled Tribes and other forest dwellers⁵ who are defined as those who primarily reside in forest, depend on forest land for livelihood, be a member of scheduled tribe scheduled in the area or residing in forest for 75 years. The gram sabha (village community) is the authority to initiate the process for determining the extent of individual or community forest rights that may be given to the forest dwelling scheduled tribes and other traditional forest dwellers within the local limits of its jurisdiction under this act. Any persons aggrieved by the resolution of the gram sabha may prefer a petition to the sub-divisional level committee which shall consider and dispose of such petitions provided that every such petition shall be preferred within sixty days from the date of passing of the resolution by the Gram Sabha. The Act provides that no petition shall be disposed of against the aggrieved person, unless s/he has been given a reasonable opportunity to present his/her case;
 - (ii) the Scheduled Castes and the Scheduled Tribes (Prevention of Atrocities) Act, 1989, which protects SC/ST from (a) wrongful occupation or cultivation of any land owned by them or allotted to them or lands notified by any competent authority to be allotted to, a member of a Scheduled Caste or a Scheduled Tribe and transfer of land allotted to SC/ST; (b) wrongful dispossession of a member of a Scheduled Caste or a Scheduled Tribe from his land or premises or interference with the enjoyment of his rights over any land, premises or water; and (c) from any forceful removal/causing of a Scheduled Caste or a Scheduled Tribe to leave his house, village or other place of residence;
 - (iii) the Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act (RFCTLARRA), 2013 has special provisions for additional benefits to Scheduled caste and scheduled tribe families under Section 41, Subsections 1-11, and Section 42, subsections 1-3. Notably, it provides for (a) free land for community and social gatherings; (b) in case of displacement, a Development Plan is to be prepared; and (c) continuation of reservation and other Schedule V and Schedule VI area benefits from displaced area to resettlement area. Appendix 3 presents all relevant clauses of the RFCTLARRA 2013 for scheduled tribes. The Act meets ADB indigenous peoples policy requirement of broad community consent and of ensuring that development interventions that affect indigenous peoples should ensure that they have opportunities to participate in and benefit equitably from the interventions; and
 - (iv) **Draft National Policy on Scheduled Tribes.** The Ministry of Tribal Affairs, Government of India has drafted a National Policy on Scheduled Tribes to bring such tribes into mainstream society through a multi-pronged approach for their all-round development without affecting their distinct culture. The policy aims to bring the
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benefits of economic development to tribal areas without eroding their traditional culture and identity. It also stipulates that displacement of tribal people should be kept to a minimum and undertaken only after possibilities of non-displacement and least displacement have been exhausted. When displacement becomes inevitable, each scheduled tribe family having land in the earlier settlement will be given land for land. To handle the problem of shifting cultivation, land tenure system is proposed giving tribals the right to land ownership so that they invest their energy and resources in checking soil erosion and fertility. The policy seeks to tackle tribal land alienation by stipulating that: (i) Tribals have access to village land records; (ii) Land records be displayed at the Panchayat; (iii) Oral evidence be considered in the absence of records in the disposal of tribal land disputes; (iv) States prohibit transfer of lands from tribals to non-tribals; and (v) Tribals and their representatives are associated with land surveys.

B. ADB Safeguards Policy Statement, 2009

12. ADB policy on safeguards requirement for indigenous peoples recognizes the right of indigenous people to direct the course of their own development. Indigenous people are defined in different countries in various ways. For operational purposes, the term "indigenous people" is used to refer to a distinct, vulnerable social and cultural group with the following characteristics:

- (i) self-identification as members of a distinct indigenous cultural group and recognition of this community by others;
- (ii) collective attachment to geographically distinct habitats or ancestral territories in the project area and to the natural resources in the habitats;
- (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.

13. The objective of ADB SPS on indigenous peoples is to design and implement projects in a way that fosters full respect for indigenous peoples' identity, dignity, human rights, livelihood systems, and cultural uniqueness as defined by the indigenous peoples themselves, so that they: (i) receive culturally appropriate social and economic benefits; (ii) do not suffer adverse impacts as a result of projects; and (iii) can participate actively in projects that affect them.

14. ADB's indigenous people safeguards are triggered if a project directly or indirectly affects the dignity, human rights, livelihood systems, or culture of indigenous people, or affects the territories or natural or cultural resources that indigenous people own, use, occupy, or claim as an ancestral domain or asset.

15. Taken together, the national laws and policies on scheduled tribes will establish near equivalence of the government's policies with those of ADB SPS. They must ensure that program activities in general, and the physical works in particular, do not adversely affect indigenous peoples, and that the indigenous people receive culturally compatible, social, and economic benefits.

1. Comparison of Applicable Government and ADB Policies and Gap-filling Measures

16. Major indigenous people policies applicable to the investment program include: Panchayats (Extension to Scheduled Areas) Act (PESA), 2006; RFCTLARR Act 2013 and ADB SPS 2009. A comparison of these policies and identification of gaps is undertaken. A summary of the analysis is presented below.

