Proposed Equity Investment and Loan
People’s Republic of China: Small Hydropower Development Project

Prepared by Zhejiang Zhongda Sanchuan Hydropower Development Co., Ltd.

The Social Safeguards Management Framework is a document of the borrower. The views expressed herein do not necessarily represent those of ADB’s Board of Directors, Management, or staff, and may be preliminary in nature.
SOCIAL SAFEGUARDS FRAMEWORK

I. INTRODUCTION

1. Zhejiang Zhongda Sanchuan Hydropower Development Co. Ltd. (Zhongda Hydro, or the Project Sponsor) is a dedicated developer of small HPPs, based in Hangzhou, Zhejiang Province. Through 5 subsidiaries, Zhongda Hydro currently owns 17 small hydropower plants (HPPs) in three provinces in the PRC with a total capacity of 133MW, most of which are in the underdeveloped central and western regions. Zhongda Hydro is establishing a new holding company in Yunnan, Sanchuan Clean Energy Development Co., Ltd. (Sanchuan). These small HPPs will be transferred to Sanchuan after its incorporation. Each small HPP has a specific hydropower development right given to it by the relevant local government for an unlimited period, and the feasibility study, environmental impact assessment (EIA) and detailed design are prepared by the project sponsor and approved by the local government. Each HPP are implemented in accordance with the granted approvals, subject to government inspections during construction and operation on various aspects, including environment, safety, quality, sanitary, etc. All the small HPPs sell electricity to State Grid and Southern Grid, respectively, based on their locations.

II. EXPECTED SCOPE OF SOCIAL SAFEGUARD ISSUES IN SANCHUAN OPERATIONS

2. Sanchuan’s investment plan includes construction, privatization, expansion, and rehabilitation of small HPPs. Future plans to expand hydropower operations in the central and western PRC may require acquisition of lands that are not in the possession of the small HPPs and may thereby cause physical relocation of housing and other assets, direct or indirect impacts on fixed assets, incomes or livelihoods, and/or restrictions of access to income source which would cause loss of incomes. In some instances these adverse impacts may also affect ethnic minorities and other vulnerable groups.

3. This Social Safeguards Framework (SSF) defines the policies, procedures, roles and responsibilities of Sanchuan Clean Energy Development Co., Ltd. for screening and management of adverse social impacts and risks, particularly the land acquisition and involuntary resettlement, and ethnic minority/indigenous peoples issues in its small HPPs. The SSF has been prepared by Zhongda Hydro for Sanchuan as part of its commitment to complying with the Asian Development Bank’s (ADB) safeguard policies, in particular ADB’s Policies on Involuntary Resettlement ¹ (1995) and Indigenous Peoples (1998).²

III. INVESTMENT SELECTION CRITERIA

4. New hydroelectric projects to be developed by Sanchuan are expected to be located in settings similar to the existing plants, sparsely populated, relatively remote areas with mountainous topography and narrow valleys, which reduces effects to local populations from dam construction and reservoir filling.

5. Sanchuan will select projects that conform with municipal land use planning regulations, evidenced by valid land transfer contracts with the relevant municipal land bureau or private title

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holder, together with valid land title certificates (with red line site map). In addition, Sanchuan will ensure that no project is selected for investment that is likely to be non-compliant with ADB’s Indigenous Peoples Policy (1998).

IV. DEFINITIONS

6. For the purposes of this framework, the following definitions will apply:

(i) **Involuntary resettlement** - refers to social and economic impacts that are permanent or temporary and are (i) caused by acquisition of land and other fixed assets, (ii) by change in the use of land, or (iii) restrictions imposed on land as a result of a Sanchuan investment.

