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INVESTMENT BANK



ФЕДЕРАЛЬНОЕ ДОРОЖНОЕ АГЕНТСТВО
РОСАВТОДОР

Indigenous Peoples Planning Framework for Public Disclosure

Project of Road Modernization in the
Russian Federation

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Indigenous Peoples Planning Framework for Public Disclosure

Project of Road Modernization in the Russian Federation

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Acronyms and Abbreviations

| Name | Description |
|-------------|--|
| AIB | Asian Infrastructure Investment Bank |
| ESIA | Environmental and Social Impact Assessment |
| FPIC | Free, Prior and Informed Consent |
| GRM | Grievance Redress Mechanism |
| ILO | International Labour Organization |
| IP | Indigenous Peoples |
| IPP | Indigenous Peoples Plan |
| IPPF | Indigenous Peoples Planning Framework |
| PIA | Project Implementation Agency |
| PIU | Project Implementation Units |
| SEP | Stakeholder Engagement Plan |
| SIA | Social Impact Assessment |

1. GENERAL

1.1 Introduction

The Indigenous Peoples¹ Planning Framework (IPPF) (here and after “indigenous peoples” or “indigenous communities”) was designed for the Project of Road Modernization (the Project) to be implemented by the Russian Federal Road Agency (Rosavtodor, the Project Implementation Agency or PIA) and its local departments (the Project Implementation Units or PIU). The IPPF is essentially a manual prepared for the developers of the Project.

The IPPF is an integral part of the Environmental and Social Management Framework Programme (the Programme) and governs implementation of the Project by PIU.

This document defines the policy, procedures and institutional requirements to develop detailed Indigenous Peoples Plan (IPP) for Subprojects in line with the Russian legislation, the Environmental and Social Policy of the Asian Infrastructure Investment Bank (AIIB) including requirements of the Environmental and Social Exclusion List and Environmental and Social Standard 3: Involuntary Resettlement.

The IPPF is a live document and will be subject to regular updates during implementation of the Project (Subprojects).

This document also defines actions that would have to be implemented to ensure compliance with requirements of international banks and national legislation on indigenous people’s issues. With regard to specific Subprojects, the IPPF will provide guidance on management indigenous people’s issues.

1.2 Objectives

This IPPF aims to meet the following objectives:

- Ensure early identification of the project components affecting indigenous communities;
- Identify all indigenous communities within the Project’s area of influence to ensure full respect for Indigenous Peoples’ identity, dignity, human rights, economies and cultures;
- Avoid adverse impacts on them, or when avoidance is not possible, to minimize or mitigate such adverse impacts by exploring all possible alternatives and by receiving the affected indigenous communities’ consent to the implementation of the Project;
- Preserve cultural and economic preferences for indigenous communities following the implementation of the Project based on commonly recognised principles and national and international regulations;
- Ensure constructive participation and consultations with the affected indigenous communities that would take into account their customs and needs throughout the life cycle of the Project.

1.3 Summary of the Project

The physical activities will be performed by local departments of the Russian Federal Road Agency (Rosavtodor) in Russia (Subprojects).

¹ Definition is provided in the Section 1.4

As of the time of this document, one Subproject has been defined (as part of the overall Project), while other activities and implementation areas are currently unknown.

1.4 Definition of Indigenous Peoples/Communities

1.4.1 Indigenous minorities in Russia

Russian Federal Law No 82-FZ “On guarantees of the rights of indigenous minorities in Russia” defines indigenous minorities of the North, Siberia and the Far East, who occupy traditional habitats of their ancestors and who maintain traditional living patterns, economic activities, fishing, harvesting and hunting, whose population size is less than 50 thousand people, and who perceive themselves as independent ethnic communities.

Federal Law No 49-FZ “On territories of traditional use of natural resources by indigenous minorities of the North, Siberia and the Far East” classifies such territories as specially protected lands, which were established specifically for traditional use of natural resources and living patterns of said minorities.

The Russian Constitution guarantees “the rights of indigenous minorities in line with commonly recognised principles, international regulations, and international treaties of the Russian Federation” (Article 69), and also guarantees “protection of the indigenous habitats and the environment for traditional living patterns of ethnic minorities” (Article 72).