17. PESA, 2006 does not deal with resettlement issues; it extends applicability of the PESA Act to scheduled areas in the country and bestows powers to *Gram Sabhas* and *panchayats* in such areas to have control, authority, decision-making and/or monitoring powers over all development projects in such areas, powers to prevent land alienation and restore unlawful alienated lands of scheduled tribes. It does not specify any requirement for early screening, social impact assessment (SIA), preparation of TDP/IPP, capacity development for meaningful participation, disclosure etc., and does not have any safeguards and/or provisions related to commercial development projects in such areas or sharing of benefits between affected persons. PESA is applicable only to the Fifth Schedule Areas notified under article 244(1) of the Constitution. At present, Fifth Schedule Areas exist in 10 States viz. Andhra Pradesh, Chhattisgarh, Gujarat, Himachal Pradesh, Jharkhand, Madhya Pradesh, Maharashtra, Odisha, Rajasthan and Telangana. Therefore, the project falls outside of the remit of this Act.

18. The RFCTLARRA, 2013 has special provisions for scheduled caste and scheduled tribe families affected by land acquisition and/ or resettlement impacts.

19. It is evident that national laws and policies aim at protecting tribals from land alienation, mainstreaming them in the development process and ensuring their inclusion in the country's development. There is no single document that comprehensively addresses all types of indigenous people impacts, large or small, positive or negative.

20. ADB SPS provides a comprehensive framework for identification of indigenous people impacts and ensuring that indigenous peoples benefit from the proposed project; it delineates the consultation and disclosure process to be followed in preparation of IPPs, with defined timelines and budgets, and their implementation and provides for monitoring of IPP implementation to ensure that IPP objectives and outcomes are achieved. It also provides for capacity building of government and indigenous peoples to enable effective action and/or participation, accessible, culturally appropriate and gender sensitive grievance redress mechanisms (GRM) and monitoring process. Apart from land acquisition and displacement, it focuses on safeguards against commercial exploitation of indigenous peoples' resources and/or knowledge-base and culture. It appears that the Constitution of India and several acts ensure protection of Indigenous peoples or scheduled tribes, as defined by the Constitution, which is consistent with ADB policy; hence there is no need to bridge the gap between protection measures guaranteed under Indian laws and ADB's safeguard requirements. Objectives of the IPPF and the approach to IPP preparation will accommodate both Indian Constitution provisions, Acts and policies and ADB's safeguards policy on indigenous peoples. This IPPF combines the features of government and ADB policy to provide a safeguards framework to ensure that any subproject which will have positive or negative indigenous people impacts, i.e., impacts on scheduled tribes as a distinct community (regardless of scale or number of persons affected) will be consistent with the needs and aspirations of affected indigenous peoples and compatible with affected indigenous peoples' culture, social and economic institutions. The IPPF recognizes the vulnerability of indigenous peoples and specifically ensures that any project intervention, whether positive or adverse, will be addressed by the executing/implementing

agencies. Moreover, the executing/implementing agencies will ensure that affected indigenous peoples have opportunities to participate in and benefit equally from such project interventions.

21. The IPPF will address the developmental needs of scheduled tribes as a distinct community through a process of sustainable development. It sets out the policy, principles, and implementation mechanisms to address impacts if any, which is consistent with the policy of the government and ADB, to guide future subproject implementation. The IPPF is also expected to aid future site identification and/ or selection for infrastructure development. If indigenous peoples are identified during project identification and surveys, the impacts (both positive and negative) of the subproject component on affected groups or community will be addressed as per the IPPF. In case significant impacts on indigenous peoples are identified, this IPPF will be applied during subproject preparation and an IPP will be prepared in accordance with requirements for future tranches and ADB's policy as defined in ADB SPS (2009).

C. Indigenous Peoples Safeguards Principles for the Project

22. Following the state laws and regulation on indigenous people and incorporating ADB SPS, the following principles are adopted for this project:

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

- (v) Avoid, to the maximum extent possible, any restricted access to and physical displacement from protected areas and natural resources. Where avoidance is not possible, ensure that the affected indigenous people communities participate in the design, implementation, and monitoring and evaluation of management arrangements for such areas and natural resources, and that their benefits are equitably shared;
- (vi) Prepare an IPP that is based on the social impact assessment with the assistance of qualified and experienced experts, and that draw on indigenous knowledge and participation by the affected indigenous people communities. The IPP: (a) includes a framework for continued consultation with the affected indigenous people communities during project implementation; (b) specifies measures to ensure that indigenous people receive culturally appropriate benefits; (c) identifies measures to avoid, minimize, mitigate, or compensate for any adverse project impacts; and (d) includes culturally appropriate grievance procedures, monitoring and evaluation arrangements, and budget- and timebound actions for implementing the planned measures;
- (vii) Disclose a draft IPP, including documentation of the consultation process and the results of the social impact assessment in a timely manner, before project appraisal, in an accessible place and in a form and languages understandable to affected indigenous people communities and other stakeholders. The final IPP and its updates will also be disclosed to the affected indigenous peoples communities and other stakeholders;
- (viii) Prepare an action plan for legal recognition of customary rights to lands and territories or ancestral domains when the project involves: (a) activities that are contingent on establishing legally recognized rights to lands and territories that indigenous people have traditionally owned or customarily used or occupied; or (b) involuntary acquisition of such lands; and
- (ix) Monitor implementation of the IPP using qualified and experienced experts; adopt a participatory monitoring approach, wherever possible; and assess whether the IPP's objective and desired outcome have been achieved, taking into account the baseline conditions and the results of IPP monitoring. Disclose monitoring reports.