(ii) **Affected person (AP)** - includes any people, households, firms, or private institutions who, on account of changes that result from the project will have their (i) standard of living adversely affected; (ii) right, title, or interest in any house, land (including residential, commercial, agricultural, forest, and/or grazing land), water resources, or any other moveable or fixed assets acquired, possessed, restricted, or otherwise adversely affected, in full or in part, permanently or temporarily; and/or (iii) business, occupation, place of work or residence, or habitat adversely affected, with or without displacement.

(iii) **Ethnic Minority/Indigenous people** – should be regarded as those with a social or cultural identity distinct from the dominant or the mainstream society, which makes them vulnerable to being disadvantaged in the process of development.

(iv) **Severely Affected Persons** – Affected persons experiencing major impacts, which are defined as: (i) being physically displaced from housing; or, (ii) losing 10 percent or more of their productive assets (income generating).

(v) **Vulnerable Groups** – Vulnerable households include low income/poor households, absolute poor households (per capita annual income is less than CNY625 which is defined by the provincial poverty office), wubao, widows/widowers, physically and mentally handicapped, single female households (with dependents), elderly persons, among others to be identified during the social impact assessment conducted for future subprojects.

V. POLICY FRAMEWORK

7. For future expansions or new construction of small HPPs that will utilize ADB loan proceeds, Sanchuan commits to conduct due diligence, prepare/implement resettlement plans (RPs) and/or ethnic minority development plans (EMDPs) and provide assistance to affected people in accordance with ADB’s social safeguard policies in coordination with relevant county or municipal governments. Sanchuan shall ensure that measures to address involuntary resettlement impacts and adverse impacts on ethnic minorities are in accordance with the following:

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3 The Yunnan Poverty Alleviation and Development Office defines low income/poor households as those whose annual per capita income is less than CNY 944.

4 Wubao includes orphans, senior citizens and disabled people who are not able to support themselves.
(i) ADB’s *Policy on Involuntary Resettlement* (1995);
(ii) ADB’s *Policy on Indigenous Peoples* (1998);
(iii) applicable national and provincial laws and regulations governing land acquisition, compensation and resettlement, and consultation and disclosure of resettlement information.5

8. The objectives for managing involuntary resettlement impacts are: (i) to avoid involuntary resettlement wherever feasible; (ii) to minimize resettlement where population displacement is unavoidable; and (iii) to ensure that affected persons receive assistance so that they will be at least as well off as they would have been in the absence of the project.

9. The objectives for managing adverse impacts on ethnic minorities and indigenous peoples are: (i) to avoid negative impacts on ethnic minorities/indigenous peoples where possible; (ii) to provide adequate and appropriate compensation when negative impacts are unavoidable; and (iii) to ensure that development initiatives affecting indigenous peoples are effective and sustainable and are compatible in substance and structure with affected peoples’ culture and social and economic institutions; and commensurate with the needs, aspirations and demands of affected people.

10. The RPs (incorporating EMDPs, where necessary) will pay particular attention to addressing the needs of the poorest affected people and vulnerable groups that may be at high risk of impoverishment.

11. The SSF stipulates eligibility and entitlement provisions for losses of land, house, crops, and other assets at replacement rates. A sample entitlement matrix is attached (Attachment 1).

Strategies for compensating losses, restoring income and livelihoods, relocating affected homes and business and assistance to vulnerable groups may include the following:

(i) Compensation for Lost Assets and Income: Land losses will be compensated as follows: (a) people losing agricultural and residential land will be compensated through “land for land” arrangements wherever feasible; (b) if "land for land" arrangements are not feasible, the person losing agricultural land will be reclassified and provided with social security and job opportunities; (c) in accordance with Document 28 majority of the cash compensation for lost land at rates stipulated by the 1998 Land Law and recent amendments will be paid to the affected persons and the remaining amount may be used by the village collectives for infrastructure and services directly benefiting the affected communities. Resettlement subsidies for land acquired will be directly paid to the people affected in cash through the village offices. House losses and loss of other structures will be directly compensated in cash at replacement cost free of demolition costs and salvaged materials. In-ground annual crop losses will be directly compensated in cash at current market prices. Business losses, including transfer and downtime costs, will be paid directly to the business owners.