1.4.2 AIIB Environmental and Social Standard 3: Indigenous Peoples

The term Indigenous Peoples is used in a generic sense to refer to a distinct, vulnerable, social and cultural group possessing the following characteristics in varying degrees:

- self-identification as members of a distinct indigenous cultural group and recognition of this identity by others; (b)
- collective attachment to geographically distinct habitats or ancestral territories in the Project area and to the natural resources in these habitats and territories;
- customary cultural, economic, social or political institutions that are separate from those of the dominant society and culture; and
- distinct language, often different from the official language of the country or region.

In considering these characteristics, national legislation, customary law and any international conventions to which the country is a party may be taken into account.

1.5 Regulatory framework

1.5.1 Russian laws and enactments

- The Constitution of the Russian Federation (first adopted by a national referendum on 12 December 1993, and amended by Federal Laws No 6-FKZ dated 30 December 2008, No 7-FKZ dated 30 December 2008, No 2-FKZ dated 5 February 2014, and No 11-FKZ dated 21 July 2014).
- Federal Law No 2395-1 “On subsoil” dated 21 February 1992;
- Federal Law No 82-FZ “On guarantees of the rights of indigenous minorities in Russia” dated 30 April 1999;
- Federal Law No 104-FZ “On common principles for establishing communities of indigenous minorities of the North, Siberia and the Far East” dated 20 July 2000;
- Federal Law No 49-FZ “On territories of traditional use of natural resources by indigenous minorities of the North, Siberia and the Far East” dated 7 May 2001;
- Order No 565 of the Ministry of Regional Development “On approval of methodology to calculate damages to indigenous minorities of the North, Siberia and the Far East from economic and other activities of organisations and individuals at areas of traditional residence and economic activities of indigenous minorities of the Russian Federation”.

1.5.2 Regulations of other organisations

- United Nations Declaration on the Rights of Indigenous Peoples, 2007;
- ILO’s Indigenous and Tribal Peoples Convention (Convention 169), 1989;

2. IPPF PROCEDURES

Key procedures for this Indigenous Peoples Planning Framework will be developed in line with AIIB's Environmental and Social Standard 3: Indigenous Peoples and the Environmental and Social Framework and other applicable requirements referred to in this document,

The activities will cover the following aspects:

- Project screening;
- Project categorisation;
- Social Impact Assessment (Environmental and Social Impact Assessment);
- Indigenous Peoples Plan;
- Disclosure of information and consultations; and
- Monitoring and reporting.

2.1 Screening and categorization

2.1.1 Screening

The screening phase will be used to potentially identify the presence of indigenous communities within the Project's area of influence and then determine which components of the Project may affect them.

The screening will follow the Indigenous Peoples Screening Form given in Appendix 1.

The form is a questionnaire to identify indigenous communities, potential impacts and features of the Project affecting the Indigenous Peoples.

This information will be used to determine the category of the Project based on the eligibility criteria for indigenous communities.

2.1.2 Categorization

The AIIB will determine the category of the Project based on the most probable environmental and social direct, indirect, cumulative impacts etc. The Bank will conduct an environmental and social scoping of impacts and risks associated with the Project (Subprojects).

The impact on indigenous communities will be assessed as significant if the Project or subproject:

- Affect the indigenous communities' customary rights of use and access to land and natural resources;
- Affect (positive or adverse) their health, education, livelihood systems and social security status;
- Disrupt their cultural and communal integrity and heritage;
- Change or undermine recognition of indigenous knowledge.

If amendments are introduced to the Project sometime during its life-cycle, which will modify its environmental and social impacts, the categorisation of the Project or Subprojects may change respectively.

The following categories may be assigned to the Project based on the following conditions:

- Category A: The Project is categorized A if it is likely to have significant adverse environmental and social impacts, including impacts on indigenous communities. These impacts may affect an area larger than the sites or facilities subject to physical works. An environmental and social impact assessment (ESIA) have to be conducted and management plans including an Environmental and Social Management Plan, the Indigenous Peoples Plan and others have to be prepared.
- Category B. The Project is categorized B when: it has a limited number of potentially adverse environmental and social impacts, including impacts on indigenous communities; they are limited to the Project area; and can be successfully managed through development and implementation of the ESIA, Management Plans etc.
- Category C. The Project is categorized C when it is likely to have minimal adverse environmental and social impacts. An environmental and social assessment is not required, but a review of the environmental and social implications of the Project is required to conduct.

2.2 Social Impact Assessment and development of the Indigenous Peoples Plan

If the Project is found to have an impact on indigenous communities, a Social Impact Assessment (or a social impact section in the ESIA) is required. The results of the social assessment are used to develop the Indigenous Peoples Plan or the Indigenous Peoples Planning Framework.