D. Screening Criteria

23. The project implementation unit (PIU) and design supervision consultants (DSC) responsible for subproject preparation and implementation will visit all tribal settlements (if any) near the subproject areas, or which are likely to be affected and influenced by the subproject components. Public meetings will be arranged in selected communities by the PIU and DSC with the tribal communities and their leaders, to provide them information about the subproject and solicit their views on the subproject.

24. During this visit, the DSC and the resettlement officer of the PIU will undertake a screening of the tribal communities with the help of the community leaders and local authorities. The screening will cover the following aspects:

- (i) names of tribal community groups in the area;
- (ii) total number of tribal community groups in the area;
- (iii) percentage of tribal community population in relation to total area/locality population; and
- (iv) number and percentage of tribal community households along the zone of influence of the proposed subproject.

25. If the results of the screening bring forth the presence of tribal community households in the zone of influence of the proposed subproject, a social impact assessment will be planned for those areas.

III. IDENTIFICATION OF AFFECTED INDIGENOUS AND TRIBAL PEOPLES

26. As per ADB's SPS, the term "indigenous people" is used in a generic sense to refer to distinct, vulnerable social and cultural groups possessing the following characteristics in varying degrees: (i) self-identification as members of a distinct indigenous cultural group and recognition of its 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 separate from those of the dominant society and culture; and (iv) four distinct languages, often different from the official language of the country or the region. Essentially indigenous people have a social and cultural identity distinct from mainstream society that makes them vulnerable to being overlooked in development processes.

27. The above characteristics of indigenous people are consistent with the definition of "tribes" found in the Indian Constitution and laws. The President of India under Article 342 of the Constitution uses the following characteristics to define indigenous peoples (scheduled tribes), (i) tribes' primitive traits; (ii) distinctive culture; (iii) shyness with the public at large; (iv) geographical isolation; and (v) social and economic backwardness, for classifying them as a scheduled tribe. The Constitution specifically recognizes most vulnerable tribes as "scheduled tribes."

28. In the autonomous districts of Assam the notified scheduled tribes include: (i) Chakma; (ii) Dimasa, Kachari; (iii) Garo; (iv) Hajong; (v) Hmar; (vi) Khasi, Jaintia, Synteng, Pnar, War, Bhoi, Lyngngam; (vii) Any Kuki tribe (including sub-sets); (viii) Lakher; (ix) Man (Tai speaking); (x) Any Mizo (Lushai) tribe; (xi) Karbi; (xii) Any Naga tribe; (xiii) Pawl; (ivx) Syntheng; and (xv) Lalung. Outside of the autonomous areas the notified scheduled tribes are: (i) Barmans in Cachar; (ii) Boro, Borokachari; (iii) Deori; (iv) Hojai; (v) Kachari, Sonwa; (vi) Lalung; (vii) Mech; (viii) Miri; (ix) Rabha; (x) Dimasa; (xi) Hajong; (xii) Singhpho; (xiii) Khampti; and (ivx) Garo. As mentioned in the previous section, recognition as a "scheduled tribe" confers entitlements on affirmative action programs, including reserved seats in legislatures, various subsidies, and separate educational facilities. However, the majority of tribal communities continue to remain vulnerable even today in comparison to mainstream society. The same is reflected in the socioeconomic conditions and problems they often encounter, such as land alienation, indebtedness, and deprivation of forest rights, all of which are further compounded by low literacy, high drop-out rates, and the prevalence of poverty.

A. Need and Objectives of an Indigenous Peoples Plan

29. The need to formulate an IPP will be established if the subprojects to be funded under the project are screened as category A and category B projects.⁶ The indigenous people category is determined by assessing (i) magnitude of impact in terms of (a) customary rights of use and

⁶ As per the ADB's F1/OP, screening process categorizes projects by the significance of their impacts on indigenous people. It is recommended that: (i) for category A projects, impacts should be significant enough to require IPP and/or indigenous people development framework (IPDF); (ii) for category B projects, impacts are limited that require IPP; and (iii) for category C projects, there are no impacts on indigenous peoples that require a special provision for them.

access to land and natural resource; (b) socioeconomic status; (c) cultural and communal integrity; (d) health, education, livelihood, and social security status; or (e) recognition of indigenous knowledge; and (ii) the level of vulnerability of the affected indigenous peoples community.

30. An IPP addresses the aspirations, needs, and preferred options of the affected indigenous peoples, taking into consideration the marginalized status of such communities and offering them development options while respecting their sociocultural distinctiveness. The IPP aims to strengthen the existing capacity of the affected indigenous people community to participate and benefit from project interventions. An IPP includes the following key elements: (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 should be assessed, and appropriate mitigation measures identified; (iii) the 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 organizations, 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 organizations, nongovernment organizations (NGOs), and consultants will be hired to prepare IPP; (vii) a responsible agency will formulate IPP implementation schedule, which will be periodically monitored by the project management units (PMUs) safeguard compliance and monitoring officer as well as an independent or external monitoring agency; and (viii) the responsible agency will also prepare a budget for IPP implementation and a financing plan to ensure smooth progress.

31. The IPP will consist of a number of activities, and will include mitigation measures of potentially negative impacts, modification of program design, and development assistance. Where there is land acquisition in indigenous people communities, the program will ensure that 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.⁷ 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.