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(ii) Income and Livelihoods Restoration: Preferences of APs will be considered in developing income and livelihood restoration strategies. This may include land redistribution, investment of compensation by the community particularly those involved in the land redistribution, investment of subsidy by individual APs, training and employment on project related activities.

(iii) Assistance to Vulnerable Groups: Compensation and other assistance to affected ethnic minorities will be conceived, planned and implemented with the informed participation of affected communities. Vulnerable households will receive assistance for house relocation and reconstruction, to be organized by the relevant village or township committee.

(iv) Relocation of Affected Homes and/or Businesses: Affected persons including business enterprises will be relocated within the village on the remaining available land. If there is no available land or if a whole village community is affected, relocation sites will be identified in consultation with affected families and business owners. Demolition of housing, premises and other real property owned by corporations or individuals will be undertaken in accordance with the provisions of the Urban Housing Demolition and Relocation Management Regulations (2001) and the new Property Law (2007). In accordance with the Property Law, social security fees and the assurance of a place to live, and their legal rights will be protected.

VI. IMPLEMENTATION ARRANGEMENTS

A. Screening for Social Safeguard Impacts

12. As part of the due diligence process, prior to acquiring a small HPP, Sanchuan will carry out an assessment to determine whether (i) there are outstanding land acquisition and resettlement issues where land acquisition and resettlement has been completed; (ii) construction or expansion of small HPPs may involve involuntary resettlement impacts; and (iii) whether it had, or will have, any significant impacts on ethnic minorities in the project area. A sample screening checklist is attached (Attachment 2).

1. Projects with No Involuntary Resettlement Impact or Ethnic Minority Issues

13. Where no involuntary resettlement impacts are indicated or no impacts are identified on any ethnic minorities or indigenous peoples, no further action with regard to this SSF will be required.

2. Projects with Prior Land Acquisition or Resettlement and/or Ethnic Minority Issues

14. In case of projects with prior land acquisition, involuntary resettlement or ethnic minority issues, Sanchuan will conduct due diligence to determine if there are any outstanding compensation or resettlement issues, unaddressed adverse impacts on ethnic minorities, unresolved grievances or related areas of reputational risk to the company and to ADB. If there are any outstanding involuntary resettlement and ethnic minority issues, Sanchuan will report these to ADB and prepare corrective measures in the form of a retrofit plan to achieve compliance with ADB’s social safeguard policy requirements. The retrofit plan should be disclosed to affected persons and submitted to ADB for review and approval.
3. **Projects with Potential Involuntary Resettlement and/or Ethnic Minority Impacts**

15. In the event that expansion or new construction of a small HPP may involve involuntary resettlement or impacts on ethnic minorities, Sanchuan will:

   a. **Prior to investment**

   (i) Conduct the feasibility study, environment and social impact assessment and detailed design for the proposed investment;

   (ii) Assess the magnitude of involuntary resettlement and impacts to ethnic minorities, and in consultation with ADB, determine whether a short or full RP and/or EMDP is required;

   (iii) Prepare a short or full RP, if necessary, in accordance with ADB policies and applicable national and local laws and regulations governing land acquisition, compensation, relocation, and resettlement;

   (iv) Prepare an EMDP, if necessary, with full participation of ethnic minority communities;

   (v) Ensure that information is disclosed to APs and to the general public in accordance with ADB’s safeguard policy requirements, ADB’s Public Communication Policy (2005) and relevant national and local laws and regulations.\(^6\)

   (vi) Once a draft RP and/or EMDP has been completed, submit it to ADB for review and approval

   (vii) If required, revise the RP and/or EMDP to incorporate ADB comments. If revisions are substantial, ensure that the final RP and/or EMDP is disclosed to APs; and

   (viii) Submit the final RP and/or EMDP for website disclosure.

   b. **Following investment**

   (i) Verify if there are impacts or affected persons not covered in the RP and/or EMDP and update the plan/s if required.