The breadth and depth of the Plan should be proportional to the nature and scale of the proposed Project's potential impacts.

2.2.1 Social Impact Assessment

Following the screening and categorization processes, the need to conduct a Social Impact Assessment (or to prepare a social impact section in the ESIA) is determined.

The SIA should include gathering of the following relevant information about indigenous communities to assess their vulnerability, develop measures to mitigate impacts and plan to engage with indigenous populations:

- Background demographic, socio-economic, cultural conditions of the affected indigenous communities within the Project's area of influence;
- Assessment of lands and territories traditionally used and occupied by indigenous communities;
- Assessment of natural resources on which indigenous communities depend;
- Assessment of access and possibilities to use socio-economic services;
- Assessment of a short-term and long-term outlook, direct and indirect, positive and adverse impacts of the Project on social, economic and cultural life of indigenous communities;
- Assessment of resources required to minimise impacts on indigenous communities during the implementation of the Project.

When used in the context described above, "vulnerability" refers to group- and/or community-level vulnerability defined by the nature of the relationship between the Affected Communities of Indigenous Peoples and mainstream society rather than household or individual level indicators of vulnerability.

A list of necessary information to be used in the development of the SIA (including impacts on indigenous communities) is given in Appendix 2.

The ESIA (or SIA) should follow a standard methodology including quantitative and qualitative verification of data gathered.

2.2.2 *Indigenous Peoples Plan*

The Indigenous Peoples Plan (IPP or the Plan) is a specialised guidance that will be designed to address specific needs of indigenous communities in relation to the Project.

Depending on local circumstances, a free-standing IPP may be prepared, or it may be a component of a broader Stakeholder Engagement Plan. The SEP is applicable in cases when affected Communities of Indigenous Peoples live in the same area with other similarly Affected Communities or where the Indigenous Peoples are integrated within a larger affected population.

The Plan should include the following information:

- Indigenous community engagement procedures;
- Measures to minimise the Project's impact on indigenous communities;
- Measures to provide compensation and guarantees accepted by indigenous communities;
- Measures for handling of Project-related grievances, monitoring of the Project, estimation of time and financial costs of these measures provided they are accepted by indigenous communities.

The Plan should determine representatives of the affected indigenous communities, describe the approved process of consultations and recording of meetings, mutual responsibilities of the stakeholders in the engagement process, and approved grievance redress mechanism to seek assistance in the case of disagreements (e.g. involvement of mutually acceptable third party to act as a moderator or adviser). If necessary, the Plan should also specify what would constitute the consent of the affected indigenous communities.

The Plan should detail actions to mitigate and/or compensate for adverse social and economic impacts, and identify opportunities and actions to enhance positive impacts of the project on the Indigenous Peoples.

Where appropriate, the Plan may also include measures to promote conservation and sustainable management of the natural resources on which the Indigenous Peoples depend.

The Plan should include a clear statement of roles and responsibilities, funding and resource inputs, a time-bound schedule of activities, and a budget.

The breadth and depth of the Plan should be proportional to the nature and scale of the proposed Project's potential impacts on the Affected Communities and the vulnerability of the Affected Communities of Indigenous Peoples (see Section 2.1.2).

A general structure of the Indigenous Peoples Plan is given in Appendix 3.

3. DISCLOSURE OF INFORMATION, CONSULTATIONS AND GRIEVANCE MECHANISM

3.1 Information disclosures

Disclosure and dissemination of the Indigenous Peoples Plan is the basis for the consultation and participation process, which is an important element of the indigenous community engagement.

The disclosure of the proposed activities should ensure that the affected indigenous communities understand the Project-related risk, impacts and opportunities.

The Company will provide access for the affected indigenous communities to the following information:

- Purpose, nature and scale of the Project;
- Duration of the proposed Project-related activities;
- Risks and potential impacts on indigenous communities and proposed mitigation measures;
- Proposed approach to engagement of stakeholders including indigenous communities;
- Grievance mechanism.

Information will be disclosed in such a way that it could be accessed and understood by various groups of indigenous communities, and that it will be convenient for the audience:

- Display of information in public areas acceptable for representatives of indigenous communities;
- Publications in mass media available for indigenous communities;
- Discussion of information during public meetings, individual or group consultations;
- Visits of representatives of the Company to indigenous communities.