B. Potential Positive and Adverse Effects on Indigenous Peoples

32. The subprojects will have environmental and public health benefits to the population, both scheduled tribes and non-scheduled tribes. Potential negative impacts on affected persons are either permanent, related to land acquisition, or temporary, related to construction impacts. Permanent negative impacts, if any, will be addressed through resettlement plans which include

⁷ Compensation will be consistent with the resettlement framework for the program.

specific entitlements for vulnerable persons including indigenous peoples. Consistent with the Draft National Policy on Scheduled Tribes, displacement of tribal people should be kept to a minimum and undertaken only after possibilities of non-displacement and least displacement have been exhausted. Where displacement is inevitable, the preferred compensation for each scheduled tribe family having land in the earlier settlement will be land for land. This is also consistent with ADB's SPS. This is reflected in the entitlement matrix of the resettlement framework. Subproject design also prioritizes rehabilitation over new construction of infrastructure, avoiding land acquisition and consequent resettlement, and subproject siting in built-up areas. If significant impacts to indigenous peoples not related to land acquisition are identified during design of future tranches, the IPPF will require the formulation of an IPP.

33. The IPPF seeks to ensure that indigenous peoples are informed, consulted, and mobilized to participate in the subprojects (during Indigenous Peoples Plan (IPP) preparation and subproject implementation). Their participation can either provide them benefits with more certainty, or protect them from any potential adverse impacts of subproject.

IV. SOCIAL IMPACT ASSESSMENT AND IPP FOR SUBPROJECTS

34. This framework seeks to ensure that indigenous people are informed, consulted, and mobilized to participate in the additional subprojects. Their participation can either provide benefits with more certainty or protect them from any potential adverse impacts of the additional subproject. The main features of the IPP will be a preliminary screening process, a social impact assessment to determine the degree and nature of impact of each additional project, and an action plan developed if needed. Meaningful consultations with and participation of indigenous people communities, their leaders, and local government representatives will be an integral part of the overall IPP. Appendix 1 provides the outline to be followed when preparing an IPP as per ADB's SPS Annex to Appendix 3.

35. The DSC will undertake a social impact assessment (SIA). The SIA will gather relevant information on demographic data: (i) social, cultural and economic situation; and (ii) social, cultural, and economic impacts, both positive and negative, on the tribal communities in the subproject area. SIAs need to be undertaken in a gender-sensitive manner, in consultation with indigenous people communities. Potential impacts on indigenous people communities need to be identified through a field-based SIA, which will be conducted either as part of a feasibility study or as a stand-alone activity. Key elements of SIA include (i) a baseline socio-economic profile of indigenous groups in the subproject area and influence zone of the subproject; (ii) assessment of the existing levels of access to opportunities, economic activities and services, and basic services; and (iii) identification of potential positive and negative, direct and indirect, short- and long-term impacts on indigenous people communities' social, cultural and economic status, in consultation with them and in a gender-sensitive manner. The level of detail in an SIA will depend on the complexity of the proposed subproject and the nature and/or scale of impacts on indigenous peoples.

36. Information will be gathered from separate group meetings within the tribal community, including tribal leaders and groups of tribal men and women, especially those who live in the zone of influence of the proposed subproject. Discussions will focus on the positive and negative impacts of the subproject, as well as recommendations on the design of the subproject. The DSC will be responsible for analyzing the SIA, and based on it, developing an action plan with the tribal community leaders. If the SIA indicates that the potential impact of the proposed subproject will be significantly adverse—threatening the cultural practices and indigenous peoples sources of

livelihood—or that the indigenous people community rejects the subproject works, the PMU/PIU will consider other design options to minimize such adverse impacts. If indigenous people communities support the subproject, an IPP will be formulated.

37. Subprojects will be screened for indigenous people impacts in accordance with ADB categorization, classifying subprojects by the significance of their impacts on indigenous peoples.

- (i) **Category ‘A’ Projects:** A proposed project is classified A if it is likely to have significant impacts on Indigenous Peoples.⁸ An Indigenous Peoples Plan, including assessment for social impacts, is required.
- (ii) **Category ‘B’ Projects:** A proposed project is classified as category B if it is likely to have limited impacts on Indigenous Peoples. An IPP, including assessment of social impacts, is required.
- (iii) **Category ‘C’ Projects:** A proposed project is classified C if it is not expected to have impacts on Indigenous Peoples. No further action is required.
- (iv) **Category ‘FI’ Projects:** A proposed project is classified as category FI if it involves the investment of ADB funds to, or through, a financial intermediary.

38. The main thrust of an IPP is to address any relevant development issues, taking into consideration the marginal and vulnerable status of affected tribal communities. All affected tribal households will be entitled to various compensation packages, and these compensation entitlements will be the same as those listed in the approved resettlement framework of the project. In addition, as tribal communities, they will have traditional land rights, and these will also be honored. The absence of land titles will not be a hindrance to receiving compensation and other assistance packages. As vulnerable groups, they will also be entitled to receive special assistance to restore and improve their income and livelihood.