   (ii) Monitor implementation of the RP and/or EMDP; and

   (iii) Prepare semi-annual social monitoring reports on the implementation of the RP and/or EMDP, disclose monitoring reports to affected persons in a form and language they can understand.

   (iv) Upon completion of social monitoring reports, submit to ADB for disclosure on ADB website as required under ADB’s Public Communications Policy (2005).

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4. Preparing Social Safeguards Plans

16. Resettlement Plans. For each Sanchuan investment with potential involuntary resettlement impacts, a short or full RP will be prepared depending on the significance of involuntary resettlement impacts. A full RP will be required where resettlement is ‘significant’. Involuntary Resettlement is ‘significant’ when 200 or more people will experience major impacts, which are defined as: (i) being physically displaced from housing; or, (ii) losing 10 percent or more of their productive assets (income generating). If in a project an entire ethnic minority settlement is affected, even if the number is less than 200, a full RP, incorporating EMDP would be required. ADB’s format and scope of short and full RP will be followed.\(^7\) The resettlement plan will be based on a detailed census of all APs, as well as a sample socio-economic baseline surveys for 10% of APs and 20% of severely affected persons. The socio-economic survey of affected persons will be conducted to provide baseline data on APs to assess resettlement impacts, identify vulnerable and ethnic minority households and design livelihood restoration measures, and to be used for resettlement monitoring.

17. Ethnic Minority Development Plans. If a Sanchuan investment will have significant impacts on ethnic minorities, an EMDP will be prepared. Impacts 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 socioeconomic status; (iii) affect their cultural and communal integrity; (iv) affect their health, education, livelihood, and social security status; or (v) alter or undermine the recognition of indigenous knowledge. An acceptable EMDP addresses the (i) aspirations, needs, and preferred options of the affected ethnic minorities; (ii) local social organization, cultural beliefs, ancestral territory, and resource use patterns among the affected indigenous peoples; (iii) potential positive and negative impacts on ethnic minorities; (iv) measures to avoid, mitigate, or compensate for the adverse project effects; (v) measures to ensure project benefits will accrue to ethnic minorities; (vi) measures to strengthen social, legal, and technical capabilities of government institutions to address indigenous peoples issues; (vii) the possibility of involving local organizations and non governmental organizations with expertise in ethnic minorities issues; (viii) budget allocation; and (ix) monitoring.

VII. INSTITUTIONAL RESPONSIBILITIES, CAPACITY AND RESETTLEMENT BUDGET AND FINANCING

18. Since its establishment in March 2003, ZDSC has developed 17 small HPPs, 11 of which were acquired through privatization while the remaining are greenfield plants. Having worked in the sector for more than 17 years, ZDSC has accumulated substantial experience in construction, privatization and operation of small HPPs. Sanchuan, after its establishment, will carry over the experience as the whole ZDSC team will move to Sanchuan.

19. Land acquisition and resettlement for existing small HPPs are typically handled by the local government, which provides replacement land, compensation, relocation expenses, and resettlement infrastructure. Since 2004, ZDSC has gained significant experience in preparing and implementing an RP based on international best practices with guidance from the International Finance Corporation (IFC). ZDSC currently has a Policy Management Unit who coordinates with the local government on land acquisition and resettlement activities. Upon establishment, Sanchuan will form an environment and social unit (ESU) to guide, oversee and monitor social safeguards planning and implementation. Once it is established, institutional

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\(^7\) ADB’s format and scope of resettlement plans are available from http://adb.org/Resettlement/resources.asp.
strengthening and capacity building within the ESU will be conducted with guidance and support from ADB’s Private Sector Operations Department.