3.2 Consultation and participation

The process of informed consultation and participation entails consultation that occurs freely and voluntarily. Consultations will be held at all stages of the subproject.

In addition, the Affected Communities of Indigenous Peoples should have access to relevant project information prior to any decision making that will affect them, including information on potential adverse environmental and social impacts affecting them at each stage of project implementation .

The Company will adhere to the following requirements to consultations:

- consultations should start as early as possible in the risks and impacts assessment process;
- client engagement activities should aim to ensure that the entire population of Affected Communities of Indigenous Peoples is aware of and understands the risks and impacts associated with project development;
- project information should be made available in an understandable format, using indigenous languages where appropriate;
- the communities should have sufficient time for consensus building and developing responses to project issues that impact upon their lives and livelihoods;
- time should be set for consideration of indigenous issues and concerns related to the planned activities in the design and implementation of the project.

Consultations should also take into account existing social and cultural customs of indigenous communities.

The responsible person of the Company should keep in mind that the communities of Indigenous Peoples are not necessarily homogeneous and there can be divergent views and opinions within them.

The engagement process should ensure sufficient participation of indigenous communities in the decision-making process and aim to achieve an agreement between the Company and indigenous communities.

The Company should aim to come to an agreement with indigenous communities on the existing participation and consultation processes, which should be proportionate to the magnitude of impacts and the vulnerability of communities.

For this, the following mechanisms will be used:

- Disclosure of information without physical meetings;
- Feedback mechanism;
- Individual consultations;
- Working groups / focus groups;
- Physical meetings and consultations;
- Public consultations;
- Questionnaires, polling and expert interviews;
- Establishment of public committees and groups;
- Tours around future facilities;
- Activities within the social investment programme.

During the social impact assessment and subsequently during the development of the Plan, the Company will determine a priority approach for engagement of indigenous communities, the need for special communication activities, frequency of engagement monitoring, the list of social assistance programmes (with documented support from the indigenous communities) etc.

Recommendations on engagement of indigenous communities will be reflected in the Plan or in the Stakeholder Engagement Plan.

3.3 Grievance Redress mechanism

To enable the affected indigenous communities to raise concerns and receive responses, the Company will develop a Grievance Redress Mechanism (GRM). The GRM for indigenous communities is presented in a separate document (the Grievance Redress Mechanism).

During the engagement process, the Company will inform all members of the affected indigenous communities of the availability of the grievance mechanism.

3.4 Free, prior and informed consent of indigenous communities

In some cases, when Subprojects have an adverse impact on indigenous communities, the Company should implement the Free, Prior and Informed Consent (FPIC) of the affected indigenous communities in relation to the structure, implementation and expected outcomes of the Project.

Under international requirements, FPIC is required if activities under the Project would:

- Affect the indigenous communities' customary rights of use and access to land and natural resources;
- Affect their health, education, livelihood systems and social security status;

- Disrupt their cultural and communal integrity and heritage;
- Change or undermine recognition of indigenous knowledge.

FPIC comprises both a process and an outcome. The process builds upon the requirements for informed consultation and participation and additionally requires good faith negotiation between the client and Affected Communities of Indigenous Peoples. Good faith negotiation involves on the part of all parties:

- willingness to engage in a process and availability to meet at reasonable times and frequency;
- provision of information necessary for informed negotiation;
- discussion of issues important to the indigenous peoples;
- use of mutually acceptable procedures for negotiation;
- willingness to change initial position and modify offers where possible; and
- provision of sufficient time for decision making.

The outcome, where the good faith negotiation process is successful, is an agreement and evidence thereof.

3.5 Engagement with indigenous communities when locating project sites on lands traditionally owned by indigenous peoples

If the Company proposes to locate the Subprojects, or commercially develop natural resources on lands traditionally owned by, or under the customary use of, Indigenous Peoples, and adverse impacts can be expected, the Company will take the following steps:

- Document its actions to prevent or minimise the use of such lands for the Project;
- Document efforts to avoid and otherwise minimise the area of land proposed for the Project;
- Document efforts to avoid and otherwise minimise impacts on natural resources and natural areas of importance to Indigenous People;
- Identify and review all property interests and traditional resource uses prior to purchasing or leasing land;
- Assess and document the Affected Communities of Indigenous Peoples' resource use without prejudicing any Indigenous Peoples' land claim. The assessment of land and natural resource use should be gender inclusive and specifically consider women's role in the management and use of these resources;
- Ensure that Affected Communities of Indigenous Peoples are informed of their land rights under national law, including any national law recognizing customary use rights; and
- Offer Affected Communities of Indigenous Peoples compensation and due process in the case of commercial development of their land and natural resources, together with culturally appropriate sustainable development opportunities, including:
 - Providing land-based compensation or compensation-in-kind in lieu of cash compensation where feasible.
 - Ensuring continued access to natural resources, identifying the equivalent replacement resources, or, as a last option, providing compensation and identifying alternative livelihoods if project development results in the loss of access to and the loss of natural resources independent of project land acquisition.