39. The IPP will be developed in consultation with the community and the block/district tribal welfare officer. The IPP will comprise a number of activities and will include mitigation measures of potentially negative impacts, modification of subproject design (if required), and development assistance. Where there is land acquisition in indigenous people communities, the subproject will ensure that 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. The IPP will include:

- (i) a description of the subproject;
- (ii) baseline data and land tenure information;
- (iii) SIA;
- (iv) information disclosure, consultation and participation process, to ensure that indigenous peoples are aware of alternatives or options and their views recorded and incorporated in the IPP/subproject design;
- (v) identification of development enhancement (beneficial measures) or mitigation measures;
- (vi) institutional arrangements, including capacity building requirements;
- (vii) grievance redress mechanism;

⁸ Impacts on indigenous peoples will be considered significant if they positively or negatively (i) affect their customary rights of use and access to land and natural resources; (ii) 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 recognition of indigenous peoples. This will include additional assistance for indigenous peoples and enhancement of project benefits for indigenous peoples.

- (viii) monitoring, reporting, and evaluation; and
- (ix) cost estimate and financing plan.

40. The PMU will submit the IPP to ADB for review and approval prior to the selection of specific subprojects. The IPP measures must comply with ADB's SPS 2009.

A. Benefits and Mitigation Measures

41. The IPP will offer development options addressing community-based needs of indigenous peoples while respecting their socio-cultural distinctiveness. The IPP aims at strengthening the existing capacity of the affected tribal community to participate and benefit from subproject interventions. Where impacts on the general population and indigenous peoples are potentially positive, measures will be undertaken to ensure that benefits are equally shared among the general population and indigenous people households. This will be ensured through the participation of indigenous peoples as stakeholders during all stages of the subproject. Where impacts are potentially negative, 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.

42. Indigenous peoples are likely to have traditional land rights; these will be honored and the absence of land titles will not be a bar for receiving compensation and alternate land. Compensation entitlements for indigenous peoples will be the same as those listed in the agreed Resettlement Framework. The resettlement framework defines indigenous peoples as vulnerable people and/or households.

43. Indigenous peoples may be particularly vulnerable when subproject 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. The subproject selection criteria avoid impacts on indigenous peoples. However, if a subproject involves indigenous people impacts of the above nature, the PMU will seek the consent of affected indigenous peoples. Seeking broad community support is detailed in ADB's SPS.

44. If the impacts of the subprojects are not significant, the PMU could decide to prepare a specific action to address indigenous people issues without preparing an IPP. This decision will depend on the severity of impacts on indigenous peoples. 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.

V. CONSULTATION AND PARTICIPATION

45. Consultations will be undertaken to ensure that needs, priorities, and preferences of indigenous peoples are adequately dealt with. The strategy of IPP therefore would be to promote participation of the indigenous peoples, and initiating and identifying their need, priorities, and preferences through participatory approaches. Hence, consultations with and participation of

indigenous people communities, their leaders, urban local bodies (ULBs), line agencies, and PMU representatives will be an integral part of the overall IPP.

46. The affected indigenous people will be informed and consulted in preparing the IPP. Thorough consultation and broad community support will be sought prior to undertaking any project activities that affect indigenous communities (para. 22 iv). 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 their local language and made available to them before implementation, with the assistance of the NGO. The PIU 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 their cultural resources and knowledge; (ii) physical displacement from traditional or customary lands; and (iii) commercial development of natural resources within customary lands under use that would impact livelihoods or the cultural, ceremonial, or spiritual uses that define the identity and community of indigenous people. In deciding whether to proceed with a project involving such activities, the borrower/client will seek the consent of affected indigenous people communities.

VI. DISCLOSURE

47. Information will be disseminated to indigenous people at various stages. In the subproject initiation phase, the PIU will be responsible for issue of public notice to acquire particular land or property for subproject components, along with program information and details. The notice will be published twice in local newspapers, with a week's interval. The PIU, along with local revenue officials and officials from the district collector's office, will also conduct meetings in addition to the public notification to ensure that the information is given to all indigenous people.

48. The following documents will be endorsed by the Guwahati Development Department (GDD) and submitted to ADB for disclosure on ADB's website:

- (i) Draft IPP and/or IPPF, including SIA;
- (ii) The final IPP, on completion; and
- (iii) A new or updated IPP and a corrective action plan prepared during implementation, if any.

49. For the benefit of the community in general and indigenous people in particular, a summary of this IPPF and each IPP will be made available in local languages during public meetings at the community level, and will be disclosed in public places prior to project appraisal. This will enable stakeholders to provide inputs on the resettlement process, prior to award of civil work contract.

50. Each subproject IPP will be disclosed to the affected indigenous people communities by the implementing agency, detailing information including measurement of losses, detailed asset valuations, entitlements and special provisions, grievance procedures, timing of payments, and displacement schedule. This will be done through public consultation, and the IPP will be made available as brochures, leaflets, or booklets, using local languages.