20. On all aspects related to social safeguards, Sanchuan ESU will coordinate resettlement planning and implementation with relevant provincial, city, county and township offices or bureaus handling ethnic minority affairs and land recording and acquisition approvals. Field tasks such as payment of entitlements, replacement land selection, provision of livelihood support, and monitoring will be responsibility of township officers.

21. Sanchuan ESU will ensure that the relevant municipal and county ethnic minority affairs, land management and resettlement bureaus are briefed on their obligations with respect to ADB’s Policies on Involuntary Resettlement and Indigenous Peoples and requirements of this SSF. Sanchuan ESU will ensure that the cost of implementing the RP and/or EMDP are included in the total project cost, that payments are made directly and on time to affected persons, and that any shortfalls required to meet resettlement objectives are covered by providing additional assistance and support to affected persons. Replacement housing and other entitlements, where relevant, will be provided to affected person prior to ground leveling and demolition. Moving subsidies and income support will be provided for the period of dislocation.

22. Sanchuan ESU staff members will receive training in (i) screening of projects for social safeguard impacts; (ii) ADB’s social safeguard policies, procedures and requirements; (iii) social safeguards compliance monitoring; and, (iv) reporting. Where warranted, depending on the scale of social safeguard impacts. Sanchuan may engage an experienced social safeguards consultant to assist with resettlement planning, documentation and implementation. Sanchuan will make funds available for the establishing the ESU.

VIII. CONSULTATION, DISCLOSURE AND GRIEVANCE REDRESS

23. Each resettlement plan will be prepared and implemented in close consultation with those affected, and involve surveys and village meetings. Compensation and assistance level will be determined by local authorities in consultation with the affected persons and their representatives. The compensation amounts will be finalized only after agreements between the authorities and affected persons is reached. Whenever an EMDP is required, ethnic minority communities will be consulted during the preparation of the plan. They will be informed of the investment details, benefits, possible adverse impacts, and the mitigation measures proposed. Their views will be taken into account in finalizing the plan.

24. In accordance with ADB’s Public Communications Policy (2005), resettlement information including measurement of losses, detailed asset valuations, entitlements and special provisions, grievance procedures, timing of payments and displacement schedule will be disclosed to the affected people. The EMDP will be translated into a language which the ethnic minorities can understand and made available to them before implementation. The disclosure will be in a manner accessible to the affected people where there are differing levels of literacy. Plans in local language will be made available to the public through postings in public places, such as township offices, for reasonable periods of at least four months prior to actual dislocation. ADB will review and approve the resettlement plans and/or ethnic minority development plan, as they are prepared, and once finalized will disclose them on its website.

25. Complaints and grievance procedures acceptable to ADB will be established in each RP and/or EMDP. Grievance redress mechanisms for affected people will be established with
adequate representation of affected people and genders. The grievances will be redressed at
the village level in a consultative manner and with full participation of the affected households,
or their representatives, along with project officials and local government representatives.

IX. REPORTING, MONITORING AND EVALUATION

26. Sanchuan ESU will submit a report on the forthcoming investment pipeline, describing
the likelihood of land acquisition and resettlement effects, and any ethnic minority issues. ADB
will review the report and may comment on the screening requirements and documentation
assumptions.

27. Monitoring and Evaluation. Monitoring and evaluation activities will be conducted to (i)
ensure that the standard of living of APs are restored or improved; (ii) monitor whether the time
lines are being met; (iii) assess if compensation, rehabilitation measures are sufficient; (iv)
identify problems or potential problems; and (v) to identify methods of responding immediately
to mitigate problems. The range of activities and issues that would be recorded and checked
include: allocation and utilization of compensation; adjustment and redistribution of land, if any;
selection and allocation of new house plots, rebuilding of private houses, shops and other
enterprises; support to vulnerable groups; assistance to ethnic minorities; restoration of special
facilities; community participation and consultation during implementation; grievances and
appeals, the process and the results; staffing, training, work schedule. A sample social
safeguards monitoring report is attached (Attachment 3). Specific monitoring indicators will be
identified during the preparation of RPs and EMDPs. If any of the investments entail significant
involuntary resettlement impacts and/or impacts to ethnic minorities requiring an EMDP, an
independent monitor will be engaged by Sanchuan. The terms of reference of the independent
monitor will be prepared in consultation with ADB.