- Ensuring fair and equitable sharing of benefits associated with project usage of the resources where the client intends to utilize natural resources that are central to the identity and livelihood of Affected Communities of Indigenous Peoples and their usage thereof exacerbates livelihood risk.
- Providing Affected Communities of Indigenous Peoples with access, usage, and transit on land it is developing subject to overriding health, safety, and security considerations. These circumstances will have a priority importance.

4. MONITORING AND REPORTING

Compliance with the IPP will be monitored by Rosavtodor and PIU. Monitoring will include inspections and audits against international and national requirements, as well as assessment of key performance indicators.

Inspections will be conducted semi-annually and presented as monitoring reports. The monitoring may be physically conducted by both Rosavtodor's in-house social specialists and external qualified experts.

Baseline indicators for the monitoring will be developed based on the SIA. The general list of monitoring indicators is given in Appendix 4.

Responsibility for planning and implementing engagement activities with indigenous communities will Rosavtodor's in-house social specialists.

APPENDIX 1: INDIGENOUS PEOPLE SCREENING FORM

Indigenous People Screening form

General

| | |
|-------------------------------------|--|
| Subproject | |
| (short name or number if available) | |
| Form completed by | |
| (Name, position, department) | |
| Contact details | |

References

| | |
|--|--|
| Indigenous People Screening form (this document) | |
| General Screening form number | |

Comments

Indigenous People screening form

| № | Key concerns | Yes | No |
|-----------------------------------|---|--|---|
| Indigenous Peoples Identification | | | |
| 1 | Are there socio-cultural groups present in or use the project area who may be considered as "tribes" (hill tribes, schedules tribes, tribal peoples), "minorities" (ethnic or national minorities), or "indigenous communities" in the project area? | <input type="checkbox"/> Subproject has not passed screening | <input type="checkbox"/> Go to the next question |
| 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? | <input type="checkbox"/> Go to the next question | <input type="checkbox"/> Go to the next question |
| 3 | Do such groups self-identify as being part of a distinct social and cultural group? | <input type="checkbox"/> Go to the next question | <input type="checkbox"/> Go to the next question |
| 4 | Do such groups maintain collective attachments to distinct habitats or ancestral territories and/or to the natural resources in these habitats and territories? | <input type="checkbox"/> Go to the next question | <input type="checkbox"/> Go to the next question |
| 5 | Do such groups maintain cultural, economic, social, and political institutions distinct from the dominant society and culture? | <input type="checkbox"/> Go to the next question | <input type="checkbox"/> Go to the next question |
| 6 | Do such groups speak a distinct language or dialect? | <input type="checkbox"/> The subproject is in line with the positive eligibility criteria | <input type="checkbox"/> Go to the next question |
| 7 | Has such groups been historically, socially and economically marginalized, disempowered, excluded, and/or discriminated against? | <input type="checkbox"/> Go to the next question | <input type="checkbox"/> Go to the next question |
| 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? | <input type="checkbox"/> The subproject is in line with the positive eligibility criteria | <input type="checkbox"/> Go to the next question |