51. Hard copies of the IPP in local tribal language will also be made available at: (i) offices of the PMU/PIU, (ii) the district magistrate's office, (iii) the block development officer's office, and (iv) any other local level public offices, as soon as the plans are available, and certainly before land

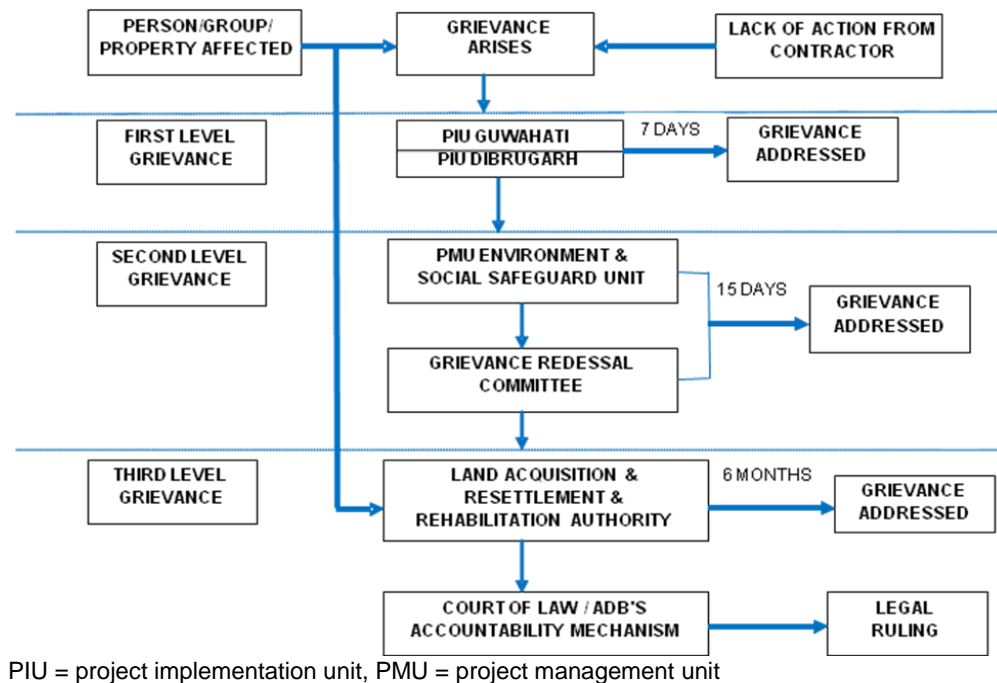
is acquired for the project. For non-literate people, other communication methods will be used. The report of this disclosure, giving detail of date and location, will be shared with ADB.

52. The basic information in the IPP entitlements for indigenous people and implementation arrangements will be presented in the form of a brochure that will be circulated among the indigenous people. Posters designed to disseminate basic tenets of the IPP will be distributed in different localities to generate mass awareness.

53. An electronic version of the framework as well as the IPPs will be on the official website of the PMU, state government, and PIU and on the official website of ADB after approval and endorsement of the IPPF and IPP by the PMU, PIU, and ADB.

VII. GRIEVANCE REDRESS MECHANISM

54. A project-specific grievance redress mechanism (GRM) has been established to receive, evaluate and facilitate the resolution of affected people's concerns, complaints and grievances about the social and environmental performance at the level of the Project. The GRM will aim to provide a time-bound and transparent mechanism to voice and resolve social and environmental concerns linked to the project. The grievance redress mechanism and procedure is depicted in Figure 3 below. The project-specific GRM is 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.

Figure 1: Grievance Redress Mechanism

55. The PMU and PIUs will make the public aware of the GRM through public awareness campaigns. Grievances can be filed in writing using complaint register and complaint forms, or by phone with any member of the PMU or PIU. The contact phone number of the respective PIUs and the PMU will serve as a hotline for complaints, and will be publicized through the media and placed 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 PIUs with support from the DMSC and NGOs engaged to implement the consultation and participation (C&P) plan.

56. **First tier of GRM.** The PIU is the first tier of GRM which offers the fastest and most accessible mechanism for resolution of grievances. The resettlement officer and environmental officer in each PIU will be designated as the key officers for grievance redress. Resolution of complaints will be done within 7 working days. At this stage, the resettlement officer and environmental officer will inform the PMU's safeguards compliance and monitoring unit (SCMU) for additional support and guidance in grievance redress matters. Investigation of grievances will involve site visits and consultations with relevant parties (e.g., affected persons, contractors, traffic police, etc.). 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 to each grievance, including the following elements:

- (i) initial grievance sheet (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, one copy of which will be handed to the complainant after he or she has agreed to the resolution and signed off.

57. The updated register of grievances and complaints, which will be available to the public at the PIU office, construction sites, and other key public offices along the project corridor. Should the grievance remain unresolved, it will be escalated to the second tier.

58. **Second tier of GRM.** The resettlement officer and environmental officer in each PIU will activate the second tier of GRM by referring the unresolved issue (with written documentation) to the PMU's SCMU, who will pass unresolved complaints upward to the grievance redress committee (GRC).⁹ The GRC will be established by the PMU's Environment and Social Safeguard Unit before commencement of site works. To ensure that indigenous people's grievances can be appropriately resolved, the grievance redress committee will include representatives from indigenous people's communities, indigenous peoples' leaders and NGOs working on issues affecting indigenous people. A hearing will be called with the GRC, if necessary, where the affected person can present his or her concerns and issues. The process will facilitate resolution through mediation. The 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 within 15 working days. The contractor will have observer status on GRC. If unsatisfied with the decision, the existence of the GRC will not impede the complainant's access to the government's judicial or administrative remedies.

59. The PMU's safeguard compliance monitoring officer will be responsible for processing and placing all papers before the GRC, maintaining a database of complaints, recording decisions, issuing minutes of the meetings, and monitoring to see that formal orders are issued and the decisions carried out.