28. Reporting. For each investment where a resettlement plan and/or ethnic minority
development plan has been prepared, Sanchuan will submit a semi-annual report of
performance monitoring against the social safeguard policies, and upon and after project
completion. In accordance with ADB’s Public Communications Policy (2005), Sanchuan will
make social monitoring reports available to affected people and submit these to ADB for web
posting.
**SAMPLE ENTITLEMENT MATRIX**

<table>
<thead>
<tr>
<th>Types of Loss</th>
<th>Entitled Persons</th>
<th>Compensation Policy</th>
<th>Compensation Entitlements</th>
<th>Implementation Issues</th>
</tr>
</thead>
<tbody>
<tr>
<td>Permanent Land Acquisition</td>
<td>(i) Land owning groups (ii) Farmers with land use contracts</td>
<td>(i) Land compensation and resettlement subsidies according to regulation (ii) Cash payments sufficient to ensure maintenance of existing economic and social conditions (iii) Cash compensation for standing crops</td>
<td>Full compensation for affected land-owning groups and land loss households. Compensation for acquisition of contracted arable land will be provided in cash to land loss households. Compensation for acquisition of collective land (not contracted) provided to land owning groups.</td>
<td>Village meetings will be held to decide on allocation of funds, land redistribution and investment in income generating activities (e.g. improved cultivation techniques, irrigation, small business development, training)</td>
</tr>
<tr>
<td>Crop Losses</td>
<td>Crop owners</td>
<td>Crop loss compensation at a rate equal to the market value of harvested crops</td>
<td>Full payment direct to crop owners</td>
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<tr>
<td>Temporary Land Use</td>
<td>Affected group or people who contract the land</td>
<td>Payment of compensation for each cropping season lost based on annual output value and restoration of land to its original condition</td>
<td>Contractors will pay compensation directly to affected groups and/or farmers with land use contracts. If the land quality and output cannot be restored, contractors will pay compensation equivalent to permanent land acquisition standard.</td>
<td>Contractors are responsible for restoring land to original condition and removal of all construction waste.</td>
</tr>
<tr>
<td>Loss of Housing</td>
<td>Property/ House Owner</td>
<td>Compensation for rural residential structures shall be at replacement cost plus the house site location price. Compensation for structures and all other lost assets paid in full before relocation. Vulnerable groups assisted to find suitable housing.</td>
<td>APs may choose options: cash compensation, economically affordable house or exchange residential buildings. House owners without certificate of title shall receive compensation according to house replacement price (excluding land price) without depreciation. House relocation subsistence allowance paid for the duration of disruption and reestablishment.</td>
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<tr>
<td>Affected shops</td>
<td>Shop owner</td>
<td>APs will be assisted to find new sites.</td>
<td>Compensation at replacement cost plus moving expenses and loss of income even for unlicensed buildings. Affected employees, permanent or contracted, shall obtain cash compensation for income/wages lost due to work interruption.</td>
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</tr>
<tr>
<td>Special Measures for Affected Vulnerable Groups</td>
<td>Affected Vulnerable Group (to be identified)</td>
<td>Provision of labor for house reconstruction. Priority to obtain project related employment opportunities. Provision of house renting (lowest cost) information. Skills training provided to at least 1 female household member in households with significant losses. Children of ethnic minorities will enjoy preferential policies in schooling. Poor ethnic minorities will be assisted with difficulty subsidies.</td>
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</table>

* The sample entitlement matrix will be revised during actual resettlement planning to reflect local conditions, actual impacts and categories of affected persons. All compensation rates will be established and negotiated during actual subproject implementation.
## SOCIAL SAFEGUARDS SCREENING CHECKLIST