| № | Key concerns | Yes | No |
|---|---|--|---|
| Identification of Potential Impacts | | | |
| 1 | Will the project directly or indirectly benefit or target Indigenous Peoples? | <input type="checkbox"/> The subproject is in line with the positive eligibility criteria Develop the IPP or SEP, including the program of meaningful consultations with IPs | <input type="checkbox"/> Go to the next question |
| 2 | Will the project directly or indirectly affect Indigenous Peoples' traditional socio-cultural and belief practices? (e.g. child-rearing, health, education, arts, and governance) | <input type="checkbox"/> The subproject is in line with the positive eligibility criteria Develop the IPP or SEP, including the program of meaningful consultations with IPs | <input type="checkbox"/> Go to the next question |
| 3 | Will the project affect the livelihood systems of Indigenous Peoples? (e.g., food production system, natural resource management, crafts and trade, employment status)? | <input type="checkbox"/> Subproject has not passed screening | <input type="checkbox"/> Go to the next question |
| 4 | Will the project be in an area (land or territory) occupied, owned, or used by Indigenous Peoples, and/or claimed as ancestral domain? | <input type="checkbox"/> Subproject has not passed screening | <input type="checkbox"/> Go to the next question |
| Identification of Special Requirements | | | |
| <i>Will the project activities include:</i> | | | |
| 1 | Commercial development of the cultural resources and knowledge of Indigenous Peoples? | <input type="checkbox"/> The subproject is in line with the positive eligibility criteria The subproject is in line with the positive eligibility criteria Develop the IPP or SEP, including the program of meaningful consultations with IPs | <input type="checkbox"/> Develop the ESHIA or SIA , Develop the IPPs Go to the next question |
| 2 | Physical displacement from traditional or customary lands? | <input type="checkbox"/> | <input type="checkbox"/> |

| № | Key concerns | Yes | No |
|---|---|--|--|
| | | Subproject has not passed screening | The subproject is in line with the positive eligibility criteria |
| 3 | 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? | <input type="checkbox"/> Subproject has not passed screening | <input type="checkbox"/> Go to the next question |
| 4 | Establishing legal recognition of rights to lands and territories that are traditionally owned or customarily used, occupied or claimed by indigenous peoples? | <input type="checkbox"/> The subproject is in line with the positive eligibility criteria Develop the IPP or SEP, including the program of meaningful consultations with IPs | <input type="checkbox"/> Subproject has not passed screening |
| 5 | Acquisition of lands that are traditionally owned or customarily used, occupied or claimed by indigenous peoples? | <input type="checkbox"/> Subproject has not passed screening | <input type="checkbox"/> The subproject is in line with the positive eligibility criteria The subproject is in line with the positive eligibility criteria Develop the IPP or SEP, including the program of meaningful consultations with IPs |

**APPENDIX 2: LIST OF ASPECTS FOR THE SOCIAL IMPACT
ASSESSMENT (IN THE CONTEXT OF THE INDIGENOUS PEOPLES
IMPACT ASSESSMENT)**

List of aspects for the Social Impact Assessment

Below is a general (i.e. not overall) list of information to be gathered for the SIA process:

1. Baseline demographic data (with a gender breakdown)
 - a) Age and gender structure
 - b) Ethnic groups
 - c) Categories of vulnerable groups
 - d) Disabled persons
2. Baseline socioeconomic information
 - a) Sources of income
 - b) Means of livelihood
 - c) Area of lands under cultivation by indigenous communities (pastures, meadows); annual agricultural output in tonnages and money terms
 - d) Types of land plots; availability of irrigation systems
 - e) Land titles
 - f) Livestock population (big cattle, small cattle, poultry)
 - g) Employment indicators
 - h) Availability of cash transfer systems
 - i) Level of knowledge and skills for engaging in agricultural or production activities, obtaining income
 - j) Food security
 - k) Food behaviour
 - l) Annual income and expenses
 - m) Sufficiency of convenience goods
 - n) Level of education
 - o) Construction and housing conditions
 - p) Availability of domestic, educational, healthcare and socioeconomic services
 - q) Sanitary and epidemiological settings
 - r) Social protection
 - s) Natural disasters and climate change
3. Current political profile of indigenous communities
 - a) Governmental organisations involved in relations with indigenous communities
 - b) Non-governmental organisations involved in relations with indigenous communities
 - c) Number of participants
 - d) Activities
 - e) Development restrictions
4. Impact on cultural practices of indigenous peoples
 - a) Key cultural practices of indigenous peoples
 - b) Project's impacts on cultural practices
 - c) Impact mitigation measures
5. Lands traditionally used or occupied by indigenous communities
 - a) Size and location of lands;
 - b) Value of lands;
 - c) Ownership / leasing arrangements; land titles;
 - d) Project's impact on lands
6. Natural resources on which indigenous communities depend
 - a) Types, location, area, size of reserves
 - b) Estimation of the area / size of reserves, access to which will be restricted for indigenous communities
 - c) Impact mitigation measures
7. Impact on social and cultural life of indigenous communities
 - a) Short-term and long-term impacts
 - b) Direct and indirect impacts