60. **Third tier of GRM.** If a grievance cannot be resolved directly by the PIUs (first tier) or GRC (second tier), the land acquisition and compensation related grievances will be escalated to the land acquisition and resettlement and rehabilitation authority which will give a decision within 6 months. Alternatively, the affected person can also seek alternative redress through the appropriate court of law. If the affected persons are still dissatisfied after making good faith attempts to resolve the grievance through the project GRM process they may approach the Accountability Mechanism.¹⁰

61. The safeguard monitoring reports will include the following aspects pertaining to progress on grievances: (i) number of cases registered with the GRC, level of jurisdiction (first, second, and third tiers), number of hearings held, decisions made, and the status of pending cases; and (ii) lists of cases in process and already decided upon may be prepared with details such as name, ID with unique serial number, date of notice, date of application, date of hearing, decisions, remarks, actions taken to resolve issues, and status of grievance (i.e., open, closed, or pending).

⁹ The GRC will consist of the following persons: (i) project director; (ii) representative of the affected person(s); (iii) representative of the local deputy commissioner's office (land); and (iv) representative of APCB (for environmental related grievances). The functions of the local GRC are as follows: (i) resolve problems quickly and provide support to affected persons arising from various environmental issues and including dust, noise, utilities, power and water supply, waste disposal, traffic interference, and public safety, as well as social and resettlement related issues such as land acquisition (temporary or permanent), asset acquisition, and eligibility for entitlements, compensation, and assistance; (ii) reconfirm grievances of displaced persons, categorize and prioritize them, and aim to provide solutions within a month; and (iii) report to the aggrieved parties about developments regarding their grievances and decisions of the GRC.

¹⁰ Accountability Mechanism. <http://www.adb.org/Accountability-Mechanism/default.asp>.

62. **Costs.** All costs involved in resolving the complaints (meetings, consultations, communication, and information dissemination) will be borne by the PMU and are incorporated in the counterpart funds.

VIII. INSTITUTIONAL ARRANGEMENTS

63. The Government of Assam's Guwahati Development Department (GDD) will be the executing agency. A state-level PMU, headed by a project director, has been established which is in charge of overall execution and technical supervision, monitoring, and financial control of all activities.

64. PIUs dedicated exclusively to the project will be set up in Guwahati and Dibrugarh. The PIUs will be headed by a senior technical officer and assisted by qualified and experienced officers seconded from ULBs, finance, and other line departments. The PIUs will be responsible for the day-to-day activities of project implementation in the field, and will be under the direct administrative control of the PMU. The PIU in Guwahati will have synergies and a coordination mechanism with the PIUs for the Jawaharlal Nehru National Urban Renewal Mission (JNNURM) and the Japan International Cooperation Agency (JICA) projects.

65. The PMU, supported by staff, DSC, and NGOs, will be responsible for the overall program implementation, progress review, contracting, supervision of work, and providing progress monitoring information coordination, and will be responsible for the preparation of all documentation needed for decisions required for the program.

66. The PIU shall be responsible for implementing the IPP. The PIU, with support from the DSC and the NGO, will assist in redressing grievances and mitigating negative social impacts of the project on affected persons, including those belonging to indigenous communities. A GRM, as provided in the resettlement framework, will guide the redress process for any indigenous people issues. The PIU shall be comprised of a social/resettlement officer who will be entrusted with the responsibility to effectively implement the IPP, complying with the safeguard provisions in the project.

IX. MONITORING AND REPORTING

67. The safeguards staff within the PMU will monitor resettlement plan implementation with support from the PMC, and DSC. In the event of IPPs being prepared, there will be semi-annual monitoring reports prepared, which will be disclosed to the ADB website. IPPs will include a set of monitoring indicators, for periodic assessment of planned activities, which will be reviewed during IPP implementation (Appendix 2). The PIU resettlement officers will prepare quarterly progress reports and submit to the PMU. The PMU will prepare semi-annual monitoring reports and submit to ADB. The NGO will submit quarterly progress reports to PIUs and PMUs to inform on resettlement plan implementation activities for subprojects with significant impacts. These reports will describe the progress of the implementation of indigenous peoples' activities and any compliance issues and corrective actions.

68. For projects likely to have significant adverse safeguard impacts, the executing agency will retain qualified and experienced external experts to verify its monitoring information.¹¹ The executing agency will document monitoring results, identify the necessary corrective actions, and reflect them in a corrective action plan. The executing agency, for each quarter, will study the compliance with the action plan developed in the previous quarter. Compliance with loan covenants will be screened by the executing agency.

X. BUDGET FOR FORMULATING AND IMPLEMENTING INDIGENOUS PEOPLES PLAN

69. In the event that an IPP is found necessary, funds for IPP preparation will be provided under the same budget within the DSC for preparing social and resettlement plans. IPP preparation will be done in parallel with such activities, and utilize the same budget and DSC and NGO resources. Budgets for consultation and grievance redress are included in the budgets of the PMU, NGO, and DSC. The IPP will be implemented with the assistance of the NGO. A detailed budget will be prepared by each of the PIUs, taking into account all activities to restore IPP livelihoods and replacement of assets. Each IPP will have its own budget. Such budgets will be an integral part of the project cost (under the resettlement budget), and will be made available during project implementation.

¹¹ Experts not involved in day-to-day project implementation or supervision.