<table>
<thead>
<tr>
<th>Social Safeguard Issues</th>
<th>Yes</th>
<th>No</th>
<th>Not Known</th>
<th>Remarks</th>
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</thead>
<tbody>
<tr>
<td><strong>A. Involuntary Resettlement Impacts</strong></td>
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<tr>
<td>(i) Will the project require acquisition of private land/or land held by community under traditional, customary and usufruct rights?</td>
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<td>If yes, compensation at replacement cost may be required and details outlines in a resettlement plan (RP)</td>
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<td>(ii) Will access to common properties (e.g. burial grounds, community facilities, public grazing lands, forest, etc) be restricted by project activities?</td>
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<td>If yes, mitigation measures accepted by the affected community need to be outlined in an RP.</td>
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<td>(iii) Will land acquisition result in loss of housing and/or affect other structures?</td>
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<td>If yes, prepare a resettlement plan (RP).</td>
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<tr>
<td>(iv) Will agricultural activities, income and livelihoods of affected persons upstream and downstream of the dam/gates/weir be affected by the operation of the small HPP?</td>
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<td>If yes, livelihood restoration measures should be developed and described in the RP.</td>
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<td>(v) Are there any non-titled people whose living arrangements and/or livelihoods will be affected by the project?</td>
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<td>(vi) Will there be loss of agricultural plots?</td>
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<td>(vii) Will there be losses of crops, trees, and fixed assets?</td>
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<td>(viii) Will there be loss of businesses or enterprises?</td>
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<td>(ix) Will there be loss of incomes and livelihoods?</td>
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<td>(x) Will any social or economic activities be affected by land use-related changes?</td>
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<td>(xi) If involuntary resettlement impacts are expected:</td>
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<tr>
<td>– Are national and local laws and regulations compatible with ADB’s Involuntary Resettlement policy?</td>
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<td>If there are gaps, project specific resettlement principles and measures need to be incorporated in the RP.</td>
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<tr>
<td>– Will coordination between the Project Sponsor and Government agencies be required to deal with land acquisition?</td>
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<td>If yes, institutional arrangements to deal with resettlement planning and implementation need to be outlined in the RP.</td>
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<tr>
<td>– Does the Project Sponsor have sufficient skilled staff to undertake resettlement planning and implementation?</td>
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<td>If no, capacity building requirements need to be described in the RP or RF.</td>
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<td>– Are training and capacity-building interventions required prior to resettlement planning and implementation?</td>
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<tr>
<td><strong>IR Impact Category</strong></td>
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<td>Plan required:</td>
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<tr>
<td><img src="" alt=" " /> A  Significant (200 people or more will experience major impacts)</td>
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<td>Full RP</td>
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<tr>
<td><img src="" alt=" " /> B  Not significant (Less than 200 people will experience major impacts)</td>
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<td></td>
<td>Short RP</td>
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<td><img src="" alt=" " /> C  No impact</td>
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<td></td>
<td>None</td>
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<tr>
<td><strong>B. Indigenous Peoples (IP)/Ethnic Minorities (EM) Concerns</strong></td>
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<tr>
<td>Social Safeguard Issues</td>
<td>Yes</td>
<td>No</td>
<td>Not Known</td>
<td>Remarks</td>
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<tr>
<td>(i) Identification of IPs/EMs in the Project Area.</td>
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<td>- Are there population groups who have been living in the project location before modern states or territories were created and before modern borders were defined</td>
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<td>- maintain cultural and social identities separate from mainstream or dominant societies and cultures</td>
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<tr>
<td>- self-identify, or by law or are identified by others part of a distinct indigenous cultural group or ethnic minority</td>
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<td>- have a linguistic identity different from that of the mainstream society</td>
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<tr>
<td>- have social, cultural, economic and political traditions and institutions distinct from the mainstream culture</td>
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<td>- economic systems oriented more toward traditional systems of production than the mainstream systems</td>
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<td>- maintain attachments to traditional habitats and ancestral territories and the natural resources in these habitats and territories</td>
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<td>- have established a presence and separate social cultural identity.</td>
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<td>(ii) Do IPs/EMs maintain distinctive customs or economic activities that may make them vulnerable to hardship?</td>
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<td>If there are significant impacts on IPs/EMs, prepare an IPDP/EMDP.</td>
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<td>(iii) Will the project restrict their economic and social activity and make them particularly vulnerable in the context of project?</td>
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<td>(iv) Will the project change their socioeconomic and cultural integrity?</td>
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<td>(v) Will the project disrupt their community life?</td>
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<td>(vi) Will the project positively affect their health, education, livelihood or social security status?</td>
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<tr>
<td>(vii) Will the project negatively affect their health, education, livelihood or social security status?</td>
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<tr>
<td>(viii) Will the project alter or undermine the recognition of their knowledge, preclude customary behaviors or undermine customary institutions?</td>
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<td>(ix) In case no disruption of indigenous community life as a whole, will there be loss of housing, strip of land, crops, trees and other fixed assets owned or controlled by individual indigenous households?</td>
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<td>If relocation is required, a combined IPDP/EMDP and RP may be prepared.</td>
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**IP Impact Category**