- c) Positive and negative implications
- 8. Identification and confirmation of indigenous groups likely to initiate the Indigenous Policy
 - a) List of indigenous groups affected by the Project
 - b) Degree of impact on each indigenous group etc.
- 9. Necessity of the Indigenous Policy
 - a) List of indigenous groups affected by the Project
 - b) Degree of impact on each indigenous group etc.
 - c) History of indigenous communities' relations with neighbouring cultures (areas for potential resettlement); probability of cultural conflicts
 - d) Status of indigenous peoples in a wider community
 - e) Comparison of indigenous communities' culture with neighbouring cultures in areas for potential resettlement
 - f) Historical resettlement of indigenous peoples due to conflicts with other ethnic groups – if happened, indicate causes and new area of residence
 - g) Indigenous peoples' views on their own status
 - h) Impact of different cultures or castes or ethnicities on community relations and social harmony
- 10. Social and cultural customs and traditions of indigenous communities in terms of segregation of labour, rights and obligations between men and women, access to and control over resources
 - a) Male / female differences in employment, jobs, salaries
 - b) Number of households with women holding the land and property ownership
 - c) Male / female differences in decision-making capability, access to and control over resources.

APPENDIX 3: OUTLINE OF AN INDIGENOUS PEOPLES PLAN

Outline of an Indigenous Peoples Plan (IPP)

A. Executive Summary of the IPP

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

B. Description of the Project

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

C. Social Impact Assessment

3. This section provides the following:
 - I. Review of legal and institutional requirements and standards to define indigenous peoples / communities
 - II. Demographic characterisation of indigenous communities in terms of ethnic identify, intracommunity relations, population dynamics. This information will be used during subsequent monitoring of demographic changes as part of the engagement process throughout the development of the Project
 - III. Land plots customarily owned or used by indigenous peoples; any intracommunity land disputes. If several land users raise claims to the same land plot, local experts would have to be involved in addition to legal procedures to have an independent assessment
 - IV. Significant cultural heritage and ties to specific sacred sites whose presence can be determined for instance based on information received from community elders
 - V. Living patterns and means of livelihood; description of how communities satisfy their demand for food and shelter; communities' interrelation with the market economy
 - VI. Ethnic composition and relations in the region; historical data on migration
 - VII. Existing conflicts between local / regional authorities and indigenous communities; historical disagreement with the business;
 - VIII. Identification of key stakeholders of the Project; development of a culturally acceptable (gender-sensitive) process of meaningful consultations with indigenous peoples at each stage of the design and implementation of the Project;
 - IX. Assessment of social impacts on indigenous peoples based on meaningful consultations; determination of positive and adverse impacts as a result of the Project;
 - X. Development of consultation-based recommendations to minimize the Project's adverse impacts.

D. Information Disclosure, Consultation and Participation

4. This section includes the following:
 - XI. Describes the information disclosure, consultation and participation process with the affected IP communities;
 - XII. 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;
 - XIII. In the case of project activities requiring broad community support, ESHIA, Management Plans should be disclosed during the meaningful consultations
 - XIV. Describes consultation and participation mechanisms
 - XV. Confirms disclosure of the draft and final IPP to the affected IP communities.

E. Beneficial Measures

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

F. Mitigation Measures

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

G. Capacity Building

7. This section provides measures to strengthen the social, legal, and technical capabilities of: (a) government institutions to address IP issues in the project area; and (b) IPOs in the project area to enable them to represent the affected IP more effectively.

H. Grievance Redress Mechanism

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

I. Monitoring, Reporting and Evaluation

9. 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 IP in the preparation and validation of monitoring, and evaluation reports.

APPENDIX 4: INDICATORS FOR MONITORING OF THE INDIGENOUS PEOPLES PLAN

Indicators for monitoring of the Indigenous Peoples Plan

1. Project's impact on annual income / expenses
2. Project's impact on employment conditions (diversification; same or worse)
3. Impact on area, type, quality of lands owned by indigenous peoples; Project's impact on land use
4. Project's impact on access to natural resources
5. Project's impact on indigenous peoples' living conditions
6. Project's impact on access to infrastructure facilities of indigenous communities
7. Project's impact on sanitary and epidemiological situations in areas occupied by indigenous peoples
8. Project's impact on sociocultural practices of indigenous communities
9. Project's impact on ownership rights of indigenous communities
10. Project's impact on the social status of indigenous communities
11. Project's impact on indigenous peoples' relations with neighbouring communities
12. Indigenous communities' employment by the Project (employment rates, salaries)