APPENDIX 1: OUTLINE OF AN INDIGENOUS PEOPLES PLAN

1. This outline is part of the Safeguard Requirements 3 of the ADB Safeguards Policy Statement (2009). 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 Indigenous Peoples Plan

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 have impacts on indigenous peoples; and identifies the project area.

C. Social Impact Assessment

4. This section:

- (i) reviews the legal and institutional framework applicable to indigenous people in project context;
- (ii) provides baseline information on the demographic, social, cultural, and political characteristics of the affected indigenous people 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 elaborates a culturally appropriate and gender-sensitive process for meaningful consultation with indigenous people at each stage of project preparation and implementation, taking the review and baseline information into account;
- (iv) assesses the potential adverse and positive effects of the project, based on meaningful consultation with the affected indigenous people communities. Critical to the determination of potential adverse impacts is a gender-sensitive analysis of the relative vulnerability of, and risks to, the affected indigenous people 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;
- (v) includes a gender-sensitive assessment of the affected indigenous peoples' perceptions about the project and its impact on their social, economic, and cultural status; and
- (vi) based on meaningful consultation with the affected indigenous people communities, identifies and recommends the measures necessary to avoid adverse effects or, if such measures are not possible, identifies measures to minimize, mitigate, or compensate for such effects, and to ensure that the indigenous people 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 people 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 people 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 people participation during implementation; and
- (v) confirms disclosure of the draft and final IPP to the affected indigenous people communities.

E. Beneficial Measures

6. This section specifies the measures to ensure that the indigenous people 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 people, and where the avoidance is impossible, specifies the measures to minimize, mitigate, and compensate for identified unavoidable adverse impacts for each affected indigenous people group.

G. Capacity Building

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

H. Grievance Redress Mechanism

9. This section describes the procedures to redress grievances of affected indigenous people communities. It also explains how the procedures are accessible to indigenous people, and are 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 people in the preparation and validation of monitoring and evaluation reports.

J. Institutional Arrangements

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 (NGOs) 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.

APPENDIX 2: MONITORING INDICATORS FOR IPP IMPLEMENTATION

1. Monitoring indicators will assist the project to assess progress of the Indigenous Peoples Plan (IPP) and whether mitigation measures are effective, resulting in desired outcomes. This will enable the project to respond to any issues and manage change accordingly.

2. Indicators that show implementation progress are called process indicators and give some certainty that the project is proceeding per plan. Indicators that measure whether the IPP mitigation measures are successful are called outcome indicators and reflect the results of the process. A combination of these indicators are used to ensure adequate IPP implementation and expected outcomes.

Process Indicators	
Demographic baseline	<ul style="list-style-type: none"> • The numbers of affected Indigenous Peoples (IP) by category of impact, gender, age, habitat (village etc), income, status and position • Number of households with handicapped, elderly or invalid members • Number of female headed households • Number of vulnerable households (poor, elderly) • Number of households by ethnic group
Consultation and participation	<ul style="list-style-type: none"> • Number of consultation and participation activities that occur—meetings, information dissemination, brochures; flyers, training • Percentage of IP women as participants; number of meetings exclusively with IP women • Percentage of vulnerable IP groups represented / attending meetings; number of meetings exclusively with vulnerable IP groups. • Languages used at meetings • Good faith negotiations—recording of process, participants, locations, correspondence • Broad community support—record of processes, participants, locations and agreement obtained • Consultation and participation progress against plan and budget
Mitigation measures	<ul style="list-style-type: none"> • Progress of implementation of mitigation / beneficial measures against plan • Number of activities that occur/completed—such as construction, livelihood restoration, disbursements, training • Percentage progress against timelines and budget
Grievance redress	<ul style="list-style-type: none"> • Total number of people/groups using the grievance redress procedure. • Number of distinct people/groups. Any IP group with significantly more grievances? • How many times has a household submitted the same grievance? • Number of grievances resolved? • Length of time taken to be resolved? • Types of grievance categories and prevalence
Implementation problems	<ul style="list-style-type: none"> • Identified delays—(days, cost) due to personnel, capacity, insufficient funds, etc. • Number of times implementation schedule revised
Outcome Indicators	

Process Indicators	
Consultation and participation program	<ul style="list-style-type: none"> • Awareness of IPP mitigation and beneficial measures amongst recipients • Awareness of project details amongst stakeholders • IP perception of effectiveness, cultural appropriateness and inclusiveness of consultation measures • Attendance at consultation and participation activities • Level of involvement by IP and representatives in the design and implementation of consultation and participation
Enhanced dignity of IP groups, integrity of traditional kinship networks and livelihood patterns	<ul style="list-style-type: none"> • Changes in religious/cultural practices • Changes in cultural governance • Participation in cultural governance (by gender, status) • Number of people (age and sex) who can speak national language and/or local dialect • Changes in condition of water supply and drainage • Numbers of religious/cultural events and persons (monks shamans, priests etc.) • Participation in cultural/religious events (by gender, time/resources allocated)
Livelihoods and living standards	<ul style="list-style-type: none"> • Access to water supply • Changes in patterns of IP occupation, production, and resource use • Changes in income and expenditure patterns among IP households • Savings • Cost of living changes—market prices etc. • Changes in key social parameters—gender roles of production • Vulnerable groups—status, relative income, livelihood • Education—literacy and numeracy level in national/ethnic language • Key health indicators of IP (by gender, age)