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<th>Plan required:</th>
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<tbody>
<tr>
<td>A</td>
<td>Significant</td>
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<tr>
<td>B</td>
<td>Not significant</td>
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<tr>
<td>C</td>
<td>No impact</td>
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SAMPLE OUTLINE OF A SOCIAL SAFEGUARDS MONITORING REPORT *

A. Introduction
1. Description of Forthcoming/Ongoing Investment Pipeline
2. List of Investments with Resettlement and Ethnic Minority Impacts

B. Physical Progress of Investments with Resettlement and Ethnic Minority Impacts
1. Engineering Progress
2. Ground Clearing, Land Acquisition and Structure Demolition Progress

C. Resettlement and/or Ethnic Minority Development Implementation Scope
1. Determination of Actual Scope of Land Acquisition and Resettlement
2. Determination of Actual Impacts to Ethnic Minorities
3. Difference from Scope of Impacts from the Resettlement Plan (RP) or Ethnic Minority Development Plan (EMDP)

D. Institutional Arrangements
1. Key Organizations Involved in RP/EMDP Implementation
2. Progress on Activities Implemented by Other Organizations
3. Specific Implementation Arrangements for Ethnic Minorities

E. Compensation Rates, Payment and Assistance Delivery
1. Compensation Rates for land, resettlement subsidies, standing crops and trees
2. Compensation for Buildings and Allowances for Relocation
3. Allocation and Utilization of Resettlement Compensation
4. Payment Delivery to affected village groups and individuals
5. Assistance Delivery to affected ethnic minorities

F. Status of Land Acquisition, Resettlement and Reconstruction
1. Adjustment and Redistribution of Land
2. Housing Relocation and Reconstruction
3. Restoration of Affected Public Infrastructure and Facilities
4. Restoration of Land used for Construction-related Activities
5. Implementation Progress of Income Restoration Activities
6. Support to Vulnerable Groups
7. Implementation Progress of Specific Measures for Affected Ethnic Minorities

G. Consultation and Disclosure Activities and Grievance Procedures
1. Consultations on Compensation Standards and Fees, Relocation Options, etc
2. Specific Consultations Conducted with Ethnic Minorities on the Project, its Impacts and Assistance to Ethnic Minorities
3. Grievances Received and Actions Taken to Address Them

H. Problems and Future Work Plan
1. Problems Encountered and Solutions Provided
2. Future Work Plan (Staffing, Training and Work Schedules)

*Note: The sample outline may be revised, as necessary, during implementation.